

# NCURA Region III 2019 Meeting – Workshop Schedule DRAFT V5 – 2/8/19

Saturday, May 4

**Full Day (8:30 a.m. – 4:30 p.m.)**

## **WS1: NIH Fundamentals (Overview, Federal)**

### **Workshop Description:**

The National Institutes of Health (NIH) Fundamentals provides a foundation in grants from NIH. As NIH is the single largest federal grant-awarding agency, the program is perfect both for someone new to research administration and for research administrators expanding their knowledge of federal funding agencies. The curriculum, a full-day workshop, provides an overview to the procedures and policies essential to preparing successful applications to and managing grant awards from the National Institutes of Health.

### **Workshop Objectives:**

- An overview of NIH including its mission, institutes, and funding focus. Where to locate funding opportunities and navigating through the grant life cycle.
- Basics of NIH proposal preparation and submission. NIH funding paths: From pre-doctoral fellowships to large scale research projects.
- Latest Policy Updates

### **Presenter:**

Diana Rutberg, Chief Grants Management Officer  
Grants Management Branch  
Division of Extramural Activities  
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## **WS2: Export Control (Advanced, Senior)**

### **Workshop Description:**

In this workshop, you will be provided with a brief overview of the export control regulations and how the recent regulatory changes significantly impact university research activities. After the brief overview and regulatory updates, the real fun begins. You will learn how to detect and manage export control issues within your institution. In addition, you will learn about the best practices related to export control compliance, including contract negotiation and managing institutional risk. Finally, we will end the day with a few cases studies, including submitting a mock license application to the U.S. Department of State.

### **Presenter:**

Ashley Guritza  
Export Control Analyst, Office of Research & Commercialization  
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## Half Day – Morning (8:30 a.m. – 12 p.m.)

### **WS3: New Era of Effort Reporting: It's All About Internal Controls (Intermediate, Post Award)**

#### **Workshop Description:**

Whether an institution charges and documents personnel costs using a traditional effort reporting methodology, or uses an alternative approach, this requirement has not gone away. Though conceptually simple, 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 charging and documenting personnel costs: policies and procedures; training programs; documentation; and oversight, with an overarching focus on internal controls. Workshop participants should plan to engage in a conversation with the faculty and bring suggestions and questions.

#### **Workshop Objectives:**

- Participants will gain an understanding of the principal requirements of institutional systems for charging and documenting personnel costs, including policies and procedures.
- Participants will gain knowledge of internal controls in this area.
- Participants will gain knowledge about key issues that need attention in university practices in this area.

#### **Presenters:**

Ashley Whitaker  
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Cathy Harlan  
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Research Business Partner  
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## **WS4: A Comprehensive Analysis of Post-Award Grants Management at a PUI (Basic, Post Award)**

### **Workshop Description:**

You have secured your grant award and are ready to carry out your work. However, there is a variety of important financial, personnel and administrative issues you will need to deal with to successfully manage your grant. Join us for a review of the post-award process and the resources available to you. With this workshop, you will learn about the grant administration process, human resource, finance, and administrative compliance issues you may encounter, and strategies that will ensure a smooth process.

### **Workshop Objectives:**

- Implement a grants management process appropriate for their institutions.
- Gain practical knowledge related to general grants administration
- Obtain a working knowledge of other institutional and departmental policies that affect research administration
- Identify key roadblocks and utilize available management tools for successful grant administration.

#### **Presenters:**

Whitney Lumpkin

Director, Sponsored Programs Accounting

Arkansas State University

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Nikki Turner

Associate Director, Financial Affairs-Research Accounting

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Chelsea Gambill

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## **WS5: Building Resilience to Stress in Yourself and Your Team (Advanced, Senior)**

### **Workshop Description:**

Research Administrators work in a high stress, deadline driven occupation, oftentimes providing support to people with little comprehension of the level of responsibility we shoulder. As an individual, or as a leader of a team, there is often little we can do about the stressors that accompany heavy deadlines, severe financial consequences for mistakes, and responsibility without authority. In this interactive workshop we will discuss how to recognize peak stress times, what you can do to build resilience to stress as an individual, and what you can do to help you team build resilience, as well. We will also explore strategies that you may employ to reduce some of the stressors that you may be inadvertently contributing.

