Class 1 Orientation - September 11th 9:00am-11:30am

Bob Holm – Welcome

Jennifer Kerpelman – Welcome and the value of the COMPASS curriculum to the University’s research endeavor

Bob Holm

* The COMPASS Video and Brochure
  + Acknowledge the creators (Georgetta Dennis, Teresa Logiotatos, Jessica Parker, Penny Houston, Bill Shannon, Kim Graham)

Rodney Greer – Assessments

Jessica Parker and Susan Elkins – COMPASS Mentoring Program

Class 2 – Preaward Overview - September 18th 8:00am-12:00pm

Gina Bailey and Amy Thomas

* + Auburn Research Structure
    - Know research enterprise structure.
      * Match activities with appropriate office.
    - Understand where participants fit in relation to the research enterprise.
      * Explain who (offices/units) participants directly and indirectly interact with in funding processes.
      * Explain reasons for which participants would interact with specific offices/units.
* Introduction to Pivot
* Understand the abilities of the PIVOT system
* The Request for Proposals (RFP)
  + - Policies and Procedures
      * Know the components of an RFP (e.g., LOI, Abstract, Limited Submission, Budget, ICR, and Technical).
        + Describe an RFP.
        + Select information from an RFP relevant to participants’ position (e.g., to fill out cover form or aid in budget development).
      * Know RFP’s have specific requirements.
        + Name typical requirements (e.g., font size, page limits).
        + Select typical requirements.
      * Know application general guide rules exist and differ between agencies.
        + Identify rules.
        + Discuss application guides.
      * Understand how the RFP guides development of a proposal.
        + Recognize review criteria, budget limits, project length, etc.
      * Understand how the RFP guides project performance.
        + Describe how the RFP drives monitoring of a project.
        + Recognize the link from the RFP to proposal to the project implementation.
      * Understand the components of a proposal.
        + Give examples of components (e.g., CV, budget, abstract).

Class 3 – Budget Development - September 25th 8:00am-12:00pm

Gina Bailey and Amy Thomas

* + Budget Overview
    - What is a Budget?
    - Why is it Important?
    - Budget Justification
  + Explain how budget limitations can limit the project scope.
* Regulations and Costing

Governing Regulations

* Uniform Guidance
* State laws and regulations
* Direct Cost Policy
* Sponsor Terms and Conditions
* Know the federal, state and AU regulations.
  + State the regulations.
  + Name the regulations.
* Costing (to be discussed specifically with each budget component below)
* Cost Accounting Standards
* Cost Principles
* Unallowable Costs
* General Criteria for Cost Allocation
* Understand the difference between allowable and unallowable costs.
  + Explain the difference between allowable and unallowable costs.
  + Give examples of typical allowable costs.
  + Give examples of typical unallowable costs.
* Understand the difference between direct and indirect costs.
  + Explain the difference between direct and indirect costs.
  + Give examples of typical direct costs.
  + Give examples of typical indirect costs.
* Understand principles of cost allocation.
  + - Explain why principles of cost allocation are important.
* Cost Sharing
  + What is Cost Sharing?
    - Understand cost sharing.
      * Explain cost sharing.
      * Explain when cost sharing is necessary.
  + Methods of Cost Sharing
  + Types of Cost Sharing
    - Understand different types of cost sharing (what may be used).
      * Give examples of cost sharing.
  + Cost Sharing Criteria/Federal Regulations
    - Understand implications of committing cost share.
      * Recognize cost share must be tracked.
      * Recognize cost share commitments must be met.
  + Allowable Types of Cost Sharing
  + Unallowable Types of Cost Sharing
    - Understand some sponsors do not allow cost share.
      * Recognize the result could be a non-responsive proposal.
  + Calculating Cost Share
  + Departmental Approval
    - Know the approval process for cost share.
      * List the steps for approval of cost share.
  + Documentation
    - Know documentation required for cost share (e.g., in-kind).
    - Recognize what should be included in in-kind letters (commitments, amount, etc.).
  + Examples

