

The University of Maryland's administrative training program, *Borderless Research Administration Knowledge Exchange (BRAKE)*, focuses on engaging international institutions as strategic cohorts concentrated on building expertise and collaboration in the management and oversight of U.S. federal funding.

The University of Maryland (UMD) is taking a unique, proactive approach to overcoming barriers to enhancing international partnerships by dedicating valuable resources to streamlining administrative functions. These efforts are intended to facilitate research collaborations by reducing administrative obstacles for researchers and strengthening our position as a top tier global research institution by encouraging joint proposal endeavors, research administration, and researcher exchange programs.

BRAKE faculty can provide face-to-face training in the following areas:

US Compliance—What is this thing called Uniform Guidance, and how does it impact International Institutions?

Responsible Conduct of Research (RCR) – the Foreign View

Research Administration Organization

Foreign Applications to NIH

Aspiring to be in Senior Leadership in Research Administration

The Audit, The Documentation, and The Lessons Learned

Each of these can be offered as a full day workshop; half day workshop; or interactive topical discussion (1.5 hours)

In addition, UMD BRAKE faculty will meet with administrative colleagues from the host Institution and provide an in-depth assessment of the attending institutions' administrative infrastructure to ensure a culture of compliance with all federal regulations.

While on-site, UMD BRAKE faculty are also able to tour facilities and meet with faculty researchers to take the first steps to building bilateral collaborations with foreign institutions.

Cost: The host Institution is responsible for airfare, hotel, and per diem for the UMD BRAKE faculty, but there is no charge for the training itself. A typical training runs 5-7 days (with 2-3 days travel time), depending on the needs of the host. The host Institution is strongly urged ask neighboring entities to attend the training workshops (100 people max suggested) and could use registration fees to offset the UMD BRAKE faculty travel costs.

To date, UMD has engaged in onsite training with global research partners in locations across the world, including Australia, Chile, Denmark, Israel, Monterrey, the Netherlands, New Zealand, Romania, and Sweden.

Contact information:

Denise Clark, Associate Vice President for Research Administration
brake@umd.edu; subject line: BRAKE Initiative

Workshop Title: US Compliance – What is this thing called Uniform Guidance and how does it impact International Institutions?

Workshop Overview - Any university that holds an agreement with a US federal agency or has a sub-award from a US institution needs to know about the US regulation called the Uniform Guidance (UG). Since the Uniform Guidance came into full effect on December 26, 2014 there has been a lot of confusion and a steep learning curve for research administrators to adapt to the new regulations regarding US federal funding and how the federal agencies are also adapting to the Uniform Guidance. This workshop will provide expert knowledge on all aspects of the Uniform Guidance. It will also highlight the key points for foreign institutions and provide real case studies of how the regulations are interpreted and implications for future audits.

Workshop Structure - The workshop will be conducted in a highly interactive style, with case studies being woven into the workshop material. Teaching moments will be expanded upon via life lessons learned and open opportunities for Q&A. We encourage participants to share current implementation challenges. The Uniform Guidance will be used in full text and participants will use it as the basis for case study analysis.

Experience Level / Target Audience - Participants should have knowledge of US federal funding parameters and be involved in the administration of US sponsored programs at their institutions. Target audience includes central pre, post, and procurement administrators; departmental administrators; compliance officials and policy makers.

Learning Objectives - Participants will receive: an overview of the Uniform Guidance with highlighted key sections in pdf format; a hands-on, walk-through approach to understand the Uniform Guidance; a review of US agency implementations and impacts; and participants will explore real life case scenarios related to the Uniform Guidance and the impact on foreign institutions

Workshop presenters: **Denise Clark**, Associate Vice President for Administration, Division of Research, University of Maryland College Park; **Ann Holmes**, Assistant Dean, College of Behavioral and Social Sciences; **Dennis Paffrath**, Assistant Vice President Research, University of Maryland Baltimore

TRAINED to date: 785 out of 1691 trained in Uniform Guidance.

Workshop Title: Responsible Conduct of Research (RCR) – the Foreign View

Workshop Overview - *This is a NEWLY revised workshop rolled out in August 2017.* The US Federal government has increasingly placed an emphasis on the training of research administrators in RCR. These requirements dictate the need for new or revised institutional policies and procedures and are being validated through compliance and/or ethics related audits. This session is designed to provide foreign research administrators with important information on the requirements surrounding the development of related institutional policies as well as the implementation of subsequent training in the areas of conflicts of interest, misconduct in science, use of human subjects in research, animal welfare, whistleblower guidelines, and fraud, waste and abuse. This half-day workshop reviews requirements from the National Science Foundation (NSF) and the National Institutes of Health (NIH) and provides guidance on how to become compliant.

Workshop Structure - This workshop will discuss “what your signature means” when you sign as an authorized representative either at the pre-award stage (proposal) or the post-award stage (financial statement). What exactly are all the “incorporated by reference” certifications and representations that the signer is attesting to and are you personally liable? The workshop will help answer these questions.

Experience Level / Target Audience - Departmental Research Administrators; Central Office Research Administrators; Legal Office Administrators; Compliance Officers; Ethics Officers

Learning Objectives: Explain the certifications and representations associated with proposals; Provide an overview of the RCR core competencies; Provide insight into the development of RCR plans and review training; Discuss training delivery methods, criteria and documentation; Understand the need to monitor compliance; Analyze post approval monitoring systems and validation; Highlight regulatory compliance reporting requirements; Understand current audits and investigations in regulatory compliance areas; Discuss a “View from the Top,” the UMD Research Support Committee approach; Listen to real life “lessons learned” from regulatory compliance audits; Construct a standard template for NIH Financial Conflict of Interest Disclosures.

