



TOPICAL OUTLINE OF THE ESSENTIAL ELEMENTS OF RESEARCH ADMINISTRATION

PROLOGUE

Members of the National Council of University Research Administrators and the Society for Research Administrators have developed the topical outline below to assist institutions of higher education and their research administrators in assessing and further developing institutional tools to support the sponsored programs enterprise. This outline provides general information of use to all institutions; however, every institution and its research administrators must use the information in conjunction with institution-specific policies and practices. This outline defines general activities which define the breadth of the sponsored projects administration enterprise and should be viewed as such, rather than being seen as an all-inclusive list of duties and responsibilities for these administrators at all institutions.

- I. **Research Administration – The Profession**
 - A. Research Administration
 1. Definition
 2. History
 3. Philosophy and Function
 4. Constituents
 - B. The Research Administrator
 1. Character Traits
 2. Roles and Responsibilities
 3. Authority
 4. Professional Development
 5. Personal Development
 - C. The Research Mission
 1. Purpose and Value of Research
 2. The Public Image and Perception of Research
 3. Academic Freedom
 4. Research and Promotion & Tenure
 5. Sponsored Research
 6. Public Funding of Research
 7. Research and Public Service
 8. Research and Economic Development
 9. Research and Graduate/Undergraduate Education

10. Research Training and Continuing Education

D. Core Values

1. Service to the Researchers
2. Protection and Preservation of the Institution
3. Support for the Creation and Dissemination of New Knowledge
4. Commitment to the Public Good
5. Service to the Profession

E. Interactions with Researcher

1. Researcher/Research Administrator Relations
2. Team Building and Participation

F. Research Administration and Other Institutional Operations

1. Interoffice Relations
2. Team Building
3. Organizational Dynamics
4. Research Administration and Fund Raising/Development

G. General Management

1. Quality Research Administration
2. Basic Tools for Research Administration
3. Office Management
4. Conflict Resolution
5. Human Resource Management

H. Institution/Organization Setting for Research Administration

1. University
2. Colleges
3. Medical School
4. Hospital
5. Biomedical Institution
6. Independent Research Organization
7. Nonprofit
8. Foundation
9. Industry
10. Government

II. Infrastructure – The Framework for Research Administration

A. Organization for Research and Research Administration

1. Distributed Environment for Research Administration
2. Operational Structures
3. Lines of Authority (Programmatic/Business)
4. Research Administration Systems and Processes
5. Institutional Communication
6. Evaluation of Research Administration

B. Regulatory Environment

1. Government Relations
2. OMB Circulars
3. Federal, State, and Local Laws & Regulations
4. Sponsor Regulations

5. Institutional Policy
6. Boards, Councils, Committees
- C. Legal Framework
 1. Basic Legal Concepts
 2. Key Contract Clauses
 3. Subcontracting Basics
 4. Specialized Contracting
 5. Appeals Procedures
 6. Lawsuits
 7. Internal Revenue Service (IRS) Issues
- D. Institutional Capacity Building
 1. Internal Training and Professional Development
 2. Internal Controls – Separation of Powers
 3. Financial Management Information System
 4. Electronic Research Administration
- E. Institutional Investment in Research
 1. Research Seed and Start-Up Funds
 2. Special Projects Fund
 3. “Overhead Return” Policy/Fund
 4. Technology Investment Strategy/Fund
 5. Cost Sharing Policy/Fund

III. Project Development – The Pre-Award Stage

- A. Strategy Formulation
 1. Institutional Capabilities Assessment
 2. Researcher Interests and Expertise Database Development
 3. Project Definition and Refinement
 4. Determination of Matching Interests (Researcher to Sponsor)
 5. Communication with Sponsors
- B. Collection and Dissemination of Funding Opportunity Information
 1. Search Tools and Strategies
 2. Effective Information Collection and Follow-up
 3. Information Dissemination Networks and Mechanisms
 4. Application Forms – Storage, Retrieval, and Availability
- C. Sponsor Structure, Protocol, and Practices
 1. Federal Agencies
 2. State Agencies
 3. Foundations
 4. Associations & Societies (Philanthropic, Professional, and Industrial)
 5. Industry
- D. Types of Proposals
 1. Pre-Proposals
 2. Unsolicited Proposals
 3. Solicited Proposals
- E. Proposal Development and Submission
 1. Institutional Policies and Procedures