Class 4 – Budget Development 201 - October 2nd 8:00am-12:00pm

Gina Bailey and Amy Thomas

Basic Budget Components

* + - Understand budget components (e.g., personnel, fringe, ICR, )
      * Explain the importance of budget categories.
  + E.g. Human Capital
    - Salaries
    - Fringe Rates
    - Tuition
  + Fringe Benefits
    - * Explain resources for determining fringe rates, ICR, etc.
  + *Other Direct Costs*
    - * Travel
      * Participant Support
      * Conference/Workshop Food
      * Materials/Supplies
      * Equipment
      * Subcontracts vs PSC
      * Tuition
      * Other Direct Costs
      * Understand what direct costs are
        + Explain direct costs
        + Give examples of direct costs
      * Understand direct costs are project specific
        + Give an example of direct cost based on the relation to project objectives
  + Indirect Costs
    - * Understand indirect costs can be charged as direct costs
        + Give examples of indirect costs that may be charged as direct costs based on the relation to project objectives
      * Understand need to include ALL allowable direct costs
        + Provide examples of allowable direct costs as it pertains to project objectives
      * Understand and can determine how to budget typical direct cost categories
        + Explain typical direct cost categories
        + Calculate typical direct costs
      * Indirect Costs
      * What are Indirect Costs?
      * Typical Indirect Costs
      * Exceptional or Unlike Circumstances
      * Justification for Direct Cost Charging
      * Rates
      * F&A Allocation
      * Understand what indirect costs are.
        + Explain indirect costs.
        + Explain for what indirect costs pay at AU.
      * Understand different rate types.
        + Explain the different indirect cost rate types at AU.
      * Understand the distribution to units.
        + Summarize the standard indirect cost distribution.
      * Understand the need for consistency in direct and indirect costs.
        + Describe what goes into the indirect cost rate and how it is determined.
      * Apply the appropriate indirect cost rate in a budget.
        + Demonstrate when to apply a specific indirect cost rate.
      * Understand indirect cost is sponsor specific.
        + Give examples of restricted indirect cost rate from sponsor policies.
  + Know where to find AU-related information.
    - Identify OSP website and other AU resources.
* Understand the importance of the budget to the overall project.
  + Explain how the project scope drives the budget.
* Understand the relationship of the budget to the RFP.

Faculty Research Symposium – October 4th - Participants are encouraged to attend

Class 5 – Proposal Submission - October 9th 8:00am-12:00pm

Tony Ventimiglia, Susan Elkins and Amy Thomas

* Overview
  + How to complete the cover form
    - Know the components of an AU cover form.
      * Describe the components.
    - Demonstrate how to complete an AU cover form.
      * Prepare a cover form based on specific project parameters.
  + Steps for approvals – Department(s), College(s)
    - Explain routing.
    - Explain who completes the cover form.
    - Explain sources of information for the cover form.
* Centralized Process
* Decentralized Process
  + Explain the difference in the two processes.
* The Details – Tony Ventimiglia
* Institutional process (including routing, electronic approvals, forms) – web page tour
  + - Understand the responsibilities of various AU units in the approval process.
      * Explain the responsibilities of various units in the approval process.
        + Compliance and Assurances – Overview

Responsible Conduct of Research

Conflict of Interest

Research Misconduct

Human Subjects

Animal Subjects

Biosafety

* + - Understand the responsibilities of various AU units in the submission process.
      * Explain the roles of various units in the approval process.
* Sponsor types and variations (structure, protocol, practices)
* Types of sponsored activities
* How to identify and categorize the different types of proposals
* Introduction to electronic forms (web-based tutorial)
* Grant terminology
  + - Know the terminology associated with sponsored agreements.
      * Match terms with definitions.
      * Define the terms.
* What office to contact for which functions (e.g., OSP, CGA, specific accountant by sponsor type, specific contract administrator by college/school)
  + - Know the AU offices associated with specific functions for sponsored agreements.
      * Match the office with its function.
      * Label a flow chart.

Class 6 – Pre award class exercise - October 16th 8:00am - 12:00pm

Gina Bailey and Amy Thomas

Class 7 – Introduction to post award - October 23rd 8:00am to 12:00pm

Darren May, Gina Bailey, Stacey Walker

* Award notice from sponsor
* Award acceptance and negotiation
* Award document review
* Award routing and fund setup
  + - Know items that will delay award routing
    - Know the notification process.
      * State the process.
  + Understand importance of contacting PI after fund creation notification.
    - Explain why communication with the PI is important.
    - Explain benefits of award kickoff meeting
  + Internal Audit
    - Assessing and managing risk
    - Internal control basics
    - Preventing fraud

Class 8 – Human Capital Management - October 30th 8:00am-12:00pm

Rodney Greer, Larry Hankins/Gina Bailey, Milly Tye

**Time and Effort**

* + Know what is time and effort.
    - Define time and effort.
  + Understand allowable compensation.
    - Explain allowable compensation.
  + Understand effort commitment to project goals.
    - Explain how to calculate effort commitment.
    - Explain how effort is related to the budget.
    - Explain how effort commitment is related to effort reporting.
  + Understand voluntary cost share.
  + Know there is an AU consulting policy.
    - Describe the AU consulting policy.
    - Locate the AU consulting policy.
  + Understand how to calculate percent of effort on 9-month and12-month base.
    - Demonstrate the calculation of percent of effort.

