RESEARCH ADMINISTRATION TRAINING PROGRAM

Johns Hopkins University

COHORT XV

Johns Hopkins University

The nation's very first research university.

"Knowledge for the world" - Daniel Coit Gilman

How to Use This Guide

When questions arise during your program progression, you may find it useful to first consult the Table of Contents at the beginning of this program guide for immediate reference to the appropriate section. You may then consult **Appendix A: FAQ** if your questions still aren't answered. Several additional appendices of the program's most frequently needed information are also available for quick reference at the end of the text.

We hope the information in this program guide is helpful to you. If you have any questions, we can help. Please call or send an email to the address listed below.

Sincerely,

Research Administration Training Program

ratpack@jhu.edu

Table of Contents

IMPORTANT NOTICE:

Please note that Johns Hopkins University Research Administration may revise the Program Guide at any time as required to adhere to new or modified policy and/or procedure. The changes could affect rotation schedules, program requirements, and other rules applicable to staff in various ways.

Section 1: Program Overview

The Research Administration Training Program (RATP) is a program developed by Johns Hopkins University for potential research administration professionals.

The research enterprise at Johns Hopkins is in constant need of qualified administrative staff with the specialized knowledge and skills required to help manage the financial aspects of sponsored research and ensure adherence with compliance requirements. The RATP is designed to provide people with the experience and training necessary to begin a career in research administration. The trainee should have good communication and interpersonal skills, as well as a familiarity with finance, law, contract management, or accounting transactions. It is expected that after the successful completion of this program, the trainee will have the experience and qualifications needed to apply for any number of positions that involve sponsored research administration. Successful completion of the RATP (minimum of 12 months) adds an additional one year of relevant experience for identified jobs.

This is a full-time, twelve-month program with the option for additional rotations up to twenty-four months that allows qualified candidates to work in the various offices involved in research administration during five rotations that last anywhere from two weeks to six months. Each trainee is assigned to one of the major divisions within the university (School of Medicine, Bloomberg School of Public Health, Krieger School of Arts & Sciences, the Whiting School of Engineering, or the School of Nursing) and rotates within the functional areas of those schools.

1.1 Oversight: An Executive Committee made up of the senior leaders of the university whorepresent research administration, business officers, and department managers oversee this Program. Current committee members are:

- Anne Albinak, Director of Research Administration Operations, WSE (Executive Committee Chair)
- Alexandra M. Albinak, Associate Vice Provost, Research Administration, UA
- Thomas Burns, Associate Vice Provost for Research Comp., UA
- Lisa Campbell, Executive Director, Research Finance, SOM
- Dominique Ellison, Associate Director, Johns Hopkins Internal Audits, UA
- Paul Gasior, Sr. Director of Accounting, Sponsored Projects Shared Services, UA
- Mary Louise Healy, Assistant Dean, KSAS
- Deborah Lantry, Administrative Manager, Dept. of Civil Engineering, WSE
- Javonnia Thomas, Associate Director of Research Administration, SON
- Jonathan Thompson, Director of Talent Acquisition Strategy, UA
- Lisa Walborn, Senior Administrator, Molecular Microbiology and Immunology, BSPH

1.2 Executive Committee – The executive committee overseesthe mentors assigned to the trainees. They are also responsible for the following:

- Setting rotation changes
- Overseeing the review process
- Approving the curriculum
- Setting learning expectations
- Promoting the program
- Advising trainees on possible job placement tracks

1.3 Mentors – Mentors serve as liaisons between the executive committee and the trainees. They help trainees navigate through numerous administrative issues. Mentors also work with the supervisors to make certain that learning objectives are met. Mentor responsibilities include the following:

- Managing the rotation process
- Meeting with trainees to discuss program progress
- Coordinating the acquisition of required equipment
- Coordinating completion of payroll documents
- Initiating SAP security roles
- Approving E210 time records
- Managing trainees
- Evaluate trainees in coordination with the current on-site supervisor
- Managing the curriculum
- Assisting with job placement

  *Additional duties are listed in the Mentor Toolkit

There is one mentor for each trainee. It is suggested that mentors and mentees review the **Research Administration Training Program Mentor/Mentee Toolkits*.

1.4 Supervisors– For each rotation, a trainee is assigned to a specific supervisor who specializes in a certain area. The supervisor, along with the mentor, must ensure that the learning experience of the trainee meets program expectations. These expectations are reviewed by the supervisor and mentor before each rotation begins. Supervisors are responsible for the following:

- Overseeing the trainee’s work
- Evaluating the trainee’s work and relaying that info to the mentor
- Participating in the learning process

Section 2: Recruitment Process

The executive committee and JHU's HR recruiters work to promote the program at JHU job fairs, during college career days, in newspapers, on online job postings, and through word of mouth.

