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