Account Management

* + Know procedures for labor distribution changes.
    - List the information required.
    - State how to calculate a labor distribution
  + Demonstrate how to process a labor distribution change.
    - Calculate a labor distribution.
  + Larry Hankins - Effort Reporting
    - Definition
    - How it works
    - Certification responsibilities
    - Know the definition of effort reporting.
      * Define effort reporting and to whom it applies.
    - Understand the importance of accurate effort reporting.
      * Explain the implications.
    - Understand how the process of effort reporting works.
      * Outline the process.
    - Know who is responsible for effort certification.
      * Match offices to components of effort certification.
    - Understand the implications of non-certification.
      * Explain the implications.
    - Understand the importance of effort certification in relation to an audit.
      * Explain the meaning of effort certification.

Class 9 – Financial Management - November 6th 8:00am-12:00pm

PBS, Georgetta Dennis, Teresa Logiotatos, Gina Bailey

PBS

* Know procurement policies (e.g., large purchase, bidding).

 Outline the steps to process.

 List the information necessary to process.

 State AU procurement policies.

 State where to find AU procurement policies.

**Financial Management**

* Departmental Involvement
  + - Know AU and sponsor policies on project period and spending.
      * State the policies.
      * Identify where to find the policies.
    - Know HR procedures for hiring GRAs, etc.
      * State the procedures.
      * Identify where to find the procedures.
  + Banner System
    - “My Funding”
* Know the My Funding toolbox is available.
  + Describe the purpose of the My Funding toolbox.
* Know what information may be accessed using the My Funding toolbox.
  + List the information available in the toolbox.
* Know how to access the My Funding toolbox.
  + State the process of accessing toolbox.
* Understand how to use the My Funding toolbox.
  + Explain how to use the toolbox.
    - E-print reports
    - Master Contact List
  + FOAP Monitoring
    - Explain the need for monitoring.
    - Understand financial management.
      * Explain the process of financial management.
    - Know tools available for financial monitoring.
      * List the tools.
    - Understand expectation of how frequently funds are monitored (timely discovery of errors).
      * Explain the implications.
  + Cost overruns and Dean’s cost share FOAPS
    - Understand accounting for unreimbursed costs.
      * Explain the process.
      * Explain the implications.
  + Expenditure transfers
    - Understand federal and AU policies on expenditure transfers.
      * State the policies.
      * Identify where to find the policies.
    - Know procedures for SWTs and DECs.
      * Outline the steps to process these items.
      * List the information required to process these items (e.g., justification, account).
      * Demonstrate how to complete a SWT.
      * Prepare a SWT.
      * Demonstrate how to complete a DEC.
      * Prepare a DEC
  + Cost Share
    - Know how to load cost share.
    - State the difference between cost share to load and other funds.
    - Outline the steps to process a budget transfer.
    - List the information required to process a budget transfer.
    - Understand implications of cost share shortfalls.
      * Explain the implications
  + Third party Cost Share
  + Program Income
  + Invoicing, receivables, financial reporting
    - Know what to do if a check comes to you.
      * Outline the steps to route a check to the appropriate office.
    - Know office responsible for invoicing, receivables, and financial reporting.
      * Match offices to responsibilities.
  + Prior Approvals
    - Understand when prior approvals are required.
      * Give examples of when prior approvals are necessary.
    - Understand process for reallocation.
      * Outline the steps involved.
      * Define reallocation.
  + No Cost Extension
    - Why request a no cost extension.
    - When is a request submitted?
    - What is required?
      * Understand what no cost extensions are.
        + Define no cost extensions.
      * Know how to request a no cost extension.
        + Outline the processes to request a no cost extension.
      * Know when to request a no cost extension.
        + Describe when to process a request.
      * Understand that no cost extensions are routed through OSP.
        + Explain how to process a no cost extension request.
  + Purchasing equipment on a project – is it in the budget?
  + Understand importance of maintaining accuracy in processes.
    - Explain the implications of accuracy or inaccuracy.
* Allocations and Compliance Renewals
  + Understand requirement of allocating costs to appropriate project.
    - Explain the implications.
  + Understand the importance of accuracy of periodic reports to sponsor.
    - Explain the implications.
  + Know how to determine the expiration date of protocols.
    - State the process.
  + Know how to renew protocols.
    - Outline the steps.
  + Understand the implications of a lapsed protocol.
    - Explain the implications.

