This workshop will outline the Uniform Guidance and how it applies to the newcomer as well as the seasoned research administrator unfamiliar with these areas that are the cornerstones of non-financial compliance.

Learning Objectives:
• Participants will acquire information and techniques to effectively manage the day to day activities of post award sponsored projects.
• Participants will examine the roles and responsibilities of key stakeholders in post award administration.

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

Learning Objectives:
• Participants will be able to identify the areas intersect with Research administration and the research enterprise;
• Participants will gain an understanding of common research compliance issues; and
• Participants will be able to identify project activities that may require a compliance review.
### Workshop: Pre-Award Basics

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

**Learning Objectives:**
- Gain a broad understanding of federal policies and how they get implemented
- Learn best practices for working with researchers and with colleagues

<table>
<thead>
<tr>
<th>Part II: Essentials of Research Administration for Department Administrators</th>
<th>Intermediate</th>
<th>Workshop</th>
<th>Jennifer Cory, Stanford University</th>
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</thead>
<tbody>
<tr>
<td>W1 (PART II) Essentials of Research Administration for Department Administrators</td>
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<td>Jennifer Cory, Stanford University</td>
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</tbody>
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### Workshop: Demystifying Complex Contract Negotiations & FAR Clauses

**Workshop Description:** The legal terms of a contract for sponsored research can be exceedingly complex and contain a multitude of competing concerns that need to be addressed during a contract review. With so many moving parts in a contract, it can be very challenging to comprehensively assess and address all of the legal, financial, programmatic, and administrative obligations to satisfy both parties – a challenge that is faced by all universities with all sponsor types. This workshop will help attendees hone their skills at breaking down a contract into its primary components and addressing the issues that need to be resolved. The topics of intellectual property, publication, termination, regulatory compliance, remuneration and more will be discussed, where the perspectives and considerations of the different sponsor types (US Federal, non-profit, and private sector) will be explored. Specific examples of clauses based on topic and sponsor type will be reviewed and discussed.

**Learning Objectives:**
- Participants will learn about the contract mechanisms used for research funded by different types of entities
- Participants will gain perspective in understanding the unique challenges in review and negotiation of contract terms based on types of sponsoring entity (Federal, non-profit, industry)
- Participants will learn strategies and best practices for drafting, redrafting, and negotiating contract clauses to meet the needs of the parties

<table>
<thead>
<tr>
<th>W5 Demystifying Complex Contract Negotiations &amp; FAR Clauses</th>
<th>Overview</th>
<th>Workshop</th>
<th>Mark Schiffman, NCURA, and Sherrin Jones, Los Angeles Biomedical Research Institute at Harbor - UCLA Medical Center</th>
</tr>
</thead>
<tbody>
<tr>
<td>W5 NCURA 101: Roadmap to Professional Development and Leadership (No Fee)</td>
<td>Overview</td>
<td>Workshop</td>
<td>Mark Schiffman, NCURA, and Sherrin Jones, Los Angeles Biomedical Research Institute at Harbor - UCLA Medical Center</td>
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### Workshop: Biomedical Research Institute at Harbor - UCLA Medical Center

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

**Learning Objectives:**
- Recognizing subaward characteristics
- Understanding subrecipient monitoring responsibilities
- Strategies for addressing day-to-day monitoring issues
- Strategies for addressing central monitoring responsibilities

<table>
<thead>
<tr>
<th>W9 Subawards and Subrecipient Monitoring</th>
<th>Intermediate</th>
<th>Workshop</th>
<th>Mich Pane, Stanford University, Laura Register, Stanford University, and Lisa Jordan, SRI International</th>
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### Workshop: University of Utah

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<th>Intermediate</th>
<th>Workshop</th>
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</tr>
</tbody>
</table>
Objectives:
- Participants should be able to draw parallels between the PUI Sponsored Research Office and the Institutional Policies since their newest update.
- Understand effective training programs that leaders can implement to foster organizational change, build stronger teams, and empower staff to excel in the workplace.

Workshop Description:
As Business Administrators we lead our institutions in proposal development, submissions, reporting, and often compliance. This workshop will walk through research misconduct regulations and how misconduct impacts proposals and publications for our PIs, institutions, and the work we do. Experts from the National Science Foundation will answer questions and give examples to prepare us in responding to misconduct, if you suspect misconduct, and what is expected with the Uniform Guidance, Data Management Plans, and Responsible Conduct of Research trainings.

Learning objectives:
- Identify at-risk populations and situations
- Identify vulnerable populations within your institution
- Design strategies to mitigate your areas of highest risk
- Review your institutional policies for compliance and streamlined processes
- Anticipate situations that could be costly to your PIs and your institution
- Be able to explain how data and data management are of significant importance to you and your PIs for publications, proposals, and promotions

Workshop Data Integrity: Responsible Conduct of Research and Research Integrity

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Workshop Professional Development

Team Building Tactics
As organizations grow they too often allow a layer of bureaucracy to thrive into their organization that inhibits their strongest resources, their people. It’s critical that employees are engaged at work. Nothing less than your institution’s ability to develop long-term growth is at stake. An engaged workforce is your competitive advantage.
It often establishes itself in an ethos that believes organizations grow from the outside in – through profit, margin and customer satisfaction. It is a misguided and flawed paradigm. Profits, margins and customer satisfaction are a result of people, and growth begins on the inside when individuals are engaged. An engaged workforce will produce profit, healthy margins, and exceptional customer service. This session will provide the tools to engage and build effective teams.

