

The World of Research Administration

1. Research Administration

a) Settings for Research Administration

- i) Universities and Colleges
- ii) Hospitals
- iii) Independent Research Organizations
- iv) Government
- v) Medical Schools
- vi) Biomedical Institutions
- vii) Nonprofits
- viii) Industry
- ix) Foundations

b) Roles and Responsibilities

- i) Research Administrator
- ii) Sponsored Programs Office
- iii) Principal Investigator
- iv) Key Personnel
- v) Institution
- vi) Sponsor

c) Collaborations and Interdependency

- i) Research Administration
- ii) Principal Investigator and their Study Team
- iii) Institution
- iv) Funding Agency

d) Professional Skills of the Research Administrator

- i) Customer Service
- ii) Project Management
- iii) Multi-Tasking
- iv) Time Management
- v) Training for Career Development

2. Funding Identification

a) Information Sources to Find Funding

- i) Primary Sources
- ii) Secondary Sources
- iii) Marketing and Dissemination of Information
- iv) Resource Documents and Application Materials
- v) Liaison
 - (1) Internal
 - (2) Funding Agency
 - (3) Cooperative Arrangements

b) Types of Sponsors

- i) Agency Structure and Practice
 - (1) Differentiation between Public and Private Sources

- ii) Federal Government
 - (1) Structure and Agency Missions
 - (2) Types of Funding Programs and Award Mechanisms
 - iii) State and Local Government
 - iv) Private Foundations
 - v) Associations and Societies
 - vi) Industry Sponsors
 - vii) International Sponsors
- c) Modes of Support and Sponsored Projects**
- i) Grant (Assistance)
 - ii) Contract (Procurement)
 - iii) Cooperative Agreement
 - iv) Subcontract
 - v) Other
 - vi) Solicited vs. Unsolicited Opportunities
- d) Funding Opportunities**
- i) Solicited
 - ii) Unsolicited vs. PI-Initiated Opportunities
 - iii) Limited Submissions
- e) Announcements**
- i) Collection and Dissemination of Information
 - ii) General Components of Funding Announcements
 - iii) Types and Traits of Funding Announcements or Solicitations
 - iv) Identification of Key Points
 - v) Communication Methods and Delivery to Appropriate Audience
- f) Funding Programs**
- i) Research
 - ii) Fellowships and Training
 - iii) Equipment and Instrumentation
 - iv) Program Projects and Centers
 - v) Career Development
 - vi) Internal
 - vii) Other
- g) Electronic Research Administration**
- i) Institutional Capacity to Electronic Submission
 - ii) Key Features of Online Proposal Submission Systems
 - iii) Common Systems
 - (1) Grants.gov
 - (2) FastLane
 - (3) eRA Commons
 - (4) NSPIRES
 - (5) FedConnect
 - (6) proposalCENTRAL
 - (7) Other
 - iv) Other Electronic Tools
 - (1) Research.gov

- (2) NIH RePORTER
- (3) USAspending.gov
- (4) Other
- v) System-to-System Interfaces

3. Proposal Development and Submission

a) Proposal Development

- i) Types of Proposals
- ii) Elements of a Proposal
- iii) Characteristics of a Successful Proposal
- iv) Unique Characteristics of Industry-Sponsored Proposals
- v) Responsibilities of Proposal Development

b) Project Management

- i) Organizational Influences and Project Life Cycle
- ii) Project Stakeholders and Governance
- iii) Project Team
- iv) Project Management Processes
 - (1) Initiating Process
 - (2) Planning Process
 - (3) Executing Process
 - (4) Monitoring and Controlling Process
 - (5) Closing Process
- v) Project Integration Management
- vi) Project Scope Management
- vii) Project Time Management
- viii) Project Cost Management
- ix) Project Quality Management
- x) Project Human Resources Management
- xi) Project Communications Management
- xii) Project Risk Management
- xiii) Project Procurement Management
- xiv) Project Stakeholder Management

c) Strategic Planning

- i) Strategy Formation
 - (1) Business Vision and Mission
 - (2) External Assessment
 - (a) Economic Forces
 - (b) Social, Cultural and Demographic Forces
 - (c) Political, Governmental, and Legal Forces
 - (d) Technological Forces
 - (e) Competitive Forces
 - (3) Internal Assessment
 - (a) Management
 - (b) Marketing
 - (c) Finance/Accounting
 - (d) Productions/Operations

