

Research Administration Training Program for Existing Staff

Johns Hopkins University



Research Administration Training Program for Existing JHU Staff

Introduction: Several years ago the University established The Research Administration Training Program (RAT Pack), a training program for potential research administration professionals. The program is meant to provide a practical understanding of sponsored research administration. It is the intent of senior leadership to provide a similar experience to existing staff. Upon successful completion of this program, the employee will have been given the experience and tools to achieve a better understanding of research administration and how other research administration areas mesh with their own. Completion of program will allow the employee to achieve a national certification in research administration, if desired. In addition, an additional year of service will be added the employee's personnel file.

Oversight: An executive committee made up of the senior leaders of the university who represent research administration, business officers, and department managers oversees this program. Current committee members include the following:

- Alexandra A. McKeown, Associate Vice Provost, Research Administration
- Cindy Holstein, Administrator, Department of Biology, KSAS
- Georgean Smith, Administrator, Department of Health, Behavior, and Society, BSPH
- Jim Aumiller, Sr. Associate Dean of Finance & Administration, WSE (Chair, Executive Committee)
- Jim Jarrell, Chief Audit Officer, Internal Audits
- Kevin Fogarty, Sr. Director of Finance, SOM
- Mary Louise Healy, Associate Director of Research Administration, KSAS
- Mike Amey, Associate Dean of Research Administration, SOM
- Paul Gasior, Director of Sponsored Projects Shared Services, UA
- Virginia Herring, Assistant Director, Health Sciences HR

Selection Process:

- Candidates need to have 2 years minimum JHU experience in research administration.
- Preferred candidates will have an undergraduate degree, however, years of experience may be substituted on a case by case basis.
- Candidates must have successfully completed the 6 Basic core e-courses in “workshop one” of the Financial/SAP training program. These e-courses are available on [MyLearning](#). These are pre-requisites to other training courses. They provide an

introduction to JHU financial administration and serve as the first step to other functional areas.

- University as a Business Organization
 - Basic Accounting Principles
 - Federal Cost Principles
 - Finance Overview including Chart of Accounts
 - Business Transactions
 - SAP ECC Navigation
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- Candidates must be nominated with the following:
 - a one page approval letter from their supervisor
 - two reference letters, one of which that comes from either the candidates home Research Administration Office, Divisional Business Office, or a Senior Representative from one of the JHU Financial Offices (such as Sponsored Shared Services, Controller's Office, Treasury Office, Budget/Planning Office, Purchasing, or Account Payable). If the nominee has not worked directly with Management in any of those areas the letter can come from within their Department or Division. The letter should be from a Manager or other Chief Executive who's above the nominee's immediate supervisor. All letters must speak to the specific qualifications that make the nominee uniquely eligible for selection and success in the program; along with confirmation that the time and activity of the program during normal working hours is acknowledged.
 - Resume
 - Cover letter (limit of one page) explaining why they want to join the program.
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- Candidates will be selected by the executive committee

Program Expectations:

- Participant is expected to complete at least two of the three rotation assignments, depending on his/her JHU work experience.
- Participant will be required to take all university Intramural training
- Participant will be required to take specific university training that is relevant to their rotations

Divisional Research Administration Expectations:

Review, approve and submit all sponsored research proposals, award and contract negotiation, clinical trial agreements, non- financial post award compliance.

Department Expectations:

Proposal development and submission, financial management of all post award activities, research compliance, financial management of gifts, endowments, general funds, human resource management and academic affairs management.

Sponsored Projects Shared Services Expectations:

Award set up and closeout, reporting and research compliance.

Rotations:

As noted above, the three rotation assignments are Sponsored Projects Shared Services, a JHU department and a divisional Office of Research Administration. The expectations of these offices are listed in the program expectation section.

- Divisional Research Administration – Manages the submission of proposals and acceptance of awards.
- Academic Department – Works directly with primary investigators to manage the award in compliance with all rules and regulations.
- Sponsored Projects Shared Services – Manages post award activities.

Shadowing may be included to assist with the training, however this will be determined as part of the evaluation process at the beginning of the training cycle. The shadowing does not have to be completed all at one time; they could be spread out at the discretion of the evaluation team.

Rotation Trainer or On the Job Trainer

As mentioned previously, trainees are expected to become familiar with the three main offices of research administration, some on the job training at these offices maybe necessary. The role of this position is to provide the knowledge necessary to the trainee to meet the expectations outlined in the appropriate section within the Program Expectation section.