### **Presenter:**

Jennifer Shambrook

Director of Research Programs and Services

Office of Research and Commercialization

University of Central Florida

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Sunday, May 5  
**Full Day (8:30 a.m. – 4:30 p.m.)**

**WS6: Pre Award Fundamentals (Basic, Pre Award)**

**Workshop Description:**

This full-day workshop will explore the pre-award side of sponsored programs and will immerse participants in the challenges, processes and regulations associated with identifying funding opportunities, creating budgets, and developing proposals. We will also cover the intricacies of reviewing, approving, and submitting proposals to federal and non-federal sponsors. The workshop will include interactive elements to help participants affirm their understanding of the material and present them with the opportunity to immediately utilize newly acquired knowledge.

**Workshop Objectives:**

- Define the Pre-Award phase of the sponsored projects lifecycle
- Interpret basic regulations applicable to the Pre-Award phase of sponsored projects
- Identify common elements of a proposal and describe their purpose and importance
- Identify key compliance areas that impact the Pre-Award operations and proposal development

**Presenters:**

Kathleen Halley-Octa  
Director, Office of Research and Sponsored Projects  
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Danielle McElwain  
Pre Award Director  
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**WS7: Connecting Your Team: Creation of SOPs (Intermediate, Operational Mgmt)**

**Workshop Description:**

This full-day workshop will guide participants through the importance and best practices of developing and maintaining standard operating procedures (SOPs) for their research administration offices. This interactive workshop will provide participants with a chance to share their own SOPs, review templates/samples, and develop their own SOPs.

**Workshop Objectives:**

Participants will learn:

- The purpose and importance of documenting procedures within their research admin offices by establishing their own template and structure in SOPs
- Best practices in the development and maintenance of SOPs
- Potential uses of SOPs in standardizing and evaluation processes as well as for training and on-boarding

Workshop participants will have an opportunity during the workshop to create their own SOP related to their organization's practices and procedures.

Presenters:

Abby Guillory

Director, Research and Sponsored Programs

Office of the Vice President for Research, Innovation, and Economic Development

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Erin Butler

Pre-Award Grants Specialist

Office of Research and Sponsored Programs

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### **WS8: When the team is broken: Dealing with “problem” employees (Advanced, Senior)**

#### **Workshop Description:**

Many of us have attained, or aspire to move into, a management position in research administration. In that capacity, we are expected to be the charismatic leader who successfully motivates our highly skilled staff to consistently perform at exceptional levels and in total harmony. Many of our NCURA workshops and sessions focus on the positive aspects of leadership and staff development and help managers to succeed in the leader role. However, in reality, despite the supportive approach, the training, mentoring, and feedback we give, we sometimes find ourselves in the uncomfortable situation of having to deal with an employee who persistently underperforms or engages in unprofessional behavior in the workplace. Our more traditional hierarchical supervisory responsibility, dictated by human resource practices, kicks in and we become obligated to take actions that are in the best interests of the institution. However, most of us have little experience and no formal training in this most sensitive and difficult aspect of personnel management. This workshop will provide skill development opportunities in this critical managerial role through case studies, role play, and discussion for dealing with the persistent problem employee.

Presenters:

Barbara Gray

Director of Special Projects

East Carolina University

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Jennifer Shambrook

Director of Research Programs and Services

University of Central Florida

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## Half Day – Morning (8:30 a.m. – 12 p.m.)

### **WS9: NSF Fundamentals (Overview, Federal)**

#### **Workshop Description:**

Provide an overview of the phases of NSF's Grants processes. This workshop is geared to include tips and strategies to have a successful grant. The workshop will allow the audience to ask NSF staff questions on budgetary items and policies related to grant management. We will also review ACMS payment processes.