- (e) Research and Development
 - (f) Management Information Systems
 - (4) Strategy Analysis and Choice
 - ii) Strategy Implementation
 - (1) Management and Operations Issues
 - (2) Marketing Issues
 - (3) Finance Issues
 - (4) Research and Development Issues
 - (5) Management Information Systems Issues
 - iii) Strategy Review, Evaluation, and Control
 - iv) Strategic Management
 - (1) Business Ethics
 - (2) Social Responsibility
 - (3) Environmental Sustainability
 - (4) Global and International Issues
- d) Understanding Agency Guidelines**
- i) Broad Agency Announcement
 - ii) Invitation to Bid
 - iii) Request for Application or Proposal
 - iv) Request for Quotation
 - v) Program Announcement
 - vi) Documentation to Meet Sponsor Requirements
 - (1) Subcontractor or Collaborator Documentation
 - (2) Just-In-Time Documentation and Process
 - (3) Current and Pending Support
 - (4) Required Proposal Components
- e) Identification of Internal Capacity**
- i) Identification of Space Needs
 - ii) Assessment of Facilities, Resources and Capabilities
 - (1) Animal Research Facilities
 - (2) Specialized Facilities
 - (3) Central Services
 - (4) Availability of Institutional Matching Funds
 - iii) Documentation to Meet Sponsor Requirements
- f) Internal Clearances and Approvals**
- i) Internal Proposal Review
 - ii) Approvals and Documentation of Institutional Commitments
 - iii) Records Retention
 - iv) Negotiation Techniques
 - v) Deadlines and Target Dates
 - vi) Unfunded and Revised Proposals
- g) Types of Proposals**
- i) Pre-Proposal, Pre-Application, and Letter of Intent
 - ii) New Proposals
 - iii) Continuation, Renewal or Resubmission Proposals
 - iv) Competing vs. Non-Competing Proposals

- v) Seed Grants, Pilot Projects, or Internal

h) Nonfinancial Components

- i) Personnel and Key Persons
- ii) Title, and Short Title
- iii) Abstract, Executive Summary, and Introduction
- iv) Needs Statement and Problem Statement
- v) Goals and Objectives
- vi) Statement of Work
- vii) Implementation Plan
- viii) Methods
- ix) Sustainability
- x) Evaluation Plan
- xi) Data Sharing
- xii) Letters of Support

4. Budget Development

a) Budget Preparation

- i) Process for Developing Budget
- ii) Budget Role in the Proposal
- iii) Characteristics of a Successful Budget
- iv) Interpretation of Sponsor Guidelines, Budget Limitations, and Exclusions
- v) Understanding of Sustainability of Project
- vi) Budget Categories
- vii) Accounting and Management Systems
- viii) Use of Budget Forms, Templates, and Spreadsheets
- ix) Budget Calculation
- x) Understanding General Cost Principles
 - (1) Criteria for Determining Allowable and Unallowable Costs
 - (2) Typical Allowable and Unallowable Costs
 - (3) Cost Account Standards

b) Project Costs

- i) Definitions of Direct and Indirect Costs
- ii) Definition of Major Projects and Unlike Circumstance
- iii) Understanding of Total Project Costs, Sponsor and Matching
- iv) Program Income
- v) Direct Costs
 - (1) Personnel
 - (a) Salaries and Wages
 - (b) Time and Effort
 - (c) Fringe Benefits
 - (2) Travel
 - (3) Equipment
 - (4) Other Direct Costs
 - (5) Subawards
 - (6) Consultants
- vi) Facilities and Administrative Costs

