Executive Summary

This is a proposed SPA redesign course catalog for the courses that will be offered for Pre-Award and Post-Award Departmental Research Administrators (DRAs). The courses are divided up by role and within those roles there are core courses and elective courses.

Core courses contain critical information regardless of sponsor or type of project that will address specific policies, procedures, and compliance considerations that pertain to a Pre-Award or Post-Award DRA. Elective courses contain topics that tend to be specific to a particular sponsor, type of sponsored project, as-needed processes and procedures that are not responsibilities of both a Pre-Award DRA and Post-Award DRA.

Core courses must be completed in order to achieve certification whereas elective courses are meant to enhance the knowledge of the role.

There are two paths for certification: Pre-Award Departmental Research Administrator and Post-Award Research Administrator. Each certification is comprised of core courses that are required for certification as well as core courses that can be mixed and matched. Elective courses are supplemental to the certification.

Note: Certification details are being determined and will be provided at a later time.
Summary of Courses by Role

<table>
<thead>
<tr>
<th>Pre-Award DRA Core Courses</th>
<th>Post-Award DRA Core Courses</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Sponsored Projects Overview*</td>
<td>1. Sponsored Projects Overview*</td>
</tr>
<tr>
<td>2. Policies, Compliance, Ethics*</td>
<td>2. Policies, Compliance, Ethics*</td>
</tr>
<tr>
<td>3. Proposal Budget Creation</td>
<td>3. Non-Payroll Related Spending on a Sponsored Project</td>
</tr>
<tr>
<td>5. Sponsored Award Setup &amp; Initiation</td>
<td>5. Sponsored Project Changes, Rebudgeting, and No-Cost Extensions</td>
</tr>
<tr>
<td>7. Types of External Support</td>
<td>7. Effort Certification</td>
</tr>
<tr>
<td>8. Planning &amp; Issuing Sub-awards</td>
<td>8. Managing Sub-Awards</td>
</tr>
<tr>
<td>9. Managing Pre-Award and Advanced Accounts</td>
<td>9. Sponsored Project Closeout</td>
</tr>
<tr>
<td>10. Cost Sharing</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Elective Courses</th>
<th>Elective Courses</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Locating Funding and Interpreting Sponsor Guidelines (libraries course)</td>
<td>1. Topics in Sponsored Projects for the “Non DRA”</td>
</tr>
<tr>
<td>2. Fastlane*</td>
<td>2. Clinical Trials</td>
</tr>
<tr>
<td>4. eRA Commons*</td>
<td>4. Indirect Cost Recovery/ Facilities &amp; Administrative Calculations and Redistribution</td>
</tr>
<tr>
<td>5. Award Negotiation</td>
<td></td>
</tr>
<tr>
<td>6. Sponsored Project Personnel</td>
<td>5. Special Issues &amp; Troubleshooting</td>
</tr>
<tr>
<td>8. Advanced Budget Creation</td>
<td>7. Sponsored Invoicing and Reporting</td>
</tr>
</tbody>
</table>

*Indicates cross over for both roles
1. **Sponsored Projects Overview (Pre & Post)**
   This course provides users with a brief, high-level overview of sponsored projects at the University of Minnesota. Topics that will be discussed include:
   - What a sponsored project is, who is responsible for them, why they are important, and how they can access additional resources for them through Sponsored Projects Administration (SPA) and Sponsored Financial Reporting (SFR.)
   - A high-level overview of a sponsored project’s common four phases:
     - Proposal
     - Award
     - Project Management
     - Closeout
   - Types of sponsored projects: grant, contract, and cooperative agreement
   - Types of funding: cost-reimbursable, fixed price, and fixed fee
   - A step by step look at the responsibilities of a Pre and Post-Award DRA
   - Accessing additional resources

2. **Policies, Compliance, Ethics (Pre & Post)**
   This course provides Pre and Post-Award DRAs with an overview of policies, compliance, and ethics as related to sponsored projects. This course focuses on mandatory policies, federal (OMB) circulars, procedures, and other compliance considerations. Specifically, the course will review and discuss the following core policies:
   - Federal regulations (OMB circulars A-21, A-110, A-133)
   - Research-related (i.e. copyrights, intellectual property, document retention), protocols (i.e. human subjects, animals, stem-cells)
   - Financial (i.e. charging indirect and F&A, cost-sharing, uncollectible costs)
   - Personnel-related (i.e. effort certification, conflict of interest, code of conduct)