#### **Workshop Objectives:**

- This workshop is geared to learn tips and strategies to have a successful grant. The workshop will allow the audience to ask NSF staff questions on budgetary items, ACMS payment processes and policies related to grant management.
- To reach many universities and the grantee communities to increase their understanding of the NSF's grants award and cash management process.
- Develop increased rapport between the University Grantee POC's and the NSF Staff.

Presenters:

Dorothy Battle

National Science Foundation

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Vanessa Richardson

Team Lead, Division of Grants and Agreements

National Science Foundation

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### **WS10: Internal Controls and the Research Administrator (Intermediate, Compliance)**

#### **Workshop Description:**

The concept of Internal Controls is pervasive in 2CFR 200 and is delineated in §200.303. So what does the requirement of effective Internal Controls (IC) mean to research administrators and what role does the research administrator have in IC implementation? Are the key responsibilities clearly defined at your institution? Does management's commitment to competence ensure that staff receive adequate training to perform their duties? Do operating policies and procedures exist and are they clearly written and communicated? This workshop will discuss what the Federal agencies expect from IHE's whom receive Federal funding and what the control environment should look like. Join us as we discuss the control environment, risk assessment, control activities, information and communication, and monitoring. The attendee should come prepared for a lively exchange of IC processes and how they affect the research administrator in their responsibilities in Federal Award administration.

#### **Workshop Objectives:**

- Become more aware of the IC and how they impact the work of the research administrator
- As Part 6 of the Federal Compliance Supplement is not a checklist, the attendees will come away with a perspective of how IC are addressed at other institutions from the open sharing of the various approaches used.
- Go back to your institution better equipped to reasonably ensure compliance with Federal statutes, regulation and the terms and conditions of the Federal Award

Presenters:

Kay Gilstrap

Associate Director of Business Operations, Center for Molecular & Translational Medicine

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Rob Roy

Director, BOR Sponsored Programs

Georgia Institute of Technology

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### **WS11: Contracting/FAR (Intermediate, Pre Award)**

#### **Workshop Description:**

This workshop will provide a brief overview of contracting principles and negotiation techniques, as well as explain the meaning of common legal terms and clauses. Techniques to review contracts, identify troublesome clauses, and negotiate alternate contract language will be covered

Presenters:

Teri Hansen

Contracting Officer/Team Lead, Industry Under Government Prime

Office of Sponsored Programs

Georgia Institute of Technology

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Dana Simpson

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### **Half Day – Afternoon (1 p.m. – 4:30 p.m.)**

### **WS12: Do you see what I see/Diversity (Overview, Prof. Dev.)**

#### **Workshop Description:**

An intentionally inclusive environment is one that thrives and produces amazing outcomes. In an ever-evolving, globally competitive market, it is important to accept all people and respect everyone's differences in an effort to support faculty research and institutional initiatives. Ensure that your office/division reflect these same differences. In this interactive workshop participants will get an introduction to diversity, inclusion, and equity. Participants will work to become self-aware and understand the issues that contribute to an exclusive workforce in an effort to become more diverse, inclusive and equitable.

#### **Workshop Objectives:**

- Participants will get a broad understanding of the definition for diversity, inclusion and equity.
- Participants will learn how to become self-aware of implicit bias.
- Participants will learn the benefits of diversity, inclusion and equity.



- Participants will learn how diversity, inclusion and equity plays a major role in advancing research and the sponsored programs division.

Presenters:

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Shanta Mackinnon  
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### **WS13: Lifecycle of an award (Intermediate, Post Award)**

#### **Workshop Description:**

The key to setting up an award is knowing the four components (order of precedence, governance of direct costs, financial management and internal controls) of post-award administration and understanding how important they are to the award setup process. This workshop will walk through the four components and its relationship to cost share, administrative requests, effort reporting, cost transfers, procurement and the closeout of a sponsored project.

#### **Workshop Objectives:**

- Describe the order of precedence and the governance of direct costs
- Provide an overview of the financial management process and how it defines the organization's internal control policies and procedures

Presenters:

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