13th Annual Pre-Award Research Administration Conference (PRA)

March 13, 2019
FRA/PRA Workshop Day

LAS VEGAS
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WORKSHOPS AND SENIOR LEVEL FORUMS

8:30 AM – 5:00 PM
FULL DAY WORKSHOP

WORKSHOP 1  Certified Pre-Award Research Administrator Knowledge Review Session
Program Level: Intermediate

8:30 AM – NOON
HALF DAY MORNING WORKSHOPS AND SENIOR LEVEL FORUM

WORKSHOP 2  In the Beginning...There Were Proposals: Proposal Development Before Pre-Award
Program Level: Intermediate

WORKSHOP 3  Managing Up, Down, & Side to Side: How to Lead at Work When You Aren’t the Boss
Program Level: Intermediate

WORKSHOP 4  Managing Yourself and Working Well with Others: A Road Map for Your Career in Research Administration
Program Level: Overview

WORKSHOP 5  Fundamentals of Building a Budget
Program Level: Basic

WORKSHOP 6  Subrecipient Monitoring - Building Your Internal Controls
Program Level: Intermediate

WORKSHOP 7  Recognizing and Mitigating Risks Associated with Global Collaborations: A Case Study Approach
Program Level: Intermediate

WORKSHOP 8  Managing Sponsored Awards from a Departmental Perspective (Post-Award Focus)
Program Level: Intermediate

WORKSHOP 9  Reviewing Audits to Develop a Compliance Program
Program Level: Intermediate

WORKSHOP 10  Service Centers: The Not So Simple Basics
Program Level: Overview

WORKSHOP 11  How NDAs, MTAs, and Other Ancillary Agreements Affect Sponsored Research
Program Level: Basic

WORKSHOP 12  Leadership Coaching: Building an Effective Style through Partnership and Being Present
Program Level: Advanced

1:30 PM – 5:00 PM
HALF DAY AFTERNOON WORKSHOPS AND SENIOR LEVEL FORUM

WORKSHOP 13  NIH Fundamentals
Program Level: Overview

WORKSHOP 14  Proposal Development and Submission: All You Need to Know - Finalizing the Proposal and Submitting It to the Sponsor
Program Level: Intermediate

Program Level: Intermediate

WORKSHOP 16  Designing a Training Program for Your Institution: Techniques, Tools and Tips
Program Level: Intermediate

WORKSHOP 17  Negotiating Difficult Award Terms
Program Level: Advanced

WORKSHOP 18  The 20/80 Rule: How to Mitigate the 20% of Proposals that Cause 80% of Award Headaches
Program Level: Intermediate

WORKSHOP 19  A Day in the Life of the Departmental Administrator (Pre-Award Focus)
Program Level: Overview

WORKSHOP 20  Compensation Compliance and the Standards for Documentation
Program Level: Intermediate

WORKSHOP 21  Preparation for Large-Scale and Annual Single Audits and Compliance Considerations
Program Level: Overview

WORKSHOP 22  Post-Award Awareness for the Pre-Award Administrator
Program Level: Basic

WORKSHOP 23  Facilities & Administrative (F&A) Rate Proposal Process at Universities
Program Level: Intermediate

WORKSHOP 24  Strategies for Research Programs in an Unusual Time
Program Level: Advanced
Certified Pre-Award Research Administrator Knowledge Review Session

This workshop is the CPRA Body of Knowledge Review session presented by the Research Administrators Certification Council (RACC). It reviews the content of the CPRA Exam to assist persons who are studying to take the exam in the future. This workshop is being offered by the RACC in collaboration with NCURA and is endorsed by RACC.

Learning Objectives

- Participants will be able to identify the four major sections of the Body of Knowledge.
- Participants will understand what areas in the Body of Knowledge require further review/study.
- Participants will learn to apply skills in registering for and successfully taking the CPRA Exam.

Prerequisites

Taking the exam requires a B.A./B.S. degree and three years of experience in Research Administration.