3. **Proposal Budget Creation (The new EGMS class)**
   This course teaches Pre-Award DRAs about creating a budget during the proposal phase of sponsored projects. Users will learn about:
   - Budget categories and the Chart of Accounts, justification, direct and F&A cost calculations, ICR, fringe rates, allowable budget items, cost sharing (PRF changing), policies, and guidelines
   - Commonly discovered errors that can be eliminated if considered at budget creation that is part of proposal creation
4. **Proposal Assembly and Submission**
   This course teaches Pre-Award DRAs about assembling and submitting proposals for sponsored projects. Users will also learn about:
   - Interpreting sponsor guidelines (separate class also offered)
   - Common Proposal elements
   - EGMS & PRF
   - Cost sharing approvals
   - SPA deadlines
   - Monitoring the proposal in the financial system
   - F&A (indirect cost) reduction request form and approvals
   - Identifying program income
   - SPA review of a proposal which includes export control, certifications, etc.

5. **Sponsored Award Setup & Initiation**
   This course provides information regarding sponsored award setup at the department level. The approach for this course is to cover the conceptual aspects of award setup which leads into the practical aspects of award setup. Users will learn about:
   - The mandatory information and forms that departments must gather so SPA can enter the appropriate data into the financial system.
   - How to use the Financial System to monitor and verify awards, budgets, and cost sharing
   - The purpose of the Notice of Grant Award (NOGA) and how to run a NOGA
   - The significance of a technical report as a condition of the award
   - When it is appropriate or inappropriate to set up an award
   - When subawards can be issued (after original award is made)
   - Reviewing the NOGA
   - Budget activation in the Financial System
   - Reasons for why an award may be negotiated

6. **Grants.gov**
   The course is two parts: the first half is conceptual; the second half is a hands-on lab and will provide users with the following information:
   - How to access, assemble, and submit proposals via Grants.gov for sponsored projects which includes:
     - The Find and Apply features
     - Addressing major attachment issues
   - Instructions and considerations on the use the 424 form sets and their associated family of forms
   - Use of the new Adobe form set functionality
7. **Types of External Support**
This course will examine the following:

- Gift
- External sale
- Sponsored project

The definitions of each type of external support will be clearly defined because of the significance in needing to handle any external support properly to avoid non-compliance.

8. **Planning & Issuing Sub-awards**
Sub-awards are crucial to the success of a project as a whole; therefore, a formal agreement must be in place so the subcontractor fully understands the terms and conditions of the work that is to be done. This course teaches Pre-Award DRAs who support sponsored projects with sub-awards how to:

- Assisting the Principal Investigator by filing out the required forms and obtaining appropriate information
- Gathering budgetary information and work scope
- Sub-award organization
- Supporting the sub-awardee by serving as a resource

9. **Managing Pre-award and Advanced Accounts**
This course provides Pre-Award DRAs with the knowledge and understanding of when to use and how to manage pre-award and advanced accounts for sponsored projects. Users will learn the following:

- Policies and procedures
- Required forms and approvals
- Spending and reports
- Establishment of financial Project values
- Central (Sponsored Financial Reporting and Sponsored Projects Administration) Responsibilities

10. **Cost Sharing (Pre & Post)**
*Pre-requisite for the Effort Certification course*
This course will discuss the following:

- Implications of cost sharing to the University
- Roles and responsibilities
- Mandatory and voluntary cost sharing
- Impacts and discouragement of cost sharing
- PRF
Pre-Award Departmental Research Administrator (DRA)

Elective Courses

1. Locating Funding & Interpreting Sponsor Guidelines (sync with Libraries course)
   This course will explore the following:
   - Various opportunities for locating funding
   - The University of Minnesota’s own website: collaborate.umn.edu for internal and external funding
   - Definitions of the different types of sponsor solicitation
   - Responding to sponsor solicitation (RFA, RFP)
   - Tools for interpreting sponsor guidelines to assure it lines up with the University of Minnesota’s mission as well as the sponsor’s mission.