- Interested individuals apply online (http://jobs.jhu.edu).
- Selected individuals are asked to interview. These individuals are selected based on their work experience as well as college experience.
- The number of finalists depends on the number of positions funded by each school.

2.1 Hiring Process – After trainees are selected, and offers extended and accepted, the Executive Committee will assign trainees to a sponsoring division. JHURA is then responsible for hiring trainees. Once the hiring process is complete within SAP an Organizational Unit Transfer ISR must be completed by the RATP Administrator to reassign the trainee to their appropriate sponsoring division.

To complete the ISR, the assigned mentor will provide the RATP Administrator (Chris Wise cwise17@jh.edu) with the following information:

- New org unit number
- Department Name
- Supervisor's Name
- Supervisor's Position #
- Home Cost Center #
- Personnel Area

Once the trainee is in the proper Organizational Unit the mentor will complete an e-Form to change the cost distribution to the appropriate divisional CC/IO.

Things that the mentor will need to take care of before the trainee start date the first week in June:

- Make sure there is use of a laptop and secondary monitor
- Set up a workstation if expected to work on-site in your space
- Secure an email account
- Secure a JHED ID
- Make the trainee aware of parking and security requirements for your campus/building
- Secure a Hopkins badge (Homewood campus only, East Baltimore handled by HR)

2.2 Rotation Change – Rotations are managed jointly by the assigned mentor and the RATP Administrator in collaboration with the Trainee. The trainee should contact their mentor and the RATP Administrator no less than two weeks prior to a scheduled rotation change to confirm plans for transition.

With each rotation, certain administrative changes need to be made. Each rotation is associated with unique learning expectations.

- Schools must change the trainee's SAP roles and security access according to the new rotation assignment.
- The trainee's workplace ID card may need to be updated with the appropriate security access depending on the new work location.
- Parking may need to be changed, depending on the trainee's new work location.
- Objectives and goals are shared between the mentor, supervisor, and trainee.

2.3 Decorum - It is expected that all program trainees perform their duties with courtesy and professionalism. Trainees must be respectful to co-workers. Creating and maintaining a pleasant, team-oriented environment is essential. Please become familiar with the Program's virtual meeting etiquette:

- Arrive on time – Waiting until the last minute does not leave time to address unanticipated technical glitches.
- Turn on your webcam - Using your webcam is a great way to help meetings feel more personal, engaging, and lively.
- Keep track of your mute status – Consider muting yourself when not speaking if you are on a call with multiple other attendees, particularly if you hear a feedback echo or in cases of background noise.
- Know when to speak and when to listen - Active listeners not only give every individual the chance to speak but also show that they care about what the speakers have to say. Speak with confidence but keep it concise. Avoid interrupting others while they are speaking.
- Minimize distractions - Silence your phone, turn off background noises, such as the television or music, and mute any phone/computer software notifications. Devoting your undivided attention during meetings is no easy feat, but it's important for everyone attending to remain focused and be present.
- Take note of your surroundings – Choose a space with a neat, professional background and good lighting, or choose an appropriate virtual background. Test your camera view before the meeting begins. Consider closing the doors to the room that you are in, to ensure as much sound isolation as you can get.
- Dress for success - Your virtual meeting attire should align with the tone of the meeting itself. Avoid wearing pajamas, tank tops, and graphic tees that others may not understand. Employees working offsite do not have to dress as formally as they do when going into the office but sitting visibly in your PJs is never a good idea.
- Learn the software you are using – Attendees should be able to join easily with minimal disruption.

Section 3: Program Expectations

It is expected that each trainee will complete all five rotations set forth by the Committee. The entire rotation cycle includes:

- Divisional Research Administration – Handles the approval and submission of proposals.
- Academic Department – Works directly with investigators to manage proposals and awards.
- Sponsored Projects Shared Services – Handles post award activities.
- Internal Audits – Assists members of the organization in effective discharge of their responsibilities.
- Divisional Business Office – Provides general administration and financial operations of the respective division.
- Open/Extra Rotation – Chosen according to the trainee's preference. It may be any one of the first three rotations or, depending on the trainee's interests, it may involve special training focusing on particular skills.

(See the RATP Rotation Schedule)

3.1 Divisional Research Administration Expectations

Divisional Research Administration offices review, approve and submit all sponsored research proposals. DRA offices process award and contract negotiations, clinical trial agreements and are responsible for ensuring non-financial post award compliance.