Jeffrey Ritchie*
Director of Sponsored Research, Office of Sponsored Programs, Hamilton College

Robin Lewis
Director, Office of Grants and Sponsored Projects, Georgia College & State University

* Lead Presenter
IN THE BEGINNING...THERE WERE PROPOSALS: PROPOSAL DEVELOPMENT BEFORE PRE-AWARD

We’ve all heard the term “proposal development,” but what about that which takes place before you start putting the application together? In this workshop, we will explore what we need to know and understand before the application process officially starts. Where should you be looking? Who is responsible for what and when? Through case studies, reviewing RFPs and agency guidelines, you will gain new knowledge and understanding about the real proposal development process.

LEARNING OBJECTIVES

• Participants will be able to identify the roles of faculty, departmental staff and central staff in the proposal process.
• Participants will learn how and where to search for appropriate funding sources.
• Participants will be able to identify what knowledge is needed from funding agencies, the government(s) and your institution before starting the application process.

PREREQUISITES

Participants will want a general knowledge of the proposal process.
MANAGING UP, DOWN, & SIDE TO SIDE: HOW TO LEAD AT WORK WHEN YOU AREN'T THE BOSS

Leadership is a key skill not only for managers, but also for those who are not formally in charge of their office environment. Unfortunately, many people “hold back” from realizing their leadership potential because they lack the skills and training to emerge as leaders. The result is that organizations and teams are not as effective as they could be, and individuals negatively impact their career prospects. This workshop will show you how to be a great leader even if you are not in charge.

LEARNING OBJECTIVES

- Participants will learn how to lead even if they are not formally in charge.
- Participants will discuss key best practices and principles of leadership.
- Participants will learn how to interact and get the most out of team members, even if they are peers.
- Participants will learn how to get support from others, such as management and senior executives.

PREREQUISITES

Participants should have 3-5 years experience in Research Administration.
MANAGING YOURSELF AND WORKING WELL WITH OTHERS: A ROAD MAP FOR YOUR CAREER IN RESEARCH ADMINISTRATION

Two essential components for developing your career in Research Administration are successfully managing yourself and working well with others. This half day workshop will be diving into both areas to support and enhance your career and your effectiveness at your institution.

Managing Self
To manage ourselves, it is essential to be self-aware and have a high Emotional Intelligence. Emotional Intelligence is the capacity to be aware of, control, and express our emotions, and to handle interpersonal relationships judiciously and empathetically. It is the key to both personal and professional success.

Working Well with Others
Leadership is not about personality; it’s about behavior. This principle from The Leadership Challenge will guide our learning and discussion. What patterns of behavior do I need for success in Research Administration? What skills can I hone to get there? The Leadership Challenge lays out five, evidence-based practices and behaviors for Achieving the Extraordinary: Modeling the Way, Inspiring a Shared Vision, Challenging the Process, Enabling Others to Act, and Encouraging the Heart.

This workshop will address management of self and working well with others through content, case studies, interactive activities, and group discussions.

LEARNING OBJECTIVES
• Participants will learn the foundation of Emotional Intelligence for self-management.
• Participants will learn how to use the 5 principles of the Leadership Challenge to work well with others.

PREREQUISITES
None

David M. Schultz*
Assistant Vice President, Research Administration and Finance, Rensselaer Polytechnic Institute

Rashonda Harris
Associate Director, Post-Award Operations, Emory University
WORKSHOPS
AND SENIOR LEVEL FORUMS

8:30 AM – NOON
HALF DAY MORNING WORKSHOP

FUNDAMENTALS OF BUILDING A BUDGET

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

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

LEARNING OBJECTIVES
• Participants will be able to build a budget that includes allowability, allocability, and reasonableness; administrative and clerical salary issues; determination of subrecipient, vendor, or consultant status.
• Participants will be able to craft a solid budget justification.
• Participants will be able to successfully and confidently collaborate with the PI to build a sound budget that reflects the scope of work.

