

# Comprehensive Study Questions for the CRA Exam

The Certified Research Administrator (CRA) exam assesses the fundamental knowledge necessary for professional research or sponsored programs administration. This study guide provides almost 200 multiple-choice study questions across the four domains of the Research Administrators Certification Council (RACC) CRA Body of Knowledge: Collection and Dissemination of Information, Legal Requirements and Sponsor Interface, Financial Management, and General Management. The questions are distributed according to the approximate weighting of each domain in the exam.

Domain	Weighting on the Actual CRA Exam	Approximate Number of Questions on Practice Exam
Collection and Dissemination of Information	44%	60 (35%)
Legal Requirements and Sponsor Interface	20%	45 (26%)
Financial Management	21%	40 (23%)
General Management	15%	26 (15%)
<b>Total</b>	<b>100%</b>	<b>171</b>

## **Domain 1: Collection and Dissemination of Information (Approximately 88 Questions)**

### **A - Research Development**

**01 - Communication:** *Effective exchange of information is critical in research administration, particularly in the pre-award phase. This includes managing internal funding programs and the limited submissions process, ensuring researchers are aware of opportunities and requirements. The ability to facilitate contact between faculty and program officers, and to stay informed through professional newsletters and listservs, underpins successful research development.*

- Which of the following is a primary communication responsibility of a research administrator in the context of internal funding programs?**
  - Determining the eligibility of external reviewers.
  - Managing the application review process.
  - Negotiating intellectual property terms with sponsors.
  - Processing journal entries for funded projects.
- Staying informed about funding trends and sponsor priorities is best achieved by a research administrator through:**
  - Attending weekly departmental meetings.
  - Reviewing faculty curriculum vitae.
  - Subscribing to professional newsletters and listservs.
  - Analyzing institutional financial reports.

**02 - Find Funding:** *Identifying appropriate funding sources is a foundational task in research administration. This involves working with development officers to understand institutional priorities and capabilities, and actively managing electronic funding opportunity systems to disseminate relevant opportunities to researchers. Understanding the landscape of funding agencies, including federal, state, and private entities, and the nuances of their funding opportunity announcements (FOAs) is essential for effectively supporting research endeavors.*

3. **A research administrator seeking potential funding opportunities for a faculty member should primarily consult:**
- a) The institution's human resources department.
  - b) Electronic funding opportunity databases.
  - c) The university library's journal archives.
  - d) Minutes from the last board of trustees meeting.
4. **Which of the following best describes the role of a research administrator in assisting with the identification of funding sources?**
- a) Conducting the proposed research on behalf of the faculty member.
  - b) Guaranteeing funding for all submitted proposals.
  - c) Matching faculty research interests with available funding opportunities.
  - d) Approving all budget expenditures for sponsored projects.

**03 - Obtain sample successful proposals:** *Access to previously funded proposals can provide invaluable guidance to researchers preparing new submissions. These samples illustrate sponsor expectations regarding proposal format, content, and level of detail, thereby increasing the likelihood of success. Research administrators often play a role in curating/providing access to these resources.*

5. **The primary benefit of providing sample successful proposals to researchers is to:**
- a) Ensure compliance with federal regulations.
  - b) Illustrate sponsor expectations and proposal structure.
  - c) Reduce the administrative burden on the research office.
  - d) Expedite the institutional review process.
6. **Where would a research administrator typically look to obtain sample successful proposals for researchers?**
- a) The sponsor's publicly accessible website or institutional archives.
  - b) The National Institutes of Health's grant writing workshops.
  - c) Commercial grant writing services.
  - d) Undergraduate research symposium proceedings.

**04 - Identify potential collaborator opportunities:** *Research administrators can facilitate the growth and impact of research by helping to connect researchers with complementary expertise. This involves understanding the research interests within the institution and beyond, and identifying opportunities for interdisciplinary collaborations that can lead to more innovative and impactful outcomes.*

7. **A research administrator can best assist in identifying potential collaborators by:**
- a) Mandating collaborative projects for all faculty.
  - b) Maintaining a database of faculty research interests and expertise.
  - c) Directly participating in the research activities of faculty.
  - d) Restricting faculty communication with external researchers.
8. **What is the primary benefit of fostering potential collaborator opportunities for researchers?**
- a) Reducing the overall cost of research projects.
  - b) Enhancing research impact and broadening expertise.
  - c) Simplifying the proposal submission process.
  - d) Ensuring compliance with institutional policies.