- Office roles and responsibilities
- Proposal review and submission
- Subawards
- Contract negotiations
- Pre-awards
- Award notifications/modifications
- Non-funding agreements
- Model agreements
    - Clinical trial agreement
    - Model research agreement
    - Model subcontract
    - Non-disclosure agreement – unilateral and bilateral
    - Research subaward agreement
    - Letter of intent – to enter into a consortium agreement
    - Sample Adobe application
- Outgoing subawards
    - Subaward training
    - Subaward processes
    - Sample subaward agreement
    - Subaward issues
- Notice of awards
    - Notice of award process
    - NIH grant/contract number breakdown
    - Sample NIH notice of grants
- Changes to workflow and processes
- Compliance
    - Compliance basics
    - General counsel guidelines
    - Contracts primer

3.2 Academic Department Expectations

Academic Departments work directly with Principal Investigators to manage awards by ensuring compliance with all federal rules and regulations in collaboration with central offices. Departments develop and submit proposals and manage the financial components of all award activities.

- Proposal development
  - Program announcements/opportunities
  - Budget preparation
  - Subaward
  - Statement of work
  - Biosketches
  - Current and pending support
  - Facilities
- Proposal submission
  - Fibi
  - Grants.gov
  - Research.gov
- Pre-award
  - Revise budget
  - Just-in-time
  - Notice of award
  - SPSS notice of account number
- Grant management
  - Reading and interpreting the NGA
  - Cost sharing and program income
  - Budget set-up
  - Account reconciliation and projections
  - Faculty discretionary funds
  - Progress reports
  - Close-out/final reports
  - Effort Reporting
- Transactions
  - Non-payroll cost transfer
  - Shopping cart
  - Travel
  - Department budget creator
  - Payroll cost transfer (eForm)
  - HR/Employment actions; time entry
  - Effort review and certification
  - P-Card with reconciliation
  - BW reporting
  - DGA – ISIS process for those using ISIS

3.3 Sponsored Projects Shared Services Rotation (SPSS)

Sponsored Projects Shared Services manages financial post award activities. This includes award set up and closeout, reporting, and research compliance.

- General SPSS topics
  - Controller's Office setup and procedures
  - Navigation of SAP
  - Understanding terminology as it relates to SAP, master data, basic accounting and sponsored projects
  - Navigation of ECC, Oculus, and Analysis
- Grant setup
  - Understanding a notice of award from various sponsors
  - Understanding how to establish an SAP grant, internal orders and budget for notice of award
  - Understanding of the various types of notices of award (initial year, additional year, NCE)
- Invoicing/revenue
  - Understanding billing procedures
  - Understanding various types of billings and how they function in SAP (letter of credit, direct pays, cost reimbursable invoice)
  - Understanding deficit cash balance report
- Reporting
  - Understanding the lifecycle for a financial report
  - Navigation of eRA Commons website
  - Navigation of Payment Management Systems website
- Transfers
  - Understanding each type of cost transfer (payroll and non-payroll)

3.4 Internal Audits

The Office of Hopkins Internal Audits assists members of the organization in effective discharge of their award management responsibilities.

- Provide overview of Internal Audit function and underlying roles and responsibilities
- Gain a comprehensive understanding of sponsored research administration and institutional risks in preparation for future roles within JHU in areas such as:
    - Pre-award
        - Proposal Process and Contracting
    - Post-award
        - Award Set-up
        - Allowability of Sponsored Expenditures
        - Effort Reporting
        - Subawards
        - Cost Transfers
        - Animal Care and Use
        - Human Subjects
    - Processes Impacting Sponsored Accounts
        - Payroll Processing
        - Internal Service Requests
        - Eforms
        - Procurement
        - Procurement Cards
        - Shopping Carts
        - Online Payments
        - Petty Cash
        - Independent Contractors
        - Subrecipient Setup

- Obtain a comprehensive understanding of JHU sponsored research administration policies, processes, and procedures needed to mitigate risks.
- Provide opportunities to engage with parties throughout the institution and expand professional networks with the JHU community (via email) while facilitating the gathering of supporting documentation for departmental research internal audit projects and research continuous auditing efforts.
- Observe audit procedures for collecting and analyzing data using appropriate tools and techniques, which will likely be used in future financial roles with faculty, Principal Investigators, and research staff. Will include utilizing Business Warehouse to analyze Sponsored Accounts and underlying transactions and Sponsored dashboards.
- Develop a better understanding of how audit testing strategies are designed to address risks related to key research administration business processes and to determine whether the impacted internal controls are operating effectively.

3.5 Divisional Business Office (DBO)

Divisional Business Offices provide general administration and financial operations of the respective division.