PREREQUISITES
None

Gaye Bugenhagen*
Director of Administrative Services, Department of Sociology, University of Maryland, College Park

Rebecca Hunsaker
Director of Research Administration, College of Behavioral and Social Sciences, University of Maryland, College Park

Diane M. Meyer
Project Management Specialist, Office of Sponsored Programs, Iowa State University

Las Vegas

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**SUBRECIPIENT MONITORING - BUILDING YOUR INTERNAL CONTROLS**

Subrecipient monitoring is required to initially determine and continually assess the risk associated with a subrecipient’s ability to comply with applicable laws and regulations in collaborating on federally funded programs. Monitoring includes conducting pre-award risk assessments of prior grant experience, reviewing results of previous audits, monitoring and reviewing personnel changes, timely accurate invoices, and performance reports. This workshop will enable participants to understand the requirements involved in establishing and maintaining a compliant subrecipient monitoring program.

**LEARNING OBJECTIVES**

- Participants will learn how to develop a subagreement, apply terms and conditions to mitigate risk, and understand the important aspects.
- Participants will learn how to perform risk assessments and understand the roles and responsibilities involved in managing subagreements.
- Participants will explore the applicable rules and regulations and internal control considerations.
- Participants will understand lessons learned from previous audit findings.

**PREREQUISITES**

Participants will want experience in subrecipient risk assessments or negotiation of federal subawards.

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**Debra Y. Murray**

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

**Mary E. Schmiedel**

*Senior Research Compliance Officer, Main Campus & Interim Medical Center Conflict of Interest Officer, Interim Research Integrity Officer, Georgetown University*
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8:30 AM – NOON
HALF DAY MORNING WORKSHOP

RECOGNIZING AND MITIGATING RISKS ASSOCIATED WITH GLOBAL COLLABORATIONS: A CASE STUDY APPROACH

The world’s most pressing and complex challenges defy singular analytical approaches and interpretation. Our institutions must seek bold ideas for translational research that attempt to convert basic research knowledge into practical applications that protect, enhance, and improve the quality of life for those most in need. Innovative research development support is critical in order to stimulate and promote partnerships between divergent, convergent, and analytical thinkers, who, when brought together, think more dynamically about problems too complex to be solved by any one discipline.

This half-day, intermediate workshop, from a multi-country and multi-institutional perspective, aims to introduce both U.S. and non-U.S. participants to the kinds of solicitations that respond to this need. These collaborations require more careful review, interpretation and comprehension, and are inherently risky. This may be particularly true where institutions from multiple countries are collaborating on a proposal. Knowing what’s in the package can help you prepare and assemble the appropriate information and documentation, as well as assess whether your institution is able to accept an award if the proposal is successful. By recognizing and mitigating those risks, understanding the business and technical needs of the application, and of the sponsor-specific regulations, research managers can be a source of innovation. They can generate new ideas for new processes and services, and become indispensable to our researchers.

Using a case study approach, we will unpack and discuss real-world examples of non-standard and complex solicitations that have come through the offices of two research institutions – a Swiss research university, and a U.S. university’s Departmental Pre-Award Office. Examples will draw from solicitations from sponsors such as various agencies of the United Nations (e.g. UNIDO), the Belmont Forum (with joint

continued on next page
NSF support), government agencies (e.g. U.S. Department of Energy, the Government of India), and the European Funding Program Horizon 2020.

We will coach participants in carefully reviewing each solicitation so that we understand the sponsor’s requirements, identify risks and construct strategies to mitigate those risks. The consequences of not doing so can affect costs, raise logistical issues, and result in a non-responsive proposal. Finally, we will invite participants to share their own examples, and brainstorm strategies at understanding solicitations and thus increase our chances of winning contracts.

**LEARNING OBJECTIVES**

- Participants will be able to identify the unique challenges associated with global agreements.
- Participants will learn to cultivate skills to assess business and technical needs and sponsor requirements of complex solicitations involving global collaborations.
- Participants will be able to identify and assess risks associated with global collaborations, both to the individual investigator and to the institution.
- Participants will learn to develop strategies and techniques to mitigate those risks.
- Participants will be able to recognize contract terms that require institutional review and negotiation.
- Participants will understand how institutional policy, practice, culture, and risk tolerance impact contract negotiation.
- Participants will learn to recognize the various roles and responsibilities of the gate-keepers in your institution, and opportunities to build relationships, set expectations, and balance conflicting priorities.