Workshop Sponsored Programs Administration and Uniform Guidance - Policy Development, Changes in Institutional Policies Since Implementation

Developing policies that are clear, concise and easy to follow as all parties can be compliant can be challenging. This session will provide an overview of the opportunity to walk through portions of the processes of policy development and implementation within a university setting. The session will also cover some of the major 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. Objectives: Participants will gain an understanding of the key components of policy development, management and implementation. An understanding of how policies can increase audit risk. Communication strategies around policy implementation and updates.

Workshop Pre-Award

Challenges and Opportunities of Managing an Office of Sponsored Research at a Predominately Undergraduate Institution

There are many challenges and opportunities of managing a Sponsored Research Office at a Predominately Undergraduate Institution (PUI). Most PIs are one person offices that handle all of the functions of Sponsored Research from searching for funding opportunities, grant preparation, submission of proposals, post award management and policy. There is often nowhere to go for help within the college regarding sponsored research issues and more that often the basic policies are not in place. The session will outline important aspects of managing a one-person SRD and tips for survival.
Objectives:
- Participants should be able to demonstrate an understanding of the varied functions of a Sponsored Research Office.
- Participants should be able to draw parallels between the PUI Sponsored Research requirements and those of a Sponsored Research Office found at a major research institution.

Workshop Post-Award

Get Familiar with Cost Principles in the Uniform Guidance

Get familiar with cost principles in the Uniform Guidance.
This session will focus on the highlights of Cost Principles in 2 CFR Part 200, Subpart E. Topics will include changes to direct charging to grants, revisions to the utility cost adjustment (UCA), and issues pertinent to the F&A rate calculation. Changes from A-21 to the new guidance will be noted. Objectives: Understand the main topics encompassed in the Uniform Guidance Sub Part E.

**Uintah**

**Contracting and legal**

Into the Weeds: Delving into the Other Clauses in Clinical Trial Agreements

Intermediate/Advanced

Presentation

Heather Rubins, University of California, Irvine, and Angie Karchmer, University of California, Irvine

Are you interested in exploring the Sunshine and Foreign Corrupt Practices Act? Or do you want to discuss the particulars of due diligence and record retention provisions? In this session, we’ll delve into clauses in clinical trial agreements that receive less attention, offering negotiation strategies and tips. Objectives: (1) Participants will gain a better understanding of challenging provisions in clinical trial agreements; (2) Participants will develop skills to tackle often overlooked clauses.

**Flagstaff**

**Compliance and ethics**

Research Ethics is a relatively new discipline which has evolved over the history of science. While the responsible conduct of research (RCR) is focused on multifaceted social and ethical issues that arise in the practice of scientific research, the scientific research itself is hundreds, perhaps even thousands, of years old. Reflecting on this history of biology, chemistry, physics and medicine provides insightful examples of both responsibly conducted research, and irresponsibly conducted research, by some of the most famous scientists in history. Participants will examine a number of notable cases from the history of science and will consider how prominent scientists and their research would fare in the modern era of RCR standards. Note: This is a highly interactive session to engage participants, evaluate feedback and formulate group consensus on a variety of ethical issues and questions. Objectives: 1. Describe a variety of famous cases involving ethical issues in research and apply modern RCR standards to better assess and work through those issues. 2. Discuss the relevant rules and regulations of modern RCR standards and the ethical principles and cases that justify current institutional compliance policies.

**Tucson**

**Sponsored Programs Administration and Operations**

Participate Support, Research Incentives and Gift Card Costs: A Life-Cycle Review of Best Practices, Policies, and University Responsibilities

Intermediate

Presentation

Christopher Day, Portland State University, and Alex Leading, Portland State University

Many agencies and institutions have varying policies regarding the treatment of participant support costs, research incentives and how they are charged to sponsored projects. The purpose of this session is to educate research administrators about the differences between the federal, agency, and institutional policies governing these costs, provide examples of best practices to ensure compliance with both their sponsors and institutions, and to understand how the roles of various university offices affect the treatment of these costs throughout the lifecycle of the project. Objectives: Federal, sponsor and institutional definitions of participant support & research incentives costs; Best practices when budgeting for participant costs & research incentives at the proposal stage; How to determine the best approach (controller vs. PI) and how to select the appropriate method depending on the type of participant; How to ensure compliance when issuing payments to participants; How to communicate with PIs regarding their responsibilities to the sponsor and institution when working with participants; Best practices with regards to dissemination, tracking & reconciliation of gift cards; And the interconnected roles and responsibilities of PIs, research administrators, and other university officials when working with participants.

**Sun Valley**

**Pre-Award**

Creative Solutions—Nightmare preaward situations and how to navigate through them.

Advanced

Presentation

Russell Brewer, Stanford University

In this session, the presenters will showcase some of their worst preaward scenarios and how they navigated through it towards a successful outcome (or not!). The session will offer opportunity for attendees to share their experiences as well. Objectives: Attendees will learn that craziness happens everywhere, creatively and calm are key.