- Continuous audit requests
  - Monitoring responses
- Dashboard Monitoring
- Cost Share
  - Requests
  - Approval process
  - Tracking process
- Contract fee billing
- Data & report requests
  - Fibi
  - SAP
- SAP submissions and approvals
  - ZSRs
  - Master data requests & approvals
  - Pre-award accounts
  - Check requisitions
  - Journal transfers and funding
- Fibi submissions and approvals
  - New users
  - New units
- Compliance monitoring
  - Effort reporting
  - Deficit balances
  - Deliverables report
  - A/R aging
  - Unallowable expenses
  - Administrative salary on grants
  - Goods Receipt/Invoice Receipt Monitoring
  - Control Salary
  - Cost overrun monitoring and funding
  - Annual budget process
    - Sponsored projections
  - Monitoring non-sponsored deficits
  - Capital projects
  - Fixed Assets inventory
- Faculty
  - Start-ups/discretionary
  - Department salary accounts
  - Bloomberg Distinguished Professors
- Service Center
  - Establishment
  - Oversight
- ILabs
- Rate Schedules

Section 4: Training

While there is considerable training available through various Hopkins programs, the majority of training is accomplished on the job. This program provides hands-on experience along with formal course training in the three critical areas of research administration: pre-award, award management, and post-award. The training curriculum is structured by the Executive Committee. It consists of a combination of formal course offerings through Hopkins Learning and Development, topical sessions presented by Hopkins experts, and trainee participation in professional activities (see section 8; Curriculum).

Section 5: Evaluation Process

The evaluation process is multi-faceted and includes all parties (the trainee, supervisor, mentor, and Executive Committee).

Trainee’s 120-day probationary period – The first 120 days of employment is considered an introductory period for employment. The university requires an evaluation to be completed during this period. Mentors and supervisors complete this form and discuss it with their newly hired trainee(s).

Trainee’s annual appraisal –The mentor and supervisor for each trainee must complete their school’s annual appraisal form and discuss it with the trainee. See annual appraisal reference guides here.

Trainee’s program evaluation – By the end of each rotation, trainees are asked to evaluate their learning experience and offer suggestions to the program administrator for improvements.

Section 6: Program Monitoring

The Executive Committee meets with the cohort and their mentors on a quarterly basis to receive feedback on the latest rotations. The Committee values this feedback. Guidance from the cohort members drives program development going forward. Anne Albinak (aalbinak1@jh.edu) the Chair of the Executive Committee, is also available to meet with any trainee, mentor, or supervisor to discuss any challenges that cannot be resolved working with the program administrator.

Section 7: Job Placement

Trainees are not guaranteed a position after their rotation cycles. However, it is the full expectation of the program that if the trainees successfully complete this training, many job opportunities will exist for them. It is both the mentors' and the Executive Committee's responsibility to meet with the trainees individually to discuss their goals and provide advice, discuss job opportunities, and collectively decide on a job placement track that will suit both the trainee and the institution. The trainee should be introduced to their home divisional HR representative when rotating with the divisional business office. Trainees are required by JHU policy to stay in their present position for 12 months before being eligible for a self-initiated transfer. Program participants who do not complete the required 12 months will not earn their additional year of service benefit. Any difficulties the trainees have with this process should be referred to the program administrator,
Chris Wise at cwise17@jh.edu.

Section 8: Program Curriculum

University Required Training
- The University as a Business Organization
- Federal Cost Principles
- Finance Overview Including Chart of Accounts
- Accounting Comes Alive
- Business Transactions
- SAP ECC Navigation

Specific University Training
- Introduction to Analysis
- Analysis – Basic Navigation
- Account Reconciliation
- Monthly Account Reconciliation Guidelines and Record Retention
- Non-Payroll Cost Transfer
- Non-Payroll Cost Transfer Policies and Procedures
- Purchasing Policies and Procedures
- Fixed Assets Shared Service Center Equipment and Inventory
- Processing Payment Requests
- Getting Started in Concur
- Fibi Virtual Class: Creating a Proposal and a Service Request
- Introduction to Sponsored Projects
- Business Ethics Training for Faculty and Staff Working on Federal Contracts
- Proposal Preparation for Sponsored Projects
- Budget Development for Sponsored Projects
- Sponsored IO Budget Distribution (GM_CREATE_BUDGET)
- Administrative Management of Training Grants & Fellowships
- Monitoring Subrecipient Activity
- Effort Reporting System – Admins
- Effort Reporting System – Certifiers
- Closeout Procedures for Sponsored Projects
- Payroll Cost Transfer – eForms

Monthly Seminar Series
- Internal Audits
- Effort Reporting/Facilities and Administration
- Export Controls
- Global Compliance
- Hazardous Materials
- Human Subjects (IRB)
- Animal Care and Use (optional)
- Clinical Research
- Conflict of Interest
- Funding from Corporations and Foundations
- Contracts
- Tech Transfer

