Dear Friends and Colleagues,

We are honored to be Co-Chairs of the Financial Research Administration (FRA) 2016 Conference in New Orleans. Our Program Committee has been busy over the last 9 months pulling together incredible sessions with a wide variety of topics ranging from post-award compliance in budgeting to closeout and auditing, all with a focus on internal controls and compliance management. There are also some great sessions on professional and organizational development. In addition to the excellent programming we have planned for the conference we also have some outstanding workshops and we are confident that there will be something for everyone!

The conference aims to offer something for the beginner to the seasoned administrator all in fabulous New Orleans!

Sincerely,

W. Scott Erwin
Texas State University

Roseann Luongo
Harvard University

Follow us @NCURA #NCURAFRA
THANK YOU to the following sponsors for your generous support!

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CPE Information for Certified Public Accountants

NCURA is accredited by the National Registry of CPE Sponsors. This program is administered by the National Association of State Boards of Accountancy (NASBA) to sponsor and award Continuing Professional Education Credits (CPEs) to accounting professionals. Certified Public Accountants will need to complete a CPE credit form in order to receive CPE credits. CPE forms are available at the NCURA FRA Concierge Desk. Forms must be deposited in the CPE boxes located at the NCURA FRA Concierge desk at the end of the conference. In accordance with the standards of the National Registry of CPE Sponsors, 50 minutes equals 1 CPE. Depending on the sessions and workshops you choose to attend a maximum of 19 CPE credits can be issued for NCURA’s FRA Conference. 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, Spark Sessions and the Keynote Address are not eligible for CPE credits.

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

Please Note: All Continuing Professional Education Credits (CPEs) will be issued by April 15th, 2016.

Registration

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

Other Information

NCURA is registered with the National Association of State Boards of Accountancy (NASBA) as a sponsor of continuing professional education on the National Registry of CPE Sponsors. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit. Complaints regarding registered sponsors may be submitted to the National Registry of CPE Sponsors through its website: www.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 + Half Day Pre-Conference Workshop
19 Hours of Education: 1.9 CEUs: Conference + Full Day Pre-Conference Workshop

Please note: All Continuing Education Units (CEUs) will automatically be sent to all registrants of the conference by April 15, 2016.

Session Definitions

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 6. There is an additional fee for Workshops and Senior Forums.

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

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

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

Overview of Session Program Levels

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.

Basic level sessions assume some fundamental research administration knowledge.

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

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

Update level sessions will provide a general review of new developments.
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**Senior Level Forum 15**

Return on Investment (ROI) on Research Cores, Service Facilities

**Senior Level Forum 26**

Financial Compliance — The Challenges that Senior Administrators Currently Face

**Senior Level Forum 27**

Current Issues in Research Administration
WORKSHOP 1
INTRODUCTION TO POST-AWARD
Program Level: Basic
This beginner post-award administration workshop is a professional development opportunity that focuses primarily on the foundational financial aspects of research administration. This workshop provides an overview of the financial regulatory compliance landscape, including Uniform Guidance impacts. We will engage in discussion and case studies, as well as lecture material.

Learning Objectives
• Participants will learn about the key functions of post-award administration from award set-up to closeout and beyond.
• Participants will take away an understanding of the overall post-award process, making sense of all the pieces.

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

WORKSHOP 2
UNIFORM GUIDANCE: WHAT IT IS, WHAT HAS CHANGED, AND WHICH OF OUR INSTITUTIONAL POLICIES ARE IMPACTED?
Program Level: Overview
The Uniform Guidance is here and as research administrators it is imperative that we understand how the new guidance impacts our researchers. As leaders, we must understand how these same changes impact our institutional policies and procedures. This workshop will examine the uG, define what is new, discuss what has changed, and, most importantly, study the impact of these changes on our researchers and how we develop budgets and administer awards. Throughout the workshop we will discuss the possible impact these changes may have on existing institutional policies and procedures. Participants will be encouraged to exchange ideas and best practices already adopted at their institutions.

Learning Objectives
• Participants will gain an understanding of the uniform Guidance.
• Participants will understand what changes must be made in award budgeting and management practices to ensure compliance with the new regulations.
• Participants will gain knowledge from others in the field by examining current policies and procedures against the new regulations to ensure their institutions can withstand an audit.

Prerequisite: General knowledge of the current oMB Circulars.
Ann Holmes*, Assistant Dean, College of Behavioral and Social Sciences, University of Maryland, College Park
Denise Clark, Associate Vice President for Administration and Chief of Staff, Division of Research, University of Maryland, College Park (morning only)
Rebecca Hunsaker, Assistant Director of Research Administration, University of Maryland, College Park
Tim Reuter, Director, Post-Award Operations, Office of Sponsored Research, Stanford University

WORKSHOP 3
CRITICAL FINANCIAL COMPLIANCE ISSUES FOR THE RESEARCH ADMINISTRATOR IN TIMES OF CHANGE
Program Level: Overview
The world in which the research administrator dwells is filled with risks as we attempt to comply with a myriad of regulations. As a research administrator, you face compliance issues daily and you need to know which issues are critical and need the most focus. How do you assess and deal with compliance regulations? How do you assure that investigators are complying with a certain requirement? This compliance issues workshop will provide examples of risk, dealing with factors contributing to non-compliance, and provide discussion of what controls can be put in place to foster compliance, as we review case studies in specific risk areas. Come prepared for a little theory and a lot of practical examples which will help you in your daily decisions.

Learning Objectives
• Participants will gain an understanding of the compliance areas encountered in sponsored funding.
• Participants will discuss several factors to sustain a healthy compliance environment and learn controls for compliance issues.
• Participants will discover approaches taken by various institutions in assessing and managing compliance.

Prerequisite: Participants should have a broad knowledge of and several years in research administration including knowledge of regulatory and other issues which pose risks for their institution.
Barbara Cole*, Associate Vice President, Research Administration, University of Miami
Jill Tincher, Executive Director, Office of Research Administration, Miller School of Medicine, University of Miami

* Lead presenter
WORKSHOP 4
FOR U.S. INSTITUTIONS: OBTAINING EUROPEAN RESEARCH FUNDS, HOW TO MANAGE THEM AND HOW TO ENSURE COMPLIANCE
Program Level: Overview
Managing European Research Funds (main focus on Horizon2020 grants) can be very similar to our domestic agreements, but they are very different especially when it comes to compliance. This workshop will talk about these similarities and differences, starting from submitting a proposal, negotiation and acceptance through management and closeout. Strategies and best practices for grant management will also be discussed. The presenters will also focus on best practices for monitoring subrecipients in international grants.

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

Jennifer Hawk*, Assistant Vice President, Office for Sponsored Research and Award Administration, Oregon State University
Agatha Keller, Co-Director EU GrantsAccess, ETH Zurich | University of Zurich

This workshop is brought to you in partnership with European Association of Research Managers and Administrators (EARMA) and NCURA

WORKSHOP 5
PREPARING AN F&A PROPOSAL AND APPLICATION OF THE NEGOTIATED F&A RATES (AN INTRODUCTION TO THE F&A PROCESS)
Program Level: Basic
This will be an introduction to the process of establishing a new F&A rate, or submitting and renegotiating an existing rate. The workshop will cover rates for colleges and universities, and non-profit organizations. This workshop will cover identification of a cognizant agency, when to prepare a rate proposal, what to expect after you submit the proposal, and what your rights are. The workshop will focus on the process and provide basic knowledge of an F&A proposal. Once the rates are finalized, the application of the F&A rates will also be covered for proposal budget submission.

Learning Objectives
Participants will gain an understanding of the F&A rate process, including negotiation, and how to apply the rates after the rates are finalized.

Jennifer Mitchell*, Director of Cost Studies and Effort Reporting, Northwestern University
Jim Carter, Managing Director, Huron Consulting Group
Wendy Meister, Director, Huron Consulting Group

* Lead presenter
WORKSHOP 6
FUNDAMENTALS OF CHANGE MANAGEMENT
Program Level: Advanced
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 or 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 explore good practices in managing change.
• Participants will be able to formulate a plan for change management.

Prerequisite: This workshop is intended for senior level administrators.

Susan Sedwick*, Consulting Associate, Attain, LLC
Diane Barrett, Director, Office of Sponsored Programs, Colorado State University

WORKSHOP 7
SERVICE CENTERS: THE NOT SO SIMPLE BASICS
Program Level: Basic
A detailed overview of establishing, operating and oversight of service centers. Topics to be discussed will include definitions, federal regulations, creating budgets, setting billing rates, treatment & issues relating to subsidies, specialized service centers, compliance and common issues in operating service centers. Workshop will include presentation, discussion, and mini case studies/exercises.

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

Sarah T. Axelrod*, Director of Cost Analysis and Compliance, Harvard University
Zach Belton, Director, Huron Consulting Group

* Lead presenter
WORKSHOP 8
PREPARING FOR THE BONFIRE: CREATING A PAPERLESS OFFICE
Program Level: Overview
Are you considering making your operations paper-free? Have you considered what electronic files should look like and how they should move within your office? How do you convert all those old paper files? How to convince everyone to “let go” of the paper? How much efficiency can be achieved with having files at your fingertips? Discussions include strategies for designing a paperless filing system, even in the absence of an electronic data system; design and folder structure for electronic filing systems; conversion options for years of old paper files and disposing of paper files; implementation strategies for an electronic filing system; pitfalls and lessons learned from the implementation of a paperless system; how paperless files has improved office workflow, customer service and proposal/award management.

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

Noah Congelliere*, Training & Development Specialist, University of Southern California
Jeri Muniz, Executive Director, Department of Contracts and Grants, University of Southern California

WORKSHOP 9
THE MAGIC OF METRICS: HOW TO UTILIZE METRICS TO DRIVE PERFORMANCE WITHIN YOUR OFFICE
Program Level: Intermediate
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 workshop will cover how to develop a metrics structure that will successfully support you and your institution in achieving your goals.

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

Prerequisite: Participants should have a general knowledge of research administration.

Kerry Peluso*, Associate Vice President for Research Administration, Office of Sponsored Programs, Emory University
James Casey, Jr., Director, Office of Sponsored Programs, American University
WORKSHOP 10
CONTRACTING: TERMS AND CONCEPTS FOR THE POST-AWARD ADMINISTRATOR
Program Level: Basic

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, Senior Grant & Contract Officer, Team 2 Supervisor, Office of Research & Sponsored Projects Administration, Award Management, Office for Knowledge Enterprise Development, Operations, Arizona State University
Marianne Woods, Academic Program Director, Master of Science in Research Administration, Kreiger School of Arts and Sciences, Advanced Academic Programs, Johns Hopkins University

WORKSHOP 11
EFFECTIVE MANAGEMENT PRACTICES
Program Level: Advanced

This workshop will focus on some fundamental management strategies, such as:
• Knowing your own strengths
• Hiring the right people
• Performance management
• Managing resources within the constraints of your environment
• Maintain positive employee engagement

Participants will be able to engage in several different management scenarios to better understand there isn’t just one ‘right’ answer to effectively managing a team.

This workshop is geared toward participants who are relatively new (0-5 years) to managing a team.

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

Lisa Mosley*, Executive Director, Research Operations, Arizona State University
Jeremy Forsberg, Assistant Vice President of Research, The University of Texas at Arlington

* Lead presenter
WORKSHOP 12
CONNECTING WITH FACULTY MEMBERS TO SUPPORT RESEARCH INTEGRITY
Program Level: Basic

In this workshop, we will learn about the role research integrity partnerships between faculty members and research administrators play in supporting research integrity. We will use connected events within and between participants including activities, rallies, lectures, discussions, group activities and personal reflections.

The goal of the workshop is not to contribute to a narrow conception of ethics by placing disproportionate emphasis on the misconduct of the few, but a broader, richer conception of ethics that is focused not only on individual instances of misconduct, but also on the growing gap between the normative ideals of science and its institutional reward system.

The curriculum is designed to spiral around the big ideas, key words, essential questions and transfer goals. Participants will be motivated to learn because of the deep connection to personal and professional practice.

Learning Objectives
• Participants will know the differences among ethics, integrity and misconduct and be able to discuss them with other workshop participants.
• Participants will know the legal and sponsor definitions, guidelines and rules for research integrity and education in the responsible conduct of research and be able to clearly articulate these differences.
• Participants will understand the concept of research integrity partnerships and be able to apply them in case studies.
• Participants will be able to identify areas in which their roles intersect with supporting research integrity and will be able to create an action plan to support research integrity.

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

WORKSHOP 13
NAVIGATING CLINICAL RESEARCH REGULATION TO AN AUDIT-READY ENVIRONMENT
Program Level: Intermediate

Negotiating today’s complex regulatory landscape can be daunting and puts institutions at risk for either non-compliance or burdensome procedures that impede research. This workshop will delve into the elements crucial to conducting clinical research in the current regulatory environment. Topics covered will include research billing compliance; establishing processes and work flows to ensure regulatory compliance; establishing an infrastructure that supports regulatory compliance; institutional policies that address compliance issues; how to maintain an audit-ready environment; and HHS-proposed changes in the rules for protecting human subjects.

Learning Objectives
• Participants will gain an understanding of clinical research billing regulations and how to facilitate an institutional process to support compliance.
• Participants will learn how to plan and prepare for FDA audits.
• Participants will understand proposed changes in HHS regulations protecting human subjects.
• Participants will be able to develop institutional compliance policies that facilitate research.
• Participants will learn to create a regulatory support infrastructure.

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

Tesheia Johnson*, Associate Director of Clinical Research for Yale School of Medicine COO, YCCI, Yale Center For Clinical Investigation, Yale University
Jamie Caldwell, Associate Vice Chancellor for Research Administration, University of Kansas Medical Center
Patricia Seymour, Director, Human Subject Protections, HummingbirdIRB

* Lead presenter
WORKSHOP 14
SUBRECIPIENT MONITORING
Program Level: Intermediate

This workshop will explore the full cycle of 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 provide comprehensive tools for central and departmental administrators. Through discussions, case studies and exercises, participants will work through implementation strategies, approaches and solutions in areas of pre-award risk analysis, as well as post-award monitoring.

Learning Objectives
• Participants will understand subrecipient monitoring responsibilities.
• Participants will learn strategies for addressing day-to-day monitoring issues.
• Participants will learn strategies for addressing central monitoring responsibilities.

Prerequisite: Participants should have basic working knowledge of issuing and managing subawards.

Michiko Pane*, Director, Pre-Award Operations, Stanford University
Laura Register, Subrecipient Monitoring Officer, Stanford University

SENIOR LEVEL FORUM 15
RETURN ON INVESTMENT (ROI) ON RESEARCH CORES, SERVICE FACILITIES
Program Level: Advanced

Panel experts will discuss and share their experiences and good practices on how they have utilized Return on Investment (ROI) reviews to streamline their core operations and make sound business investments and strategies to further their institutional missions.

Discussion topics will include:
• How institutions are using ROI for decision-making
• Investment models, subsidy levels
• Metrics and benchmarks for success
• Challenges and opportunities

Learning Objectives
Participants will share experiences and learn from peers on how they have utilized Return on Investment (ROI) reviews to streamline their core operations and make sound business investments and strategies to further their institutional missions.

Prerequisite: Participants should have a basic understanding of Return on Investment (ROI).

Justine Karungi*, Assistant Director, Hoglund Brain Imaging Center, University of Kansas Medical Center
Tom Colella, Director, Core Research Facilities Administration, Arizona State University
Nicole Nichols, Research Administrator, Oncology, Washington University in St. Louis
Charles Wunsch, Manager, Cost Analysis, Accounting Services, Washington University School of Medicine
WORKSHOP 16
CONSCIOUS LEADERSHIP: A MANAGEMENT IMPERATIVE
Program Level: 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 Primordial Sound Meditation Instructor, Chopra Center University

WORKSHOP 17
CLINICAL TRIALS REVENUE MANAGEMENT
Program Level: Advanced

Revenue management for clinical trials begins with study planning reimbursement analysis to determine what parts of the protocol are standard of care and the resultant comprehensive budgeting. Also crucial to revenue is patient accrual which is dependent on the timeliness of the IRB and Contracting approvals. Post award requires clinical billing compliance review and assertive sponsor billing and monitoring to assure all payments are received in a timely way. This workshop will assist senior and intermediate level staff to assess and consider best practices and prioritize their policy, staffing and organization structure supporting these efforts.

Learning Objectives
The workshop participants will comprehend the study timeline of clinical research revenue management and the processes, systems and responsibilities necessary to compliantly manage the revenue. This will include proposed study prospective reimbursement analysis, study budgeting, insurance clearance, clinical research management data systems, medical procedure (hospital and physician) billing review and assignment to payers, sponsor billing and closeout.

Prerequisite: Some knowledge and work experience with one or more aspects of clinical research and its revenue management requirements.

Michael Amey*, Associate Dean, Research Administration, Office of Research Administration, Johns Hopkins University School of Medicine
Karen Roz, Director of Clinical Research Support Services, Johns Hopkins University School of Medicine
Scott Streibich, Associate Director, Johns Hopkins University School of Medicine
Dorothy C. Sellers, Director, Research Compliance & Training, Geisinger Health System

* Lead presenter
WORKSHOP 18
MANAGING AN AUDIT: LESSONS LEARNED
Program Level: Intermediate
At some point in our careers, every research administrator must deal with audits. From Single Audit Act to desk reviews to comprehensive federal audits, there are lessons we can learn from our colleagues who face similar situations. This workshop will focus on major types of audits, both internal and external, the stages of an audit, and current trends from Offices of Inspectors General. We will discuss how to prepare both your office and the campus for an impending audit and offer suggestions for working with faculty throughout the process. The panel will offer good practices for anticipating the questions that will come and on audit protocols that may be helpful.

Finally, we will offer a case study from a recent data analytics audit, including the kinds of resources that may be needed, development of a project team, potential hazards, and timelines. This session will be highly interactive, so come with questions and suggestions. We can all learn from this exchange of information among colleagues!

Learning Objectives
• Participants will gain different perspectives about the process of preparing for audit.
• Participants will acquire an understanding of different kinds of audits and approaches to them.
• Participants will gain insights into potential strategies for consideration when an audit is initiated at their own institutions.

Prerequisite: This session is intended for intermediate level departmental and central research administrators.