## **B - Proposal Development, Review, and Submission**

***01 - Proposal Development:** The process of developing a research proposal is multifaceted, requiring meticulous attention to detail. Research administrators assist investigators by obtaining necessary documentation from collaborators and sub-recipients, thoroughly reviewing sponsor and application guidelines to ensure all requirements are understood and addressed, meeting with project directors/investigators to provide guidance on proposal requirements, and preparing comprehensive proposal budgets that accurately reflect the project's financial needs. They may also be involved in writing or assisting investigators in writing sections of the proposal, generating administrative components such as cover letters and institutional information, responding to applicant questions, and completing agency forms for both electronic and paper submissions.*

9. **In the context of proposal development, what is a key responsibility of a research administrator regarding sponsor guidelines?**
- a) Interpreting the scientific merit criteria for the investigators.
  - b) Ensuring the investigators adhere to all ethical guidelines.
  - c) Thoroughly reviewing sponsor and application guidelines.
  - d) Writing the entire proposal on behalf of the investigators.
10. **When preparing a proposal budget, a research administrator should prioritize:**
- a) Maximizing the requested funding amount.
  - b) Including all potential future costs.
  - c) Ensuring the budget aligns with sponsor guidelines and project needs.
  - d) Minimizing the amount of cost share.
11. **Which of the following is typically considered an administrative component of a research proposal?**
- a) The detailed methodology section.
  - b) The biographical sketches of key personnel.
  - c) The institutional cover letter or transmittal.
  - d) The specific aims of the project.

**02 - Proposal Review:** Before submission to a sponsor, research proposals often undergo internal review to ensure quality and compliance. This process involves justifying sub-awardee costs to ensure they are reasonable and necessary, reviewing proposal budgets for accuracy and adherence to sponsor and institutional policies, editing proposals for clarity and completeness, and requesting any missing materials from the research team. Research administrators play a crucial role in ensuring all requirements are met, conducting proposal reviews which may focus on administrative aspects, preparing internal routing forms to obtain necessary institutional approvals, providing institutional assurances, representations, and certifications required by sponsors, adjusting budgets based on sponsor-imposed salary caps or other limitations, verifying applicable facilities and administrative (F&A) rates, and following up on any missing information needed by sponsors to process the application.

**12. What is the primary purpose of an internal proposal review conducted by the research administration office?**

- a) To evaluate the scientific merit of the proposed research.
- b) To ensure the proposal meets all administrative and compliance requirements.
- c) To provide feedback on the experimental design.
- d) To prioritize proposals based on institutional strategic goals.

**13. When reviewing a proposal budget, a research administrator should verify:**

- a) The scientific rigor of the proposed experiments.
- b) The appropriateness of the facilities and administrative (F&A) rate.
- c) The qualifications of the principal investigator.
- d) The potential for intellectual property generation.

**14. Institutional assurances provided during proposal submission typically include:**

- a) A guarantee of project success.
- b) Verification of the investigator's prior funding history.
- c) Confirmation of the institution's compliance with applicable regulations.
- d) A detailed plan for data dissemination.

**03 - Proposal Submission:** The final step in the pre-award phase is the submission of the proposal to the funding agency. Research administrators are often responsible for approving proposals for submission, ensuring all internal approvals have been obtained, acting as the authorized institutional signatory or coordinating with the appropriate signatory, and submitting proposals electronically through systems like Grants.gov or via paper copy, including preparing the necessary packages for delivery to the sponsor.

**15. The role of the Authorized Organizational Representative (AOR) in the proposal submission process is to:**

- a) Serve as the primary point of contact for the sponsor during the review process.
- b) Certify the proposal on behalf of the institution.
- c) Conduct the scientific review of the proposal.
- d) Manage the project budget after the award is received.