Introductory Training
- Preventing and Addressing Harassment and Sexual Misconduct
- NCURA Life Cycle of an Award 1 Proposal Development (Parts 1-3)
- NCURA Life Cycle of an Award 2 Proposal Development (Parts 1-3)
- NCURA Life Cycle of an Award 3 Proposal Development (Parts 1-3)
- NCURA Life Cycle of an Award 4 Proposal Development (Parts 1-3)
- NCURA Life Cycle of an Award 5 Proposal Development (Parts 1-3)
- The JHU Finance Website: A Quick Tour
- Introduction to JHURA Systems: Overview (Part 1)
- Introduction to JHURA Systems: JAWS (Part 2)
- Introduction to JHURA Systems SWiFT (Part 3)
- Build your Excel Skills Certificate (Parts 1-3)
- Communicating with Tact and Professionalism
- Emotional Intelligence
- Giving and Receiving Feedback for JHU Staff
- Managing Multiple Priorities: The Discipline of Getting Things Done
- Living Well with Stress: Create Calm and Change Your Outlook

8.1 University Required Training

Basic online core e-courses are offered through Learning Solutions. These are prerequisites to other training courses. They introduce JHU financial administration and serve as the first step to other functional areas.

The University as a Business Organization – This course explains the mission or purpose of the university, its organizational structure, how it operates as a business organization, and how the university fits into the overall "Johns Hopkins" family. It provides an overview of the administrative and financial structure of the university, basic financial administrative functions, and the various resources that are available.

Learning expectations:

- Differentiate between the types of business organizations.
- Describe the organizational structure of the university.
- Explain the relationship of the university to the other Hopkins entities.
- Outline the responsibilities of university administrative offices.
- Describe the basic financial administrative functions.
- Define the delegation of authority within levels of administration.
- Apply the policies on signature authority.
- State basic goals of internal control requirements and access university internal control guidelines.
- Seek and use the appropriate resources.

SAP ECC Navigation **-** In this program, you'll learn about SAP navigation. You'll learn how to launch the system, move around, and locate information.

Learning expectations:

- Define SAP.
- Access SAP.
- Use the menu buttons and toolbars.
- Interpret basic types of system messages.
- Access transactions.
- Enter data on transaction screens.
- Retrieve information.
- Generate reports and lists of information.

Federal Cost Principles – Many federal policies and guidelines must be followed to ensure proper grant management. They also ensure that research money is spent in a manner that complies with applicable laws and regulations. This course provides an overview of guidelines that affect the way sponsored projects are managed at JHU.

Learning expectations:

- Recognize the goal of compliance.
- Identify the criteria that allow an expense to be charged to a sponsored cost object.

Finance Overview including Chart of Accounts – Johns Hopkins uses a single system to manage all financial and administrative functions. This system is referred to as the "HopkinsOne SAP Business Suite," "HopkinsOne SAP," or just "SAP." This course takes a closer look at the organization and structure of this financial system.

Learning expectations:

- Describe the finance modules that exist within SAP.
- Describe the similarities and differences that exist among these modules.

Business Transactions – This course identifies the purpose of the university's financial reports, the types of reports generated, and how the financial transactions performed each day impact the university's financial reporting system.

Learning expectations:

- Explain how business transactions are recorded using debits and credits (double-entry accounting).
- Map financial transactions using the "T" account.
- Describe how the university "closes the books."
- Identify types of internal and external financial reports prepared by the university.
- Apply your knowledge of assets, liabilities, revenue, and expenses to the university's Annual report.
- Explain the purpose of budgeting at the university.
- Explain the university's tax exemptions.
- Describe the types of audits at JHU.

8.2 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. For a full list of required trainings, refer to the RAT P FastTrack Curricula. Topics include:

- **Sponsored Projects**
- **Account Management**
- **HR/Payroll Administration**
- **Purchasing**

8.3 Monthly Seminar Series

Additional training that compliments the basic training courses is also available. These overview sessions focus on research-related areas within the university. Meetings are prearranged during the first three rotation periods. Tentative 2024-2025 dates are below.

Seminar	*Date*	*Start Time*	*End Time*
Animal Facilities Tour (Optional)	Wednesday, June 12, 2024	9:00 AM	12:00 PM
Clinical Research	Wednesday, July 10, 2024	9:00 AM	11:00 AM
Conflict of Interest	Wednesday, August 14, 2024	9:00 AM	10:00 AM
Funding from Corporations and Foundations	Wednesday, September 11, 2024	9:00 AM	10:00 AM
Contracts	Wednesday, October 9, 2024	9:00 AM	11:00 AM
Tech Transfer	Wednesday, November 13, 2024	9:00 AM	10:00 AM
Internal Audits	Wednesday, December 11, 2024	9:00 AM	11:00 AM
Effort Reporting/Facilities & Administration	Wednesday, January 8, 2025	9:00 AM	11:30 AM
Export Controls	Wednesday, February 12, 2025	9:00 AM	10:30 AM
Global Compliance	Wednesday, March 12, 2025	9:00 AM	10:00 AM
Hazardous Materials	Wednesday, April 16, 2025	9:00 AM	10:00 AM
Human Subjects (IRB)	Wednesday, May 14, 2025	9:00 AM	10:00 AM

Section 9: Seminars

Internal Audits

Description: This presentation provides a basic introduction to the Office of Hopkins Internal Audits (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.