- (1) Rate Determination
- (2) Cost Categories
- (3) Types of Rates
- vii) Indirect Costs
 - (1) Components of Indirect Costs
 - (2) Indirect Cost Rates
 - (a) General Process for Developing Rate Proposal
 - (b) Determination of Appropriate Rate
 - (i) On Campus/Off Campus
 - (ii) Purpose Code
 - (iii) Negotiation of Indirect Rates
 - (3) Calculation of Indirect Costs in Proposal Budgets
 - (4) Modified Total Direct Costs (MTDC)
 - (5) Development Indirect Costs
 - (6) Unrecovered Indirect Costs
 - (7) Waivers
- viii) Cost Sharing
 - (1) Allowable and Unallowable Costs
 - (2) Types of Cost Sharing
 - (a) Mandatory
 - (b) Voluntary Committed
 - (c) Voluntary Uncommitted
 - (3) Documentation and Institutional Approvals
- ix) Program Income
- c) Sponsor Documents**
- d) Internal Controls**
 - i) Cost Transfers
 - ii) Rebudgeting
 - (1) Review
 - (2) Submission
 - (3) Implications to Scope of Work

5. Sponsor and Public Interface

- a) Administration of Awards**
- b) Sponsor Reviews**
 - i) In-House Review
 - ii) Peer Review
 - iii) Modified Peer Review
 - iv) Other
- c) Site Visits**
- d) Negotiations**
 - i) Typical Negotiation Process and Sponsor Interface
 - ii) Terms and Conditions
 - (1) Common Preferred Positions
 - (2) Implications of Restrictive Terms
 - (3) Use of Name

- (4) Publications
- (5) Warranty
- (6) Indemnification
- (7) Payment
- (8) Other

e) Intellectual Property

- i) Applicable Regulations
- ii) Types of Characteristics
 - (1) Patents
 - (2) Copyrights
 - (3) Licensing
 - (4) Commercialization
 - (5) Data
 - (6) Proprietary Information
- iii) Classified Research

f) Assurances, Certifications, and Disclosures

- i) Institutional Registration and Identification
 - (1) Representations and Certifications
 - (2) System for Award Management
 - (3) Employer Identification Number
 - (4) DUNS Number

g) Public Relations

- i) Freedom of Information
- ii) Public Records Laws
- iii) Media Relations and Interactions with Special Interest Groups
- iv) Environmental Concerns and Impacts
- v) Chemical Hazardous Waste
- vi) Material Safety Data Sheets
- vii) Environmental Safety
- viii) Management of Public Relations with Potential Hazards

6. Legal Requirements

a) Regulations and Statues

- i) Overview of Regulatory and Legislative Process
 - (1) Federal Budget Process
 - (2) Congressionally Directed Funding
 - (3) Code of Federal Regulations
 - (4) Federal Acquisition Regulation
 - (5) America COMPETES Act
 - (6) Other
- ii) Public Laws and US Code
- iii) Executive Orders
- iv) Governmental Relations
- v) Mandated Requirements

b) Federal Budget Process

- i) Formulation

- ii) Congressional Action
- iii) Execution
- c) Grants Regulatory Framework**
 - i) Statutory Requirements
 - ii) Program Requirements
 - iii) Administrative Requirements
- d) OMB Circulars**
 - i) Office of Management and Budget
 - ii) Cost Principles
 - iii) Administrative Requirements
 - iv) Audits of Grants
- e) Research Related Compliance**
 - i) Institutional Review Board
 - ii) Institutional Animal Care and Use Committee
 - iii) Human Subjects
 - iv) Use of Animals
 - v) Investigational New Drug
 - vi) Biosafety, Radiation, Hazardous, and Chemical Safety
- f) Contract Compliance**
 - i) Federal Procurement Agreements
 - ii) Regulations Specific to Contracts
 - iii) Federal Acquisition Regulations
- g) Disclosure Policies**
 - i) Conflict of Interest
 - ii) Research Misconduct
 - iii) Relevant Regulations
 - iv) Office of Research Integrity
 - v) Health Information Portability and Accountability Act
 - vi) Data Access and Retention
 - vii) Export Administration Regulations and International Regulations
 - viii) Federal Disclosure Requirements
 - ix) Institutional and Sponsor Publication Requirements
 - x) Freedom of Information Act
- h) Public Policies, Representations, and Certifications**
 - i) Individual Rights
 - ii) Employee Directives
 - iii) Lobbying
 - iv) Fraud, Waste, and Abuse
 - v) Administrative Requirements
 - vi) Terms and Conditions of Award
 - vii) Federal Management Requirements
- i) Federal/Sponsor Appeals**
- j) Ethics and Professionalism**
 - i) Conflict of Interest
 - ii) Bioethics
 - iii) Human Subjects