Kim Moreland*, Associate Vice Chancellor for Research & Sponsored Programs, University of Wisconsin Madison
Tracey Fraser, Director, Office of Sponsored Programs, Smithsonian Institution
Michael Daniels, Senior Associate Controller and Executive Director, Financial Operations, Northwestern University

WORKSHOP 19
INTERNAL CONTROLS: BEST PRACTICES FOR MANAGING YOUR ENVIRONMENT
Program Level: Intermediate
Internal controls provide structure for efficient and reliable operations in compliance with laws, regulations, and policies. In accounting and auditing, internal controls are put in place to assure financial integrity and consistent oversight of operations. These controls are evaluated and tested during internal and external audits.

Learning Objectives
Participants will gain a thorough understanding of internal control concepts and activities. This workshop will prepare participants to examine areas of compliance, identify potential risks, recommend control activities and solutions. This workshop will cover the following:
• the objectives of internal controls
• the factors of a control environment
• identifying and evaluating risks
• monitoring of effective controls
• review key control activities
• completion of a typical Internal Control questionnaire

Vivian Holmes*, Director, Sponsored Research, Broad Institute of MIT and Harvard
Cindy White, Consultant, University Research Administration
WORKSHOP 20
INTRODUCTION TO RESEARCH COMPLIANCE
Program Level: Basic
This workshop provides an overview of the basic elements of research compliance. Participants are encouraged to attend regardless of previous experience with the topic area. Participants will be provided a working understanding of human subject, animal subject, responsible conduct of research, financial conflicts of interest, export control and bio-safety regulations and laws. The intended audience includes those indirectly encountering these subjects, such as in sponsored programs, and those wishing to develop a compliance program at their institutions. Instruction will be through case studies, role playing exercises and other interactive methods.

Learning Objectives
- Participants will learn to “issue spot” where research compliance is likely to arise.
- Participants will understand the background and purpose of the relevant research compliance regulations.
- Participants will understand how to draft functional research compliance policies and procedures.

Ross Hickey*, Assistant Provost, University of Southern Maine
L. James, Manager, Huron Consulting Group

WORKSHOP 21
EFFECTIVE POST-AWARD MANAGEMENT AT PREDOMINANTLY UNDERGRADUATE INSTITUTIONS
Program Level: Overview
We will answer the question, “What do you need to know if you are a post-award research administrator at a PUI?” Topics covered will include grant set-up; tracking and the use of a shadow system, if necessary; determining allowability of expenditures; when you need sponsor approval for a budget/programmatic change or extension; effort tracking; cost transfers; compliance monitoring (IRB, FCOI, RCR, etc.– who does this at your institution?); subrecipient monitoring; and project close-out.

A related second question is, “What are potential red flag issues for PUIs?” While post-award research administration is fairly consistent from institution to institution (we all have to adhere to the regulations and follow the policies that govern our awards), there are some areas that differ depending upon the research focus of the institution. For example, research intensive institutions tend to deal more often with export control, dual appointments, and large centers, whereas PUIs face the issues that arise due to the heavy teaching load of faculty. How does this reality impact post-award administration?

We will work through case study examples in small groups and all together, giving participants hands-on experience with situations that post-award research administrators encounter. If participants have specific situations they would like to work through, please let the presenters know and we will incorporate these into the workshop. This workshop will primarily benefit new post-award research administrators and experienced pre-award administrators who are seeking to understand the other side of research administration. Because of the changing nature of our work, including implementation of the Uniform Guidance, it will also benefit experienced post-award research administrators who would like to deepen their understanding of some of the new federal regulations (FCOI compliance, effort tracking, compensation), as well as review red flag areas with their colleagues.

Learning Objectives
- Participants will have a comprehensive understanding of their role and responsibilities in managing external funds.
- Participants will be aware of potential red flag areas that may require increased vigilance.
- Participants will have experience working through situations they will encounter in their daily work.

Carolyn Elliott-Farino*, Executive Director, Office of Research, Kennesaw State University
Anna McCoy, Senior KSURSF Accountant, Kennesaw State University

* Lead presenter
WORKSHOP 22
POLICY DEVELOPMENT AND IMPLEMENTATION
Program Level: Advanced
Developing policies that are clear, concise and easy to follow so all parties can be compliant can be challenging. This workshop will provide participants with the opportunity to walk through the entire process of policy development and implementation within a university setting. The workshop will also cover communication strategies related to policy implementation and changes, the difference between a policy and a process as well as the importance of developing a policy monitoring process.

Learning Objectives
• Participants will gain a foundational understanding of the key components of policy development, management and implementation.
• Participants will have a better understanding of how policies can increase audit risk.
• Participants will learn communication strategies around policy implementation and updates.

Dennis Paffrath*, Assistant Vice President for Sponsored Programs Administration, University of Maryland, Baltimore
Lisa Mosley, Executive Director, Research Operations, Arizona State University
Denise Clark, Associate Vice President for Administration and Chief of Staff, Division of Research, University of Maryland, College Park

WORKSHOP 23
COST SHARING: PRE-AWARD TO POST-AWARD
Program Level: Basic
Cost sharing represents an administratively complex and high-risk business objective. This workshop will explore the many elements of cost sharing, ranging from the pre-award, often strategic decision to engage in cost sharing, to different methods to handle the post-award management of cost sharing, offering the participant a lifecycle view of the topic. There will be a discussion covering more basic concepts such as what constitutes cost sharing at the proposal stage and federal policies and guidelines related to cost sharing. Additionally, this workshop will examine more complicated concepts, including the impacts of cost sharing on an institution, the functional areas cost sharing touches outside of sponsored research (e.g., finance and budget), and the weighing of strategic interests against traditional compliance when entering into a cost share agreement. The workshop will also explore challenges and approaches related to tracking and funding of cost share commitments and effectively using enterprise management systems to help where possible, including a case study examining an institutional change in post-award cost sharing tracking (including evaluation, design, and implementation). The workshop will include activities designed to engage and provide participants with tools to bring back to their own institutions.

Learning Objectives
• Participants will gain an understanding of the different considerations that are taken into account when deciding to cost share and the reasoning behind the decision to engage in voluntary cost sharing.
• Participants will understand the various impacts cost sharing has on an institution, including the compliance, administrative, financial, investigator, and F&A rate impacts.
• Participants will engage in interactive activities exploring case studies and leave with tools for approaching cost sharing at their own institutions.
• Participants will be presented with various approaches to tracking and managing cost sharing commitments at the post-award stage.

Kelly Morrison*, Associate Director, Office for Sponsored Research, Northwestern University
Elizabeth Adams, Assistant Vice President for Research Administration, Office of Sponsored Programs, University of Virginia
Josh Richards, Assistant Grants Officer, Office for Sponsored Research, Northwestern University
WORKSHOP 24
POST-AWARD ADMINISTRATION: TOOLS AND TIPS FOR SUCCESS BEYOND THE BASICS FOR DEPARTMENTAL ADMINISTRATORS
Program Level: Intermediate
The most effective way to strategically manage a research institution is to empower the people on the front line. Departmental Research Administrators are the key to building a successful research organization and must have the necessary resources, skills, and training to accomplish the goals of their departments. This workshop will cover how to make sure that the financial research activities that take place at the departmental level are functioning properly. We will begin at the award stage, cover financial management including effort reporting, cost transfers, and account reconciliation, then finish up with compliance, ensuring that the Uniform Guidance is understood and applied properly. In addition, the participants will learn how to build and grow a working relationship with all levels of administration within their organization.

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

Tolise Miles*, Training Development Specialist, Office of Contracts and Grants, University of Colorado
Anne Albinak, Senior Administrative Manager, Whiting School of Engineering, Johns Hopkins University
David Schultz, Director of Sponsored Programs Finance Administration, Office of Sponsored Research, University of Louisiana at Lafayette

WORKSHOP 25
EFFORT REPORTING: EXAMINING THE NEW ERA AND CREATING A COMPLIANT EFFORT REPORTING “SYSTEM”
Program Level: Intermediate
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, University of Texas Southwestern Medical Center at Dallas
Elena Cruse, Financial Business Analyst, Kansas University Medical Center
Brian Korblick, Huron Consulting Group
Ashley Whitaker, Assistant Director, Office of Sponsored Programs, Nova Southeastern University

* Lead presenter
FINANCIAL COMPLIANCE — THE CHALLENGES THAT SENIOR ADMINISTRATORS CURRENTLY FACE

Program Level: Advanced

This workshop 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.

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
• International collaborations

The workshop 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. We will also 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.

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

Patrick Fitzgerald*, Associate Dean for Research Administration, Harvard University
Jessica Manning, Associate Director of Finance, Harvard University
Wendy Meister, Director, Huron Consulting Group

* Lead presenter
Agenda

Saturday, March 5, 2016

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

Sunday, March 6, 2016

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
PRE-CONFERENCE WORKSHOP NETWORKING LUNCHEON FOR
FULL DAY PRE-CONFERENCE WORKSHOP PARTICIPANTS,
FACULTY AND EVALUATORS

5:30 – 6:15 pm
NETWORKING WINE AND CHEESE RECEPTION
CONCURRENT SESSIONS & DISCUSSION GROUPS  BY TRACK

AUDIT/COMPLIANCE/RISK MANAGEMENT

CONCURRENT SESSIONS
10:15 – 11:30 am
How to Manage an Audit

1:00 – 2:15 pm
Subrecipient Risk Assessment: A Data-Driven Perspective

2:45 – 3:45 pm
Export Control Compliance in the Age of Continuing Export Control Reform
How Indiana University Uses Data Analytics to Verify that Expenses are Reasonable, Allowable, and Allocable on Federal and Federal Pass-thru Awards

4:00 – 5:00 pm
Financial Close Out – Getting to the Finish Line

DISCUSSION GROUPS
10:15 – 11:30 am
Case Study: Working with the IRB

2:45 – 3:45 pm
Building a Risk Inventory

4:00 – 5:00 pm
Export Control Compliance in the Age of Continuing Export Control Reform (Follow-up to concurrent session “Export Control Compliance in the Age of Continuing Export Control Reform,” held at 2:45 pm)

DEPARTMENTAL

CONCURRENT SESSIONS
10:15 – 11:30 am
I Cannot Comprehend Effort Reporting! Ways to Communicate with Faculty Using the Traditional Approach and Alternative Approaches Under the Uniform Guidance

1:00 – 2:15 pm
Clinical Trials: Study Budget Development and Financial Management

2:45 – 3:45 pm
Building a Budget

4:00 – 5:00 pm
Navigating the Rules: Compliance for Departmental Research Administrators

DISCUSSION GROUPS
2:45 – 3:45 pm
You Received the Award, Now What?

F&A/COSTING

CONCURRENT SESSIONS
10:15 – 11:30 am
Using the F&A to Develop a Research P&L

1:00 – 2:15 pm
Completing an F&A Short Form – Steps and Tools
Service Centers at Year End: What Your Institution Should Be Doing

2:45 – 3:45 pm
Uniform Guidance: An Update on Major Issues
Introduction to F&A Long Form, Negotiation, and Uniform Guidance Impact

4:00 – 5:00 pm
Calculating the Utility Cost Adjustment

DISCUSSION GROUPS
10:15 – 11:30 am
Questionable Expenses: Should They Go on Your Grant?

2:45 – 3:45 pm
F&A Negotiation Issues
Service Centers at Year End – Let’s Discuss Your Challenges and Real Examples (Follow-up to concurrent session, “Service Centers at Year End: What Your Institution Should Be Doing,” being held at 1:00 pm)
Agenda
Monday | March 7, 2016

CONCURRENT SESSIONS & DISCUSSION GROUPS BY TRACK

FEDERAL

CONCURRENT SESSIONS
10:15 – 11:30 am
OMB Uniform Guidance: University Panel

1:00 – 2:15 pm
NSF Audit Resolution and Advanced Monitoring: What You Should Know

2:45 – 3:45 pm
VIRTUAL SESSION: NIH Update

4:00 – 5:00 pm
Observations from the Other Side of the Fence: When Research Administrators Serve as Federal Agency Staff

DISCUSSION GROUPS
1:00 – 2:15 pm
Project Payroll Certification Federal Demonstration Partnership Pilot

FINANCIAL AND NON-FINANCIAL POST-AWARD

CONCURRENT SESSIONS
10:15 – 11:30 am
Using Forecasting and Reporting to Meet Your Department Goals

Post-Award Process Improvement: Transforming Day-to-Day Operations

1:00 – 2:15 pm
Shadow Account Systems: My Shadow and I

2:45 – 3:45 pm
The “Other” Compliance: How to Spot Non-Financial Compliance Issues in Your Sponsored Research

4:00 – 5:00 pm
Successful Project Closeout Strategies

DISCUSSION GROUPS
1:00 – 2:15 pm
Post-Award Do’s and Don’ts When Working with Faculty and Funding Organizations

INSTITUTIONAL/ORGANIZATIONAL DEVELOPMENT

CONCURRENT SESSIONS
10:15 – 11:30 am
Developing Standard Operating Procedures (SOP’s): Cliff Notes to Creating a Collaborative, Efficient and Performance Driven Process

1:00 – 2:15 pm
Metrics and Training

2:45 – 3:45 pm
Driving Value through Operational Excellence at The University of Michigan Health System

4:00 – 5:00 pm
Cultivating a Community from an FRA Perspective

DISCUSSION GROUPS
1:00 – 2:15 pm
A Discussion on Using the Book “Strength Finders”
CONCURRENT SESSIONS & DISCUSSION GROUPS  BY TRACK

INTERNAL CONTROLS: POLICY, PROCESS, METRICS

CONCURRENT SESSIONS
10:15 – 11:30 am
Demonstrating Performance Through Metrics

1:00 – 2:15 pm
Benefit Analysis for Grants: Key Considerations in Producing Meaningful Assessments

2:45 – 3:45 pm
Navigating through Internal Audit, Institutional Compliance, and the Research Office

DISCUSSION GROUPS
1:00 – 2:15 pm
Financial Management of Awards: Get It Right the First Time

MEDICAL/CLINICAL TRIALS

CONCURRENT SESSIONS
10:15 – 11:30 am
Decoding DSMBs

1:00 – 2:15 pm
Developing a Compliant Clinical Research Billing Program

2:45 – 3:45 pm
Managing Large Scale Clinical Trials

DISCUSSION GROUPS
4:00 – 5:00 pm
High Dollar Budget Items That Pharma Doesn’t Want to Pay

NON-FEDERAL/INTERNATIONAL

CONCURRENT SESSIONS
10:15 – 11:30 am
Grant vs Gift: What is What and Why Does It Matter So Much?

1:00 – 2:15 pm
Subrecipients: Assessing and Managing Risks

4:00 – 5:00 pm
Audits: EU/Foreign Governments vs. Other Non-Federal Sponsors

Costing, Written Policies, Procedures, and Best Practices

DISCUSSION GROUPS
10:15 – 11:30 am
Managing Non-Federal Financial Reporting and Online Reporting System Responsibilities

4:00 – 5:00 pm
Grant vs Gift
## Agenda
Monday | March 7, 2016

### CONCURRENT SESSIONS & DISCUSSION GROUPS BY TRACK

#### PERSONAL & PROFESSIONAL DEVELOPMENT

**CONCURRENT SESSIONS**

<table>
<thead>
<tr>
<th>Time</th>
<th>Session</th>
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<tbody>
<tr>
<td>10:15 – 11:30 am</td>
<td>Communicating in the Modern World - How to Get the Message Across</td>
</tr>
<tr>
<td>4:00 – 5:00 pm</td>
<td>Self Help Revolution (Fish, Who Moved My Cheese, 4DX, Self-Assessments, Etc.)</td>
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**DISCUSSION GROUPS**

<table>
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<td>10:15 – 11:30 am</td>
<td>Manage Your Work, Manage Your Life: Creating and Maintaining Balance Between the Two</td>
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<tr>
<td>1:00 – 2:15 pm</td>
<td>Research Administrator’s Career Cycle</td>
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<tr>
<td>4:00 – 5:00 pm</td>
<td>So You Think You Want to Be a Consultant</td>
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#### PREDOMINANTLY UNDERGRADUATE INSTITUTIONS

**CONCURRENT SESSIONS**

<table>
<thead>
<tr>
<th>Time</th>
<th>Session</th>
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<tbody>
<tr>
<td>1:00 – 2:15 pm</td>
<td>OMB Uniform Guidance Implementation Plan for PUI Institutions</td>
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<tr>
<td>2:45 – 3:45 pm</td>
<td>Providing Financial Research Administration Services at PUIs: Models</td>
</tr>
<tr>
<td>4:00 – 5:00 pm</td>
<td>Indirect Cost Rates and Uniform Guidance: S&amp;W vs. TMDC - Is it Time to Make a Switch?</td>
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**DISCUSSION GROUPS**

<table>
<thead>
<tr>
<th>Time</th>
<th>Session</th>
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<tbody>
<tr>
<td>10:15 – 11:30 am</td>
<td>Exchange Session: How to Update or Persuade Updates to Policy or Procedure Updates</td>
</tr>
<tr>
<td>2:45 – 3:45 pm</td>
<td>OMB Uniform Guidance Implementation Plan for PUI Institutions (Follow-up to concurrent session “OMB Uniform Guidance Implementation Plan for PUI Institutions,” held Monday at 1:00 pm)</td>
</tr>
</tbody>
</table>
6:15 am
NCURA FUN RUN AND POWER WALK

7:30 am – 5:00 pm
FRA CONCIERGE; PARTICIPANT MATERIALS PICK-UP; EXHIBITS OPEN; ASK NSF BOOTH

NCURA CONNECT
NCURA Connect offers a relaxed environment where attendees where participants can unwind for a minute, while receiving the latest information about NCURA programs. 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. #NCURAFRA #CollaborateNCURA

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

DEPARTMENTAL ADMINISTRATORS: MANAGING MULTIPLE HATS
Hilah Zia*, Senior Grants and Finance Administrator, Children’s National Medical Center

EFFORT REPORTING, THE UNIFORM GUIDANCE, AND INTERNAL CONTROLS
Ashley Whitaker*, Assistant Director, Nova Southeastern University

HOW ERA SYSTEMS WORK, WHAT THEY CAN (AND CAN’T) DO FOR AN INSTITUTION
Roger Wood*, Associate Vice President, Product Management, InfoEd Global

WELCOME TO EUROPE: EUROS ARE JUST ANOTHER CURRENCY!
Agatha Keller*, Co-Head EU GrantsAccess, ETH Zurich, University of Zurich

IN THE AGE OF THE UG, WHAT HAS YOUR INSTITUTION IMPLEMENTED TO STREAMLINE THE CLOSEOUT PROCESS?
Derick Jones*, Program Manager, Los Angeles Biomedical Research Institute

HOW TO KEEP TRACK OF YOUR SUBRECIPIENT MONITORING RESULTS
Adrienne Larmett*, Senior Consultant, Baker Tilly Virchow Krause, LLP
Ashley Deihr, Senior Manager, Baker Tilly Virchow Krause, LLP

8:15 – 9:45 am
KEYNOTE ADDRESS: JAMES CARVILLE

James “The Ragin’ Cajun” Carville is America's best-known political consultant. His long list of electoral successes evidences a knack for steering overlooked campaigns to unexpected landslide victories and for remaking political underdogs into upset winners.