**Flagstaff**

**Post-Award**

The Lifecycle of a Subaward

Basic

Presentation

Carrie Chestnut, University of Oregon, and Kari Vandergrust, University of Oregon

We will walk through the process of subawarding from the Pre to Post through closeout, narrowing in on the responsibilities for the PI, Departmental Administrator and Sponsored Projects Office at each stage. We will discuss subrecipient monitoring under Uniform Guidance, and best practices for the pass-through entity. Objectives: Develop an understanding of our roles throughout the subaward process; Understand applicable policies and best practices.

**New localhost**

**Contracting and legal**

The Federal Acquisition Regulations: An Analysis and Assessment of Contracts for Research & Development

Intermediate

Presentation

Kevin Stewart, University of California, Santa Barbara, and Cara Egan-Williams, University of California, Santa Barbara

This session will review and analyze the core components of a FAR-based procure-ment contract for research and development. There will be a brief overview of the structure and functions of the FAR, but the session will otherwise focus specifically on the form, structure, and the terms and conditions applied to contracts for research by the Federal agencies. Key contract clauses for R&D will be reviewed and analyzed (base FAR clauses as well as agency-specific clauses). Time will also be devoted to reviewing some key challenging clauses for sponsored research at universities. Objectives: (1) Participants will gain a better understanding of the components of, and requirements of, Federal contracts for research, (2) participants will be able to identify and understand the obligations for key FAR clauses in R&D contracts, (3) participants will gain working understanding of some of the problematic & troublesome clauses encountered in Federal R&D contracts.

**Pasadena**

**Compliance and ethics**

Export Control Compliance – 101

Basic

Presentation

Marc Copeland, University of California, Irvine

While universities generally have a mission to disseminate knowledge to the greatest extent possible, US Export regulations are designed to restrict dissemination of technology, commodities, and services to non-US persons and locations. This session will provide an overview of the regulations applicable to university research while providing some basic guidance for administrators on how to maintain compliance while staying true to the mission of the university. We will discuss questions such as: When do OFAC sanctions apply to research? What is a “deemed export”? What is the fundamental research exclusion and when does it apply? What are the technologies I need to be concerned about? What are the export control considerations for international research? Session will include examples and scenarios.

Objectives:

- Examine the Export Control Act and its relationship to university research.
- Provide a high-level overview of the export classification process.
- Discuss the types of export control restrictions.
- Understand the implications of non-compliance.
- Provide strategies for compliance.

**Afternoon Networking and Refreshment: Break 3:00 PM to 3:30 PM – Foyer A & B**

Spark Session 3:10PM to 3:25 PM

**Spark Session**

Кубики: The Good, the Bad and the Ugly

Dedrick, University of Washington, Seattle

Dedrick Harvey: Research Compliance Manager, Stanford University
When managed correctly, shadow systems can be your best friend for monitoring faculty financial portfolios. They can capture information from a variety of institutional systems and accurately analyze past trends and forecast future activity. This can be instrumental in communicating the financial status of portfolios to faculty. However, if left unattended or not accurately updated they can show bad data which can be catastrophic! If shadow systems are managed well, they can make your life much easier and help when there is staff turnover in research administration staff.

Objectives: 1. Understand how to accurately transverse data from institutional systems to excel. 2. Understand how to present data in a meaningful and clear ways to aid communication with faculty. 3. Learn how to forecast data and use burn rates to predict future spending patterns. 4. Understand how to show 10s when their R&F (profit/loss) statement shows funding needs/overcommitments.

Sessions 3:30 PM to 5:00 PM

**Un tah**  Professional Development  Lead Me Final Presentations (8)

This session is designed for the LeadMe candidates from regions VI and VII to present their final projects for the program participation. Each of the candidates have worked all year in the program to develop a leadership project to benefit their campuses incorporating the 5 practices of successful leadership. Model the way. Inspire a Shared Vision. Challenge the process. Enable others to Act. Encourage the heart.

**Casper**  Sponsored Programs Administration and Development  Strategies for Increasing PI/Faculty Engagement with Your Office
Intermediate/Advanced  Discussion  Anne Sabants, Whittier College, and Shuna Holmes, Whittier College

At this discussion group, research administrators at PUs will learn about strategies to increase faculty involvement with PUs. We will share what is effective in three areas: (1) sharing grant opportunities, electronic search engines, and strategies based on other liberal arts college's funded opportunities (pre-award); (2) offering workshops, professional development seminars and other speakers or professional development opportunities for faculty, and (3) interdisciplinary collaboration on campus and cooperative grants. We will share how we solicit faculty feedback in a variety of ways from our steering committee, regular surveys, and workshop evaluations. The two discussion leaders established the first Office of Research and Sponsored Programs (ORSP) three years ago at Whittier College when they received NIH BRAD award G11HD07300. Objectives: 1. Participants will learn about a variety of strategies that increase faculty contact with an office of sponsored programs at a PU. 2. We will discuss how best to share grant opportunities with including electronic resources. 3. Participants will share how other sponsored programs assist with faculty development in terms of workshops, speakers and interdisciplinary research opportunities.

**Tucson**  Pre-Award  Training for the Research Administrator - changed to “Using Training Effectively: The Importance of Onboarding”
Intermediate  Presentation  Rosemary Madnick, University of Alaska Fairbanks, and Nancy Lewis, University of California, Irvine

Training is crucial for organizational development and success. Research Administrators are hard to recruit, so many of us are relying on our skills of training great people, and training them. Most of us also have also identified super performers in our groups, and want to offer them training to move to the next level. Or, maybe you want to move an employee from average to excellent. What we know for sure, the lack of an effective training program can lead to the loss of good employees and thus cripple the organization. Developing an effective research administrator training program is vital to the long term success and growth of your organization. By taking an organized approach to training, you can achieve an excellent return on your training investment.