**PREREQUISITES**

Participants will want at least 2-5 years of Research Administration or equivalent experience to achieve learning objectives. The workshop would be appropriate for pre-award research administrators, program managers, and new and developing contract negotiators.
MANAGING SPONSORED AWARDS FROM A DEPARTMENTAL PERSPECTIVE (POST-AWARD FOCUS)

Research Administration responsibilities can be overwhelming. The process of putting a proposal together, managing a grant once funded and properly closing it out at the end are the day-to-day activities that department administrators struggle with. This workshop will focus on topics that influence the daily operations of managing sponsored awards from a Post-Award perspective. It is designed for departmental research administrators and will provide them with an overview of the significant principles and issues surrounding proposals, grants and contracts. Topics will include budget development, identifying key personnel, subcontract versus service agreement and cost sharing. This workshop will also focus on preparing financial status reports, account reconciliation, closeout of awards, cost transfers, allowable and allocable costs and much more.

LEARNING OBJECTIVES
• Participants will understand how Pre-Award activities impact Post-Award management.
• Participants will understand the different facets of Post-Award management.
• Participants will hear tips and tools to assist in managing awards.

PREREQUISITES
Participants will need a basic understanding of the Uniform Guidance and 1 or more years of Research Administration experience.

Tamara V. Hill*
Associate Vice President, Shared Services, Morehouse School of Medicine

Jennifer Crockett
Assistant Vice Provost, Research Accounting and Financial Compliance, University of Massachusetts Boston

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WORKSHOPS AND SENIOR LEVEL FORUMS

Wednesday, March 13, 2019

8:30 AM – NOON
HALF DAY MORNING WORKSHOP

WORKSHOP 9
INTERMEDIATE

REVIEWING AUDITS TO DEVELOP A COMPLIANCE PROGRAM

Federal audits are a valuable tool to assist in the development of a sponsored program compliance program. These audits can be used to inform risk assessment and focus areas. This workshop will explore leveraging readily available audit findings across the country to establish a basis for risk assessment activity and subsequent compliance program development. Compliance programs will include policy development, three lines of defense monitoring, process assessment, and resource strategies.

LEARNING OBJECTIVES

• Participants will learn how to understand federal audit reports and agency audit work plans.
• Participants will discuss Federal compliance requirements.
• Participants will learn how to develop audit corrective action plans.
• Participants will review mechanisms to develop a framework to minimize non-compliance.

PREREQUISITES

Participants will want a basic understanding of financial compliance.

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

Ashley Deihr
Director, Baker Tilly

* Lead Presenter
WORKSHOPS
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8:30 AM – NOON
HALF DAY MORNING WORKSHOP

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

- Participants will want an understanding of basic cost principles established by the Uniform Guidance for allowability, allocability, reasonableness and consistency of costs.
- Participants will benefit from a high-level understanding of distinctions between direct and indirect costs.
- Participants will need prior exposure to service centers in an institutional environment.

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 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.

PREREQUISITES
None

Sarah T. Axelrod*
Assistant Vice President, Office for Sponsored Programs, Harvard University

Zach Belton
Director, Huron

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HOW NDAs, MTAs, AND OTHER ANCILLARY AGREEMENTS AFFECT SPONSORED RESEARCH

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

LEARNING OBJECTIVES
- Participants will learn when an ancillary agreement may be necessary.
- Participants will discuss problematic terms in ancillary research agreements.
- Participants will learn negotiation tips and tricks for ancillary agreements.

PREREQUISITES
None

Charles Bartunek*
Contract Administrator,
Division of Research,
University of Maryland,
College Park

Jill Frankenfield
Associate Director, Division of Research, Office of Research Administration, University of Maryland, College Park
LEADERSHIP COACHING: BUILDING AN EFFECTIVE STYLE THROUGH PARTNERSHIP AND BEING PRESENT

Coaching is an alternate approach to developing your employees’ potential. Coaching employees requires a continuous effort to make it part of your management practices. Following simple techniques and observations about performance ensures leaders play an important role in inspiring extraordinary performance. When leaders improve their performance, benefits spread throughout the organization.