His winning streak began in 1986, when he managed the gubernatorial victory of Robert Casey in Pennsylvania. In 1987, Carville helped guide Wallace Wilkinson to the governor’s seat in Kentucky. Carville continued his winning streak with wins in New Jersey with Frank Lautenberg elected to the US Senate. He next managed the successful 1990 gubernatorial campaign of Georgia’s Lieutenant Governor Zell Miller, including a tough primary win over Atlanta mayor Andrew Young, and in 1991, Carville—who had already become prominent in political circles—drew national attention when he led Senator Harris Wofford from 40 points behind in the polls to an upset landslide victory over former Pennsylvania Governor and U.S. Attorney General Richard Thornburgh. But his most prominent victory was in 1992 when he helped William Jefferson Clinton win the Presidency.

In recent years, Carville has not been a paid political consultant for any domestic politicians or candidates for office, instead focusing on campaigns in more than 20 countries around the globe, including leading Ehud Barak to victory in his campaign to become the Prime Minister of Israel in 1999.

Carville can be seen on news networks worldwide. He is a columnist for The Hill newspaper which publishes daily when Congress is in session and serves as a Professor of Practice at Tulane University in New Orleans, where he lives with his wife Mary Matalin and their two daughters.

9:45 – 10:15 am
NETWORKING AND REFRESHMENT BREAK

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

CONCURRENT SESSIONS

AUDIT/COMPLIANCE/RISK MANAGEMENT

HOW TO MANAGE AN AUDIT
Program Level: Basic
This session will offer an overview of some of the areas of audit exposure and how to manage an audit. The session will offer participants an intermediate level learning objective on how to prepare for an audit and manage an audit engagement. The session will reinforce that audits do not have to be overwhelming and audits can actually be an opportunity rather than a challenge or administrative burden.

Govind Narasimhan*, Director of Research Finance, University of Texas M.D. Anderson Cancer Center

* Lead presenter
**Agenda**  
Monday | March 7, 2016

10:15 - 11:30 am | **CONCURRENT SESSIONS, DISCUSSION GROUPS & SPARK SESSIONS**

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**F&A/COSTING**

**USING THE F&A TO DEVELOP A RESEARCH P&L**

Program Level: Advanced

With the increasing pressures on cost Colleges and Universities are looking to understand the relationships between research and institutional financial health. The Facilities and Administrative (F&A) Rate Calculation is an effective tool to leverage in determining the cost of research by developing a Research P&L. This session will walk through the key elements of a research P&L and how you can modify your F&A calculation to calculate the P&L. This session will cover the concepts and walkthrough a sample calculation to demonstrate the analysis.

Learning Objectives

- Participants will understand the concept of a Research P&L.
- Participants will understand the key elements of cost and revenue that are used in a Research P&L.
- Participants will understand how and why an institution would use the F&A proposal as a starting point in this analysis.
- Participants will understand the critical adjustments and information needed to prepare the P&L.

Prerequisite: Participants should have a basic understanding of the F&A proposal.

Jim Carter*, Managing Director, Huron Consulting Group
Matthew Faris, Senior Director, Huron Consulting Group

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**DEPARTMENTAL**

**I CANNOT COMPREHEND EFFORT REPORTING! WAYS TO COMMUNICATE WITH FACULTY USING THE TRADITIONAL APPROACH AND ALTERNATIVE APPROACHES UNDER THE UNIFORM GUIDANCE**

Program Level: Advanced

Oh...effort reporting! Seemingly so simple in concept, but many of us know that this exercise can become a bureaucratic nightmare. Then there is the wrath from faculty, who are often skeptical and confused about traditional effort reporting. As researcher administrators, we have the collective knowledge to help faculty comprehend traditional effort reporting, but could we simplify the process even more if we took an alternative approach to the documentation of personnel costs? With the Uniform Guidance in place, we now have that opportunity! This session will help research administrators break down traditional effort reporting in an understandable way, and also provide some “food for thought” on potential alternative approaches.

Learning Objectives

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

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

David Ngo*, Assistant Vice President, Sponsored Programs Administration, University of Texas Southwestern Medical Center at Dallas
Elena Cruse, Financial Business Analyst, University of Kansas Medical Center Research Institute, Inc.
Ashley Whitaker, Assistant Director, Office of Sponsored Programs, Nova Southeastern University

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**FEDERAL**

**OMB UNIFORM GUIDANCE: UNIVERSITY PANEL**

Program Level: Update

Where are we now? We have taken steps to implement the Uniform Guidance, but have yet to fully understand all of its implications. This session will cover some of the major items that have been updated in our policies and procedures. We will talk about successes and challenges among those items that have already been implemented. We will also discuss our current concerns and anticipate what we need to be aware of going forward.

Learning Objectives

- Participants will reflect upon what we have learned thus far with implementation of the Uniform Guidance.
- Participants will discuss issues yet to be resolved with the Uniform Guidance.

Jennifer Rodis*, Policy Analyst, University of Wisconsin-Madison Michael Anthony, Executive Director, Management Accounting and Analyses, University of Washington
Kelly Morrison, Associate Director, Office for Sponsored Research, Northwestern University
Nicole Pilman, Administrator, Department of Civil, Environmental and Geo-Engineering, University of Minnesota-Twin Cities

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* Lead presenter
CONCURRENT SESSIONS continued

FINANCIAL AND NON-FINANCIAL POST-AWARD  
USING FORECASTING AND REPORTING TO MEET YOUR DEPARTMENT GOALS  
Program Level: Basic  
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 should learn the following from attending the session:  
• how to build a basic forecast template.  
• how to develop a summary report from your forecast.  
• identify key metrics in reporting.  
• make data clear and coherent to all stakeholders.  
• challenges in implementing a forecast and reporting processes.  
• getting buy in key stakeholders.

Marchon Jackson*, Director of Finance and Administration, University of Maryland  
Sally Egloff, Assistant Director, Office of Research Administration, University of Maryland  
Meredith Lee, Director, Business Support Services, Division of Information Technology, University of Maryland

FINANCIAL AND NON-FINANCIAL POST-AWARD  
POST-AWARD PROCESS IMPROVEMENT: TRANSFORMING DAY-TO-DAY OPERATIONS  
Program Level: Advanced  
This session will examine how incorporating business process improvement into a post award contracts and grants accounting area can enhance customer satisfaction, maximize process performance and leverage technology to increase service levels, efficiency, effectiveness, and transparency. We will discuss how we are leveraging a system upgrade and reorganization to move our office from a task-oriented production shop to a value-added service organization. We will share different perspectives of the change from various members of our team.

Learning Objectives  
Participants will learn to evaluate the ABC’s of processes to identify and eliminate non-value-added activities from the perspective of the customer – primarily the researcher:  
• Award Set-Up  
• Billing & Collection  
• Close-Out and Financial Reporting  
  – Consider how post-award management monitoring is performed throughout these core processes  
  – Review the interconnection with pre-award offices to ensure a seamless service  
  – Share the project approach and how different opportunities were evaluated to form the final vision  
  – Share outcomes

Prerequisite: Participants should have a basic understanding of data analysis and an in depth post-award understanding along with change management.

Sonia Singh*, Manager, Huron Consulting Group  
Mary Catherine Gaisbauer, Associate Controller, CGA, University of California-San Francisco

INSTITUTIONAL/ORGANIZATIONAL DEVELOPMENT  
DEVELOPING STANDARD OPERATING PROCEDURES (SOPs): CLIFF NOTES TO CREATING A COLLABORATIVE, EFFICIENT AND PERFORMANCE DRIVEN PROCESS  
Program Level: Intermediate  
The development of a system of quality and integrity contains within in it a standardized method of operating. Standard Operating Procedures (SOPs) are an effective method for organizations to employ in order to meet those standards. It is necessary to evaluate the need for an SOP versus a work practice document. Development of SOPs is really just the beginning. Training, maintenance, updating and integration are all keys to the ongoing success of your standard operating procedures manuals.

Learning Objectives  
• Participants will have a better understanding of the reason/need to develop SOPs and if a work practice document would better serve the need.  
• Participants will focus on the development of an SOP that meets the need without snaring the institution.  
• Participants will learn benefits to the effective development and maintenance of SOPs from administration to the person whom joined the team, today.

Rosemary Madnick*, Executive Director, Office of Grants and Contracts Administration, University of Alaska Fairbanks
**CONCURRENT SESSIONS continued**

### INTERNAL CONTROLS: POLICY, PROCESS, METRICS
#### DEMONSTRATING PERFORMANCE THROUGH METRICS
*Program Level: Advanced*

Our offices face a constant demand to drive performance by us and others. As managers seek to track and improve performance, having a strong metrics structure can greatly assist in accomplishing this. It provides staff with the opportunity to clearly demonstrate and be acknowledged for what they have accomplished. This session will cover how to develop a metrics structure that will successfully support individual, departmental, and institutional 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 metrics structure to will effectively monitor performance - How metrics can be used to increase performance by research administrators

**Learning Objectives**
- Participants will understand how metrics can assist in monitoring performance.
- Participants will understand how to communicate metrics to a broader community.
- Participants will understand the limitations of metrics.

**Prerequisite:** General knowledge and/or interest in management of research administration performance data.

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

### MEDICAL/CLINICAL TRIALS
#### DECODING DSMBs
*Program Level: Basic*

You get the good news that your faculty member’s clinical trial proposal has been selected for funding. Great! But wait--the study requires the establishment of a Data Safety and Monitoring Board (DSMB). This session will describe the purpose of a DSMB and explore the relationship between the board and the funded study as well as look at potential issues that may arise.

**Learning Objectives**
- Participants will understand the purpose of DSMBs and the role they play on a sponsored clinical trial.
- Participants will learn to navigate the administrative requirements to engage and pay the members for their service.

*Jamie Young*, Director, Sponsored Project Administration, Duke Clinical Research Institute, Duke University

### NON-FEDERAL/INTERNATIONAL
#### GRANT VS GIFT: WHAT IS WHAT AND WHY DOES IT MATTER SO MUCH?
*Program Level: Overview*

What are the implications of treating grant funds as gifts or vice versa? What is a University Foundation and how might it interact with the University? Is there a difference between a sponsor and a donor? These are only some of the questions that will be addressed during this session. The NonFederal grant world can be a very murky place when it comes to identifying awards as gifts or grants. This session will provide tools to help you make that assessment a little less confusing.

**Learning Objectives**
- Participants will learn what traits distinguish gifts from grants.
- Participants will learn what questions to ask when trying to make an appropriate classification of funds.
- Participants will learn how to develop tools that make this assessment easier for the central grants office, campus and university foundations.

*Bonniejean Zitske*, Managing Officer, University of Wisconsin-Madison  
*Shelly Earl*, Accountant, University of Wisconsin-Madison

### PERSONAL & PROFESSIONAL DEVELOPMENT
#### COMMUNICATING IN THE MODERN WORLD - HOW TO GET THE MESSAGE ACROSS
*Program Level: Overview*

In today’s world, we are locked into communication. Yet we are not always able to get our messages across. This session will offer ideas and examples of how to effectively communicate in an effort to keep the ball rolling by adjusting communication styles. This session will review email etiquette, and aide in decision making on when you should pick up the phone and how to ensure that your meeting is effective by keeping on track.

**Learning Objectives**
- Participants will gain insight on how to communicate across levels effectively.
- This session will offer situational examples to translate how messages can be perceived, provide understanding on decision making or when to reach out by phone as well as how to run an effective meeting by keeping to task.

**Prerequisite:** Participants should have a desire to improve how they communicate.

*Rashonda Harris*, Associate Director of Post-Award Administration, The Office of Finance, Grants & Contracts, Emory University
### DISCUSSION GROUPS

**Audit/Compliance/Risk Management**

**Case Study: Working with the IRB**

This session will consist of facilitators leading the group through relevant real-life scenarios to utilize problem-based learning. In this learn by doing session participants will delve deeper into situations that you encounter when working with the IRB and use critical thinking to address/solve a particular problem. This approach will enable participants in understanding how to handle situations that may arise in the office.

*John Schwartz*, Director of Business Affairs, School of Criminal Justice, University of Cincinnati

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**F&A/Costing**

**Questionable Expenses: Should They Go on Your Grant?**

This discussion group will focus on the many questionable expenses faculty sometimes wish to put on their research grants and what tools administrators can use to verify if the expense is allowable and appropriately charged.

*Glenda Bullock*, Director of Research and Business Administration, Washington University in St. Louis

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**Non-Federal/International**

**Managing Non-Federal Financial Reporting and Online Reporting System Responsibilities**

*Carrie Main*, Associate Director, Research Finance, Northeastern University

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**Personal & Professional Development**

**Manage Your Work, Manage Your Life: Creating and Maintaining Balance Between the Two**

There is no magic formula for being able to juggle life inside and outside of work; finding a happy medium can be a struggle, but certainly can be resolved with insight and knowledge. In this session, we will examine our life and work styles to see where there is room for flexibility between the two. We will learn how to set boundaries between our job and our personal lives, keeping in mind that for many of us, our career is such an important part of our life that it is very difficult keep them separate. Please join us for a lively discussion on how to manage work and life so they are not always competing for our time.

*Tolise Miles*, Training Development Specialist, Office of Contracts and Grants, University of Colorado

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

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**Predominantly Undergraduate Institutions**

**Exchange Session: How to Update or Persuade Updates to Policy or Procedure Updates**

This discussion group will accumulate ideas and suggestions of how to modify or create policies within your PUI which pertain to your Sponsored Programs office.

*Rodney Granec*, Interim Director, Office of Sponsored Programs, The University of West Alabama

*James Denney*, Director of Sponsored Programs, Mississippi University for Women

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*Lead presenter*
### Agenda

**Monday | March 7, 2016**

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<th>10:15 - 11:30 am</th>
<th>CONCURRENT SESSIONS, DISCUSSION GROUPS &amp; SPARK SESSIONS</th>
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<tbody>
<tr>
<td><strong>SPARK SESSIONS</strong>: These 15 – 20 minute, high energy, high deliverable offerings will get right to the “good stuff.”</td>
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<tr>
<td>10:15 – 10:35 am</td>
<td>RESEARCH ADMINISTRATORS AS BOUNDARY SPANNERS IN A CULTURE OF PROFESSIONALISM</td>
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<td>10:45 – 11:05 am</td>
<td>TECHNOLOGY: SPEAKING &quot;IT&quot; FOR THE NON-&quot;IT&quot; PROFESSIONAL</td>
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<td>11:15 – 11:30 am</td>
<td>NCURA EVENT APP – LEARN HOW TO BUILD YOUR ITINERARY AND FIND NETWORKING OPPORTUNITIES. MAKE SURE TO DOWNLOAD THE APP BEFORE THE SESSION!</td>
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<th>11:30 am – 1:00 pm</th>
<th>NETWORKING LUNCHEON</th>
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### CONCURRENT SESSIONS

#### AUDIT/COMPLIANCE/RISK MANAGEMENT

**SUBRECIPIENT RISK ASSESSMENT: A DATA-DRIVEN PERSPECTIVE**

Program Level: Intermediate

The Uniform Guidance introduced a risk-based approach to subrecipient monitoring, but the suggested methodology for assessing risk was painted in very broad brushstrokes. How do we know that we are accurately assessing risk? And how can we find ways to improve our assessments? This session will begin with an overview of other risk-based monitoring techniques employed in the post-award area, then will examine subrecipient risk in particular. What are the relevant risks, and how are they measured? We will examine the Risk Assessment Questionnaire developed by the FDP, and discuss how data collection can shed light on the effectiveness of our assessments.

**Learning Objectives**

- Participants will become familiar with different types of post-award risk assessments.
- Participants will learn about a variety of ways to assess the risks of subrecipient non-compliance.
- Participants will understand how risk assessments can be evaluated and refined.

**Prerequisite:** Participants should have a basic knowledge of subcontract administration.

Robert Prentiss*, Grants and Contracts Specialist, Office of Sponsored Projects, The University of Texas at Austin

### DEPARTMENTAL

**CLINICAL TRIALS: STUDY BUDGET DEVELOPMENT AND FINANCIAL MANAGEMENT**

Program Level: Advanced

The purpose of this session is to help you understand – (1) where the money comes from to pay for all costs that are incurred during the conduct of a study. These include effort, facility fees, and supplies. (2) To assess whether a study is right for you based not only on reimbursement considerations, but outcomes. (3) Is the study right for your patient population and can you recruit enough participants?

**Learning Objectives**

- Participants will learn why your study should not bill two sources for the same procedure.
- Participants will understand why patients should not get billed for something the study should provide for free.
- Participants will learn to ensure all of the paperwork says the same thing.
- Participants will discuss the importance of doing an effective study feasibility analysis before doing the study.
- Participants will learn the importance of preparing a per-patient study budget.

**Prerequisite:** Basic understanding of what a clinical trial is and what it takes to successfully run a clinical trial.

Yi Zhang*, Assistant Dean, Clinical Studies for the School of Medicine and Director for the Center for Clinical Studies, Washington University
CONCURRENT SESSIONS continued

F&A/COSTING
COMPLETING AN F&A SHORT FORM - STEPS AND TOOLS
Program Level: Basic
Preparing a Facilities and Administrative Rate Proposal is time consuming and complex, however, institutions with less than $10 million in federal awards can use a simplified method known as the F&A Short Form. The F&A proposal process is extremely important for your institution in recovering costs spent on conducting research. This session will provide an overview of the short form proposal process, including the required data elements, how the proposal is prepared, and what happens after the proposal is submitted.

Learning Objectives
• Participants will gain an understanding of the F&A Short Form methodology.
• Participants will gain an understanding of the F&A Short Form proposal development, submission and negotiation process.