Objectives: The objectives to be covered in the session: - Identifying your essential training requirements for onboarding. - Deciding on the training goals and objectives. - The tools to create a training program. - Monitoring and evaluating the training.

**Sun Valley**  Post-Award  Preparing a Simplified Method Facilities and Administrative Cost Rate Proposal under the Uniform Guidance
Basic  Presentation  Virginia (Ginger) M. Baker, California Institute of Technology

This session will cover how to develop a Facilities and Administrative Cost Rate using the Simplified Method under the new Uniform Guidance. Strategies for negotiating these rates will also be discussed. Objectives: Individuals will leave this session with the basic information necessary to understand how to complete a short form Facilities and Administrative Cost Rate Proposal under the Uniform Guidance.

**Flagstaff**  Contracting and Legal  The Complexities when Negotiating Federal Flow Through Industry Contracts
Intermediate  Presentation  Caroline Jones, Stanford University, and Kevin Stuart, University of California, Santa Barbara

Navigating through the topics and concerns in Federally-funded research where industry is the prime contractor and the university is the subcontractor can be quite complex. While for some issues, such as intellectual property, the contractual provisions incorporated in the university subcontract are for the most part dictated by the company’s prime contract, other issues, such as for termination, publication, export control compliance, it can become highly complicated in attempting to address the university’s concerns as well as those of both the Federal Government AND the industry prime contractor. Additionally, companies that apply their standard purchase order terms and conditions in a university subcontract can be the most formidable set of terms to all to navigate. This session will explore those unique challenges and more in reviewing, negotiating and coming to agreement on the terms of Federal Flow-through subcontracts from industry.

**Sawtooth**  Compliance and Ethics  IRB-IACUC 101
Basic  Presentation  Buffy Beatle, Huron Consulting, and Frank Conti, Huron Consulting

This course will provide an overview of human subjects protections and animal care and use programs and regulations. Participants will develop a basic understanding of the governing regulations surrounding human subject and animal research, and understand the role and involvement of IRB and IACUC in the research space.

### Dinner Groups: Meet in lobby at 5:45 PM (5:45 PM to 8:00 PM) (sign-up required by noon on Monday, no host)

**SLC Evening Tour: Meet in lobby at 5:15 PM (5:15 PM to 8:15 PM) Sign-up required, $35.00pp**

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**Tuesday, October 6, 2015**

Registration Open: 7:00 AM to 5:00 PM

Continental Breakfast: 7:00 AM to 8:15 AM - Foyer A & B

Morning roundtable discussion groups 7:30 AM to 8:15 AM

Sessions 8:30 AM to 10:00 AM

**Tucson**  Professional Development  Ready! Set! Mission! Defining Professional Values and How to Harness the Power of Creativity
Basic  Presentation  Felicity Snyder, Arizona State University, and Sarah Kern, Arizona State University

Too often professionals are “dragged along” in their careers, allowing outside individuals and events to direct their course, contributing to a sense of purposelessness and disengagement. This session will focus on the important strategy of identifying a small pool of key values with which to make decisions and develop a self-directed purpose. Attendees will learn the power that creativity has in professional development and will have hands-on experience in applying it to their key value set.

**Idaho**  Sponsored Programs Administration and Development  Is my Institution Ready for an eRA System?
Basic  Presentation  Diane Barrett, Navigator Management Partners, and Deborah Shaver, University of Idaho, Paul Hassel, KUaCo

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? What is my budget? When do I communicate with whom? What can I expect? Hear from seasoned research administrators who have recently implemented an electronic system for the first time as they share what they learned in the process. Objectives: Participants will be able to describe an overview of the process.  • Participants will identify pitfalls to avoid.  • Participants will evaluate how to access your institution’s readiness.  • Participants will analyze what to consider when writing an RFP.  • Participants will evaluate what realistic timelines you can expect.
In the age of the Uniformed Guidance, compliance on the department level is more challenging and complex. Because departmental research administrators are the first line of defense for compliance for their organizations, it is important that DRAs fully understand the importance of compliance monitoring in every aspect of their research operation. This discussion will center around compliance related challenges for the DRA while offering practical solutions to common concerns.

This session will guide participants through the review of contract clauses and negotiations using real-world examples and interactive exercises through group interaction. The emphasis will be on contracts with non-profit and for-profit sponsors. Objectives: (1) Participants will learn techniques to spot troublesome clauses; (2) participants will learn best practices for drafting and redrafting clauses to meet the needs of the parties; (3) participants will learn to communicate positions effectively and persuasively during contract negotiations.

Ensuring institutional compliance with the export regulations has become a priority for many institutions. It has been said that it takes a “village” to manage export controls - no one person can do it all. We all must work together to ensure export control compliance. This session will offer real-life examples of issues facing universities and will provide practical information and examples for implementing export compliance procedures. This session will also include a brief overview of jurisdiction requests, types of export licenses and authorizations, technology control plans, and the dreaded "Voluntary Disclosure".