**16. What is a critical responsibility of a research administrator regarding proposal submission deadlines?**

- a) Informing investigators of potential funding opportunities.
- b) Ensuring all internal and external deadlines are met for successful submission.
- c) Conducting a final scientific edit of the proposal.
- d) Providing feedback on the proposal's budget justification.

***04 - Compile institutional proposal data and enter into database:** Maintaining comprehensive records of all submitted proposals is essential for institutional reporting, analysis, and strategic planning. Research administrators are tasked with collecting key data points from proposals, such as the funding agency, program, principal investigator, project title, and requested amount, and entering this information into institutional databases for tracking purposes.*

**17. Why is it important for a research administrator to compile institutional proposal data?**

- a) To ensure individual faculty members receive proper credit for their submissions.
- b) To facilitate the tracking of institutional research activity and funding success.
- c) To provide feedback to sponsors on the quality of their review process.
- d) To manage the distribution of indirect cost recovery funds.

**18. Which of the following data points is typically included when compiling institutional proposal data?**

- a) The detailed budget justification narrative.
- b) The names of all undergraduate students involved in the project.
- c) The funding agency and program to which the proposal was submitted.
- d) The full text of the proposed research methodology.

***05 - Enter proposal data into financial system:** Integrating proposal information with the institution's financial management system is a crucial step that bridges the pre-award and post-award phases. This involves entering key financial details from the proposal, such as the budget by category, the project period, and any cost-sharing commitments, into the financial system to facilitate the establishment of award accounts and the tracking of expenditures once funding is received.*

**19. What is the primary purpose of entering proposal data into the financial system?**

- a) To generate invoices for the sponsor.
- b) To facilitate the establishment of award accounts and budget tracking.
- c) To track the effort reporting of project personnel.
- d) To manage the institution's overall endowment.

**20. Which type of proposal data is typically entered into the financial system?**

- a) The abstract or summary of the research project.
- b) The detailed biographical sketches of the investigators.
- c) The proposed budget by category and project period.
- d) The sponsor's review comments on the proposal.

**06 - Provide overall management of application process, including timelines and internal/external deadlines necessary for successful submission:** *Research administrators often serve as project managers for the proposal development and submission process. This involves creating and managing timelines that incorporate both internal institutional deadlines (e.g., for internal review and approvals) and external sponsor deadlines, ensuring that all necessary steps are completed in a timely manner to facilitate a successful submission. Effective management requires proactive communication and coordination with all involved parties, including investigators, collaborators, and institutional officials.*

**21. Effective management of the application process by a research administrator includes:**

- a) Conducting the research experiments.
- b) Guaranteeing the scientific merit of the proposal.
- c) Establishing and monitoring timelines for all submission steps.
- d) Personally funding the research project if external funds are not secured.

**22. Why is it important for a research administrator to manage both internal and external deadlines during the application process?**

- a) To ensure the research team has ample time to conduct the experiments.
- b) To comply with the institution's human resources policies.
- c) To allow sufficient time for internal review and approvals before the sponsor deadline.
- d) To facilitate the timely processing of sub-award agreements.

**07 - Manage internal proposal record throughout the submission process:** *Maintaining organized and accessible records of proposals as they progress through the submission process is a key administrative responsibility. This includes tracking the status of each proposal, documenting internal reviews and approvals, and ensuring that all relevant documents, such as sponsor guidelines, the complete proposal document, and any correspondence, are properly stored and readily available for reference or audit purposes.*

**23. The primary reason for a research administrator to manage internal proposal records is to:**

- a) Ensure the principal investigator adheres to the proposed timeline.
- b) Facilitate tracking, compliance, and access to proposal information.
- c) Evaluate the performance of the research team.
- d) Determine the institution's success rate for funding.

**24. Which of the following documents would typically be included in an internal proposal record?**

- a) The personal financial statements of the principal investigator.
- b) The sponsor's publicly available annual report.
- c) Internal routing forms and sponsor guidelines.
- d) The institution's strategic plan for research.