As leaders in the new millennium become more about empowerment and development, coaching becomes a necessary component as part of training and career development of staff. Coaching can be time-consuming but the return on investment will add value to your human capital, therefore adding benefits to your department. Leadership coaching is a great introduction to an effective way of helping others grow.

LEARNING OBJECTIVES

- Participants will learn to identify the various forms of coaching methods.
- Participants will learn how to establish a coaching plan.
- Participants will participate in a coaching session.
- Participants will learn how to integrate coaching techniques into the work place.

PREREQUISITES

Participants will want to be in a manager/director position with more than 5 years of experience.
**NIH FUNDAMENTALS**

This workshop provides a primary basis of understanding of proposals to and awards from the National Institutes of Health (NIH). This workshop will give you the basics – we will walk you through the grants process, and give you an overview of key resources and websites you will need to be successful.

The program is perfect for someone new to Research Administration, as well as for Research Administrators seeking to expand their knowledge of federal funding agencies. The curriculum provides an overview of the policies and procedures essential to preparing successful proposals to and managing grant awards from the NIH.

Major content areas covered include:

- NIH overall structure, culture, and organization;
- Developing and submitting NIH proposals;
- The merit review process;
- Post-Award administration;
- Tips and tricks.

**LEARNING OBJECTIVES**

- Participants will be able to describe the organizational structure of NIH and ways it can aid in locating funding opportunities and staff contacts.
- Participants will be able to provide a high-level explanation of the path NIH grant applications take from submission to award and Post-Award management.
- Participants will find answers to their questions, whether it be knowing the right website, helpdesk, or staff contact.

**PREREQUISITES**

None
WORKSHOPS AND SENIOR LEVEL FORUMS

Wednesday, March 13, 2019

1:30 – 5:00 PM
HALF DAY AFTERNOON WORKSHOP

PROPOSAL DEVELOPMENT AND SUBMISSION: ALL YOU NEED TO KNOW – FINALIZING THE PROPOSAL AND SUBMITTING IT TO THE SPONSOR

You’ve reviewed the announcement to which you’ll respond and the principal investigator has prepared the programmatic portions of the proposal. The budget has been developed and the administrative portions of the proposal are written. Now the proposal need only be submitted, right? Join us for an interactive workshop on getting the proposal out the door once the “pre-work” has been done. We’ll discuss proposal review and approval, finalization of forms, working with sponsor submission systems, and dealing with the unexpected, which is always to be expected.

LEARNING OBJECTIVES
• Participants will be able to describe best practices for proposal review and correcting any problems to ensure smooth submission.
• Participants will be able to list problematic sections of proposals and how to avoid potential problems.
• Participants will be able to describe strategies for working with sponsor submission portals to avoid – and deal with – last minute hiccups.

PREREQUISITES
Participants should have experience preparing and/or reviewing federal proposals and knowledge of sponsor submission portals.

Mary Louise Healy*
Assistant Dean, Research Administration, Krieger School of Arts and Sciences, Johns Hopkins University

Diane Hillebrand
Grants Manager, Research Affairs, University of North Dakota

Las Vegas
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* Lead Presenter
THE WHO, WHAT, WHEN, WHERE AND HOW OF SUCCESSION PLANNING

Succession planning helps organizations ensure there are capable and experienced candidates to fill vacancies, especially at the leadership level. It is most successful when it is incorporated into a more holistic career ladder approach to retain high potential employees. Let’s face it: if you think they are worth keeping, someone else will think they are worth recruiting. So how do you identify high potential candidates, invest in their professional development, and mentor them to be able to hit the ground running when the opportunity arises? This workshop will focus on:

- WHO you identify
- WHAT professional development opportunities you afford them
- WHEN you assign greater responsibility
- WHERE you find candidates
- HOW do you keep them for the long term

LEARNING OBJECTIVES

- Participants will learn to identify high potential talent that can be mentored.
- Participants will be able to develop a succession plan that allows for gradual increases in responsibility during the mentoring period.
- Participants will discuss how to enact a seamless transition to new leadership.