Objectives:
- Participants will understand the hurdles to implementing an export compliance program
- Participants will develop an understanding of the elements of putting export compliance procedures into action, including:
  - Communication procedures between the pre-award and post-award areas about export controlled projects
  - Liaison Program
  - Procedures for screening vendors, foreign visitors and hiring non-U.S. citizens
  - Procedure for the approval of foreign travel
- Participants will receive a brief overview of the following:
  - Jurisdiction requests
  - Types of Licenses and when do you use them
  - Technology Control Plans
  - Recordkeeping
  - IT Security
  - Voluntary Disclosures
- Participants will be provided with resources.

Pre-Requisites:
- Knowledge of the export regulations, ITAR and/or EAR regulations.

Objectives:
- The long-term strategies for transitioning to a digital environment.
- Best practices for designing a robust document repository.
- Vendor selection for hardware and software.
- Indexing documents and extracting metadata.
- Connecting document repositories to data systems.

Potential pitfalls of a paperless system.

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 of 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 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 have improved office workflow, customer service and proposal/award management. Objectives: The long-term benefits of going paperless. Implementation strategies for transitioning to a digital environment. Best practices for designing a robust document repository. Vendor selection for hardware and software. Indexing documents and extracting metadata. Connecting document repositories to data systems. Potential pitfalls of a paperless system.

Morning Networking and Refreshment Break: 10:00AM to 10:30 AM - Foyer A & B

Sessions 10:30 AM to 12:00 PM

Pre-Award

Things to Consider when Drafting Subaward Agreements
- Basic
- Presentation
- Michael Nagan, and Caroline Jones, Stanford University

Ramp it up, Wrap it up: Tools for Account Establishment and Close
- Basic
- Presentation
- Susan Frei, University of Alaska Fairbanks, and Samantha Mastro, University of Alaska Fairbanks

Export Control: Beyond the Basics
- Intermediate
- Presentation
- Shannon Woodman, University of Arizona

Intermediate

Preparing for the Bonfire: Creating a Paperless Office
- Basic
- Presentation
- Noah Congelliere, University of Southern California

Presentation

Navigating Contract Clause Reviews & Negotiations
- Intermediate/Advanced
- Presentation
- Heather Kubinec, University of California, Irvine, and Hilda Vasquez, University of California, Santa Barbara

Presentation

Compliance Oversight on the Department Level in the Age of the Uniformed Guidance
- Intermediate
- Discussion
- Derick F. Jones, Los Angeles Biomedical Research Institute, and Paul Lekutai, University of California, Irvine

Presentation

Export Control:
- Overview
- Presented by NSF Staff, National Science Foundation

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Morning Networking and Refreshment Break: 10:00AM to 10:30 AM - Foyer A & B

Sessions 10:30 AM to 12:00 PM
Tucson	Contracting and legal
The Other Agreements: NDAs, MFAA, and Data Use Agreements Basic	Presentation	Theresa Caban, Kaiser Permanente Southern California

What’s it all about? Uncovering the mystery of the Other Agreements: NDAs, MFAA, and Data Use Agreements. This session will explain the differences between these non-monetary agreements, when to use them and why you should. Though no money may be exchanged, the rights of the organization, the PI and even the PI’s need to be considered and protected- these agreements do just that. We will discuss the importance of these agreements as they pertain to data ownership, intellectual property, material transfer, liabilities etc. Objectives: (1) Participants will gain the ability to differentiate between each type of agreement; (2) participants will gain an understanding of when it’s appropriate to use which agreement; (3) participants will gain the ability to understand and identify the key issues associated with each during negotiations.

Sun Valley	Compliance and ethics
Implementing Research Ethics Training Programs Intermediate	Presentation	Tony Onofrietti, University of Utah and Danny Trujillo, University of Utah

Responsible Conduct of Research (RCR) education is required for a variety of National Institutes of Health training grants and for students and postdoctoral fellows on studies funded by National Science Foundation. What steps can you take to develop effective training and educational programs in responsible conduct of research (RCR) for your faculty, staff and students? This session will explain a variety of ethical issues encountered by researchers and will describe proven training techniques for providing the tools necessary to assess and work through these issues. Discussion will include examples of “what works” and “what does not” work and will include recommendations regarding context, methods, documentation, and administration of effective RCR programs. This highly interactive session, participants will be presented with the relevant rules and regulations pertaining to responsible conduct of research, will engage and discuss the ethical principles and relevant cases which justify those rules and regulations, and will understand how to design and implement instructional programs to ensure compliance with RCR policies. Objectives: 1. Attendees will gain an understanding of a variety of proven techniques for delivering effective research ethics and responsible conduct of research training programs. 2. Attendees will better understand the ethical issues encountered by researchers and how proper training can provide the tools necessary to assess and work through those issues. 3. Attendees will learn how to implement effective teaching methodologies and instructional technologies to enhance teaching and learning effectiveness for all research communities.

RVI Lunch & Business Meeting: 12:00 PM to 1:30 PM - Ballroom A
RVI Lunch & Business Meeting: 12:00 PM to 1:30 PM - Ballroom B
Sessions 1:30 PM to 2:30 PM

Flagstaff	Professional Development
NCURA: A Guide to Navigating Your Professional Development Overview	Presentation	Marc Schiffman, NCURA, Judy Freidenberg, University of Montana

Looking to elevate your career? Whether it’s through professional development, networking or volunteering NCURA can help. Join us for this overview of the programs, resources, services and opportunities your professional society provides that can help you reach the next level.