Learning expectations:

- Identify a contact person who can provide additional information.
- Explain and discuss the topics covered in this presentation.
- Describe the role of Internal Audits and its place in research administration.
- Describe various compliance issues and how they relate to research administration.
- Describe audit plans and how they are implemented.

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, Uniform Guidance, 2CFR part 200.430 subpart E provides guidelines for acceptable methods of documenting after-the-fact confirmation of effort provided.

Learning expectations:

- Identify a contact person who can provide additional information.
- Explain and discuss the topics covered in this presentation.
- Describe the section of the Uniform Guidance related to effort reporting.
- Discuss the importance of effort reporting and describe how it relates to the audit of sponsored agreements.
- Describe the effort reporting process that is followed at JHU.

Facilities and 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.

Learning expectations:

- Identify a contact person who can provide additional information.
- Explain and discuss the topics covered in this presentation.
- Describe the Uniform Guidance and its place in research administration.
- Describe the cost pools involved in the F&A rate agreement.
- Describe the F&A rate and how it relates to covering the costs associated with sponsored agreements.
- Describe the DS-2 and how the disclosure statement impacts financial decision-making.

Export Controls

Description: This presentation covers laws, regulations, and policies that dictate how we may do business with other countries and/or their citizens. “Export control” regulations, such as the State Department’s International Traffic in Arm Regulations, or the Commerce Department’s Export Administration Regulations, require that we restrict access to certain tangible goods and information, which are thought to significantly contribute to national security and economic competitiveness. The Treasury Department’s economic sanctions regulations require that we cut off certain foreign persons’ access to finances and other resources, in order to motivate them to behave in ways that align with U.S. foreign policy and other interests. And finally, a variety of new laws/regulations/policies require that we thoroughly disclose the connections that foreign countries have to our research, in order to avoid “foreign influence” of a kind that results in the transfer of U.S.-based expertise, technology, and intellectual property to other countries in ways that undermine U.S. national security and economic competitiveness.

Learning expectations:

- Identify a contact person who can provide additional information.
- Explain and discuss the topics covered in this presentation.
- Describe the Export Control office and its function.
- Explain why the Export Control office should be notified about certain sponsored agreements.
- Describe the various federal regulations related to export controls.

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.

Learning expectations:

- Identify a contact person who can provide additional information.
- Explain and discuss the topics covered in this presentation.
- Describe the payroll procedures that need to be followed when employees and nonemployees are involved in international activities.

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

Learning expectations:

- Identify a contact person who can provide additional information.
- Explain and discuss the topics covered in this presentation.
- Describe the regulations and governing bodies that oversee the use of hazardous materials on sponsored awards.
- Describe the procedures that staff and researchers should follow to comply with these regulations.

Animal Facilities

Description: Research Animal Resources (RAR) is Johns Hopkins' central support service for animal procurement, housing, clinical care and veterinary research support and collaboration. This presentation will provide an overview of RAR, how we collaborate with investigators, and the importance of animals in research.

Learning expectations:

- Identify a contact person who can provide additional information.
- Explain and discuss the topics covered in this presentation.
- Describe the federal regulations involved in animal research.
- Describe the policies and procedures that should be followed as part of animal research.

Human Subjects – Institutional Review Board (IRB)

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.

Learning expectations:

- Identify a contact person who can provide additional information.
- Explain and discuss the topics covered in this presentation.
- Discuss the federal regulations involved in Human Subject research.
- Discuss the policies and procedures that should be followed as part of Human Subject Research.
- Describe the different IRB offices and the makeup of the committees.
- Describe how the office interacts with COI and Research Admin process.

Clinical Trials

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.

Learning expectations:

- Identify a contact person who can provide additional information.
  Explain and discuss the topics covered in this presentation.

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.

Learning expectations:

- Identify a contact person who can provide additional information.
- Explain and discuss the topics covered in this presentation.
- Describe what is meant by the term Conflict of Interest and how it relates to Research Administration.

Contracts

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.

Learning expectations:

- Gain an understanding of common contract terms and concepts pertaining to sponsored agreements.
- Better understand the importance of particular terms for specific research projects.
- Know the possible impact a contract may have on the university.