Cathy Snyder*, Director, Vanderbilt Costing Activities, Office of Contract and Grant Accounting, Vanderbilt University
Phillip Kim, Principal Consultant, Point Consulting Group

F&A/COSTING
SERVICE CENTERS AT YEAR END: WHAT YOUR INSTITUTION SHOULD BE DOING
Program Level: Intermediate
Service centers include both specialized service facilities and smaller service and recharge centers. The complexities of setting up and running a service center, or recharge center, continue to be a challenge for research universities. This session will discuss university wide and departmental service centers. Costing options will be discussed including the options to partially or fully burden the service centers and when to do it. This is often an area that gets the attention of the federal government so we will discuss what the government is looking for and their areas of concern. This session will provide a comprehensive understanding of service center cost analysis principles and rate setting techniques that can be employed at their institutions which will include best practices that may mitigate audit risk.

Learning Objectives
• Participants will gain an awareness of service center federal guidance and compliance.
• Participants will understand service center roles and responsibilities.
• Participants will recognize the elements of service center cost analysis and how to use them to establish and review rates.
• Participants will be able to identify and mitigate potential risks associated with a service center.

Deston A. Halverson*, Senior Manager, Higher Education and Academic Medical Centers, Attain
Steven Cofield, Director of Financial & Systems Analysis, Oregon Health Sciences University

FEDERAL
NSF AUDIT RESOLUTION AND ADVANCED MONITORING: WHAT YOU SHOULD KNOW
Program Level: Update
The Cost Analysis and Audit Resolution Branch at the National Science Foundation (NSF) is responsible for carrying out various post- and pre-award oversight and monitoring activities. In this session, the Branch Chief and Team Lead will provide an overview of these two important activities, providing insight and updates on topics of interest, giving tips on how to prepare, and discussing what awardees should expect when working with NSF during these activities.

Learning Objectives
Participants will understand the NSF audit resolution and advanced monitoring activities, including the process and goals of the activities, what NSF expects from awardees, and what awardees should expect from NSF.

Alexander Wynnyk*, Branch Chief for CAAR, Division of Financial Management, National Science Foundation
Rochelle D. Ray, Team Lead, Division of Institution and Award Support, National Science Foundation

* Lead presenter
**Agenda**

**Monday | March 7, 2016**

**1:00 – 2:15 pm**

**CONCURRENT SESSIONS, DISCUSSION GROUPS & SPARK SESSIONS**

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**CONCURRENT SESSIONS continued**

**FINANCIAL AND NON-FINANCIAL POST-AWARD**

**SHADOW ACCOUNT SYSTEMS: MY SHADOW AND I**

Program Level: Intermediate

Understanding financial systems, developing shadow accounts that complement and support the primary financial systems.

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Learning Objectives

Participants will discuss financial options, working with principal investigators, and how to develop reports.

Prerequisite: Participants should have a current working knowledge of extramural sponsored awards. Portfolio experience is also helpful when attending this session.

Donna Jean Garrett*, Director, Finance and Administration, Dean for Research, Georgetown University

Muftiat Fahm, Director of Decision Support, Financial Analysis and Planning, Georgetown University Medical Center

Ricardo Roques, Senior Research and Financial Administrator, Department of Pharmacology and Physiology, Georgetown University

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**INSTITUTIONAL/ORGANIZATIONAL DEVELOPMENT**

**METRICS AND TRAINING**

Program Level: Advanced

As research administrators we are all too familiar with the importance of measurement and metrics. This session accepts that metrics are important in training and will dive deeply into how to measure and what to measure in both formal and informal training to maximize your ability to tell your story and show the return on investment (ROI) to leadership through appropriate messaging. Please bring your own experiences and examples to share. This will be interactive.

Learning Objectives

Regardless of your institutional size or budget, you will leave with a metric-based action plan that you can implement back at work.

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

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**INTERNAL CONTROLS: POLICY, PROCESS, METRICS**

**BENEFIT ANALYSIS FOR GRANTS: KEY CONSIDERATIONS IN PRODUCING MEANINGFUL ASSESSMENTS**

Program Level: Overview

Understanding potential for and actual benefit from funded projects is increasingly important in research administration and grant management. While fiscal return on investment (ROI) is a direct assessment, it is not the most appropriate measure. Many key inputs cannot be integrated into grant ROI calculation and many proposals produce benefits without garnering an award. Further, benefits accrued through the grant process, ‘soft’ ROI elements, are rarely considered in meaningful ways. The presenters will describe key considerations noted in the general scholarly and research administration literature for fiscal ROI calculation in respect to grants and other forms of assessing the benefits derived from grant activity. This will include systems developed by researchers to project potential and analyze actual benefit, and suggested approaches for compiling, cataloging, and comparing institutional benefit derived from grant processes and funded projects.

Learning Objectives

- Participants will learn several patterns for assessing benefit from grant activity.
- Participants will understand the distinctions between fiscal and ‘soft’ ROI.
- Participants will discuss considerations derived from the general scholarly literature and that of research administration important to assessing the potential or real benefit of grants.
- Participants will learn several means of incorporating the measures discussed into institutional assessment of benefits derived from grant activity and funded projects.

Michael Preuss*, Grant Consultant, Hanover Research Council

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* Lead presenter
CONCURRENT SESSIONS continued

**MEDICAL/CLINICAL TRIALS**

**DEVELOPING A COMPLIANT CLINICAL RESEARCH BILLING PROGRAM**

Program Level: Intermediate

This session will focus on the basic requirements for developing a compliant clinical research billing program. The session will provide an overview of the applicable federal regulations and best practices in the clinical research environment.

Learning Objectives
- Participants will learn the requirements of creating a compliant clinical research billing program.
- Participants will learn the applicable federal regulations and be provided examples of how to put these regulations into practice.

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

**NON-FEDERAL/INTERNATIONAL**

**SUBRECIPIENTS: ASSESSING AND MANAGING RISKS**

Program Level: Overview

Implementation of the Uniform Guidance has placed increased focus on subrecipient risk assessment and monitoring. The increased guidance and expectations placed on Universities gives us an opportunity to look closely at our own subrecipient monitoring procedures and tools. This session will focus on risk assessment and management throughout the lifecycle of an award, from proposal submission to subaward issuance to invoice approval and closeout. We will explore different risk assessment tools, including audit review and also discuss each of our best practices for assessing and managing risk. The discussion will center on the potential risks involved when working with a variety of different subrecipient types; international, non-profit, start-ups, etc.

Learning Objectives
- Participants will review Uniform Guidance language related to subrecipient monitoring.
- Participants will learn to recognize different risk assessment tools.
- Participants will understand how and when risk assessments are conducted.
- Participants will explore the risks involved in working with international, non-profit, and start-up subrecipients.
- Participants will discuss best practices in subrecipient monitoring and management of risks during both pre-award and post-award activities.

Melanie Hebl*, Grant and Contract Specialist, University of Wisconsin-Madison
Shelly Earl, Accountant, University of Wisconsin-Madison

**PREDOMINANTLY UNDERGRADUATE INSTITUTIONS**

**OMB UNIFORM GUIDANCE IMPLEMENTATION PLAN FOR PUI INSTITUTIONS**

Program Level: Overview

This session will focus on some of the more significant 2 CFR Part 200, Uniform Guidance, implementation issues and strategic approaches to addressing those issues at your institution.

Learning Objectives
- Participants will discuss sections of the Uniform Guidance with potential for the most impact on institutions.
- Participants will learn a strategy for identifying the areas that need change at your institution.
- Participants will learn the six steps in a well-disciplined change implementation plan.

Mira Levine*, MAXIMUS Higher Education Practice
Caroline Beerman, Senior Manager, MAXIMUS, Higher Education Practice

**DISCUSSION GROUPS**

**FEDERAL**

**PROJECT PAYROLL CERTIFICATION FEDERAL DEMONSTRATION PARTNERSHIP PILOT**

The topics will be: What is Project Payroll Certifications? What steps & hurdles were involved in the transition to Project Payroll Certifications? What are the benefits to Project Payroll Certifications? Who may want to use this concepts and how does the Uniform Guidance fit in? Where do we go from here?

Tammy LaBissoniere*, Associate Director, Sponsored Programs Accounting, Michigan Technological University
Julie Seppala, Executive Director, Sponsored Programs Office, Michigan Technological University

* Lead presenter
### DISCUSSION GROUPS continued

#### FINANCIAL AND NON-FINANCIAL POST-AWARD

**POST-AWARD DO’S AND DON’TS WHEN WORKING WITH FACULTY AND FUNDING ORGANIZATIONS**

This facilitated discussion group will examine best post-award practices for supporting investigators and facilitating the research and education mission of our institutions. Practical examples and approaches will be discussed and debated that will help ensure compliance with new and evolving rules and unfunded mandates governing the proper oversight of sponsored research activities, while serving the needs of investigators and institutions. Successful strategies to help investigators manage research support and ensure compliance with terms and conditions of awards, as well as best practices for interacting with funding organization Program and Grants management representatives will be reviewed.

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

#### INSTITUTIONAL/ORGANIZATIONAL DEVELOPMENT

**A DISCUSSION ON USING THE BOOK “STRENGTH FINDERS”**

We spend too much time focusing on our weaknesses and trying to make them stronger, rather than recognizing our strengths and trying to capitalize on them. The discussion will cover the 34 themes of Strength Finders and how to incorporate the themes into your workplace.

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

#### INTERNAL CONTROLS: POLICY, PROCESS, METRICS

**FINANCIAL MANAGEMENT OF AWARDS: GET IT RIGHT THE FIRST TIME**

- **Bonniejean Zitske**, Managing Officer, University of Wisconsin-Madison
- **Radostina Rogers**, FASTTRAC Specialist, Harvard University

#### PERSONAL & PROFESSIONAL DEVELOPMENT

**RESEARCH ADMINISTRATOR’S CAREER CYCLE**

Whether you are mid-level career professional or new to the field of research administration, this group discussion will get your mind rolling on how you can continue your professional growth. Hear first hand successes, lessons learned and what you can do to support other colleagues.

- **Hilah Zia**, Senior Grants and Finance Administrator, Children’s National Health System, Children’s Research Institute

#### SPARK SESSIONS: These 15 – 20 minute, high energy, high deliverable offerings will get right to the “good stuff.”

<table>
<thead>
<tr>
<th>Time</th>
<th>Session</th>
<th>Presenter</th>
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</thead>
<tbody>
<tr>
<td>1:00 – 1:20 pm</td>
<td>ORGANIZATIONAL AND STAFFING STRUCTURES FOR RESEARCH CORES AND CENTERS</td>
<td><strong>Justine Karungi</strong>, Assistant Director, University of Kansas Medical Center</td>
</tr>
<tr>
<td>1:30 – 1:50 pm</td>
<td>EMAIL PROFESSIONALISM</td>
<td><strong>Jennifer Cory</strong>, Director of Research, Pediatrics, Research Management Group, Stanford University</td>
</tr>
<tr>
<td>2:00 – 2:15 pm</td>
<td>SUBRECIPIENT MONITORING ACTION PLAN</td>
<td><strong>Carrie Chesbro</strong>, Sponsored Projects Training Manager, University of Oregon</td>
</tr>
</tbody>
</table>

* Lead presenter
A genda

Monday
March 7, 2016

2:45 – 3:45 pm

CONCURRENT SESSIONS, DISCUSSION GROUPS & SPARK SESSIONS

CONCURRENT SESSIONS continued

AUDIT/COMPLIANCE/RISK MANAGEMENT

EXPORT CONTROL COMPLIANCE IN THE AGE OF CONTINUING
EXPORT CONTROL REFORM

Program Level: Advanced

Export controls are complex to understand and often open to multiple interpretations. This session will help you identify the areas where you should focus your scarce resources based on recent violation findings, court rulings, and settlements.

Learning Objectives
• Participants will be able to describe requirements and methods for reviewing travel and screening visitors, transactions, and equipment prior to export and deemed export.
• Participants will be able to cite recent examples of legal rulings associated with OFAC, Department of Commerce, or Department of State regulations.
• Participants will be able to provide faculty and staff clear justification for why policies and procedures are in place.

Michelle Stevenson*, Assistant Vice President for Research Integrity, University of Texas at San Antonio
Javier Garcia Irizarry, Senior Research Compliance Coordinator, University of Texas at San Antonio

AUDIT/COMPLIANCE/RISK MANAGEMENT

HOW INDIANA UNIVERSITY USES DATA ANALYTICS TO VERIFY THAT EXPENSES ARE REASONABLE, ALLOWABLE, AND ALLOCABLE ON FEDERAL AND FEDERAL PASS THRU AWARDS

Program Level: Intermediate

How do you determine if an expense is allowable? This session will provide the process and tools that Indiana University (IU) uses to facilitate the correct classification of charging expenses to federal and federal pass through grants. IU uses predefined queries to download data into spreadsheets. Then uses excel spreadsheets facilitate verification the expenses charged to the grant are reasonable, allowable, and allocable.

Learning Objectives
• Participant will learn how to use predefined queries and excel spreadsheets to determine how an expense class which is normally an indirect charge can be appropriately charged as a direct charge to this particular grant.

Prerequisite: The participant should have an understanding what is an allowable expense on a grant and familiar with excel.

Jim Engel*, Director Grants Administration, Financial Operations and Compliance, Office of Research Administration, Indiana University
Kris Cain, Financial Reporting Manager, Indiana University

DEPARTMENTAL

BUILDING A BUDGET

Program Level: Basic

Developing a clear and reasonable budget is one of the most important pieces of the proposal process. Federal 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 our discussion, this session will explore the foundations of budget building.
• Participants will discuss allowability, allocability and reasonableness; administrative and clerical salary issues; determination of subrecipient, vendor or consultant status; and many more issues surrounding budgeting.
• The goal is to help participants gain a practical understanding of the challenges faced when creating a budget, as well as the risks and consequences involved.

Rebecca Hunsaker*, Assistant Director of Research Administration, University of Maryland, College Park
Gaye Bugenhagen, Director of Administrative Services, Sociology, University of Maryland, College Park
CONCURRENT SESSIONS continued

F&A/COSTING
UNIFORM GUIDANCE: AN UPDATE ON MAJOR ISSUES
Program Level: Intermediate
The Uniform Guidance has been in effect since December 26, 2014, but there are still major questions about its interpretation and implementation. Universities continue to work with OMB and CoFAR on topics that have had an unexpected or detrimental impact on our management of sponsored programs. In some cases, there is simply confusion about what the UG says and how to apply it in everyday operations. In other instances, the language of the UG has created additional administrative burden. With the agency implementations now in place, there is concern about the varying approaches undertaken by different Federal agencies. One phrase has become all too familiar: There’s no uniformity in the Uniform Guidance. This session will discuss major issues in the Guidance and provide news on recent developments in the dialogue with Federal agencies and OMB. The panel will provide updates about the status of procurement, F&A rate negotiations, the Utility Cost Adjustment, subrecipient monitoring, financial reporting, the research terms and conditions, compensation (effort reporting) and any other hot topics that arise.

Learning Objectives
• Participants will gain an understanding of the major issues with the Uniform Guidance.
• Participants will gain an understanding of current developments in the interpretation of the Uniform Guidance.

Prerequisite: Participants should have a general understanding of the Uniform Guidance.
Kim Moreland*, Associate Vice Chancellor for Research & Sponsored Programs, University of Wisconsin-Madison
Mark Davis, Vice President & Partner, Higher Education and Academic Medical Centers, Attain, LLC
Cathy Snyder, Director, Vanderbilt Costing Activities, Office of Contract and Grant Accounting, Vanderbilt University

F&A/COSTING
INTRODUCTION TO F&A LONG FORM, NEGOTIATION, AND UNIFORM GUIDANCE IMPACT
Program Level: Overview
We will go through an overview of the long form F&A calculation and what goes into preparing a F&A Cost Rate Proposal, walk through the negotiation process and discuss what the impact of the Uniform Guidance is on the F&A Proposal.

Learning Objectives
• Participants will gain an understanding of the major issues with the Uniform Guidance.
• Participants will gain an understanding of current developments in the interpretation of the Uniform Guidance.

Prerequisite: Participants should have a general understanding of the Uniform Guidance.
Adrienne Clifton*, Director, MAXIMUS
Steven Cofield, Director of Financial & Systems Analysis, Oregon Health Sciences University

VIRTUAL SESSION
FEDERAL
NIH UPDATE
Program Level: Overview
This session is a comprehensive review of what is new and being developed within the National Institute of Health’s (NIH) programs, policies, and budgets. Participants will learn about the newest updates to NIH’s budget and compliance initiatives and how their respective institutions will be affected. Upon completion of the presentation, participants will have the opportunity to ask questions about the new and existing policies and procedures.

Learning Objectives
• Participants will learn about NIH’s budget priorities.
• Participants will learn about the evolution of new policies and compliance initiatives.
• Participants will gain insight into current issues at NIH.

Prerequisite: Participants should come with a basic knowledge of NIH.
Shellie Wilbur*, Special Assistant to the Director, Office of Policy for Extramural Research Administration, OER, National Institutes of Health, HHS (Participating via Web from Washington, DC)
CONCURRENT SESSIONS continued

FINANCIAL AND NON-FINANCIAL POST-AWARD
THE “OTHER” COMPLIANCE: HOW TO SPOT NON-FINANCIAL COMPLIANCE ISSUES IN YOUR SPONSORED RESEARCH
Program Level: Basic

In the everyday life of a sponsored programs team member you are likely to encounter non-financial regulations that impact an externally funded project. It is not always clear that these regulatory requirements have been properly reviewed or addressed by the time they reach your desk. Common regulations to be familiar with include: export control, human and animal subject protections, bio-safety and responsible conduct of research. This session will provide participants the basic tools to spot these potential red flags that will trigger additional federal regulatory requirements.

Learning Objectives
- Participants will understand the basic scope of these regulations and what key words may indicate additional oversight is needed.
- Participants will develop a framework of questions to help you to quickly determine if one of these commonly encountered regulations will impact the project.
- Participants will be empowered to develop a list of resources that can be drawn from to determine what next steps are necessary once an issue is spotted.