Tucson	Sponsored Programs administration and management
Shared Services Model(s) and other Workload Management Strategies for Research Administration Support Basic/Intermediate	Presentation	Jessica Robins, Arizona State University, and Sarah Kern, Arizona State University

Urgent surprises, high-volume deadlines, conflicting priorities, and staffing issues are among the most significant challenges that many departmental and central research administrators experience in their efforts to stay organized and on top of things. Likewise, misconceptions about shared services models exist amongst faculty and administrators. In this session we will discuss the benefits of a shared services approach, tactics for structuring a team, tools and approaches for managing work assignments, and organization strategies for success with our individual workloads and projects. Objectives: • Learners will be introduced to strategies for identifying, attracting, and hiring stellar entry-level candidates • Learners will understand the benefits of recruiting less-obvious candidates (entry-level and otherwise) • Learners will understand the importance of considering diversity in their recruitment process • Learners will be introduced to recruitment tools and potential interview questions • Learners will have the opportunity to discuss their recruitment challenges and share what has worked for them.

Sun Valley	Pre-Award
Proposal Development: Working with the PI to Submit a Compliant Proposal Basic	Presentation	Megan Dietrich, Stanford, and Ken Vandergrift, Stanford

Competition for grant funding is becoming increasingly challenging every year and as a result, if a proposal doesn’t pass basic compliance checks, it may be returned before the scientific merits are considered. As such, it is important that we, as research administrators, provide support and guidance to ensure Investigators are submitting compliant proposals in order to increase their chances of a success. This session will address what we as research administrators can do when working with faculty during the proposal preparation process to ensure applications are compliant. Objectives: Breaking Down funding Announcements Developing Timeliness for both yourself and your PI(s). The power of checklists and templates, budget and budget justification dos and don’ts, tips for completing application forms, Review, review, review!

Arizona	Post-Award	Tips and Solutions to Award Change Management Challenges Intermediate	Presentation	Justin W Poll, Arizona State University, and April MacCleary, Arizona State University

Have you had a prior approval request denied based on a sponsor interpretation of a regulation that you disagreed with? Have you ever felt the detail requested by a sponsor is excessive and unnecessary? Have requests from your faculty raised compliance concerns? In this session we will provide tips and solutions to challenges such as these which post-award research administrators often face. We will pull from case examples to demonstrate how you can respectfully push back when a prior approval request is initially declined, how to avoid compliance concerns becoming an audit risk, developing better justifications and wording for requests of approval, and how to negotiate the reduction of excessive terms and conditions. Objectives: Participants will learn techniques that will improve their sponsor interaction, Participants will learn to identify solutions to common compliance concerns, and Participants will learn techniques to producing better support documentation and justifications.

Idaho	Contracting and legal
Intellectual Property Terms in Research Agreements Basic/Intermediate	Presentation	Machio Pane, Stanford University, and Jen Mancini, University of Southern California

The basic concepts behind intellectual property in the context of university research agreements aren’t nearly as intimidating and complex as some would have you believe. With each party looking out for their own interests, coming to terms on IP language can require negotiation. But, doing some homework before you plunge in can prepare you for what’s ahead. Context matters. We’ll discuss some basic elements of intellectual property terms, as well as things to consider and questions to ask your investigator before you charge ahead with negotiations. Objectives: (1) Participants will learn to define Intellectual Property (IP), explain why IP is important to the University, and define an invention and describe the categories of IP Protection; (2) participants will recognize the importance of data, know-how and research materials and how they impact IP at the University; (3) participants will identify and discuss basic IP clauses, and identify questions to ask themselves and their investigator(s) to prepare for the negotiation.

Snowmass	Compliance and ethics
How Your Institution is Implementing the Use of Unmanned Aircrafts Systems in Research Intermediate	Discussion	Dan Nordquist, Washington State University and Rosemary Madriek, University of Alaska Fairbanks

This session will cover project start up and close out activities. Explore strategies and tools to successfully launch and manage a project to ensure a smooth trouble free close out. Learn management techniques and tracking systems to ensure you stay on the right foot from Day 1. Discover project close-out activities as necessary (required documents, useful checklists, and general collection processes associated with a project Lifecycle. Combine this with excellent project management and see just how smooth closure can be! Techniques for managing, tracking and documenting a research project are essential to successfully meeting sponsor requirements and project deliverables from Ramp Up to Wrap Up. Objectives: Learn project management techniques to ensure a trouble free start up of a project. Track, organize, and define roles and responsibilities within the project team. Learn close out techniques to help ensure all requirements are met, correctly and on time. Explore checklists, internal status documents, and necessary documents to ensure a project is closed out properly.
This discussion group will explore the challenges and opportunities associated with Unmanned Aircraft System (UAS) operations. The focus will be on how to manage UAS operations at universities that do not have aviation programs to rely on for programmatic support. The discussions will also explore the issues implicated by UAS operations generally and offer suggested solutions and real world examples of how various universities have eliminated, reduced, or managed the risks. While the discussions will involve detailed and precise information, the overarching issue will be to discuss explain practical ways that attendees will have a usable “toolkit” of topics to take back home with them.