Workshop presenter: Denise Clark, Associate Vice President for Administration, Division of Research, University of Maryland College Park

TRAINED to date: 174 out of 1691 trained in Responsible Conduct of Research (RCR).

Workshop Title: Research Administration Organization

Workshop Overview – *This is a NEWLY revised workshop rolled out in August 2017.* Research Administration is a fairly recent acknowledged profession. At the core of every research enterprise is an organizational infrastructure that supports researchers in their endeavors to change the world by exploring new and novel ways to address today's societal challenges. This workshop highlights the various ways to set up an efficient organization.

Workshop Structure - The workshop will be conducted in a highly interactive style. Teaching moments will be expanded upon via life lessons learned and open opportunities for Q&A. We encourage participants to share current challenges.

Experience Level / Target Audience – This workshop is open to all involved in the research enterprise. No prior experience is needed. The workshop provides an overview of organizational structures and other infrastructure topics to consider when becoming an emerging research institution.

Learning Objectives:

- Participants will be provided with an overview of the Research Administrative Structure at the University of Maryland (UMD) and at other research-intensive organizations.
- Participants will explore real life case scenarios related to the everyday workings of research administration at UMD and around the world.

Workshop presenter: Denise Clark, Associate Vice President for Administration, Division of Research, University of Maryland College Park

TRAINED to date: 118 out of 1691 trained in Research Administration Organization.

Workshop Title: Foreign Applications to NIH

Workshop Overview: Tips and advice for applying to the National Institutes of Health (NIH) as a foreign organization. This workshop will provide an overview of National Institutes of Health, including funding mechanisms, scientific review, submission requirements, and pre and post award issues. It will also showcase NIH Reporter: the database of NIH funded research. Participants will learn how to use NIH Reporter as tool to find POs, study sections, who applied to what FOA, and comparative costs. You will be able to go back to your desk (or open your laptop) and use this tool immediately.

Experience Level / Target Audience: Intermediate grant/proposal development experience. No experience with NIH or US funding agencies required. We encourage active participation, so please come with questions!

Workshop presenters: **Beth Brittan-Powell**, PhD, Director of Joint Research Collaborations, University of Maryland, College Park and **Dennis Paffrath**, Assistant Vice President Research, University of Maryland Baltimore

TRAINED to date: 553 out of 1691 trained in NIH.

Workshop Title: *Aspiring to be in Senior Leadership in Research Administration*

Workshop Overview: This interactive workshop is targeted for individuals who are in leadership positions at their institution, or aspire to move toward entering into a leadership role in their near future. A mixture of lectures, exercises and interactive discussions will provide insights into building and enhancing skills for strategic management and advancement in a rapidly changing workplace, in the world of research administration. Topics will include: Identifying and Acknowledging Leadership Skills, Leadership vs. Management, Managing Resistance to Change in the Changing Workplace, Strategic and Succession Planning, Thriving Workplace Initiatives and Engagement and using Human Capital to Your Advantage. Other topics include managing change by facilitating communication, training, and cross-functional collaboration. Presenters will build upon their personal experiences in the fields of research proposal development, submission and award management as well as audit management and oversight. Join us as we explore the areas so critical in building and maintaining strong leadership skills and turning research administration from a job to a career to a successful profession.

Learning Objectives:

- Participants will characterize, criticize, evaluate and defend their leadership tendencies, identifying areas for growth.
- Participants will illustrate and measure the differences between leadership and management and explore where their strengths lie and where weaknesses should be addressed.
- Participants will categorize, analyze, scrutinize and dissect the impacts a changing workforce has on employee expectations and morale and how that may translate into development of leadership initiatives, including strategic and succession planning.

Experience Level / Target Audience: Participants should have 3+ years of experience in research administration and currently in a mid-management position within central/department administration, or be highly motivated to enhance their career objectives and professional opportunities!

Workshop presenter: Denise Clark, Associate Vice President for Administration, Division of Research, University of Maryland College Park

TRAINED to date: 51 out of 1691 trained in Aspiring to be in Senior Leadership in Research Administration.

Workshop Title: *The Audit, The Documentation, and The Lessons Learned*

Workshop Overview: American author and humorist Samuel Levenson is quoted with saying “You must learn from the mistakes of others. You can’t possibly live long enough to make them all yourself”. Researcher administrators clearly understand the truth in this statement. This workshop has been developed to review recent audits to see what we can learn from the “mistakes” of others. Using the findings from recent audits we will first review the best practices for managing audits. Participants, working in small workgroups, will be asked to review documentation and other information provided to auditors to determine allowability. Putting ourselves in the shoes of the auditors may help us view our practices in a new light. What pitfalls do we see in what others have done? What can we do to improve our internal reviews? How do we balance risk of “being perfect” (at least administratively), with the need for the science to move forward?

Learning Objectives:

- Participants will learn best practices for managing audits
- Participants will learn what issues are likely to be questioned in audits and learn ways to spot problems before they become audit findings
- Participants will review and discuss internal policies to see how they might be strengthened to ensure compliance at their own institution.
- Participants will learn why policies that are too restrictive may hamper research.

Workshop presenters: Denise Clark, Associate Vice President for Administration, Division of Research, University of Maryland College Park