Melissa Karby*, SOA Reconciliation Team Lead, University of Michigan-Ann Arbor
Margaret Booker, Project Manager Intermediate, University of Michigan Health System, Project Management Office
Daryl McDaniel, Chief Department Administrator, Learning Health Sciences, University of Michigan Medical School

INSTITUTIONAL/ORGANIZATIONAL DEVELOPMENT
DRIVING VALUE THROUGH OPERATIONAL EXCELLENCE AT THE UNIVERSITY OF MICHIGAN HEALTH SYSTEM
Program Level: Basic

This session will delve into the Value & Margin Improvement (VMI) program at the University of Michigan Health System (UMHS) and how one project is redefining the finance enterprise of the organization. Topics will include how the finance project began, the risks and benefits associated with discovering and planning twelve change initiatives simultaneously, understanding the interdependencies between the initiatives, and the development of detailed assessment and design plans. A business case and implementation plan will illustrate how a modernized finance enterprise design can help the research administrator manage their book of business and change across the organization. We will demonstrate how beneficial partnering with the University helped leverage resources and how working together towards a common goal of consistent and effective business processes drives value.

Learning Objectives
- Participants will learn how VMI can be used to add value to their daily work, how research administration can gain efficiency through modernization, pushing boundaries, the “Art of the Possible” and learning as an organization how to design transformational change without a pre-supposed solution in mind.

Ross Hickey*, Assistant Provost for Research Integrity, University of Southern Maine

INTERNAL CONTROLS: POLICY, PROCESS, METRICS
NAVIGATING THROUGH INTERNAL AUDIT, INSTITUTIONAL COMPLIANCE, AND THE RESEARCH OFFICE
Program Level: Intermediate

The relationship between the research, internal audit and institutional compliance offices can often be strained. However, each office has a shared interest in promoting best practices in research administration. This apparent symbiosis has been reinforced by the Uniform Guidance and its repeat reference to COSO and internal control. Friend or foe - how does the relationship work at your Institution? Can internal audit, institutional compliance and the research office be effective partners? A panel discussion on the potential barriers to successful collaboration and exploration of ways in which the relationship between the three offices can flourish.

Learning Objectives
- Participants will gain an understanding of the shared interests of the internal audit, institutional compliance and research offices.
- Participants will be able to identify practical and effective ways in which the three organizations can partner to maximize institutional impact.

Michael Monaghan*, Director of Financial, Operational & Compliance Audit, Harvard University
Roseann Luongo, Associate Director, Training and Compliance, Harvard University
Tye C. Welch, Audit Services & Institutional Compliance, Director of Compliance, California Institute of Technology
CONCURRENT SESSIONS, DISCUSSION GROUPS & SPARK SESSIONS

**MEDICAL/CLINICAL TRIALS**
**MANAGING LARGE SCALE CLINICAL TRIALS**
Program Level: Advanced
This session is a comprehensive overview of the various intricacies that accompany the management of large scale clinical trials. Topics will include how to build the appropriate team with various levels of experience, helpful programs and tools that Administrators have at their disposal to successfully manage clinical trials, pitfalls that can be experienced and how to avoid and/or manage these, and successful strategies designed to help you ensure compliance and accuracy at the administrative level.

Learning Objectives
- Participants will gain an understanding of the challenges and hurdles created at various levels of large scale clinical trial management with a focus on federal funded clinical trials.
- Participants will learn strategies to help determine between fixed price and cost-reimbursable agreements when overseeing clinical site subcontracts.
- Participants will learn about the existing technologies available to them to help manage large scale clinical trials.
- Participants will gain insight to the importance of building a strong administrative team and the importance of strong communication to streamline processes.

Prerequisites
- Participants should have an intermediate understanding of federal awards.
- Participants should have an intermediate understanding of clinical trials.
- Participants should have basic working knowledge of issuing and managing subawards.

Tiffany Parach*, Director, Financial and Grant Services, University of Chicago
Brian Winchel, Financial Administrator, Northwestern University

**PREDOMINANTLY UNDERGRADUATE INSTITUTIONS**
**PROVIDING FINANCIAL RESEARCH ADMINISTRATION SERVICES AT PUls: MODELS**
Program Level: Overview
At smaller predominantly undergraduate institutions, there are numerous models for organizing the provision of financial research administration services. This session will begin with listing the critical services offered at a PUI and then discuss the benefits and challenges of variety of organizational models. Since resources and personnel are usually limited at small schools, ways to engage others outside of the finance office are discussed.

Learning Objectives
- Participants will be able to identify alternate service delivery models of financial research administration services.
- Participants will identify strengths and challenges of at least three models.
- Participants will identify ways to utilize other partners at the PUI to deliver financial research administration services.

Prerequisite: Participants should have some PUI experience.
Kris Monahan*, Director of Sponsored Research and Programs, Grants and Sponsored Projects, Providence College
Pam Whitlock, Director, Office of Sponsored Programs, University of North Carolina at Wilmington (Emeritus)

**DISCUSSION GROUPS**
**AUDIT/COMPLIANCE/RISK MANAGEMENT**
**BUILDING A RISK INVENTORY**
Participants will be introduced to the concept of building a risk inventory and the importance of continual monitoring of risk. This method can also be used to identify and prioritize tasks within a department.

Jill D. Holman*, Director of Internal Audit, University of North Georgia
### DISCUSSION GROUPS continued

**DEPARTMENTAL**

**YOU RECEIVED THE AWARD, NOW WHAT?**

This session will discuss the steps to take after an award is received. What do you look for in the Notice of Award? Has the project period changed from what was requested? Did you receive the budget amount you asked for? Does your office have a kick-off meeting? These are just some of the topics that will be discussed during this session. Please bring your questions and/or best practices to share.

Nancy Reidelberger*, Senior Research Administrator, Washington University in St. Louis
Cara Baczewski, Grants Specialist II, Department of Medicine/Division of Oncology, Washington University

**F&A/COSTING**

**F&A NEGOTIATION ISSUES**

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

Cynthia Hope*, Assistant Vice President for Research & Director, Sponsored Programs, The University of Alabama
Gary Talesnik, Consultant, Attain, LLC

**SERVICE CENTERS AT YEAR END – LET’S DISCUSS YOUR CHALLENGES AND REAL EXAMPLES** (Follow-up to concurrent session, "Service Centers at Year End: What Your Institution Should Be Doing," being held at 1:00 pm)

Deston A. Halverson*, Senior Manager, Higher Education and Academic Medical Centers, Attain
Steven Cofield, Director of Financial & Systems Analysis, Oregon Health Sciences University

**PREDOMINANTLY UNDERGRADUATE INSTITUTIONS**

OMB UNIFORM GUIDANCE IMPLEMENTATION PLAN FOR PUI INSTITUTIONS
(Follow-up to concurrent session “OMB Uniform Guidance Implementation Plan for PUI Institutions," held at 1:00 pm)

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

**SPARK SESSIONS:** These 15 – 20 minute, high energy, high deliverable offerings will get right to the “good stuff.”

**2:45 – 3:05 pm**

**EXPOSING FINANCIAL DATA TO NON-ACCOUNTANTS**

Roger Wood*, Associate Vice President, Product Management, InfoEd Global

**3:15 – 3:35 pm**

**LARGE PROJECT COLLABORATION USING FREE OR ALREADY EXISTING TECHNOLOGY TOOLS**

Tammy Good*, Associate Director of Finance for the Indiana Clinical and Translational Sciences Institute (CTSI), Indiana University, Indianapolis

**3:45 – 4:00 pm**

**NETWORKING AND REFRESHMENT BREAK**

* Lead presenter
CONCURRENT SESSIONS

AUDIT/COMPLIANCE/RISK MANAGEMENT
FINANCIAL CLOSE OUT – GETTING TO THE FINISH LINE
Program Level: Basic
Do you feel like you will never get a handle on the dam of closeouts that is about to break at your institution? If so, this session will help you get to the finish line. This session will help you to simplify the process where possible to first get a handle, and then allow you to make progress which ultimately leads you to the finish line of closeouts! Nirvana!

Learning Objectives
- Participants will gain insight on how to simplify the process of closing out awards successfully.
- This session will help participants see the finish line of closeouts.

Prerequisite: Participants should have a desire to improve how they closeout awards at their Institution.

Rashonda Harris*, Associate Director of Post-Award Administration, The Office of Finance, Grants & Contracts, Emory University
Albana Cejne, Senior Associate Director, Research Accounting Services, Temple University

DEPARTMENTAL
NAVIGATING THE RULES: COMPLIANCE FOR DEPARTMENTAL RESEARCH ADMINISTRATORS
Program Level: Intermediate
In handling daily departmental tasks and successful award management, DRAs must balance the needs of our faculty, staff, central offices, and sponsors, while navigating a myriad of internal and external rules, regulations, and policies. In a funding environment with increasingly complex regulations and collaborations, we need to continually educate our staff and ourselves to manage portfolios successfully. This session will examine several rules-related issues that departmental administrators may face, including interpreting and implementing institutional policies, understanding terms and conditions, managing project changes, subrecipient monitoring, and audit.

Learning Objectives
- Participants will gain a broader understanding of compliance requirements present in sponsored project management.
- Participants will gain insight into the department administrator’s role in maintaining compliance with rules and regulations.

Csilla Csaplár*, Department Manager, Geophysics, Stanford University
Karen Hurdle, Senior Manager, Sponsored Programs, Office of Research Administration, University of Miami
Laura Register, Subrecipient Monitoring Officer, Stanford University

F&A/COSTING
CALCULATING THE UTILITY COST ADJUSTMENT
Program Level: Advanced
We will look at the Uniform Guidance regulations for calculating the UCA, show a sample calculation, discuss documentation of the UCA, and the preliminary results we are seeing amongst universities.

Learning Objectives
- Participants will understand the new guidelines and how to calculate the Utility Cost Adjustment.

Prerequisite: A general understanding of the Operations and Maintenance cost pool and the concept of allocating costs.

Anne Feuerborn*, Senior Manager, MAXIMUS Higher Education Practice
Adrienne Clifton, Director, MAXIMUS Higher Education Practice
CONCURRENT SESSIONS continued

FEDERAL

OBSERVATIONS FROM THE OTHER SIDE OF THE FENCE: WHEN RESEARCH ADMINISTRATORS SERVE AS FEDERAL AGENCY STAFF

Program Level: Update

What happens when unsuspecting research administrators leave the comfortable confines of their educational institutions and experience the unknown territory of the Federal funding agency? And what, exactly, would drive a research administrator to uproot themselves to go work for “the Feds”? Come and learn about the presenters’ experiences working for the Federal government (specifically, the National Science Foundation) through the Intergovernmental Personnel Act (IPA) program. Presenters will share observations and lessons learned.

Learning Objectives
• Participants will gain a better understanding of a Federal funding agency from an “insider’s” perspective.
• Participants will learn about the mutual benefits of the IPA program.

Roger Wareham*, Director, Grants Development, University of Minnesota, Morris
Jennifer Rodis, Policy Analyst, University of Wisconsin-Madison

FINANCIAL AND NON-FINANCIAL POST-AWARD

SUCCESSFUL PROJECT CLOSEOUT STRATEGIES

Program Level: Basic

When does the closeout process start? It may seem obvious – after the final payment is received. But that is not the case. When final reports are due? Project end date? Not even then. It really starts the day you receive an award, and we need to think about the closeout throughout the entire project lifecycle. We shall discuss the best practices, challenges and practical approaches to bringing research project to a successful conclusion.

Learning Objectives
• Participants will re-examine the lifecycle of the award in relation to successful award closeout.
• Participants will examine current best practices and discuss possible improvements.
• Participants will examine the roles and responsibilities in ensuring a success at the closeout stage of the award.

Elena Semyonova-Smith*, Grants Officer, University of Kansas Center for Research, Inc.

INSTITUTIONAL/ORGANIZATIONAL DEVELOPMENT

CULTIVATING A COMMUNITY FROM AN FRA PERSPECTIVE

Program Level: Basic

Every community has it pluses and minuses. The same holds true in an FRA community. For example, your FRA community may have an excellent financial system but may lack professional growth opportunities. Determining what will satisfy the current members or attract new members is a challenge. The goal of this session is to share a few best practices implemented in our FRA community which resulted in a positive change.

Learning Objectives
• Participants will identify components of a community
• Participants will learn an easy method for establishing a vision, mission, goals, and objectives (VMGO).
• Participants will learn best practices for bringing your FRA community together to support your VMGO.

Tara Seaton*, Associate Director, Award Management, Arizona State University
Sarah Kern, Senior Grant and Contract Officer, Arizona State University

NON-FEDERAL/INTERNATIONAL

AUDITS: EU/FORIGN GOVERNMENTS VS OTHER NON-FEDERAL SPONSORS

Program Level: Overview

Roseann Luongo*, Associate Director, Training and Compliance, Harvard University
### Agenda

**Monday | March 7, 2016**

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#### Concurrent Sessions continued

**Non-Federal/International**

**Costing, Written Policies, Procedures, and Best Practices**

**Program Level: Overview**

In this session, we will cover best practices in costing, policy and procedural congruence with your DS-2, and policy models. In addition we will discuss policy and procedural guidance for allowable, unallowable, and normally indirect costs and prior approval costing requirements.

**Learning Objectives**

- Participants will learn best practices in costing and policy.
- Participants will learn policy and procedure guidance.
- Participants will learn congruence of both with DS2.

**Michelle Stevenson**, Assistant Vice President for Research Integrity, University of Texas at San Antonio

**Javier Garcia Irizarry**, Senior Research Compliance Coordinator, University of Texas at San Antonio

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**Personal & Professional Development**

**Self Help Revolution - Evaluating and Implementing Business Trends in Your Office**

**Program Level: Overview**

Self Help Revolution - Evaluating and Implementing Business Trends in Your Office There are thousands of books available offering assistance on how to build a team, climb the career ladder, be more productive, focus on what’s really important, be bigger, faster, do more with less, lead change, manage change, deal with change, achieve and maintain a work life balance, do it the Six Sigma way and just be amazing overall. This session will focus on the factors to consider when evaluating business trends as well as tips for implementing new processes in your office environment.

**Learning Objectives**

- Participants will learn best practices in costing and policy.
- Participants will learn policy and procedure guidance.
- Participants will learn congruence of both with DS2.

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

**Jennifer Shambrook**, Director, Grants & Contract Management Office, University of Central Florida

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**Predominantly Undergraduate Institutions**

**Indirect Cost Rates and Uniform Guidance: S&W vs. MTDC - Is It Time to Make a Switch?**

**Program Level: Overview**

Federally negotiated indirect cost rates continue to be challenging for many organizations and it is important to understand some nuances in the rules to maximize reimbursement and minimize risk. In this session we will discuss the new Uniform Guidance as it relates to indirect cost rate, go over frequently asked questions related to the guidance and how they may impact organizations. In addition we will discuss strategies which may be employed to maximize indirect cost recovery, both in the preparation of your indirect cost rate filing, as well as during the subsequent rate negotiation and budgeting of indirect rates. We will also discuss how and when to switch from a Salary and Wage base rate to Modified Total Direct Cost and go through what Modified Total Direct Cost means.

**Learning Objectives**

- Participants will understand the Uniform Guidance impact on indirect cost rates.
- Participants will understand the when and how to switch from a S&W base to MTDC base.
- Participants will understand strategies to improve cost recovery.

**Alex Weekes***, Principal, ML Weekes & Company, PC

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**Discussion Groups**

**Audit/Compliance/Risk Management**

**Export Control Compliance in the Age of Continuing Export Control Reform (Follow-up to Concurrent Session “Export Control Compliance in the Age of Continuing Export Control Reform,” held at 2:45 PM)**

This follow-up session will allow additional time for questions and answers related to export control programs at institutions of higher education.

**Michelle Stevenson**, Assistant Vice President for Research Integrity, University of Texas at San Antonio

**Javier Garcia Irizarry**, Senior Research Compliance Coordinator, University of Texas at San Antonio

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* Lead presenter
DISCUSSION GROUPS  continued

MEDICAL/CLINICAL TRIALS
HIGH DOLLAR BUDGET ITEMS THAT PHARMA DOESN’T WANT TO PAY
Kelly Carroll*, Research Scientist Navigator, Ann & Robert H. Lurie Children’s Hospital of Chicago

Budgets for clinical trials from pharmaceutical companies come in all shapes and sizes. They often don’t include all of the visit days, procedures, and non-study site costs. In addition, each sponsor or CRO has its own unique way for calculating CRC and PI time and none of them think they should have to pay for the full cost of study start up and monitoring. This discussion group will provide an outline of items that Pharma doesn’t like to pay and suggestions on how to get payment. Input from other discussion group members will be sought and a summary of all tips provided later in the form of a tip sheet.

NON-FEDERAL/INTERNATIONAL
GRANT VS GIFT
Kelly Morrison*, Associate Director, Office for Sponsored Research, Northwestern University

As nonfederal revenue of all types is becoming increasingly essential to institutions both from a financial and strategic standpoint in achieving their research goals, the age-old “gift vs. grant” question is becoming reinvigorated. What are the essential differences between a gift and a grant/sponsored program? What are the differences that are more subtle, and may require careful deliberation, negotiation and decision-making? When might different institutions reasonably make different determinations? This discussion group will review the basics as well as participants’ case studies in pursuit of better understanding of the gift/grant spectrum.

PERSONAL & PROFESSIONAL DEVELOPMENT
SO YOU THINK YOU WANT TO BE A CONSULTANT
Diane Barrett*, Director, Office of Sponsored Programs, Colorado State University
Susan Sedwick, Consulting Associate, Attain, LLC
Cindy White, Consultant, University Research Administration

Most of us have occasionally wondered what it would be like to be a consultant. What does it take? Would I like working from home? What about the travel? Do I have the skills needed? Do I have the temperament? Do I want to work for a company or be an independent? Come hear about and discuss the ins and outs with a panel of long-time research administrators who have made the jump to consulting.

SPARK SESSIONS: These 15 – 20 minute, high energy, high deliverable offerings will get right to the “good stuff.”