PREREQUISITES

Participants will benefit from some management experience.
WORKSHOP 16
INTERMEDIATE
DESIGNING A TRAINING PROGRAM FOR YOUR INSTITUTION: TECHNIQUES, TOOLS AND TIPS
Accessing and identifying your organization’s training needs at the beginning is important for designing and preparing educational materials that will achieve the desired learning outcomes. In order to be effective, both training and facilitation take deliberate planning and leader-participant engagement. While you don’t have to be an expert speaker or facilitator, you do have to connect with participants in order to engage them through content and processes. This workshop will take participants from design aspects to delivery and will include a behind-the-scenes look into tips, tools and techniques used by presenters in order to effectively lead participants through training objectives. These simple techniques will help trainers, speakers and facilitators approach their next learning session with confidence.

LEARNING OBJECTIVES
• Participants will hear an overview of design elements specific to training and facilitation geared toward adult learners.
• Participants will obtain a behind-the-scenes look into activities designed to refocus attention and stimulate participation.
• Participants will be shown tools for facilitating participant-centered learning.

PREREQUISITES
Participants will want basic familiarity with training development.

Tolise Dailey*
Training Manager, Office of Contracts and Grants, Johns Hopkins University

Tricia Callahan
Senior Research Education and Information Officer, Colorado State

Melanie Hebl
Education Coordinator, Research and Sponsored Programs, University of Wisconsin-Madison

* Lead Presenter
NEGOITIATING DIFFICULT AWARD TERMS

Sponsored agreements contain many clauses that institutions often address using mechanistic rules, which may result in obstacles and bumps in negotiation. This workshop will provide a brief overview of general contracting and legal concepts as well as tips and techniques for the negotiator. Contract clauses will be discussed, including assessing the importance of particular terms for specific sponsored projects, analyzing the potential impact on an institution, and building and communicating positions persuasively. The workshop will use real life examples and offer potential solutions to common deadlocks on topics such as indemnification, liability, termination, choice of law, arbitration, publishing, confidentiality and intellectual property.

LEARNING OBJECTIVES

• Participants will gain an understanding of common contract terms and concepts pertaining to sponsored agreements.
• Participants will learn to use the techniques taught in this workshop to improve the efficiency of award negotiations.
• Participants will better understand the importance of particular terms for specific research projects.

PREREQUISITES

Participants will want a familiarity with terms and conditions common in awards issued to research organizations.
WORKSHOPS
AND SENIOR LEVEL FORUMS

1:30 – 5:00 PM
HALF DAY AFTERNOON WORKSHOP

THE 20/80 RULE: HOW TO MITIGATE THE 20% OF PROPOSALS THAT CAUSE 80% OF AWARD HEADACHES

Why does it always feel like a small number of proposals submitted cause us the majority of headaches when it comes to award management? Come join us for a discussion of issues surrounding:

- Budgets (ex. detailed budgeting and substantiating costs, cost sharing)
- Compliance (i.e. IRB/IACUC, biological specimens, participant vs. human subject)
- Award negotiation/terms & conditions (ex. what happens when the sponsor wants to award your grant proposal as a contract?)
- International activities (i.e. export controls, Fly America, foreign nationals, foreign currency)

We’ll unpack how to identify these matters early in the proposal development process, work with the proper teams at your institution during submission and document those points, and monitor and manage a successful challenging award. We’ll cover topics ranging from detailed budgeting to cost sharing to export control to human subjects. So please bring your questions and we’ll work through them together. This workshop will apply to participants from both Pre- and Post-Award, as well as Departmental and Central Offices.

LEARNING OBJECTIVES
- Participants will learn strategies to identify, mitigate and document challenging issues at proposal time.
- Participants will acquire tips on how to gather the appropriate team and successfully negotiate and manage the award.

PREREQUISITES
Participants will want a basic understanding of proposal submission.