Program Completion Requirements:

- Complete all training
- Attend all seminars

- Demonstrate competence

Employee Incentive:

Successful completion of the program candidate will receive:

- Eligibility to test for national Certification in Research Administration, with the application cost to be covered by the department where you are employed.
Recertification after five years will be the responsibility of the employee
- Additional year of service will be added to resume for internal job opportunities

Curriculum:

The curriculum detailed below separates the training into multiple components.

- A.** Specific University Training
- B.** Intramural Training
- C.** Extramural Training
- D.** Other (Shadow Days, On-the-Job, Professional Skills Development)

A. Specific University Training

This training concentrates on a particular segment in the life cycle of an award (the proposal phase, award phase, managing phase, and close out phase). Learning Solutions course offerings are available as e-courses, FastFacts presentations, instructor-led sessions, and job aids. These courses may be taken by trainees during any of the rotations as needed, but those marked with an asterisk (*) are required.

- **Sponsored Projects**
 - Introduction to Sponsored Projects*
 - Business Ethics Training for Foreign Field Offices
 - Business Ethics Training for Faculty and Staff Working on Federal Contracts*
 - Proposal Preparation*
 - Introduction to Coeus and Sponsored Projects*
 - Budget Development*
 - Departmental Budget Creator*
 - Administrative Management of Training Grants and Fellowships*
 - Monitoring Subrecipient Activity*
 - Effort Reporting System-Admins*
 - Effort Reporting System-Certifiers*
 - Closeout Procedures*
 - Hopkins Internal Audit Sponsored Award Compliance*

- **Account Management**
 - Analysis-Basic Navigation*
 - Intro to Analysis*
 - Monthly Account Management*
 - Monthly Reconciliation Guidelines and Record Retention*
 - Accounting Reconciliation*
 - Non-Payroll Cost Transfer Policies & Procedures*
 - Non-Payroll Cost Transfer*
 - Department Billing Specialist

- **HR/Payroll Administration**
 - Organization Management Administration
 - Enhanced Hire ISR Form
 - Hiring and Paying a Homewood Student
 - Hiring a Homewood Student
 - Managing Changes in Funding for JHU Students
 - Hiring a Non-US Citizen
 - Salary Overpayments
 - Processing Leave of Absence (LOA) ISRs in SAP
 - Managing Payroll for Leaves and Terminations
 - Payroll Cost Transfer – eForms*
 - Time Entry
 - The Electronic Time and Attendance Form (E210)*

- **Purchasing**
 - Purchasing Policies and Procedures*
 - Equipment Purchasing (JHU)*

- **Accounts Payable**
 - Processing Online Payments*
 - Travel and Business Expense Reimbursement*
 - Independent Contractors*

B. Intramural Training

Overview sessions focus on research-related areas within the university. Seminars are prearranged during the rotation periods. Attendance is required.

- **Internal Audits**

Description: This presentation provides a basic introduction to the Office of Hopkins Internal Audit (OHIA). Participants will learn OHIA's structure and role within the organization. Further, the audit process will be discussed including the development of the internal audit plan, how audits are conducted, and follow-up activities on outstanding audit issues. Other topics will include fraud related activities, continuous auditing, and training and education. Finally, participants will learn about the highest risk areas of the institution and audit findings commonly noted in reports.

- **Effort Reporting**

Description: This presentation will help participants to understand the importance of effort reporting when receiving sponsored funding. Federal and state agencies, private foundations, organizations, and industry sponsors provide significant funding to enable Johns Hopkins University to conduct research, public service, and training projects. The university's effort reporting system provides the principal means for certifying that the salaries and wages charged to, or contributed to, sponsored projects are reasonable and consistent with the portion of total professional activity committed to projects. Section J.10 of OMB Circular A-21 (relocated to 2 CFR, Part 220) provides guidelines for acceptable methods of documenting after-the-fact confirmation of effort provided.

- **Facilities & Administration**

Description: In this presentation, participants will learn about the F&A rate, how it is calculated, and what it represents. As part of this discussion, participants will learn about the university's DS-2 statement and its importance, as well as the various cost pools that make up the F&A rate.