## C - Compliance

**01 - Provide guidance on definition of human subjects research and possible exemptions:** *Research administrators play a vital role in guiding investigators through the complexities of research involving human subjects. This includes providing clear explanations of the regulatory definition of human subjects research, as outlined in regulations such as 45 CFR Part 46 (the Common Rule), and assisting researchers in determining whether their proposed activities meet this definition. Furthermore, they advise on the various categories of research that may be exempt from full IRB review, helping to streamline the compliance process for appropriate studies. Understanding the nuances of what constitutes human subjects research and the criteria for exemption is crucial for ensuring both ethical conduct and regulatory adherence.*

**25. According to federal regulations, which of the following activities would typically be defined as human subjects research?**

- a) Analysis of existing publicly available datasets.
- b) A survey collecting information about individual opinions on a political issue.
- c) Quality improvement initiatives focused on internal institutional practices.
- d) Case studies involving deceased individuals.

**26. A research study that involves the use of educational tests in an anonymous manner may qualify for:**

- a) Full Institutional Review Board (IRB) review.
- b) Expedited IRB review.
- c) An exemption from IRB review.
- d) A waiver of documentation of informed consent.

**02 - Facilitate pre- and/or post-award site visits:** *Sponsors often conduct site visits, both before an award is made (pre-award) to assess the institution's capabilities and during the project period (post-award) to monitor progress and compliance. Research administrators are instrumental in facilitating these visits by coordinating logistics, scheduling meetings between sponsor representatives and key personnel, preparing relevant documentation and information for review, and ensuring that the visit runs smoothly and effectively. Their role helps to showcase the institution's strengths and facilitates open communication between the sponsor and the research team.*

**27. The primary purpose of a pre-award site visit by a sponsor is typically to:**

- a) Review the detailed budget and negotiate indirect cost rates.
- b) Assess the institution's capabilities and the research team's qualifications.
- c) Conduct a thorough audit of the institution's financial records.
- d) Provide training on the sponsor's electronic submission system.

**28. During a post-award site visit, a research administrator might be responsible for:**

- a) Presenting the scientific findings of the research project.
- b) Coordinating meetings between the sponsor representatives and project personnel.
- c) Approving budget revisions requested by the principal investigator.
- d) Negotiating the terms of a potential future funding opportunity.

**03 - Alert investigators to potential regulatory non-compliance:** *A critical aspect of research administration is the proactive identification and communication of potential regulatory non-compliance to investigators. This requires research administrators to stay informed about relevant regulations and institutional policies, to monitor research activities, and to promptly alert investigators if any deviations or potential breaches are identified. This early intervention can help prevent more serious issues, ensure the ethical and responsible conduct of research, and protect the institution from potential penalties or sanctions.*

**29. A research administrator becomes aware of a potential deviation from an approved Institutional Review Board (IRB) protocol. The administrator's immediate next step should be to:**

- a) Report the issue directly to the funding agency.
- b) Immediately suspend all research activities related to the protocol.
- c) Alert the principal investigator to the potential non-compliance.
- d) Revise the IRB protocol to reflect the observed deviation.

**30. Which of the following scenarios would likely trigger a concern for potential regulatory non-compliance that a research administrator should address?**

- a) An investigator submits a proposal to a new funding agency.
- b) A research project is completed within the originally proposed timeline.
- c) An investigator fails to submit a required progress report to the sponsor on time.
- d) The institution's facilities and administrative (F&A) rate is updated.

**04 - Monitor award reports and other deliverables:** *Once a research project is funded, sponsors typically require the submission of various reports and deliverables at specified intervals. Research administrators play a key role in monitoring these requirements, tracking due dates, and ensuring that investigators are aware of their obligations. This includes keeping records of submitted reports and following up with investigators to ensure timely and accurate submission, thereby maintaining the institution's good standing with funding agencies.*

**31. What is the primary responsibility of a research administrator in monitoring award reports and other deliverables?**

- a) To personally prepare and submit all required reports on behalf of the investigators.
- b) To track due dates and ensure timely submission of accurate reports by the research team.
- c) To evaluate the scientific progress documented in the reports.
- d) To negotiate extensions for report deadlines with the funding agency.