WHAT ARE THE KEY ELEMENTS OF HAVING A SUCCESSFUL AGENCY AUDIT?
Jim Engel*, Director Grants Administration, Financial Operations and Compliance, Office of Research Administration, Indiana University

4:00 – 4:20 pm

IRRoCAT UNIVERSITY OF MARYLAND

4:30 – 4:50 pm

ELIZABETH BRITTON-POWELL*, Director, MPowering the State Joint Collaborations, University of Maryland, College Park

6:00 pm

DINNER GROUPS

* Lead presenter
# Agenda

**Tuesday | March 8, 2016**

## Concurrent Sessions & Discussion Groups by Track

### Audit/Compliance/Risk Management

**Concurrent Sessions**
- 8:15 – 9:45 am: Cost Transfers – The Good, The Bad … and the Preventable
- 10:15 – 11:30 am: How To Mitigate Audit Risk in Policy and Procedure Development
- 1:00 – 2:15 pm: Federal Information Security Management Act (FISMA)
- 2:45 – 3:45 pm: Balancing Audit Risk vs. Compliance

**Discussion Groups**
- 10:15 – 11:30 am: Compliance with Minimal Guidance: How to be Compliant when your Institution Isn’t Giving you the “How”
- 2:45 – 3:45 pm: Determining Subrecipient vs. Vendor/Contract

### Departmental

**Concurrent Sessions**
- 8:15 – 9:45 am: Centralized Departmental Research Administration: A New Model
- 10:15 – 11:30 am: Do I Have $ for That? Forecasting & Reports
- 1:00 – 2:15 pm: Understanding the Contracts Process for the Department Research Administrator
- 2:45 – 3:45 pm: Transferring Sponsored Research Agreements

**Discussion Groups**
- 10:15 – 11:30 am: Managing a Long Distance Relationship: I am a Department Administrator Who Resides in the Central Office
- 1:00 – 2:15 pm: Shared Services and the Department Administrator
- 2:45 – 3:45 pm: Methods for Handling Research Participant Payments

### F&A/Costing

**Concurrent Sessions**
- 8:15 – 9:45 am: Fringe Benefit Proposal and Accounting for Leave Costs
- 10:15 – 11:30 am: Effort Reporting and the Uniform Guidance – Has Your Institution Made Any Changes?
- 1:00 – 2:15 pm: Benefits of a Building Componentization and Moveable Equipment Inventory
- 2:45 – 3:45 pm: Campus Space Surveys: Through the Eyes of the Central Administration, the Academic Units and the Consultants

**Discussion Groups**
- 8:15 – 9:45 am: Service Centers and the Relationships with Program Income, e.g., Partial Service Center/Partial Research Center
- 2:45 – 3:45 pm: The Politics of Indirect Cost Recovery
CONCURRENT SESSIONS & DISCUSSION GROUPS BY TRACK

FEDERAL

CONCURRENT SESSIONS
8:15 – 9:45 am
NSF Update

DISCUSSION GROUPS
8:15 – 9:45 am
Federal Demonstration Partnership: Goals, Initiatives, Activities

Payroll Certification: Making the Change, or Staying the Course?
10:15 – 11:30 am
Uniform Guidance (2 CFR 200)...the Sophomore Year – an OMB Update

1:00 – 2:15 pm
VIRTUAL PRESENTER: Terms and Conditions: Status of Federal-Wide Initiative

CONCURRENT SESSIONS
10:15 – 11:30 am
Options Other Than Effort

2:45 – 3:45 pm
All’s Well That Ends Well: Cost Sharing from Proposal to Closeout

Your General Ledger – What You as a Department Administrator Need to Know and Why

DISCUSSION GROUPS
8:15 – 9:45 am
Shared Service Experience in a Post-Award Setting

How Encouraging Collaborations Between Pre-Award and Post-Award Administrators Can Improve the Efficiency of Post-Award Management

FINANCIAL AND NON-FINANCIAL POST-AWARD

INSTITUTIONAL/ORGANIZATIONAL DEVELOPMENT

CONCURRENT SESSIONS
8:15 – 9:45 am
Merging and Collaborating for Success: The Key to Effective Integrating of the Pre- and Post-Functions in Research Administration

2:45 – 3:45 pm
Can’t We All Just Get Along? Embracing Shared Values Across Generations in the Workplace

Your Personal Belief System is Compromising Your Ability to be Objective

DISCUSSION GROUPS
8:15 – 9:45 am
What’s Your Favorite Organizational Setup

1:00 – 2:15 pm
Pre- and Post-Award Collaboration: How To Make It Work
Agenda  Tuesday | March 8, 2016

CONCURRENT SESSIONS & DISCUSSION GROUPS  BY TRACK

INTERNAL CONTROLS: POLICY, PROCESS, METRICS

CONCURRENT SESSIONS
10:15 – 11:30 am
The PUI and Internal Controls

1:00 – 2:15 pm
Developing Policy: Push and Pull

MEDICAL/CLINICAL TRIALS

CONCURRENT SESSIONS
8:15 – 9:45 am
True Cost of a Clinical Trial

10:15 – 11:30 am
Training with a Capital “T”: Financial Management of Institutional Training Grants

1:00 – 2:15 pm
Clinical Research Administration Shared Services:
Creating Efficiencies and Opportunities

NON-FEDERAL/INTERNATIONAL

CONCURRENT SESSIONS
8:15 – 9:45 am
Doing Business in Foreign Countries: Hiring, Work Permits and Taxes

10:15 – 11:30 am
Foreign Sponsors: Managing Exchange Rates From Budgeting through Award Negotiation, Invoicing, and Payment

1:00 – 2:15 pm
International Subcontractors: Monitoring With and Without a Site Visit

2:45 – 3:45 pm
Negotiating Non-Federal and Industry Contracts and Grant Agreements:
What to Think About

International Program Management Framework: Inextricable links between Budgets, Negotiation and Audit

DISCUSSION GROUPS
1:00 – 2:15 pm
The Treatment of Non-Federal Awards: Nothing is Black and White
## PERSONAL & PROFESSIONAL DEVELOPMENT

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<tr>
<th>CONCURRENT SESSIONS</th>
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<td>Emotional Intelligence</td>
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<td>Handling Change in a Positive Way</td>
<td>Shining the Spotlight Brightly on the Role of Research Administrators</td>
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<td>Performance Management for Managers</td>
<td>Get the Stupid Out: Utilizing Process Improvement Teams to Increase Efficiency and Team Engagement</td>
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<td>Bridging the Gaps Between Groups</td>
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<td>Challenging Traditional Ways: Leadership, Trust and Reducing the Administrative Burden</td>
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## PREDOMINANTLY UNDERGRADUATE INSTITUTIONS

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<td>Is My Institution Ready for an eRA System?</td>
<td>Supplemental Salaries on Federal Awards</td>
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<td>NSF Desk Audits: What to Expect and Experiences to Share</td>
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<td>Professional Development of Research Administration Staff in Lean Times</td>
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<td>2:45 – 3:45 pm</td>
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<td>Time and Effort Reporting for PUIs</td>
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Program level: Intermediate

While there is no such thing as a good cost transfer, some are definitely more allowable than others, and some are sure to make the auditors smile with anticipation of some major findings. So, how do we differentiate between the two? And better yet, how do we prevent them altogether? In this session we shall concentrate on what is considered a cost transfer, its causes and possible consequences as well as how to process them appropriately to mitigate damage. Most importantly we shall discuss the best practices aimed at minimizing and preventing the cost transfers.

Learning Objectives
- Participants will learn to identify cost transfers, differentiate between allowable and unallowable ones, and analyze their effects.
- Participants will be able to describe and evaluate methods for preventing and mitigating cost transfers during the lifetime of the award.

Prerequisite: Participants should have a basic knowledge of research administration.

Elena Semyonova-Smith*, Grants Officer, University of Kansas Center for Research, Inc.

Prerequisite: Participants should have experience managing teams of people and research administration experience (3+ years).

Jennifer Cory*, Director of Research, Pediatrics, Research Management Group, Stanford University
### CONCURRENT SESSIONS continued

#### F&A/COSTING

**FRINGE BENEFIT PROPOSAL AND ACCOUNTING FOR LEAVE COSTS**

**Program Level:** Basic

This session will review one approach (University of Washington) to the process of determining and including the cost of separation (terminal) leave in the fringe benefit rate.

**Learning Objectives**

Participants will discuss what should be considered in the process (it’s more than just the money), who should be involved, resources that may be required, the approval process (internal & external), the communication process and more.

**Prerequisite:** A basic understanding of the concepts of developing a fringe benefit rate.

**Lead presenter:**

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

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#### FEDERAL

**NSF UPDATE**

**Program Level:** Update

This session will cover new developments at NSF - programs, policies, people and budgets. Senior NSF staff will provide a comprehensive review of what is new and developing at NSF.

**Learning Objectives**

Participants will learn about updates to the NSF Proposal & Award Policies & Procedures Guide (PAPPG) and how they affect your institution.

**Lead presenters:**

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

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**PAYROLL CERTIFICATION: MAKING THE CHANGE, OR STAYING THE COURSE?**

**Program Level:** Overview

With the change from A-21 to the Uniform Guidance comes additional flexibility when in charging salary costs to sponsored awards. Many institutions are considering the possibility of moving from the formal effort reporting systems of recent years to an alternate approach such as payroll certification. In this session, we will discuss UG requirements and compliance considerations to various approaches to charging salaries. We will also have an interactive discussion of the issues to consider and input to seek at your institution if you are considering making the change to payroll certification.

**Learning Objectives**

- Participant will understand Uniform Guidance requirements for labor charging to sponsored awards.
- Participant will learn what other institutions are doing to achieve compliance with Uniform Guidance.
- Participant will discuss key considerations and issues if your institution is considering moving from effort reporting to payroll certification.

**Lead presenters:**

Kimberly Ginn*, Director, Baker Tilly Virchow Krause, LLP

Elizabeth Peloso, Associate Vice Provost/Associate Vice President, Research Services, University of Pennsylvania

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#### INSTITUTIONAL/ORGANIZATIONAL DEVELOPMENT

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

**Program Level:** Advanced

The session will give an overview of integrating a pre- and post-award functions. Presenters will give an overview of the processes and give resources and tools for the successful integration of the functions.

**Learning Objectives**

- Participants will identify challenges and the opportunities that can occur between merging the pre and post-award functions and strategies for overcoming these challenges.
- Participants will explore the life-cycle process and the tools for merging the pre- and post-award functions.

**Lead presenters:**

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

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* Lead presenter
CONCURRENT SESSIONS continued

MEDICAL/CLINICAL TRIALS
TRUE COST OF A CLINICAL TRIAL
Program Level: Basic
Calculating the true cost of conducting an industry sponsored trial is as much an Art as it is a Science. Many FRA’s and PI’s blindly accept the first budget provided by the sponsor with, perhaps, some negotiations over high ticket items such as IRB start up fees or MRI procedures. We will present a thorough approach to calculating the cost of a clinical trial based upon the study schedule and protocol, not just the sponsor provided budget. Recent, successful efforts to increase both study start up and per subject visit budgets at Lurie Children’s Hospital will be reported on. A tool kit will be included to assist with a careful assessment of study costs: 1) Additional fees (start up and close out) and 2) Per subject visit costs that include a) Personnel (PI & CRA time in and outside of subject visit), b) Procedure (space, nursing, pharmacy, lab, procedures, etc.,) and c) Non Procedure costs (parking, subject payment, recruitment).

Learning Objectives
• Participants will be able to identify the true costs of a clinical trial.
• Participants will be able to define clinical trial costs: additional fees; visit costs, personnel costs, procedure costs, non procedure cost.
• Participants will learn to apply new identification and definition of cost skills in sample budgets.

Kelly Carroll*, Ann & Robert H. Lurie Children’s Hospital of Chicago

NON-FEDERAL/INTERNATIONAL
DOING BUSINESS IN FOREIGN COUNTRIES: HIRING, WORK PERMITS AND TAXES
Program Level: Overview
With faculty, staff and students working in 165 countries this session will address a broad range of issues, gleaned from experience, that any university should be conscious of when doing business in foreign countries, along with examples of how various risks have been managed. The session may also address trends and have time for the group to exchange top tips.

Learning Objectives
The international operating environment is seemingly getting more complex every day. Universities are more global and countries are in general more restrictive on operating criteria for foreign based entities. This session will talk about some lessons learned, some effective strategies for mitigating risk and ensuring compliance and brainstorm about where things might be going in the future.

Morgan Brown*, Senior International Program Consultant, Harvard University

PERSONAL & PROFESSIONAL DEVELOPMENT
EMOTIONAL INTELLIGENCE
Program Level: Overview
What would you say if someone told you that 80% of your job success depends on your emotional intelligence (EI)? In this session we will discuss EI and the importance of recognizing your feelings & the feelings of others. We will also discuss the importance and ways to manage your own emotions well and your emotions as they related to your work relationships. We will discuss the four components of EI: self awareness, self management, social awareness, and relationship management and how these impact our work day and job success. The session will include information sharing by the presenters, activities related to EI, and participants will take away resources and areas to explore to increase their work success!

Learning Objectives
• Participants will gain a basic understanding of emotional intelligence (EI), its elements and how EI impacts our success at work.
• Participants will identify means to understand your own EI and ways to develop your EI.
• Participants will leave the session with EI resources to utilize for yourself and your team.

Stacy Esposito*, Director, Research Advancement, Fulton Schools of Engineering, Arizona State University Main April MacCleary, Research Advancement Manager, Fulton Schools of Engineering, SEMTE, Arizona State University
CONCURRENT SESSIONS continued

PERSONAL & PROFESSIONAL DEVELOPMENT

HANDLING CHANGE IN A POSITIVE WAY

Program Level: Overview

Regardless of whether you are looking at change due to new regulations or organizational restructuring, a strong institutional backbone is important in responding to and surviving change. There are better ways than others to navigate the waves of change. Many times regardless of why the change must occur or where it originates, it will usually directly or indirectly impact the areas that support research. Departments and central office have to adjust to change when it comes and how well they do has huge impact on the future operations. Finding the right balance during times of change is critical to keeping operations flowing and your departments and faculty sufficiently supported. It will be critical to have good communications and strong partnerships around campus to successfully survive a systemic change and ensure that there is little disruption to the research community. Participants to this session will leave with some key points on how to better approach change on campus and receive some insight into ways to mitigate the stress of change. How to keep things positive when change is often seen as a negative can be the ultimate key to success.

Learning Objectives
• Participants will gain a better understanding of the challenges change creates at the various levels of an organization.
• Participants will learn about the importance of transparency and effective communications in mitigating the effects of change.
• Participants will be better equipped to develop strategies for effective change management action plans and communications from their own perspective and role.
• Participants will get some tips on keeping things positive.

Michelle Vazin*, Director, Office of Contracts and Grants, Vanderbilt University
Cathy Snyder, Director, Vanderbilt Costing Activities, Office of Contract and Grant Accounting, Vanderbilt University

PREDOMINANTLY UNDERGRADUATE INSTITUTIONS

IS MY INSTITUTION READY FOR AN ERA SYSTEM?

Program Level: Overview

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

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

Diane Barrett*, Director, Office of Sponsored Programs, Colorado State University

DISCUSSION GROUPS

F&A/COSTING

SERVICE CENTERS AND THE RELATIONSHIP WITH PROGRAM INCOME, E.G., PARTIAL SERVICE CENTER/PARTIAL RESEARCH CENTER

Service Centers are difficult enough on their own. So many components involved. In this presentation, we’ll add a bit of complexity to the mix by focusing on how income affects the structure of the service center. Its a fine line we’ll navigate through to maintain compliance.

Andres Chan*, Director, Office of Financial Analysis, University of Southern California
Zach Belton, Director, Huron Consulting Group

* Lead presenter
# DISCUSSION GROUPS continued

## FEDERAL
### FEDERAL DEMONSTRATION PARTNERSHIP: GOALS, INITIATIVES, ACTIVITIES
The Federal Demonstration Partnership (FDP) is an association of federal US agencies, academic research institutions, with administrative, faculty and technical representation, and research policy organizations that work to streamline the administration of federally sponsored research. FDP members of all sectors cooperate in identifying, testing, and implementing new, more effective ways of managing federal research grants with the goal of improving the productivity of research without compromising its stewardship. The overarching goal of the FDP is to reduce the administrative burdens for the faculty who are carrying out federally funded research so that they can spend more time doing research. This discussion will be led by FDP Executive Committee leadership, who will provide a brief summary of highlights from the past 25+ years and current and planned initiatives followed by questions and open discussion.

Cynthia Hope*, Assistant Vice President for Research & Director, Sponsored Programs, The University of Alabama
Denise Clark, Associate Vice President for Administration and Chief of Staff, Division of Research, University of Maryland, College Park

## FINANCIAL AND NON-FINANCIAL POST-AWARD
### SHARED SERVICE EXPERIENCE IN A POST-AWARD SETTING
A discussion about how post-award can function successful in a shared service setting. Emory has been using this model for over two years now and we’d like to share our experience with others who are either just starting or thinking about moving to this model.

Bill Lambert*, Assistant Dean for Research Administration, Rollins School of Public Health, Emory University
Dean Surbey, Associate Dean, Administration Finance, Rollins School of Public Health, Emory University

## FINANCIAL AND NON-FINANCIAL POST-AWARD
### HOW ENCOURAGING COLLABORATIONS BETWEEN PRE-AWARD AND POST-AWARD ADMINISTRATORS CAN IMPROVE THE EFFICIENCY OF POST AWARD MANAGEMENT
During proposal development and the award stage pre-award administrators have some ability to affect how budgets are defined and the terms and conditions of an award. They also set the stage for post award management. Good communication and interaction between pre-award and post-award can be beneficial to award management and head off significant problems down the road. This session will highlight what makes sponsored awards challenging to manage effectively from a post award perspective, and how organizational structure and size, including the relationship between pre-award and post-award factors into this equation at different institutions.

Donna Gavin*, Grants Administrator, Cold Spring Harbor Laboratory
Krystina Gross, Manager, Washington University in St. Louis

## INSTITUTIONAL/ORGANIZATIONAL DEVELOPMENT
### WHAT’S YOUR FAVORITE ORGANIZATIONAL SETUP
There are many different ways to organize the research administration function in your organization. There’s a centralized model, a decentralized model and maybe a “hybrid” model (why should cars have all the fun?). This session will give participants an opportunity to discuss and ask questions about organizational models.