2. Functions of a Proposal
 3. Essential Components of a Proposal
 4. Proposal Writing
 5. Budget Development
 6. Administrative Data and Sponsor Forms
 7. Proposal Review and Clearance
 8. Taking Exception to Binding Terms and Conditions
 9. Signature Authority and Delegation
 10. Deadline Management
- F. Collaborative Project Development
1. Intra-Institutional Multidisciplinary Projects
 2. Inter-Institutional Projects
 3. Institutional-Industry Relationships
 4. Institutional-Government (CRADA's)
 5. International Projects
 6. Consortiums
 7. Teaming Agreements
- G. Marketing Research
1. Public Relations
 2. Advocacy
 3. Communication Tools
- H. Pre-Award Sponsor Activities
1. Agency Receipt Processes
 2. Peer Review Process
 3. Review Criteria
 4. Budgets/Financial Considerations
 5. Notification Process
- I. Post-Submission Communications
1. Submission of Additional Information
 2. Award and Contract Negotiations
 3. Declinations

IV. Project Administration – The Post-Award Stage

- A. Award Process
1. Types of Award
 2. Award Document
 3. Terms & Conditions
 4. Award Review
 5. Award Acceptance
 6. Authorized Official
 7. Documentation and Notification of Project Requirements
 8. Continuation and Renewal Process
- B. Basic Agreements
1. Purchase Orders and Procurement Contracts
 2. Federal Research Agreements
 3. Cooperative Agreements

4. Industrial Research Agreements
5. Clinical Trial Agreements
- C. Project Implementation
 1. Principal Investigator's Project and Fiscal Responsibilities
 2. Cost Definitions
 3. Facilities and Administrative Costs Rate Development and Negotiation
 4. Pre-Award Accounts and Costs
 5. Project Changes and Rebudgeting
 6. Cost-Sharing and Matching
 7. Program Income
 8. Effort Distribution and Reporting
 9. Cost and Fund Accounting
 10. Cash Management
 11. Financial Reporting
 12. Technical and Administrative Reporting
- D. Project Support Systems
 1. Human Resources
 2. Purchasing
 3. Subcontract Management
 4. Payroll
 5. Service Centers
 6. Property Management
 7. Facility Management
 8. Records Management
 9. Animal Facilities Management
 10. Clinical Trials Management
 11. International Programs Management
 12. Intellectual Property Management
 13. Internal Auditing
 14. Whistleblowing Procedures
 15. Health and Safety
 16. Security
- E. Departmental Administration
 1. Project Financial Management
 2. Project Personnel Management
 3. Human Subject Management
 4. Space/Facility Planning and Management
 5. Researcher Support
 6. Graduate Assistant and Post-Doctoral Fellows Support
 7. Monitoring Project Activity and Deliverables
 8. Large Multi-Investigator Projects Management
 9. Multi-Sponsor Projects Management
 10. Multidisciplinary Research Center Management
 11. Collaboration with Central Administration
- F. Close-Out
 1. Responsible Offices

2. Final Financial Reporting and Close-Out Documentation
3. Final Scientific Progress Report
4. Final Patent Report
5. Special Cases

G. Post-Project Activities

1. Audits
2. Fiscal Records Retention
3. Scientific Records Retention

V. Public Responsibility – Fulfilling the Public Trust

A. Compliance & Assurances

1. History and Overview of Federal Regulatory Compliance
2. Establishment and Management of Compliance Programs

B. Project Integrity

1. Promotion of Responsible Conduct in Research
2. Conflict of Interest
3. Research Misconduct
4. Protection of Human Subjects
5. Humane Care and Use of Animals
6. Biohazards and Radiation Safety
7. Representations and Certifications

C. Preserving the Public Trust

1. Research for the Public Good
2. Freedom of Information Act
3. Public's Right to Non-Biased Research
4. Nondiscriminatory Dissemination of Research Results
5. Performance of Classified or Secret Research
6. Training in Research Integrity

D. Dynamics of Public/Private Collaborative Research

1. Reconciliation of Organizational Missions
2. Research Relationships
3. Research Results and Proprietary Information

E. Intellectual Property

1. Patents
2. Copyrights
3. Trademark & Service Mark
4. Publication Rights
5. Data Ownership and Retention
6. Inventor Assignment Agreements

F. Technology Transfer

1. Bayh-Dole Act
2. Invention Reporting
3. Licensing
4. Patent and Copyright Enforcement
5. Materials Transfer
6. Knowledge Transfer

7. Non-Disclosure Agreements
8. Proactive Commercialization of Technologies
9. Researcher-Owned Start-Up Companies
10. Equity Positions
11. Venture Capital Funds
12. Export Control/Licensing

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