**32. Which of the following is an example of a deliverable that a research administrator might monitor for a sponsored project?**

- a) The investigator's annual vacation schedule.
- b) The institution's quarterly financial statements.
- c) A final technical report submitted to the funding agency.
- d) The minutes of the project team's weekly meetings.



**05 - Collect time/effort reports and review for accuracy prior to certification:** *Federal regulations and sponsor requirements often mandate the certification of effort expended by personnel on sponsored projects. Research administrators are frequently responsible for collecting time and effort reports from faculty and staff, reviewing these reports for accuracy and consistency with the project budget and activities, and ensuring that the reports are properly certified in accordance with institutional and sponsor guidelines. This process is crucial for ensuring appropriate allocation of salary costs to sponsored awards and for complying with federal cost accounting standards.*

**33. The primary purpose of collecting time and effort reports for sponsored projects is to:**

- a) Evaluate the productivity of individual researchers.
- b) Determine the amount of vacation time accrued by project personnel.
- c) Ensure that salary charges to sponsored projects are accurate and justified.
- d) Track the overall progress of the research activities.

**34. Before certifying a time and effort report, a research administrator should verify that the reported effort:**

- a) Exceeds the minimum required by the institution's human resources policy.
- b) Aligns with the individual's job description and responsibilities.
- c) Is consistent with the budget and activities outlined in the sponsored award.
- d) Has been approved by the funding agency's program officer.

**06 - Monitor award progress:** *Beyond financial and reporting aspects, research administrators often monitor the overall progress of funded projects to identify any potential roadblocks or challenges that might impede the successful completion of the research. This involves maintaining communication with the principal investigator and project team, tracking key milestones and objectives, and proactively offering assistance or connecting researchers with relevant institutional resources to help ensure the project stays on track.*

**35. In the context of monitoring award progress, a research administrator might:**

- a) Directly supervise the research staff involved in the project.
- b) Evaluate the scientific validity of the research findings.
- c) Facilitate communication and connect researchers with institutional resources.
- d) Approve all technical changes to the research protocol.

**36. Why is it important for a research administrator to monitor the progress of sponsored awards?**

- a) To ensure the principal investigator adheres to their proposed work schedule.
- b) To identify potential issues early and facilitate timely intervention to keep the project on track.
- c) To evaluate the researcher's performance for tenure and promotion purposes.
- d) To ensure the project expenditures align with the institution's strategic goals.

**07 - Administer clinical trial agreements:** *Clinical trial agreements (CTAs) are complex legal documents that govern the conduct of clinical research involving human participants. Research administrators with expertise in this area are responsible for administering these agreements, which includes reviewing and negotiating terms related to liability, intellectual property rights arising from the trial, publication of results, data ownership, and other critical aspects to protect the interests of the institution, investigators, and participants. They also ensure that the CTA aligns with sponsor requirements and relevant regulations.*

**37. A key responsibility of a research administrator in administering clinical trial agreements is to:**

- a) Design the clinical trial protocol.
- b) Provide medical oversight for the trial participants.
- c) Negotiate terms related to intellectual property and publication rights.
- d) Manage the clinical data collected during the trial.

**38. Which of the following is a critical element typically addressed in a clinical trial agreement?**

- a) The dietary restrictions for trial participants.
- b) The statistical analysis plan for the trial data.
- c) The allocation of liability between the institution and the sponsor.
- d) The investigator's personal financial disclosures.