Patricia Hawk*, Assistant Vice President, Office for Sponsored Research and Award Administration, Oregon State University

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* Lead presenter
# Agenda

**Tuesday, March 8, 2016**

## 8:15 - 9:45 am

### Concurrent Sessions, Discussion Groups & Spark Sessions

**SPARK SESSIONS:** These 15 – 20 minute, high energy, high deliverable offerings will get right to the “good stuff.”

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<tr>
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<th>Session</th>
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<tr>
<td>8:15 - 8:35 am</td>
<td>Indiana University Process for Subrecipient Monitoring</td>
<td>Jim Engel*, Director Grants Administration, Financial Operations and Compliance, Office of Research Administration, Indiana University</td>
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<td>8:45 - 9:05 am</td>
<td>Financial Management Support for Sponsored Research</td>
<td>Muftiat Fahm*, Director of Decision Support, Financial Analysis and Planning, Georgetown University Medical Center, Donna Jean Garrett, Director, Finance and Administration, Dean for Research, Georgetown University, Ricardo Roques, Senior Research and Financial Administrator, Department of Pharmacology and Physiology, Georgetown University</td>
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<td>9:15 - 9:35 am</td>
<td>Bring a NCURA Traveling Workshop to Your Campus!</td>
<td>Stephanie McJury*, Senior Meetings Manager, National Council of University Research Administrators</td>
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### Networking and Refreshment Break

**9:45 - 10:15 am**

### Concurrent Sessions, Discussion Groups & Spark Sessions

**DEPARTMENTAL**

**DO I HAVE $ FOR THAT? FORECASTING & REPORTS**

**Program Level: Basic**

Forecasting financials for project teams are integral in budget planning and project execution. Each month, or simply an identified need, can change the financial plan for a project. Figuring out the events that drive the current financials and forecast, then finding the best vehicle to convey the results to teams may be challenging in real-time. In the session we will explore the benefits of forecasting, ways to tackle from the simple to complex, and options of report delivery. The session will highlight common experiences as well as ask attendees to share their best practices. Come ready to tout your successes, or look for solutions to your current situations.

**Learning Objectives**

- Participants will understand the drivers and benefits of forecasting.
- Participants will identify key elements of completing an effective forecast.
- Participants will learn to organize data into forecast elements for project teams.

Heather Offhaus*, Director, Medical School Grant Review & Analysis, University of Michigan-Ann Arbor

Stephanie Gray, Assistant Vice President, Division of Sponsored Programs, University of Florida

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* Lead presenter
**F&A/COSTING**

**EFFORT REPORTING AND THE UNIFORM GUIDANCE – HAS YOUR INSTITUTION MADE ANY CHANGES?**

Program Level: Intermediate

Effort Reporting was the common approach utilized by many universities to fulfill the OMB A-21, Section J.10 requirement. The Uniform Guidance, 2 CFR Part 200, 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. We will discuss the different practices implemented by universities to fulfill this requirement. New or highlighted terms from the Uniform Guidance, such as Institutional Base Salary, Internal Controls, and “written” policies or definitions, will be discussed.

Learning Objectives
- Participants will gain insight into the development of the uniform Guidance.
- Participants will understand the highlights of key changes in grant requirements.
- Participants will learn about the potential impact on institution grant management systems.
- Participants will learn about some early implementation issues.
- Participants will hear about some best practices for implementation.

Gil Tran*, Senior Policy Analyst, Executive Office of the President, Office of Management and Budget (Participating via Web from Washington, DC)

**FINANCIAL AND NON-FINANCIAL POST-AWARD OPTIONS OTHER THAN EFFORT**

Program Level: Advanced

For years, institutions have clamored about the administrative burden of effort reporting, both on faculty and the institution. An opportunity was never missed to request the effort reporting requirement be eliminated. With the release of the Uniform Guidance, the words “Effort Reporting” have disappeared from the OMB guidance – our dreams have come true! This session will focus on how institutions are approaching the compliance requirements outlined in the UG related to compensation and the pros and cons of moving away from the concept and systems of traditional effort reporting.

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 implemented by universities to fulfill the requirements

Prerequisite: Basic understanding of Effort Reporting principles and operations.

Jennifer Mitchell*, Director of Cost Studies and Effort Reporting, Northwestern University
Michael Anthony, Executive Director, Management Accounting and Analyses, University of Washington

* Lead presenter
CONCURRENT SESSIONS continued

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

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

Pam Whitlock*, Director, Office of Sponsored Programs, University of North Carolina at Wilmington (Emeritus)
Margarita M. Cardona, Director, Sponsored Research & Faculty Development, University of Baltimore
Sarah Smith, General Administration, Sponsored Programs Director, University of North Carolina

MEDICAL/CLINICAL TRIALS
TRAINING WITH A CAPITAL “T”: FINANCIAL MANAGEMENT OF INSTITUTIONAL TRAINING GRANTS
Program Level: Intermediate
In this session, we will focus specifically on the financial responsibilities for Institutional Training grants. We will give an overview of the allowable expenses, (including interpreting NIH stipend levels, trainee related expenses, and tuition,) along with providing examples of tools that can be used to track costs both for the purposes of reporting the stipend payments to NIH, and for calculating unliquidated obligations. Finally, we will cover areas that can cause confusion, such as appointment dates that do not coincide with grant dates, determining when the newest NIH stipend amounts can be used, and financial issues related to fellows vs. employees.

Learning Objectives
• Participants will be able to interpret NIH Training Grant regulations and apply these regulations to various scenarios.
• Participants will be able to select, edit, or create tools that can be used for training grant tracking.
• Participants will be able to solve problematic issues related to postaward management of training grants.

Prerequisites:
Basic knowledge of NIH Institutional Training grants.

Tammy Good*, Associate Director of Finance for the Indiana Clinical and Translational Sciences Institute (CTSI), Indiana University, Indianapolis
Sheena Hall, Senior Financial Analyst, Office of Research Administration, Indiana University, Bloomington

NON-FEDERAL/INTERNATIONAL
FOREIGN SPONSORS: MANAGING EXCHANGE RATES FROM BUDGETING THROUGH AWARD NEGOTIATION, INVOICING, AND PAYMENT
Program Level: Overview
The growth of international collaborations presents new challenges in Research Administration. In this session, Research Administrators will be provided with the basic principles for effectively managing financial transactions when working with international sponsors. This presentation will broadly cover the financial challenges involved with awards made in foreign currencies. The session is designed to focus on potential issues faced at the pre-award and post-award stages and strategies to overcome these challenges.

Learning Objectives
• Participants will identify potential financial issues that may arise during the lifecycle of a foreign currency award.
• Participants will discuss potential strategies to minimize financial risk.

Rebecca Trahan*, Grant and Contract Manager, Louisiana State University and A&M College
Yvette LeBlanc, Grants and Contracts Accounting Manager, Louisiana State University and A&M College
Agenda

Tuesday | March 8, 2016

10:15 - 11:30 am

CONCURRENT SESSIONS, DISCUSSION GROUPS & SPARK SESSIONS

CONCURRENT SESSIONS continued

PERSONAL & PROFESSIONAL DEVELOPMENT

PERFORMANCE MANAGEMENT FOR MANAGERS

Program Level: Overview

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

Learning Objectives: Participants will increase their skills in effectively managing employee performance by furthing their knowledge in the following areas:

- How to utilize the concepts of respect, consistency and vision to increase confidence and results.
- How to minimize/manage conflict.
- How to address and diffuse emotional outbursts.
- How to use data as a powerful tool to provide support to decisions and discussions with employees.
- How to build an “arc of trust” and utilize its resources to improve skills on-site.

Prerequisite: This course is designed for individuals who currently have direct reports.

Sarah Kern*, Senior Grant and Contract Officer, Arizona State University Main
Nick Petersen, Grant & Contract Officer, Sr, Arizona State University

PREDOMINANTLY UNDERGRADUATE INSTITUTIONS

NSF DESK AUDITS: WHAT TO EXPECT AND EXPERIENCES TO SHARE

Program Level: Overview

An overview of NSF Desk Reviews; the members of the panel will share information/observations regarding the NSF Desk Reviews at their respective institutions. Questions and audience participation will be encouraged.

Learning Objectives: Participants will discuss: what is a NSF desk review? How is it conducted? What is reviewed and/or what kind of information is requested?

Lori Messer*, Director, Wake Forest University
Cindy Barnes, Grants & Contracts Administrator, Northern Illinois University
Carolyn Elliott-Farino, Executive Director, Office of Research, Kennesaw State University
Becky Rogers, Research Accounting Manager, Georgia Southern University

DISCUSSION GROUPS

AUDIT/COMPLIANCE/RISK MANAGEMENT

COMPLIANCE WITH MINIMAL GUIDANCE: HOW TO BE COMPLIANT WHEN YOUR INSTITUTION ISN’T GIVING YOU THE “HOW”

As an active NCURA participant you’re at the forefront of understanding many of the rules and regulations governing sponsored research. When you get back to the office you immediately realize the difference between being a research administrator and someone who just administers research. Many of our colleagues find themselves in a situation where you seem to know more about proper research administration than the people in charge. In this session we will discuss strategies for how you can be compliant whether your institution is actively doing so or not.

ADRIENNE LARMETT*, Senior Consultant, Baker Tilly Virchow Krause, LLP
TOLISE MILES, Training Development Specialist, Office of Contracts and Grants, University of Colorado

AUDIT/COMPLIANCE/RISK MANAGEMENT

DETERMINING SUBRECIPIENT VS. VENDOR/CONTRACT

Presenters will discuss best practices and institutional strategies in determining the appropriate relationship as a sub-recipient vs. vendor. This interactive session will present challenges in this area faced under a multimillion dollar cooperative agreement with several subagreements and vendors. Participants will be asked to share challenges and successes in this area.

Learning Objectives: Presenters will discuss:

Learning Objectives:

• How to use data as a powerful tool to provide support to decisions and discussions with employees.

Prerequisite: This course is designed for individuals who currently have direct reports.

Sarah Kern*, Senior Grant and Contract Officer, Arizona State University Main
Nick Petersen, Grant & Contract Officer, Sr, Arizona State University

* Lead presenter
### DISCUSSION GROUPS continued

**DEPARTMENTAL**

**MANAGING A LONG DISTANCE RELATIONSHIP: I AM A DEPARTMENT ADMINISTRATOR WHO RESIDES IN THE CENTRAL OFFICE**

This discussion group will focus on crucial issues associated with managing research administration at the departmental level when you are homed in a central office. The panel will discuss the difficulties of communicating and working with faculty when you are miles apart, and address the successful practices that have been developed to make the long distance relationship work.

- Rita Rawlinson*, Senior Grant and Finance Administrator, Children’s National Medical Center
- Matthew Taby, Lead Grants and Finance Administrator, Children’s Research Institute

**PERSONAL & PROFESSIONAL DEVELOPMENT**

**SHINING THE SPOTLIGHT BRIGHTLY ON THE ROLE OF RESEARCH ADMINISTRATORS**

While the spotlight shines brightly on our institutions’ PIs, the light would not shine if research administrators did not plug in the spotlight! There are positive strategies you can use to guarantee that your administrators know what you contribute to the research enterprise and your value as a member of their team.

- Karen Baker*, Director, Office of Sponsored Programs, The Commonwealth Medical College

**PREDOMINANTLY UNDERGRADUATE INSTITUTIONS**

**SUPPLEMENTAL SALARIES ON FEDERAL AWARDS**

PUI’s face the same issues as larger institutions, but differences in organizational culture can make these issues more complex and daunting task for a one-person or small office. This discussion group will provide a comprehensive overview of supplemental compensation with special emphasis to the constraints faced by PUIs within the framework of 2 CFR 200.430 (extra service pay). The discussion will include the different types/definitions of additional compensation and the potential benefits and risks of allowing such compensation.

- Joyce Ferland*, Administrative Director, Research Radiology, Massachusetts General Hospital

**SPARK SESSIONS:** These 15 – 20 minute, high energy, high deliverable offerings will get right to the “good stuff.”

**10:15 – 10:35 am**

**INTERNAL CONTROLS: HOW ARE INSTITUTIONS APPROACHING UNIFORM GUIDANCE REQUIREMENTS?**

- Ashley Deihr*, Senior Manager, Baker Tilly Virchow Krause, LLP

**10:45 – 11:05 am**

**HOW TO CREATE AND SUBMIT A YOUTUBE TUESDAY VIDEO – INDIVIDUAL AND MONTH-LONG CAMPUS OPTIONS**

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

**11:15 – 11:30 am**

**WHAT YOU NEED TO KNOW ABOUT F&A RATE EXTENSIONS**

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

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**11:30 am – 1:00 pm**

**NETWORKING LUNCHEON**

* Lead presenter
In the ever-changing world of research regulations and policies, a new challenge has emerged. The Federal Information Security Modernization Act (FISMA) of 2014 updates the Federal Government’s cyber security practices by:

- Codifying Department of Homeland Security (DHS) authority to administer the implementation of information security policies for non-national security Federal Executive Branch systems, including providing technical assistance and deploying technologies to such systems;
- Amending and clarifying the Office of Management and Budget’s (OMB) oversight authority over federal agency information security practices; and by
- Requiring OMB to amend or revise OMB A-130 to “eliminate inefficient and wasteful reporting.”

FISMA 2014 codifies the Department of Homeland’s Security’s role in administering the implementation of information security policies for Federal Executive Branch civilian agencies, overseeing agencies’ compliance with those policies, and assisting OMB in developing the policies. The legislation provides the Department authority to develop and oversee the implementation of binding operational directives to other agencies, in coordination and consistent with OMB policies and practices. In addition, over the past several months, the Department of Defense (DOD) has issued new rules for safeguarding covered defense information including controlled unclassified information (CUI) and reporting cyber incidents involving such information. The safeguarding rules implement the NIST SP 800-171 security standards as compliance requirements for DOD contracts while the reporting requirements apply more broadly to DOD funded awards.

This session will cover processes and best practices to assist in administering FISMA and NIST SP 800-171, in addition to the variety of challenges that faculty encounter every day when working on a sponsored project.

Learning Objectives
Participants will understand the intent of FISMA and NIST SP 800-171; will delve into what the rules say that researchers need to do; and learn about some approaches to how best to continue to advance the science while protecting the institution.

Prerequisite: Strong understanding of the nuances of regulations and policies; basic knowledge of FISMA; basic knowledge of National Archives and Records Administration (NARA) oversight responsibilities for CUI.

David Ngo*, Assistant Vice President, Sponsored Programs Administration, University of Texas Southwestern Medical Center at Dallas
CONCURRENT SESSIONS continued

DEPARTMENTAL
UNDERSTANDING THE CONTRACTS PROCESS FOR THE DEPARTMENT RESEARCH ADMINISTRATOR
Program Level: Intermediate
This session will provide the participant with an overview of federal and non-federal contracts process and address some of the problematic language associated with the terms and conditions when accepting these awards. At the end of the session, a participant should have a general understanding of how to administer research contracts and associated complex terms.

Learning Objectives
• Participants will learn how the contracts process works for both federal and non federal awards.
• Participants will learn how to administer a federal sponsored research contract from RFP to award in a university environment.
• Participants will understand general contract terms and language.
• Participants will identify problematic contracting language.
• Participants will learn tips on working with the sponsored program office in the resolution of contracting issues.

Prerequisite: At least 2-3 years of Grants and Contracts experience in a university/college environment.

Geraldine Pierre*, Grants & Contracts Manager, Health, Law, Policy and Management, Boston University School of Public Health
Lori Benjamin, Senior Grant Administrator, Massachusetts General Hospital
Marchon Jackson, Director of Finance and Administration, University of Maryland
Monique Anderson, Assistant Director, Office of Research Administration, University of Maryland, College Park

F&A/COSTING
BENEFITS OF A BUILDING COMPONENTIZATION AND MOVEABLE EQUIPMENT INVENTORY
Program Level: Advanced
The session will address how a Building Componentization study can support your institutions F&A Capital Component submission. We will also discuss independent lifesty studies that are based upon your institutions experience as promulgated by OMB’s Uniform Guidance. Lastly, we will review the benefits of a moveable equipment inventory as how an accurate inventory can assist your institution with its financial reporting requirements.

Learning Objectives
With the changes due to the recent Uniform Guidance, participants will have a better understanding about how these two studies can assist you with not only maximizing or sustaining your institutions F&A rate, but also with supporting your internal controls requirements, particularly as they relate to real, personal and intellectual property.

Kevin McHugh*, Managing Director, Navigant

VIRTUAL PRESENTER
TERMS AND CONDITIONS: STATUS OF FEDERAL-WIDE INITIATIVE
Program Level: Update
This session will provide an update to the status of the multi-agency Research Terms and Conditions which implement the Uniform Guidance.

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

Jean Feldman*, Head, Policy Office, Division of Institution and Award Support, National Science Foundation (Live in New Orleans)
Michelle Bulls, Director, Office of Policy for Extramural Research Administration, OPERA, National Institutes of Health (Participating via Web from Washington, DC)
CONCURRENT SESSIONS continued

INTERNAL CONTROLS: POLICY, PROCESS, METRICS
DEVELOPING POLICY: PUSH AND PULL
Program Level: Advanced

Developing a research policy isn’t merely about following the federal regulations and protecting your institution from financial or reputational risk. There are many factors to take into account when developing research policies, including ensuring accuracy and consistency, obtaining buy-in from your constituents, and eliminating as much ambiguity as possible. Policy development is a continuous push and pull between interpretation of the regulations, anticipated audit risks, and relieving the burden on researchers and administrators. This session will focus on the high-level parts of tackling policy – what policies, who is involved, how are they reviewed and approved, and how to ensure buy-in, backup, training, and compliance. Participants are encouraged to ask questions as well as share their own experiences.

Learning Objectives
• Participants will determine what constitutes a policy, procedure, or guideline as well as what sections should be included in a policy.
• Participants will understand the key steps in research policy development.
• Participants will be able to identify key points that will increase likelihood of compliance at all levels.

Prerequisite: Participants are not required to have extensive experience in sponsored research policy development but should have a general knowledge of key federal regulations and their institution’s sponsored research policies.

Denise Moody*, Senior Director of Research Compliance, Research Administration Services, Faculty of Arts and Sciences, Harvard University
Andrea Sexton, Associate Director, Policy and Business Process, Financial Policy Office, Office of the Controller, Harvard University

MEDICAL/CLINICAL TRIALS
CLINICAL RESEARCH ADMINISTRATION SHARED SERVICES: CREATING EFFICIENCIES AND OPPORTUNITIES
Program Level: Advanced

Is your institution addressing increased demands while still being focused on delivering the required service to faculty? Let’s discuss how to build successful shared service centers as a model to support research administration. This session will review important issues and challenges, how to avoid common mistakes and ensure a smooth transition. Presenters will share specific processes, deliverables, lessons learned, and goals achieved while successfully implementing two shared service centers at their institution.