Funding from Corporations and Foundations

Description: The Office of Foundation Relations maximizes foundation funding support to advance JHU's groundbreaking research, teaching, and outreach activities by ensuring that each University's contact with a foundation is strategic and optimized. The purpose of the Corporate Relations program is to maximize corporate philanthropic support to JHU through strategic partnerships with major corporations. Foundations are tax-exempt organizations, while corporations are for-profit entities; both make awards to Johns Hopkins that include gifts, grants, and contracts.

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). 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.

Learning expectations:

- Identify a contact person who can provide additional information.
- Explain and discuss the topics covered in this presentation.

Tech Transfer

Description: Our Technology Ventures Office (JHTV) manages the university's intellectual property. Each time an invention is made in a Hopkins research laboratory, that invention is reported to our technology transfer office, Johns Hopkins Technology Ventures (JHTV).. 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 administers 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.

Learning expectations:

- Identify a contact person who can provide additional information.
- Explain and discuss the topics covered in this presentation.
- Describe the federal regulations that government intellectual property within sponsored agreements.
- Describe material transfers and indicate how that process works in conjunction with sponsored agreements.

Extramural Training

Trainees have the opportunity to acquire knowledge and skills by engaging in professional activities outside of the university.

National Council of University Research Administrators (NCURA) – Trainees become members, attend the annual conference, and participate in the conference workshops and sessions. The annual meeting is held in Washington, DC during the late summer of each year. Speak to your mentor regarding membership to a professional society like NCURA or SRAI and when and how to register for the annual meeting.

NCURA Webinars – Many webinars are hosted by JHURA and/or recorded webinars can be viewed in MyLearning. The organization's complimentary webinars can be viewed here NCURA Educational Webinars.

Other Training

On-the-Job Training – During each rotation, a trainee is assigned to a specific supervisor who specializes in a certain area. The supervisor, along with the mentor, must ensure that the trainee's learning experience meets program expectations.

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 myLearning

The following are other professional development course suggestions:

- Emotional Intelligence (myLearning)
- Sparking Innovation and Creativity (myLearning)
- Mastering Your Memory (myLearning)
- Giving and Receiving Feedback for JHU Staff (myLearning)
- Achievement NOW – Elevate Your Success! (myLearning)
- Unconscious Bias Training (myLearning)
- Managing Multiple Priorities: The Discipline of Getting Things Done (myLearning)
- Communicating with Others: Your Style and its Impact (myLearning)
- Living Well with Stress: Create Calm and Change Your Outlook (myLearning)
- Practical Project Management (myLearning)

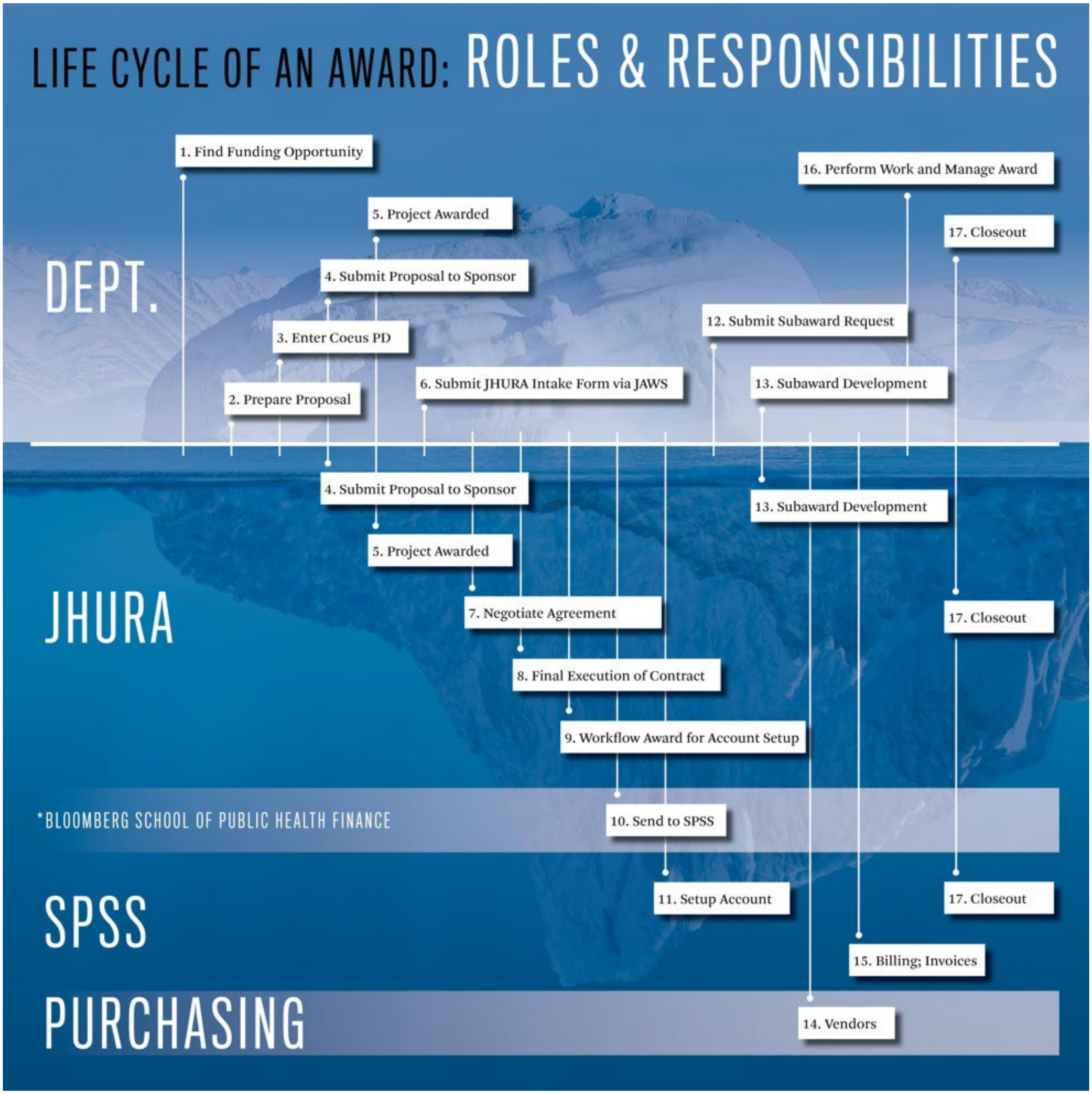
The Carey Business School also offers Executive Education courses that can be taken at no additional cost to the employee when using their JHU tuition benefits