2. Fastlane (Pre & Post)
   This course examines the assembly and submission of proposals via Fastlane for sponsored projects. Users will learn about the following:
   - Preparing and submitting proposals
   - Reviewing submitted proposals
   - Inquiring on proposal status
   - Searching for NSF awards
   - Notifications and Requests
   - Continuation Funding Status
   - View/Print Award Documents
   - Project Reports System
   - Supplemental Funding Request
   - Change PI information

3. Other Electronic Proposal Submission Systems
   This course will cover several sponsor specific systems for assembling and submitting proposals. These systems include:
   - eSNAP in eRA commons for a non-competing renewal
   - NSPIRES (more info: http://www.bnl.gov/techxfer/wfo/nspires.asp)
   - Proposal Central
   - Foundation
   - Fed Connect
   - Department of Energy
4. **NIH eRA Commons (Pre & Post DRA)**

This course examines the growing functionality of the NIH system which includes:
- eRA Commons functionality
- eSNAP submissions
- xTrain
- Tracking Grants.gov proposal through to successful submission.
- Understanding JIT, conflict of interest, and other faculty uses
- NIH – Final report & Final inventions

5. **Award Negotiation**

This course will examine the following:

- Why does it matter where work takes place, who to consult with, and what is the University worried about?
- What does the University need to know? What are the limits?
- What can be done so pre-occurrence does not happen?
- The award process
- Verifying the award aligns with the University mission and values
- Insurance & Risk Management (MTAs, CDAs)
- Intellectual property (PI)
  - U approach, acceptable practice in negotiation
- Bilateral and unilateral agreements will be defined and discussed as it affects when the University signs and does not sign a grant.
- Steps needed before the award is made and when work can begin
- Establishing pre-award or advance accounts
- Education requirements
- Reviewing submitted proposals/PRFs in Electronic Grants Management System (EGMS)

6. **Sponsored Project Personnel**

This course will discuss the policies and processes that pertain to personnel who support sponsored projects during proposal assembly so users can be proactive in understanding the needs during project management. Users will learn about the following:
- Considerations for key personnel roles such as REPA, conflict of interest, FIRST
- Contracts for professional services
  - Engaging with consultants
- Supporting subcontractor personnel
- Considerations for a consultant, subcontractor, and/or collaborator and method of payment for each
7. **Understanding Program Income (Tutorial)**
   This course will assist Pre-Award DRAs in identifying program income at the proposal phase. Users will learn how to:
   - Recognize, calculate, and document potential program income.
   - Be in compliance with the OMB Circular A-110 as it pertains to the use of program income once it is generated.

8. **Advanced Budget Creation (NIH vs General)**
   This course will provide advanced case study situations where users will explore:
   - Modular
   - Multiple sub-awards
   - Patient care
   - Graduate Students
   - Multiple F&A Rates
   - Hitting a budget target
   - Program Income
   - Multiple Program/Projects

9. **Clinical Trials - (Pre & Post)**
   This course will discuss compliance implications and policies for clinical trials that include other considerations such as:
   - HIPAA
   - Human subjects protocols
   - Fixed-fee per unit/patient funding
   - Rules for spending and managing money appropriately
   - Fixed price closeout/transfer
   - Inspire people to seek out clinical trials
   - How to make sure all costs are covered
   - Forms, Policies, Approvals
Post-Award Departmental Research Administrator

Core Courses

1. **Sponsored Projects Overview (Pre & Post)**

   This course provides users with a brief, high-level overview of sponsored projects at the University of Minnesota. Topics that will be discussed include:
   - What a sponsored project is, who is responsible for them, why they are important, and how they can access additional resources for them through Sponsored Projects Administration (SPA) and Sponsored Financial Reporting (SFR.)
   - A high-level overview of a sponsored project’s common four phases:
     - Proposal
     - Award
     - Project Management
     - Closeout
   - Types of sponsored projects: grant, contract, and cooperative agreement
   - Types of funding: cost-reimbursable, fixed price, and fixed fee
   - A step by step look at the responsibilities of a Pre and Post-Award DRA
   - Accessing additional resources

2. **Policies, Compliance, and Ethics (Pre & Post)**

   This course provides Pre and Post-Award DRAs with an overview of policies, compliance, and ethics as related to sponsored projects. This course focuses on mandatory policies, federal (OMB) circulars, procedures, and other compliance considerations. Specifically, the course will review and discuss the following core policies:
   - Federal regulations (OMB circulars A-21, A-110, A-133)
   - Research-related (i.e. copyrights, intellectual property, document retention), protocols (i.e. human subjects, animals, stem-cells)
   - Financial (i.e. charging indirect and F&A, cost-sharing, uncollectible costs)
   - Personnel-related (i.e. effort certification, conflict of interest, code of conduct)