Learning Objectives
At the end of this session participants will understand some of the pros and cons of monitoring international subcontractors with and without a site visit such as:
• Is it possible to ensure compliance from your office in the US?
• Is the international entity set up to comply with US requirements?
• What are the restrictions in-country regarding purchasing and paying for supplies, receiving funds, and paying personnel?
• Has the international entity ever had an audit?
• Does the entity have documented internal controls? - What kind of financial systems are in use?

Jennifer Crockett*, Independent Consultant
Carrie Main, Associate Director, Research Finance, Northeastern University
Daniel Gilbert, Subcontracts Manager, Northeastern University

Brian Squilla*, Vice President of Administration & Chief of Staff, Office of the Provost, Thomas Jefferson University
Samuel Diani, Director, Research Administration Center for Excellence, Research Administration Center of Excellence (RACE), Thomas Jefferson University
Ronald Polizzi, Director of Business Operations, Jefferson Clinical Research Institute, Thomas Jefferson University

NON-FEDERAL/INTERNATIONAL
INTERNATIONAL SUBCONTRACTORS: MONITORING WITH AND WITHOUT A SITE VISIT
Program Level: Overview

You’ve got a new award that has a subcontract with an international entity. Your primary PI has collaborated with the international entity’s PI numerous times, but now that PI will be a subcontractor on the award issued to your US institution. Will you need to schedule a site visit before issuing the subaward?
CONCURRENT SESSIONS continued

PERSONAL & PROFESSIONAL DEVELOPMENT
BRIDGING THE GAPS BETWEEN GROUPS
Program Level: Overview
The research enterprise can be a divisive place that can create chaos in our professional lives and beyond. In this session we’ll talk about some of the issues that create division and strive in the workplace and begin to untangle their origins. Additionally, we’ll begin to talk about solutions, bridge the gaps and create unity. We’ll wrap up with some real-life examples and work collectively to address them.

Learning Objectives
• Participants will be able to identify characteristics of a divisive research enterprise.
• Participants will be able to describe the causes and impact of working in a divisive environment.
• Participants will discuss strategies for addressing divisiveness and strive and repairing the wounds of divisiveness created in the workplace.

Eleanor Haynes*, Research Compliance, Georgia Southern University
Becky Rogers, Research Accounting Manager, Georgia Southern University

INSTITUTIONAL/ORGANIZATIONAL DEVELOPMENT
PRE- AND POST-AWARD COLLABORATION: HOW TO MAKE IT WORK
The session will discuss the combining of pre-award and post-award administration into one central office. Presenters will give an overview of the cradle-to-grave process and why it works for their organization. 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. Since pre and post-award duties intertwine, “Why not combine the functions?” to enhance the research organization as a way to meet the campus goals and to improve communications between central administration and faculty.

Carmen Mendez*, Executive Director, Grants and Contracts and Finance Administration, Children’s National Medical Center
### Agenda

**Tuesday | March 8, 2016**

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<th>Time</th>
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<td>1:00 – 2:15 pm</td>
<td>CONCURRENT SESSIONS, DISCUSSION GROUPS &amp; SPARK SESSIONS</td>
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#### DISCUSSION GROUPS

**NON-FEDERAL/INTERNATIONAL**

**THE TREATMENT OF NON-FEDERAL AWARDS: NOTHING IS BLACK AND WHITE**

What policies and rules govern the treatment of non-federal awards? How are these awards defined and classified? Do we follow the same policies for federal and non-federal awards, have different policies, or no policies at all for non-federal awards? Are the compliance issues on these awards more or less complicated? What about audits? Come and hear how two universities treat non-federal awards and share your experiences.

- **1:00 – 1:20 pm**
  - MAXIMIZING YOUR NCURA MEMBERSHIP
    - Lead presenter: Emily Ainsworth*, Coordinator of Membership and Volunteer Services, National Council of University Research Administrators

- **1:30 – 1:50 pm**
  - USE THE FORCE: THESE ARE THE EXCEL FEATURES YOU ARE LOOKING FOR
    - Lead presenter: Diane Meyer*, Pre-Award Project Manager, Iowa State University

- **2:00 – 2:15 pm**
  - PROFESSIONAL DEVELOPMENT ON A SHOESTRING BUDGET
    - Lead presenter: Deborah Shaver*, Director, Office for Sponsored Programs, University of Idaho

#### SPARK SESSIONS:

These 15 – 20 minute, high energy, high deliverable offerings will get right to the “good stuff.”

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    - Lead presenter: Deborah Shaver*, Director, Office for Sponsored Programs, University of Idaho

**2:15 – 2:45 pm**

NETWORKING AND REFRESHMENT BREAK

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* Lead presenter
CONCURRENT SESSIONS

AUDIT/COMPLIANCE/RISK MANAGEMENT
BALANCING AUDIT RISK VS. COMPLIANCE
Program Level: Intermediate
This session will differentiate compliance from audit risk and focus on the balancing act of compliance, audit risk, university resources, monitoring, costs, and the administrative burden for faculty and staff that may apply to starting new or evaluate existing initiatives, policies, procedures, or new systems. Discussion and tools will be shared on how to evaluate risk and measure effectiveness.

Learning Objectives
• Participants should gain a better understanding of how to evaluate and minimize audit risk through approaches that lessen administrative burden and strengthens compliance.
• Participants will learn about internal controls, monitoring for compliance, risk evaluation, and as well as policy and procedure development.

Prerequisite: General understanding of the UG.

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

DEPARTMENTAL
TRANSFERRING SPONSORED RESEARCH AGREEMENTS
Program Level: Intermediate
C-3PO - The Empire Strikes Back ~ "Sir, the possibility of successfully navigating an asteroid field is approximately 3,720 to 1."
How "successful" are you at navigating the asteroid field of transferring sponsored projects between institutions? Your PI is transferring a sponsored project! What can you do to ease the transition? What do you need to know? Who should you contact? Are there tools or checklists that will help you navigate the asteroid field?
We welcome Padawans and Jedi Masters. Please come to this session to discover Jedi mind tricks! Together we will explore ways to successfully transfer sponsored research agreements and increase your odds in the asteroid field!

Diane Meyer*, Pre-Award Project Manager, Iowa State University

F&A/COSTING
Program Level: Basic
The space survey is perhaps the most impactful component of a facilities and administrative (F&A) rate proposal, the document that establishes an institution’s rate of reimbursement from sponsored agreements for infrastructure costs. A well-conducted space survey can increase an institution’s rate of reimbursement by potentially millions of dollars. This presentation will focus on the nuts and bolts of a space survey and inspire discussion regarding how the data collected can help institutions make capital investment and space utilization decisions that can optimize a terrific source of unrestricted revenues.

Learning Objectives
• Participants will have a better understand how a space survey influences an F&A rate calculation.
• Participants will learn what pieces of data are important to collect.
• Participants will discuss various survey optimization methods.
• Participants will discuss the use space survey data beyond the F&A process to inform capital investment and space utilization decisions.

Paula Milano*, Assistant Vice Chancellor, Financial Planning & Analysis, University of California-Berkeley
Deborah Cundiff, Business Administrator, Northwestern University
Carrie Hurney, Senior Director, Huron Consulting Group

* Lead presenter
2:45 – 3:45 pm

CONCURRENT SESSIONS, DISCUSSION GROUPS & SPARK SESSIONS

CONCURRENT SESSIONS continued

FINANCIAL AND NON-FINANCIAL POST-AWARD
ALL’S WELL THAT ENDS WELL: COST SHARING FROM PROPOSAL TO CLOSEOUT
Program Level: Intermediate
We will work through the process of cost sharing from Pre to Post through closeout, narrowing in on recent updates for pre-award compliance: changes under Uniform Guidance, impacts at your institution and optimizing processes.

Learning Objectives
• Participants will discuss cost sharing: cradle to grave process overview.
• Participants will review the effect of Uniform Guidance on funding opportunities.
• Participants will discuss the impact of Uniform Guidance at your institution?
• Participants will hear about compliance, including what to do when a funding opportunity clashes with Uniform Guidance.
• Participants will understand the impact of decisions made at the pre-award stage on post-award administration.

Prerequisite: Participants should have a basic understanding of the different types of cost share and requirements at your institution.
Carrie Chesbro*, Sponsored Projects Training Manager, University of Oregon
Kari Vandergust, Sponsored Projects Administrator, University of Oregon

FINANCIAL AND NON-FINANCIAL POST-AWARD
YOUR GENERAL LEDGER – WHAT YOU AS A DEPARTMENT ADMINISTRATOR NEED TO KNOW AND WHY
Program Level: Basic
How much do you know about the general ledger at your institution? If you are not familiar with the general ledger, what is it, how it works, and what to be aware of, this is for you. While many department administrators are familiar with the basic purchasing/payroll data associated with their institutional general ledger systems there are many other data components that DAs should be familiar with. Some items to consider include questions such as: Does the payroll data in the general ledger tie back to a person or a position? Are purchase order encumbrances tracked within the general ledger or are purchase orders tracked through a separate purchasing system? Do you see itemized transactions within the general ledger for your P-card purchases or does the GL reflect the total of the payment to the credit card company? What does the general ledger actually track and what are the limitations for data tracking?
As we evaluate the varied data points in various institutional general ledger systems and begin to understand what some general ledgers include and do not include, we will discuss how to get the most from your general ledger and why some departments choose to use a shadow or parallel tracking/reporting system and the benefits/drawbacks of such systems.

Heather Felton*, Administrative Manager, Department of Biology and Neuroscience Program, Director, Division of Science Personnel, Business Process Design, and Events Groups, Brandeis University
Andrea Comley, Director of Implementation and Support, IT Works
CONCURRENT SESSIONS continued

INSTITUTIONAL/ORGANIZATIONAL DEVELOPMENT

CAN’T WE ALL JUST GET ALONG? EMBRACING SHARED VALUES ACROSS GENERATIONS IN THE WORKPLACE
Program Level: Advanced
Yes, Baby Boomers, Gen Xers, and Millennials have different values and interests… but conventional wisdom about generational differences in the workplace may not be accurate. While workplace training and development as of late has focused on how to grapple with shifting demographic changes to address these differences, recent research shows that employees from different generations are not that dissimilar: We largely share the same work values. Instead of focusing how they are different, organizations will benefit more from focusing on where they are similar. At this session, learn how generations in the workplace today share values and interests and how your institution can embrace these similarities to enhance productivity, encourage teamwork, and sustain employee satisfaction.

Learning Objectives
• Participants will understand shared workplace values across generations.
• Participants will learn strategies for embracing these similarities to bridge the perceived “generational gap” in any office and bring employees together as a team.
• Participants will discuss best practices for increasing and sustaining employee satisfaction through professional development, cross-functional teams, and shared decision-making, among other means.
• Participants will develop approaches to challenge employees and encourage ownership of business process to inspire process improvement.

Matt Richter*, Compliance Manager, University of Wisconsin-Milwaukee

INSTITUTIONAL/ORGANIZATIONAL DEVELOPMENT

YOUR PERSONAL BELIEF SYSTEM IS COMPROMISING YOUR ABILITY TO BE AN OBJECTIVE DECISION MAKER
Program Level: Intermediate
Everyone depends on regulations, policies, business processes and best practices to assist in making decisions on the variety of challenges that faculty encounter every day when working on a sponsored project. These same tools that are life savers in managing a deluge of complex information can also be used as a shield that keeps us from doing what we’re supposed to be doing – solving problems through objective decision making. This session will utilize real life examples of how one’s personal belief system can influence the ability to be an objective decision maker. This session will cover real work issues and offer strategies for changing the approach to decision making when solving faculty ‘problems’.

Learning Objectives
Participants will understand the importance of understanding more than just the facts; how to utilize critical thinking, analysis and customer service in creative decision making techniques.

Prerequisite: Strong understanding of the nuances of regulations and policies; ability to operate in the gray and think outside the box. Ability to have self awareness and understanding personal biases. Understanding that when solving problems, objectivity in decision making is critical (being right does not equate to solving the problem).

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

NON-FEDERAL/INTERNATIONAL

NEGOTIATING NON-FEDERAL AND INDUSTRY CONTRACTS AND GRANT AGREEMENTS: WHAT TO THINK ABOUT
Program Level: Overview
Due to the decline in Federal funding, research institutions have begun to diversify their funding sources. With new funding sources, come new negotiation challenges. Join us as we identify the issues that create impediments while negotiating with non-federal funders, the reasons why these issues exist and various alternatives to use for successful agreements. Using real-life examples of negotiations with foundations and industry funders, the session will focus on legal and financial challenges as well as other academic and business-related issues.

Learning Objectives
• Participants will learn the common negotiation challenges specifically related to non-federal sponsors.
• The session will explore tips and techniques that may assist in moving challenging negotiations forward.

Jennifer Ponting*, Director, Pre-Award Services, Office for Sponsored Programs, Harvard University
**CONCURRENT SESSIONS continued**

**NON-FEDERAL/INTERNATIONAL**

**INTERNATIONAL PROGRAM MANAGEMENT FRAMEWORK: INEXTRICABLE LINKS BETWEEN BUDGETS, NEGOTIATION AND AUDIT**

Program Level: Intermediate

This concurrent session will provide a framework for conceptualizing, approaching and enacting international programs at a university or college engaged in research and educational activities. Portions of this framework can also be applied for non-profit and other research institutions. We will discuss the many ways in which an international program or project is created and implemented. Based on the overview, this session will use an issue-based approach to investigate the practical realities of handling international work and international entities in four key areas likely to arise in sponsored international program management: allowable cost budgeting and currency exchange; subrecipient monitoring and overseas entity establishment (general); employment and time tracking; and, reporting and audit. We will provide real-life examples for each issue, as well as tools and other resources that participants can take back and use at their home institutions.

**Learning Objectives**

- Participants will gain a broad understanding of potential frameworks in international program management and the specific issues that can arise in each.
- Participants will learn specific tactics and approaches for subrecipient monitoring, effort reporting and auditing/reporting of international projects.
- Participants will be able to recognize the timing and interplay of budgets, awards amount and payments as they relate to currency exchange.

Tiffany Blackman*, Grants and Contracts Officer, Manager of International Operations, Harvard University
Roseann Luongo, Associate Director, Training and Compliance, Harvard University

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**PERSONAL & PROFESSIONAL DEVELOPMENT**

**CHALLENGING TRADITIONAL WAYS: LEADERSHIP, TRUST AND REDUCING THE ADMINISTRATIVE BURDEN**

Program Level: Overview

This session will outline how using Jim Kouzes and Barry Posner “The Five Practices of Exemplary Leadership®” can help build trust and reduce the administrative burden for your faculty. “The Five Practices of Exemplary Leadership®” will be reviewed and the panelist will give examples of how they have used these practices to build relationships at their institution and improve business processes.

**Learning Objectives**

- Participants will become familiar with The Five Practices of Exemplary Leadership® and how they can apply these concepts to business practices at their institutions.
- Participants will become familiar with ways to streamline their business practices and reduce the administrative burden.

Anita Mills*, Senior Solutions Consultant, Evisions
Susan Sedwick, Consulting Associate, Attain, LLC
Brian Squilla, Vice President of Administration & Chief of Staff, Office of the Provost, Thomas Jefferson University
Kimberlie Small, Director, Sponsored Programs Services, Washington State University
David Schultz, Director of Sponsored Programs Finance Administration, University of Louisiana at Lafayette

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**PREDOMINANTLY UNDERGRADUATE INSTITUTIONS**

**TIME AND EFFORT REPORTING FOR PUIs**

Program Level: Overview

Providing an overview of time and effort reporting as required of educational institutions that receive federally funded grants that require time and effort reporting. It includes the minimum requirements for maintaining time and effort reports and reasons why it is necessary.

**Learning Objectives**

- Participants will become familiar with circular requirements for time and effort reporting.
- Participants will be prepared for Audit Requests related to time and effort reporting.
- Participants will review basic accounting methods of time and effort reporting and the strengths and weaknesses of each.

Prerequisite: Basic Understanding of Post Award Time and Effort issues.

Vincenzo Cassella*, Associate Director, Sponsored Programs and Research, Southern Connecticut State University
Patricia Zibluk, Director, Sponsored Programs and Research, Southern Connecticut State University
DISCUSSION GROUPS

DEPARTMENTAL
METHODS FOR HANDLING RESEARCH PARTICIPANT PAYMENTS
Do you find managing and tracking payments to research participants a challenge at your institution? The leaders of this discussion do! Join us for an interactive conversation about how we addressed our university’s struggles with the human subjects compensation problem. This session will be a frank and open discussion of other methods and potential solutions to common problems encountered in human subjects’ compensation.

F&A/COSTING
THE POLITICS OF INDIRECT COST RECOVERY
After 70 years the complex topic of indirect cost recovery still defies simple solution, elicits anxiety, draws anger, and provokes ire. Who impacts indirect cost policy? How have these various perspectives contributed to indirect cost recovery policy and practice? What models are utilized to distribute indirect cost revenue recovery at your institution? There are numerous stakeholders vying for this revenue source—central administration, schools, departments, and faculty. To exacerbate the situation, these costs are recovered at a rate and an amount lower than the institution’s actual incurred cost of conducting research. Who receives these funds, what is the distribution model, and how are they deployed? The distribution model is often complicated to manage and challenging to explain. What measures does your institution take to ensure the effective recovery rate is as elevated as possible? How do you effectively communicate to faculty that indirect cost recovery does not cover the true cost of research? This discussion group is for individuals who are in the position of explaining what the effective indirect cost recovery rate and distribution model is at their institution to faculty and other administrators.

SPARK SESSIONS: These 15 – 20 minute, high energy, high deliverable offerings will get right to the “good stuff.”

2:45 – 3:05 pm
UNDERSTANDING THE CONTRACTS PROCESS FOR THE DEPARTMENT RESEARCH ADMINISTRATOR
Geraldine Pierre*, Grants & Contracts Manager, Health, Law, Policy and Management, Boston University School of Public Health

3:15 – 3:35 pm
ACMS BINGO GAME – COME AND JOIN NSF'S GRANTEE CASH MANAGEMENT SECTION TO ENGAGE IN A GAME OF "ACMS BINGO". THE GREATEST CASH MANAGEMENT SYSTEM IN THE WORLD!
Naomi Jackson*, Accountant, Grantee Cash Management Section, Division of Financial Management, National Science Foundation

3:45 pm
CONFERENCE ADJOURNS

* Lead presenter