Class 10 – Project closeout and Case Study introduction -November 13th 8:00am – 12:00pm

Gina Bailey, Georgetta Dennis (additional instructor TBD)

* + Title – Auburn versus sponsor.
  + Keeping track of property.
  + Reporting of property.
  + Disposal of property
    - Know how to correctly complete requisitions at the time of purchase.
      * Describe how to complete a requisition.
    - Demonstrates correct completion of a requisition.
      * Prepares a correct requisition form.
    - Know how to check that equipment is tagged properly.
      * States how equipment should be tagged.
      * States individual/office responsible for tagging property.
    - Understand how to maintain accurate inventory records for proper accountability throughout the life of the equipment.
      * Explains how to maintain inventory records.
  + Know grant transfer processes related to change in PI.
    - State the processes.
  + Know grant transfer processes related to reduction in effort (requires sponsor approval).
    - State the processes.
  + Know processes related to transferring a grant into AU from another institution.
    - State the processes.
  + Know processes related to transferring a grant from AU to another institution.
    - State the processes.
  + Non-financial closeout

**Gina Bailey – Project Closeout, Records Retention and Audits**

* + Technical Report vs. Financial Report
  + Fixed Price vs. Cost Reimbursable
    - Know who is involved in project closeout.
      * Identifies individuals involved.
    - Know what is involved in project closeout (e.g., patent, invention statements).
      * List items required for a project closeout.
    - Understand the difference between a technical report and financial report.
      * Explain the differences.
    - Know who submits which closeout documents to the sponsor.
      * List the roles in project closeout.
    - Understand why additional documents may be requested by CGA beyond normal invoicing (e.g., items purchased at the end of a project period).
      * Explain documentation needs.
    - Know expiration rules.
      * Describe the need for timely closeout.
    - Know the notification process.
      * State the process.
    - Understand differences in fixed price and cost reimbursable agreements at closeout.
      * Explain the differences.
    - Know the AU policy and practices regarding fixed price residual balances.
      * State the policy and practices.
    - Know the process for requesting an account be extended to indefinite.
      * Outline the steps in the process.
    - (Related to subcontracts) Understand the need for final invoices prior to payment.
      * Explain the relation of final invoice to payment.
    - (Related to subcontracts) Know how to complete a closeout form.
      * Know subcontract close out requirements
      * State how to complete a closeout form.
    - Demonstrate how to complete a closeout form.
      * Prepare a closeout form
  + Records Retention
    - Know AU requirements for records retention.
      * Describe the AU requirements for records retention.
    - Know state requirements for records retention.
      * Describe the state requirements for records retention.
    - Know that sponsors have requirements for records retention.
      * Describe differences in sponsor requirements for records retention.
    - Understand when original documents are required vs. when electronic copies are acceptable.
      * Explain when original documents are required.
    - Know how long to retain lab documents.
      * State how long to retain lab documents.
    - Know best practices for records retention.
      * State best practices for records retention.
  + Audits
    - Know different types of audits
    - Know AU liaison for audits

Class 11 – Case Study and class presentations; spring classes discussion - November 20th 8:00am – 12:00pm

Gina Bailey, Amy Thomas, Georgetta Dennis

**Spring Classes**

Jan 15 – Communicating with faculty: Mike Fogle and Jennifer Kerpelman

Jan 22 – Advanced budget with case study – Gina Bailey and Amy Thomas

Jan 29 - TBD

Feb 5 - Budget/award management with case study – Teresa Logiotatos, Georgetta Dennis, and Gina Bailey

Feb 12 – Proposal development/cost share – Gina Bailey, Amy Thomas

Feb 19 – ABC’s of Research Administration – Gina Bailey, Teresa Logiotatos

Feb 26 – Cost Share – Tony Ventimiglia, Gina Bailey

Mar 4 – No class NCURA PRA/FRA

Mar 18 – Sponsors: An Overview – Jennifer Keller, Tony Ventimiglia, Gina Bailey

Mar 25 – TBD/Research administration as a career – Amy Thomas, Georgetta Dennis, Tony Ventimiglia, and Teresa Logiotatos

Apr 1 – Certificate Ceremony

Dates to note:

• September 11 Class begins fall semester

• October 4th - Faculty Research Symposium

• Oct 10-11 Fall Break

• Nov 20 last day of class for fall semester

• Nov 25-29 Thanksgiving Break

• January 15, 2020 Class begins spring semester

• March 9-13 Spring Break