### Break: 2:30 PM to 2:45PM - Foyer A & B

**Sessions 2:45 PM to 3:45 PM**

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<thead>
<tr>
<th>Location</th>
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<tr>
<td>Flagstaff</td>
<td>Sponsored Programs Administration and Operations</td>
<td>Improving Grants Management, for Department Administrators and Faculty, through Transparency and Availability of Information and Data</td>
<td>Intermediate</td>
<td>Presentation</td>
<td>Derek Brown, Washington State University, Jason Myers, University of Washington, Dan Nordquist, Washington State University, Jim Kedl, University of Washington</td>
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This session will introduce you to tools used to increase the transparency and accessibility of information and data in order to improve grants management processes. We will discuss how decisions were made to develop the tools, why specific tools were developed, and the value of the tools to end users. There will be demonstrations of tools from the University of Washington and Washington State University, with lots of opportunities to ask questions and interact. Objectives: Provide an overview of IT portals and other tools that will allow others to assess - Learn how to do business capability mapping (in the context of the research lifecycle) - Better understanding of the complexity of the research lifecycle - A look at different tools and systems that can be employed to support research administration. Objectives: Provide an overview of IT portals and other tools that will allow others to assess - Learn how to do business capability mapping (in the context of the research lifecycle) - Better understanding of the complexity of the research lifecycle - A look at different tools and systems that can be employed to support research administration.

### Break: 2:45 PM to 3:45 PM

**Sessions 3:00 PM to 4:00 PM**

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<td>Contracting and Legal</td>
<td>Globalization: Considerations When Working with a Foreign Entity on a Research Project</td>
<td>Advanced/Intermediate</td>
<td>Presentation</td>
<td>Caroline Jones, Stanford University</td>
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Whether you are talking about economic growth or research administration the buzz word you hear is globalization. Working with a foreign entity will sometimes require you, your PI, and your university to consider issues that are unique to working and conducting research in an overseas environment. This session will focus on the contextual elements that should be considered when drafting an agreement to a foreign entity or receiving an agreement with foreign funding. It will include a discussion of how variables such as location, scope of work, deliverables, prime sponsor terms, currency, governing law, economic sanctions, export control, anti-terrorism, foreign corrupt practices, and anti-bribery could affect the contracting process and final agreement. These topics should be considered in the risk analysis and may drive which terms to include in an agreement in order to mitigate the risk and protect your researcher’s project. Objectives: (1) Participants will be able to identify areas for special consideration in working with a variety of contracting and subcontracting scenarios with foreign entities; (2) additional factors to consider and incorporate into risk analysis and suggested approaches to mitigate risk.

### Break: 3:45 PM to 4:00 PM

**Sessions 4:00 PM to 5:00 PM**

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### Break: 4:45 PM to 5:00 PM

**Sessions 5:00 PM to 6:00 PM**

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**Arizona**

**Pre-Award**

**Mentorship Team Development: The Essential Inclusion of the Research Administrator**

Rebecca M. GMB, University of Utah, and Erin T. Wechs, University of Utah

It is not news that mentorship has been identified as a key component in the success and retention of faculty. What is new is including the research administrator as an essential part of the mentorship team. In this session you will learn about a new mentoring model successfully piloted at an academic health center. We will explore the value of the research administrator, an established component in this model, and the dynamics of defining this role. An administrator is the best resource to train the investigator at all stages in the holistic research process. They maximize limited resources and reduce scientific mentor’s time by training new investigators on the fundamentals needed to navigate the research process, i.e., institutional policies, grant submission, financial policies, and compliance issues. During the session we will provide examples and tools for the administrator to facilitate expansion of their role within the mentorship team.

**Wyoming**

**Post-Award**

**A-133: Transition to Uniform Guidance**

John Sites, Horizon Consulting, and Allison Sanders, San Francisco State University

This session will summarize the impact of the Uniform Guidance on the A-133 Single Audit Act and the associated Compliance Requirements. In addition, we will present a case study on how it has been interpreted and applied during a recent A-133 Audit for FY 2015.

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**Evening Dinner and Entertainment: 6:30 PM - 10:30 PM - Ballroom A & B**

**Wednesday, October 7, 2015**

**Breakfast 7:00 AM to 8:15 AM - Ballroom A & B**

**Sessions 8:30 AM to 10:00 AM**

**Sun Valley**

**Professional Development**

**Creating Dynamic Presentations**

Tony Orehofski, University of Utah and Danny Trujillo, University of Utah

As research administration professionals, we are committed to facilitating the sharing of knowledge and information amongst and between colleagues to enhance best practices and methodologies. Institutional training and educational programs are often conducted on either a formal or informal level. At the regional and national levels, NICRA relies on its members to share their experiences through a wide variety of presentation formats. This session will assist participants in preparing effective power point presentations, understanding the principles of adult learning, and facilitating instructional group exercises and discussion. **Note:** Use of an electronic audience response system will further engage participants and foster discussion of this practical and informative topic.

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**Tucson**

**Sponsored Programs Administration and Beyond**

**C3AN Principles: Applications for a Research Administrative Core Office**

Eris Larabee, University of Utah; Sandy Drolfeger, University of Utah

**Flagstaff**

**First-Award**

**Post-Award Process Improvement: There are No Losers**

Rick Blair, University of California, San Francisco, and Mary Catherine (MC) Gaisbauer, University of California, San Francisco
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 gain a reasonable return on investment. Processes to evaluate the business process and organization will be shared in order for opportunities to increase service levels, efficiency, effectiveness, and transparency while leveraging systems and performing a gap fit analysis for system upgrades will be shared with participants. Objectives: The learning objectives are as follows: • 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 • Considering 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 • Share outcomes • Evaluate opportunities.