Jennifer Marron*
Assistant Dean for Grants Administration, College of Engineering, Boston University

Megan Dietrich
Client Advocacy & Education Specialist, Office of Sponsored Research, Stanford University
A DAY IN THE LIFE OF THE DEPARTMENTAL ADMINISTRATOR (PRE-AWARD FOCUS)

The departmental administrator is on the front line of Research Administration! From managing multiple proposals, PIs, and your time, each pre-award decision also impacts post-award. On any given day you, the departmental administrator, can be expected to assist with multiple proposal submissions — usually not within the optimal 10 day window — manage Post-Award activities such as sub-awards, cost transfers, P-card purchases, travel, financial analysis, etc. all with multiple interruptions from faculty, the central office, the Dean’s office, and of course, email. How do you prioritize? How do you plan for last minute proposals and interactions with the central office but allow flexibility for the many last minute emergencies? This workshop will offer best practices on how to organize multiple proposals and projects simultaneously, and then make measurable, encouraging progress on them all. Strategies for (i) efficiently prioritizing tasks, (ii) time-saving, and (iii) communication will be highlighted. Bring your questions and tips for a lively discussion!

LEARNING OBJECTIVES

• Participants will learn tips to prioritize proposals and projects to maximize the breadth and depth of service provided to constituents.
• Participants will learn tips to structure their workday to make measurable progress on multiple proposals and projects, even last minute “emergencies.”
• Participants will learn tips on communication with faculty, the dean’s office, the central office, and others.

PREREQUISITES

None

Kay Gilstrap*
Assistant Director, Business Operations, Center for Molecular and Translational Medicine, Georgia State University

Rob Bingham-Roy
Director of University System of Georgia Sponsored Operations, Georgia Institute of Technology
COMPENSATION COMPLIANCE AND THE STANDARDS FOR DOCUMENTATION

This workshop will cover the history of regulatory changes made for compensation compliance, the differences in agency instructions for budgeting compensation and how this impacts Post-Award. Participants will learn to evaluate “commitments” of time devoted vs. cost share, review the activities of faculty members that make allocations of salary difficult. Federal Agency inconsistencies to the Cost Principles and differences in auditor regulatory interpretations will be highlighted. Participants will analyze the Standards for Documenting salary costs in 200.430 and an Internal Control Framework for Compensation Compliance. Lastly, we will dive deeply into the after-the-fact review methodologies (Traditional Effort Reporting or Allocation of Base Salary/Alternatives to Effort) used by institutions. Case studies, institutional examples of Alternatives to Effort Reporting and their system implementations will be reviewed. Additionally, institutional survey results will provide insight into the latest institutional trends and practices for compensation compliance.

LEARNING OBJECTIVES
- Participants will have a greater understanding of Internal Controls, Documentation Standards, and COSO for compensation compliance.
- Participants will be able to describe and utilize practices and methodologies to increase process integrity and reduce audit risk and administrative burden.

PREREQUISITES
Participants will need a basic understanding of Effort Reporting under A-21 and/or Compensation Compliance under the Uniform Guidance. Participants will need a basic understanding of allocation of salary costs.

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

Lisa Mosley
Executive Director, Office of Sponsored Projects, Yale University

David Ngo
Associate Provost, Sponsored Programs Administration, The New School
WORKSHOPS AND SENIOR LEVEL FORUMS

Wednesday, March 13, 2019

1:30 – 5:00 PM
HALF DAY AFTERNOON WORKSHOP

WORKSHOP 21
OVERVIEW

PREPARATION FOR LARGE-SCALE AND ANNUAL SINGLE AUDITS AND COMPLIANCE CONSIDERATIONS

Unlike the traditional Federal audits, some agencies such as NIH and NSF have been conducting large-scale audits. Typically, a NIH subaward audit requires data for 2 years. Although NSF is changing its data analytics audit approach (requesting data for 3 years), the cost principles for audit remain the same.

In this workshop, we will review the data preparation process, timelines, correspondence, and common risks. We will also discuss the new audit approach that NSF OIG is implementing. In addition, we will review the updates and hot topics for the annual single audit based on the most recent single audit compliance supplement.

Participants will benefit from a general understanding of the cost principles of 2 CFR Part 200 (Uniform Guidance).

LEARNING OBJECTIVES

• Participant will gain insight of the large-scale audit and annual single audit processes, and how to mitigate the compliance risks.