- iv) Animal Care
- v) Professionalism

7. Award Management

a) Administration of Awards

- i) Agency Contact after Proposal Submission
- ii) Accepting the Award
- iii) Postaward Management
- iv) Expanded Authorities
- v) Material Transfer Agreement
- vi) Continuation Funding
- vii) Changes in Project Status
- viii) Award Instruments

b) Facility Management

- i) Specialized Facilities
 - (1) Animal Research Facilities
 - (2) Specialized Facilities
 - (3) Central Services
- ii) Property, Utility, and Equipment Management
 - (1) Inventory Control
 - (2) Sale and Disposal of Property
 - (3) Lease vs. Purchase
 - (4) Capital Expenditures
 - (5) Sharing and Pooling
- iii) Safety and Health Requirements and Procedures
- iv) Hazardous and Nonhazardous Materials
- v) Security
- vi) Renovation and Construction
 - (1) Differentiation and Impact Analysis
- vii) Biohazards

c) Subcontracts and Subawards

- i) Critical Clauses

d) Contracts and Procurement

- i) Making Purchases with Grant Funds
- ii) Written Policies and Procedures
- iii) Basic Legal Concepts
- iv) Management of Contracts and Purchasing
- v) Termination and Appeals

e) Records Management

f) Human Resource Management

- i) Employee and Labor Relations
- ii) Career Development and Training
- iii) Staffing
- iv) Compensation

8. Fiscal Management and Compliance

- a) Financial Management Systems**
 - i) Characteristics and Impacts of Financial Systems Implementation
 - ii) Cost Accounting Standards
 - iii) Effort Certification and Reporting
 - iv) Cost Transfers
 - v) Equipment
- b) Cash Management**
 - i) Optimizing Revenue
 - ii) Accounts Receivable, Payable, and Collections
- c) Financial Risk Assessment and Management**
 - i) Cost and Fund Accounting
 - ii) Ethics, Accountability, and Delegations of Authority
 - iii) Fraud and Bad Debt
 - iv) Performance Metrics
 - v) Award Type
 - vi) Financial Conflict of Interest
- d) Expense Monitoring**
- e) Procurement**
 - i) Bid Process and Vendor Profiles
 - ii) Procurement Standards
 - iii) Procurement Card Management and Monitoring
- f) Subrecipient Monitoring**
- g) Clinical Trial Management Systems**
- h) Audits**
 - i) Types
 - ii) Internal and External Requirements
 - iii) Audit Preparation
 - iv) Audit Findings and Corrective Actions
- i) Fiscal Compliance from Sponsor's Perspective**

9. Reporting and Closeout

- a) Institutional Award Reporting**
- b) Cost Recovery**
 - i) Invoicing
 - ii) Electronic Methods for Drawing Down Funds
 - iii) Nonpayment
 - iv) Payments
- c) Financial Reports**
 - i) Reporting Periods
 - ii) Federal Financial Reports
 - iii) Indirect Cost Recovery Distribution
 - iv) Relinquish Statement
 - v) Authorized Signatory and Certification Statement
 - vi) Other

d) Institutional Reports

- i) Income Statement
- ii) Balance Sheet
- iii) Other

e) Subcontract Plan

f) Closeout

- i) Process for Closing Awards
- ii) Components of Financial Report and Required Documentation
- iii) Unliquidated Obligations
- iv) Carryover of Unobligated Funds
- v) Records Retention
- vi) Property Reports
- vii) Other

10. Resources

- a) Websites
- b) Glossary
- c) Acronyms
- d) Templates