- **Billings & Receivables**

Description: The presentation is an overview of the function of Accounts Receivables and how it is organized, along with the policies and procedures of the department. Participants will also be provided with an overview of the policies and procedures concerning sponsored and non-sponsored invoicing.

- **Export Controls**

Description: This presentation will begin with a discussion about export controls. Participants will learn how the U.S. Government protects the United States' security and policy interests by restricting the kinds of transactions that we can enter into with other countries and/or their citizens. The presentation covers three bodies of regulation that exist to protect those interests (often referred to as "export control" regulations). One body of regulations (The State Department's "ITAR") strictly limits foreign access – both

abroad and in the U.S. – to items and information that are closely associated with military applications. Another body of regulations (the Commerce Department’s “EAR”) limits access to “dual-use” items, which can have both benign and harmful applications. The type and severity of EAR restrictions depend upon the countries involved, the nature of the items exchanged, the people who will use them, and how we think they will be used. A third body of regulations (the Treasury Department’s “FACR”) focuses more on sanctioning particular countries than upon the nature of the items that will be released to them or to their citizens. The presentation also describes the kind of activities at JHU that the Federal Government considers to be exports and how JHU personnel can work together to ensure that their exports remain in compliance with Federal regulations.

- **Global Compliance**

Description: Participants will learn about global compliance. They will explore several topics that should be addressed before Johns Hopkins University faculty and staff begin any research or other sponsored and non-sponsored activities in foreign countries. There are many complexities involved in managing international activities and programs, including being compliant with U.S. and foreign laws and regulations. For example, JHU may need to formally register its presence in the foreign country (i.e., seek the permission of the host country) before opening bank accounts, signing leases, hiring employees, or signing contracts. Hiring and paying host country or third country nationals and U.S. expats also typically require special registrations, tax identification numbers, work permits, and compliance with both U.S. and host country labor and tax laws. Supplies and services in support of our activities may need to be purchased from local vendors, requiring the use of JHU purchasing and contracting terms and practices. Furthermore, working with foreign sub-recipients may require additional monitoring efforts from Baltimore. These and other considerations are discussed, as well as the role of the Office of International Business Compliance in ensuring that all of JHU’s international programs remain in compliance with the myriad of laws and practices. For more information, please go to the Office of International Business Compliance website at <http://finance.jhu.edu/depts/ibc/index.html>.

- **Hazardous Materials**

Description: Working in a laboratory is inherently dangerous because of the many chemical, biological, physical, and radioactive hazards. For this reason, laboratories are highly regulated work environments. Safety is directly dependent on understanding the safety measures required by regulations applicable to the participant’s field of study.

This presentation is designed to provide participants with an overview of the following:

1. The Occupational Safety and Health regulations for worker protection
2. The Environmental Protection Agency regulations for managing hazardous materials from generation to disposal
3. The Maryland Department of the Environment, Radiological Health Program regulations for managing the use of radioactive materials and equipment
4. The Center for Disease Control and National Institutes of Health regulations applicable to the use and control of biological hazards
5. The US Department of Transportation regulations for the shipment of hazardous materials
6. The Johns Hopkins Health, Safety & Environment Division programs and policies to ensure regulatory compliance and maintain a safe work environment for faculty, staff, and students

- **Animals**

Description: Participants are given a tour of the animal holding facilities in the Broadway Research Building.

- **Human Subjects – Internal Review Board**

Description: This presentation will provide an overview of the Institutional Review Boards (IRBs), the types and number of human subjects research applications under SOM IRB review, federal regulations and institutional policies, IRB staff, and related offices/committees. Participants will gain an overall understanding of human subjects research within the SOM and the complexities of this work.

- **Clinical Research Processes**

Description: Clinical Research is defined as: *"All research that involves patients or Protected Health Information, or clinical testing or procedures, or drug/device diagnostic testing in humans or any planning/lab/clinical service in support of such clinical research."*

This orientation reviews the institutional compliance responsibilities for clinical research and the organization, and the processes and procedures used to meet those responsibilities. It includes a discussion of non-disclosure agreements, privacy and authorization for research, coordination with institutional review boards and informed consent, Medicare coverage/prospective reimbursement analyses and clinical research budgeting, contracting, the Clinical Research Management System, patient subject insurance clearance, and registration and research subject billing.