PREREQUISITES

None

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

Anne Pifer
Senior Director, Huron
**POST-AWARD AWARENESS FOR THE PRE-AWARD ADMINISTRATOR**

This workshop is designed for research administrators interested in thinking ahead to the Post-Award phase when searching for funding opportunities and developing proposals. Participants will have the opportunity to engage in a meaningful discussion of Pre-Award activities with a focus on topics that typically arise during Post-Award. The conversation will span from award implementation through closeout and audit and will be directed towards an award lifecycle approach. We will explore effective strategies for proactively managing Post-Award topics such as cost sharing, indirect cost recovery, effort commitments, subaward vs. vendor determinations, internal billings, IRB & IACUC issues, participant support costs, administrative salaries, financial reporting, foreign currency, and payroll when putting together proposal budgets.

**LEARNING OBJECTIVES**

- Participants will learn to identify key words in program solicitations that may signal the need for additional oversight during the life of a sponsored award.
- Participants will learn to recognize potential budget areas that may require future monitoring and documentation.
- Participants will learn techniques for writing strong budget justifications that will help to minimize questions at the award stage and serve as helpful award management tools.

**PREREQUISITES**

None

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Jennifer Lech*  
Senior Sponsored Research Officer, Science Division,  
Harvard University

Rady Rogers  
Assistant Director of Research Administration and Finance,  
John A. Paulson School of Engineering and Applied Sciences, Harvard University

Barbara Cole  
Associate Vice President, Research Administration,  
University of Miami

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* Lead Presenter
FACILITIES & ADMINISTRATIVE (F&A) RATE PROPOSAL PROCESS AT UNIVERSITIES

This workshop provides an overview of the Facilities & Administrative (F&A) rate calculation and rate negotiation process. Sections to be presented include the history of Federal cost reimbursement; the present environment faced by universities; a review of terminology from the OMB Uniform Guidance (with a focus on those associated with higher education and non-profits); an overview of the long-form processes from submission to cognizant agency to eventual rate agreement; the structure and components of an F&A rate proposal; and the negotiating process, including a typical Federal on-site review. Detailed and interactive examples will be provided focusing on maximizing an institution’s F&A rate. This will include a discussion on the methodology, process, and benefits of performing a defendable space functional usage study, building a componentization study, an equipment inventory study, and a library study. Tesha Garcia-Taylor will provide insights from an administrator's point of view. The content is geared to administrators who may see "F&A" and "F&A Rates" quite often in their day-to-day job duties but are interested in learning what it is, how it’s calculated/negotiated with the Federal government, and what the impact is on their institution. We will highlight things that academic departmental administrators can do to directly help the institution’s calculation of its F&A rate and be prepared for the review their institution’s cognizant federal agency is likely to perform.

LEARNING OBJECTIVES
Participants will be able to describe to their peers and researchers how an F&A rate is calculated, a typical negotiation timeline, and its financial impact on the institution.

PREREQUISITES
Participants will need a basic familiarity with F&A rate usage.

David Moore*
Manager, Education, Nonprofit, and Commercial Services, Attain, LLC

Tesha Garcia-Taylor
Assistant Director, Finance-Academic Enterprise, Vanderbilt University Medical Center
STRATEGIES FOR RESEARCH PROGRAMS IN AN UNUSUAL TIME

The perceptions of science, and to some extent universities, by powerful members of the executive and legislative branches in the U.S. federal government are unlike any we have ever witnessed. At times we see research-informed alternatives and public policy approaches ignored or hostilely opposed. Proposals have been made to slash science funding, and the support of university research infrastructure, only to be countered by subsequent agency budget increases. Expiration of budget caps and adjustments thereto in the coming years will present serious funding challenges throughout the government. Nonetheless, university-led research remains a critical component of our mission and for the security of our nation, making it incumbent on institutional leadership to continue their efforts. This session will be devoted to understanding the current environment, and discussing strategies universities can adopt to sustain and even grow their programs during unusual times.

LEARNING OBJECTIVES
- Participants will understand drivers of the federal budget at science agencies.
- Participants will share and observe responses by research institutions.
- Participants will explore new research funding strategies.

PREREQUISITES
Participants will need to have a leadership role at a research institution.

Joel Malina*
Vice President for University Relations, Cornell University

Michael Ledford
Partner and Vice President for Client Management, Lewis Burke Associates