3. **Non-Payroll Related Spending on a Sponsored Project**

   This course provides an in-depth look at the policies and procedures that govern spending on a sponsored project. Specifically, topics to be covered include:
   - Allowable and unallowable costs
   - Direct and F&A costs
   - Traveling on University business
   - Purchasing goods and services
   - Purchasing professional services/consulting
     - Individual vs. company
   - Using the Procurement Card
   - Purchasing equipment
   - Non-payroll related reimbursements
   - Justification standards
4. **Utilizing Reports for Sponsored Project Management (Pre & Post)**

This course provides users with an in-depth look at the reporting tools and resources used to provide monitoring and management of a sponsored project. Specifically, users will learn how to learn, heavily monitor, and interpret the following reports:

- UM NOGA
- UM Sponsored Award Summary
- UM Sponsored Award Overview
- UM Sponsored Project Details
- Sponsored Transaction Detail – Expenses
- Receivables Aging Report
- Pre-award and Advanced accounts Reports
- Temp NOGA
  - Auto opens for spending (except personnel)
  - When NOGA is finalized, hands off from Pre to Post

5. **Sponsored Project Changes, Rebudgeting, and No-Cost Extensions (agency vs U of M)**

This course provides users with a comprehensive look at the various financial policies and procedures associated with project changes, rebudgeting, and no-cost extensions on a sponsored project. Users will learn how to:

- Identify, request, and manage project changes
- Properly rebudget funds used on a sponsored financial Chartfield string
- Apply the required financial procedures and approvals
- Cost Transfer Policy
  - Purchase on non-sponsored before rebudget

6. **Cost Sharing (Pre & Post)**

*Pre-requisite for the Effort Certification course*

This course will discuss the following:

- Implications of cost sharing to the University
- Roles and responsibilities
- Mandatory and voluntary cost sharing
- Impacts and discouragement of cost sharing
- PRF
7. **Effort Certification**
   This course provides the following:
   - Overview of sponsored and HR roles and responsibilities
   - A high-level summary of sponsored financial impacts to HRMS, Effort Certification, and other sponsored compliance considerations
   - Connections between the HRMS and the Effort Certification Reporting Tool (ECRT) as they pertain to:
     - Effort certification
     - Cost sharing
     - Earnings distributions
     - Historical Salary Adjustments (HSAs)
     - Special considerations on K awards (move to special issues and troubleshooting?)
   This course will also include the NIH salary cap.

8. **Managing Sub-Awards**
   Users will explore the various financial policies and procedures associated with projects that contain a sub-award. Specifically, users will learn how to:
   - Roles and Responsibilities
   - Different ways they are set up
   - Deal with annually, Year-end (New PRF)
   - Reports

9. **Sponsored Project Closeout**
   This course provides users with an in-depth look at the closeout phase of a sponsored project which will explore the following:
   - Policies, forms, approvals, and compliance considerations associated with closing a project.
   - Administrative, financial, personnel, materials, equipment, and reporting close out procedures.
   - Roles and responsibilities (SPA/SFR)
   - Fixed price transfers/closeouts
   - IRB & IACUC
   - Final progress report & invoice
   - Sponsor-dependent considerations
     - Patent-invention report
     - Disclosure
     - Dollar amount spent
1. **Topics in Sponsored Projects for the “Non DRA”**
   This course is designed with an accountant, support staff member, researcher, and/or financial user who support PIs, etc role in mind. The purpose is to provide the necessary financial aspects of a sponsored project but not to provide completely in-depth sponsored project information. The course will focus on the roles and responsibilities throughout the life of a sponsored project. Topics that will be covered include:
   - Pre-award overview
   - Creating a budget (direct & indirect cost)
   - Financial System
   - Managing Personnel
   - As-needed processes (e.g. No-cost extension)
   - Closeout

2. **Clinical Trials - (Pre & Post)**
   This course will discuss compliance implications and policies for clinical trials that include other considerations such as:
   - HIPAA
   - Human subjects protocols
   - Fixed-fee per unit/patient funding
   - Rules for spending and managing money appropriately
   - Fixed price closeout/transfer
   - Inspire people to seek out clinical trials
   - How to make sure all costs are covered
   - Forms, Policies, Approvals

3. **Sponsor Specific (Pre & Post)**
   This course provides users with a detailed look at various sponsors and their respective guidelines and turnaround time expectations. Some of the sponsors that will be discussed include:
   - NIH – classes exist
   - NSF
   - Foundations
   - Non-profit
   - For-profit
   - Hospitals
   - Other institutions
   - Government as a whole
4. **Indirect Cost Recovery/ F&A Calculations and Redistribution (Pre & Post)**