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<tr>
<th>State</th>
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</thead>
<tbody>
<tr>
<td>Utah</td>
<td>The Complements when Negotiating Subawards and Subcontracts</td>
<td>Advanced</td>
<td>Presentation</td>
<td>Sandra Stevens, University of California, Irvine, and Lisa Jordan, SII International</td>
<td>10:30 AM to 11:45 AM</td>
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</table>

This interactive session will focus on the complexities of negotiating subawards and subcontracts in an environment of increasing regulation and compliance. It will include a discussion of contract clauses, how to modify them for a variety of subrecipients/subcontractors (e.g. for profit entities, international entities etc.), and strategies and practical guidance for negotiation. Case studies will be presented to facilitate discussion as well as demonstrate and reinforce concepts and topics covered. Objectives: (1) Participants will learn strategies for negotiating clauses in subawards and subcontracts with a variety of entities (for profits, international organizations etc.); (2) participants will be able to identify and mitigate problematic clauses and identify key issues and special considerations for working with a variety of subrecipients.

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<tbody>
<tr>
<td>Idaho</td>
<td>Compliance in the New World of Uniform Guidance (Part 1 - Session)</td>
<td>Advanced</td>
<td>Presentation</td>
<td>Debra Murphy, Arizona State University</td>
<td>10:30 AM to 11:45 AM</td>
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Compliance in the world of new US. To include FCOI: How to manage as an institution all the way to subrecipients and professional service providers.

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<tbody>
<tr>
<td>Arizona</td>
<td>National Institutes of Health: Update (Webcast)</td>
<td>Overview</td>
<td>Presentation</td>
<td>Michelle Bux, National Institutes of Health</td>
<td>10:30 AM to 11:45 AM</td>
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</table>

This webcast session will cover the latest news from the National Institutes of Health (NIH), including information on the NIH budget, current policy topics, policy

Morning Networking Break 10:00 AM to 10:30AM - Foyer A & B

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<tbody>
<tr>
<td>Sun Valley</td>
<td>Monitoring, Coaching and Managing the Sponsored Research Staff (Professionals)</td>
<td>Advanced</td>
<td>Presentation</td>
<td>Dan Nordquist, Washington State University</td>
<td>10:30 AM to 11:45 AM</td>
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What does it really mean to mentor, coach and manage? Many of us have our tips and “things that work” at our University to help us develop our staff. Let’s evaluate our techniques related to standard best practices and have a discussion that moves us forward as better mentors, coaches, managers, and maybe at times, a good counselor. Remember a good solution always starts with a good conversation.

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<tr>
<th>State</th>
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<tbody>
<tr>
<td>Arizona</td>
<td>Research Administration According to Dr. Sheldon Cooper</td>
<td>Intermediate</td>
<td>Presentation</td>
<td>Nancy Lewis, University of California, Irvine, and Bruce Morgan, University of California, Irvine, and Sean Williams, California State University, East Bay</td>
<td>10:30 AM to 11:45 AM</td>
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“The Big Bang Theory” is one of the most successful shows on television, and while the general public finds the show to be hilarious, those of us in research administration understand the comedy on a deeper level. That level is what we call reality. The antics of Drs. Cooper, Hofstadter, Koothrappali, and Mr. Wolowitz have made us all cringe on numerous occasions. From inappropriate use of government property to poor stewardship of sponsored funds, this session will highlight many of their on screen policy violations and incidents of noncompliance while also examining the actual, real life regulations involved.

Learning Objectives: This session will:
- Highlight the on screen scenarios that are related to research administration
- Explain the real world policy and regulation violations committed
- Examine the long term consequences should these violations take place within our institutions

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<tr>
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<tbody>
<tr>
<td>Tucson</td>
<td>Tools for Managing a Successful Audit</td>
<td>Advanced</td>
<td>Presentation</td>
<td>Kim Calvery, Oregon State University, and Lee Pettit, Arizona State University</td>
<td>10:30 AM to 11:45 AM</td>
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Objectives: Participants will learn techniques to prepare for an audit, coordinating an audit, and responding to an audit.

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<td>Idaho</td>
<td>Follow-up to Presentation: Compliance in the New World of Uniform Guidance (Part 2 Discussion)</td>
<td>Advanced</td>
<td>Discussion</td>
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<tr>
<td>Utah</td>
<td>Pitfalls and Challenges: Managing Commercially Sponsored Clinical Trials</td>
<td>Intermediate</td>
<td>Discussion</td>
<td>Kris Larrabee, University of Utah, and Sandy Drollinger, University of Utah</td>
<td>10:30 AM to 11:45 AM</td>
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This course covers the varying challenges in negotiating, implementing and managing commercially sponsored clinical trials. Presenters will dive into areas often overlooked in the management of clinical trials, such as, pre-negotiation agreements, time-based budgeting, margin calculation, insurance project goal alignment with institutional policies and mission, post clinical trial analysis. Objectives: Pre-award agreements: CDA/NDA, start-up agreements - time based budgeting, clinical trial budget development, protocol review tips for the non-scientist - margin calculation - accounting for variances - research mission of the academic institution, departmental goals - helping the study team develop a plan of initiation based on contract proceedings - post clinical trial financial analysis to discover areas for improvement.