- **Conflict of Interest**

Description: This presentation covers the conceptual, regulatory, and institutional aspects of financial conflicts of interest and their impact on objectivity in research, the safety of research, and perceptions of research objectivity and integrity. It addresses the historical background to this issue, including the development of close and frequent interactions between academia and industry, and the benefits and risks of these relationships. Trainees are expected to acquire a general understanding of the conceptual basis for addressing financial conflicts of interest in research. They will also gain a basic knowledge of federal regulations on conflict of interest and a general understanding of the Johns Hopkins policies and procedures for addressing financial conflicts of interest with research and in particular with sponsored projects.

- **Contracting Issues:**

Description: This presentation will provide a brief overview of contracting principles, as well as explain the meaning of common terms and clauses in both federal and private contracts as they affect the post award and departmental offices. Emphasis will be placed on assessing the importance of particular terms for a specific contract, including determining the type of contract, understanding the requirements for subcontracting, interpreting the payment terms, and managing equipment purchases, leases and maintenance. Trainees will gain an understanding of common contract terms and concepts pertaining to sponsored agreements; will better understand the importance of particular terms for specific research projects and will know the possible impact a contract may have on the university.

- **Corporate/ Foundations**

Description: The purpose of the Corporate Relations program is to maximize corporate philanthropic support to JHU through strategic partnerships with major corporations. Foundation Relations staff seek to maximize support to the university and the hospital/health system from private foundations. Corporations that are for-profit entities and foundations are tax-exempt organizations; both make awards to Johns Hopkins that include gifts, grants, and contracts.

Corporate Relations topics to be discussed will include: the elements of a successful corporate partnership; the focus of the JHU corporate relations program; the role of the Director of Corporate Partnerships in facilitating relationships between companies and faculty; and the importance of research administrators in all phases of these relationships. Foundation Relations (FR) topics to be discussed include: the focus of the Foundation Relations office; how we work with faculty, major gift officers, and Research

Administration staff in all of the Hopkins divisions; and key issues of mutual interest to FR and Research Administration (such as the distinction between gifts and grants, and when to involve FR in contacting foundations).

- **Tech Transfer**

Description: Our Technology Ventures Office (JHTV) manages the university's intellectual property. Each time an invention occurs in a Hopkins research laboratory, that invention is reported to our Technology Ventures Office. It is then recorded in the JHTV information system and the staff works with the inventor to understand the nature and potential of this invention. The staff then performs market and patent landscape analyses in order to develop both marketing and patenting strategies. Patents are filed and managed, first in the United States and then possibly in foreign countries. The JHTV office manages these patents throughout their prosecution and lifetime. Through the JHTV marketing efforts, the office seeks to license the inventions. Sometimes, the inventor is interested in starting a company around the technology and JHTV will help to link the inventor to business resources and to facilitate the location of funding sources. The office tracks all patent and licensing expenses for each technology case, as well as income received from licenses. Distributions of income are made to inventors, research laboratories, departments, schools, and university administration in accordance with the JHU Intellectual Property policy. The office does reporting to the sponsors of the research from which the inventions were made, to our university administration, and to department leaders across the university. Finally, our staff works with faculty in many ways, including advising them on possible invention disclosures, providing them with relevant market and patent information, brainstorming with them on marketing strategies, providing information needed for sponsor and other reporting, and processing material transfer agreements that allow researchers to obtain materials from other institutions.

When participants visit JHTV, we introduce them to the overall role of Technology Ventures and then teach them about all of the processes described above. Technology Ventures interfaces with the other research administration functions in many ways and we help the participants to understand these relationships. It is our intention that the participants will leave the JHTV session with a general understanding of our role and function and will appreciate the business decisions that we make on behalf of our university and its faculty.

C. Extramural Training

Trainees can learn by participating in professional activities external to the university.

- **National Council of University Research Administrators (NCURA)** – The annual meeting is held in Washington, DC during the late summer of each year.
- **NCURA TV** – The Satellite Broadcast Workshop Series is available to university employees. The series is also available on DVD.

D. Other Training

- **Professional Skills Development-** the Talent Management and Organization Development department offers additional Leadership, Management, and Professional Skills courses. Trainees are encouraged to take advantage of these staff development courses. The course catalog can be accessed through learning.jhu.edu.

The following are some course suggestions:

Cultivating the Power of Emotional Intelligence

Communicating with Others: Your Style and its Impact

Intro to campus Conversations on Diversity and Inclusion

Choosing Civility

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