This course will provide the following:

- A comprehensive look at the implications of indirect cost recovery (ICR)
- Charging of Direct and Facilities and Administrative/Indirect Costs policy
- Sharing Indirect Cost Recovery Among Collaborating Collegiate Units policy
- OMB 821
- Calculations
- Proposal
- Approvals
- Include basics in proposal prep

5. **Special Issues & Troubleshooting (Pre & Post)**

The purpose of this course is to provide “what if?” scenarios, financials, policies, so users are prepared to deal with nuances such as:

- PI transfers (in and out of University)
- Early terminations or how to handle a sponsor that is threatening termination
- Incremental funding
- Prior approvals
- Intellectual property
- Sponsor rights
- Quality/Quantity, statement of work
  - Payment on invoices, PI work issue
- Negotiations
  - Payments, only receive what’s spent, or sponsor doesn’t want to pay all because of PI not doing job
- Phases
  - Milestones
- Refocus shifts
- Science has changed
- Financial vs non-financial
- K Awards & Effort
- Accelerated spending

6. **Program Income and the Temporary Investment Pool (TIP)**

**Note: add to Advanced Budget?**

This course will provide information on the policies, procedures, compliance considerations, and roles and responsibilities that support the concept of program income. This course will also cover the following:

- Temporary Investment Pool (TIP) and the ramifications to departments for any deficits
- Collections process and unique collections situations
- Retaining Interest
7. **Sponsored Invoicing and Reporting**
   This course will provide the following:
   - An overview of the Sponsored Financial Reporting (SFR) process
   - Roles and responsibilities in handling a draft invoice or report and detail (what does SPA do vs. SFR?)
   - The protocol of how transactions are received by SFR
   - Expectations and timeliness of departmental approvals of an invoice or report

8. **Cost Transfers (enhanced rebudgeting)**
   This course will provide the following:
   - Information on the process of dealing with cost transfers and the ability to provide legitimate reasons for needing to adjust or correct expenses already recorded on the general ledger
   - Cost Transfer policy as it details how and when charges can be moved onto and off of sponsored accounts
   - Mention of rebudgeting
   - Use a lot of logistics/examples/case studies

9. **Material Transfer Agreements (MTA), Confidentiality Disclosure Agreement (CDA), and Specialty Agreements (Pre & Post)**
   This course will provide the following:
   - The process of sending out and/or receiving materials as both processes are different
   - The importance that a department person does NOT sign, the University signs
   - Consequences of MTA’s for inventions
     - Materials transferred without an MTA
   - Confidentiality Disclosure Agreements (CDAs)

10. **Proposal Pre-Award and Award Set Up Phases (Pre & Post)**
    This course provides an in-depth look at the proposal, award setup, and pre-award phases of a sponsored project to round out the knowledge of a Post-Award DRA. Users will review the following:
    - Departmental administrative and financial tasks and associated policies, procedures, roles, responsibilities, and important compliance-related considerations.

11. **Inventory & Small Business Reporting**
    This course will provide the following information:
    - Reporting information regarding inventory and small business grants that come from the federal government as the University is expected to give at least $550k in funding from a small business.
    - Set up and management of capital equipment in the asset management module
    - The role of SFR in looking at vendors and verifying CCR (Central Contractor Registration)
12. Managing Human Subjects and Other Protocols
   This course provides the following:
   - Mandatory policies, procedures, and compliance considerations for Post-Award DRAs who are responsible for managing sponsored projects that involve human subjects and other regulatory concerns or protocols
   - IRB Training

13. Managing Sponsored Receivables
   This course provides users with an in-depth look at the appropriate ways to monitor and handle sponsored receivables and will discuss how the University is paid by sponsors (checks vs EFT). Other topics that will be discussed in this course include:
   - Roles and responsibilities
   - Cash receipts
   - Letter of credit receipts
   - Reconciling
   - Encumbrances
   - Uncollectible costs
   - Non-payment issues
   - Accounts Receivable aging reports
   - Bankruptcy
   - Quality/quantity issues
   - Compliance considerations and other actions necessary in establishing, monitoring, and administratively managing a sub-award on a funded project
   The course will address these topics in defining what these items are, when does the University get paid, and how these items affect payment.