Appendix A: FAQ

1. **Is there a process involved with taking time off as a trainee?** Yes, speak with your mentor about your available time and then coordinate your request with the on-site supervisor of your current rotation Remember to be prepared to discuss any pending deadlines you may be working towards.
2. **When I try to register for a class in myLearning, the course is unavailable. Is the course still required?** Yes, the course is still required. Contact myLearning to inquire about the status of the course. Copy your program administrator on your email.
3. **When does all coursework need to be completed to participate in the graduation ceremony in March?** February 1st is the final deadline for course completion.
4. **Upon completion of the program, am I guaranteed a position?** No; however, 100% of trainees have been placed in permanent full-time positions.
5. **As I approach the end of the program, when should I start applying for positions?** Many trainees begin their FT job search within the program's final 2-4 months. It is best to talk with your mentor about job-searching strategies.
6. **My rotation schedule indicates that I will transition to a new rotation soon. How should I begin planning for the transition?** Your program administrator will facilitate this process and contact you with the transition details at least 1-2 weeks before your scheduled rotation date.
7. **Please tell me more about parking at my upcoming rotation.** Your point of contact at your upcoming rotation will provide parking details before your rotation start date. You may also consult your mentor for advice.
8. **When I complete the program, do I have to return my laptop?** Please discuss this with your mentor.
9. **Do we need to complete a performance evaluation?** Yes, please discuss this with your mentor, as each division varies in its dates and requirements.

Appendix B: Lifecycle of an Award

In addition to complying with regulations governing contract administration requirements; it is equally important to understand each stage of the research administration lifecycle - beginning from finding Funding Opportunities until Project Closeout. Review the below infographic for a visual of this process.



Appendix C: Useful Resources

National Institutes of Health https://grants.nih.gov/

National Science Foundation https://new.nsf.gov/news/researcher-ethicist-qa-5-considerations

The following are links to websites for major federal sponsors:

Department of Health and Human Services https://www.hhs.gov/

Department of Commerce https://www.commerce.gov/

Department of Defense https://www.defense.gov/

Department of Education https://www.ed.gov/

Department of Energy https://www.energy.gov/

Environmental Protection Agency https://www.epa.gov/

National Aeronautics and Space Administration https://www.nasa.gov/

National Endowment for the Humanities https://www.neh.gov/

Office of Naval Research https://www.nre.navy.mil/

Other:

Johns Hopkins Applied Physics Laboratory https://www.jhuapl.edu/

ERA Commons https://www.era.nih.gov/eracommons-timeline.htm

Section 10: Acknowledgement

I________________________________have read the Research Administration Training Program Guide which outlines the goals and expectations of the program, and my responsibilities as a cohort member.

I have familiarized myself, at least generally, with the contents of this guide. By signing below, I acknowledge, understand, accept, and agree to comply with this guide provided to me by the RATP Administrator. I understand this guide is not intended to cover every situation which may arise but is simply a general guide to the goals, policies, practices, and expectations of the program.

____

Employee Signature

____

Date