**08 - File invention statements:** *When research conducted at an institution, particularly with external funding, leads to potentially patentable inventions or discoveries, investigators are typically required to disclose these inventions to the institution through an invention statement or disclosure. Research administrators often manage this process, which includes providing guidance to investigators on how to properly document and submit their invention disclosures, ensuring that all necessary information is captured, and facilitating the review of these disclosures by the institution's technology transfer office to assess their commercial potential and determine the appropriate course of action regarding patenting and intellectual property protection. They also ensure compliance with sponsor requirements related to the reporting of inventions.*

**39. The primary purpose of filing an invention statement is to:**

- a) Ensure the research findings are published in a timely manner.
- b) Initiate the process of assessing the commercial potential and protecting the intellectual property.
- c) Comply with the institution's conflict of interest policies.
- d) Document the effort expended by the research team.

**40. Which institutional office is typically responsible for reviewing invention statements and managing the patenting process?**

- a) The office of sponsored programs.
- b) The institutional review board (IRB).
- c) The technology transfer office.
- d) The office of research compliance.

**09 - Verify that awardee is not debarred/suspended:** Federal regulations prohibit the use of federal funds to support individuals or entities that have been debarred or suspended from receiving federal funding or contracts. Research administrators are responsible for verifying the eligibility of potential awardees, including the principal investigator and any sub-recipients, by checking lists of debarred and suspended parties maintained by the federal government, such as the System for Award Management (SAM). This verification process ensures that the institution complies with these regulations and avoids any potential legal or financial repercussions.

**41. Why is it necessary for a research administrator to verify that an awardee is not debarred or suspended?**

- a) To ensure the awardee has a strong track record of research productivity.
- b) To comply with federal regulations regarding the use of federal funds.
- c) To assess the awardee's financial stability.
- d) To determine if the awardee has any conflicts of interest.

**42. Which federal system is commonly used to verify whether an individual or entity is debarred or suspended from receiving federal funds?**

- a) The National Institutes of Health (NIH) eRA Commons.
- b) The System for Award Management (SAM).
- c) The Grants.gov application portal.
- d) The Federal Audit Clearinghouse.

**10 - Monitor research-related travel:** Many sponsored projects include funding for travel related to the research activities, such as attending conferences or visiting collaborators. Research administrators play a role in monitoring this travel to ensure that it is conducted in accordance with both institutional travel policies and any specific restrictions or requirements imposed by the funding sponsor. This includes reviewing travel authorizations and expense reports for allowability, allocability, and reasonableness, and ensuring that proper documentation is maintained for all travel expenditures charged to the sponsored project.

**43. When monitoring research-related travel expenses charged to a sponsored project, a research administrator should ensure that the expenses are:**

- a) Primarily for personal benefit and enjoyment.
- b) Extravagant and exceed institutional per diem rates.
- c) Reasonable, allocable to the project, and comply with sponsor policies.
- d) Incurred only by the principal investigator.

**44. Which of the following is a key aspect of monitoring research-related travel for compliance?**

- a) Ensuring the traveler has the most frequent flyer miles.
- b) Verifying that the travel dates align with the project period and activities.
- c) Confirming the traveler has packed appropriately for the destination.
- d) Approving the traveler's choice of hotel regardless of cost.

## **D - Subrecipient Monitoring**

**01 - Create sub-award agreement:** *When a portion of a research project is to be carried out by another organization (a subrecipient), a formal sub-award agreement must be established. Research administrators are responsible for drafting these legal agreements, which clearly outline the scope of work to be performed by the subrecipient, the budget allocated for their portion of the project, the period of performance, and all applicable terms and conditions, including those passed down from the prime sponsor. A well-crafted sub-award agreement is essential for defining the responsibilities and expectations of the subrecipient and ensuring compliance.*

**45. The primary purpose of a sub-award agreement is to:**

- a) Provide funding directly to the principal investigator for personal use.
- b) Establish a formal legal agreement outlining the responsibilities of a subrecipient.
- c) Transfer the entire sponsored award to another institution.
- d) Document the institution's internal policies and procedures for research.

**46. Which of the following elements is typically included in a sub-award agreement?**

- a) The prime sponsor's detailed review comments on the original proposal.
- b) The subrecipient's institution-wide facilities and administrative (F&A) rate.
- c) The scope of work to be performed by the subrecipient.
- d) The biographical sketches of all key personnel at the prime recipient institution.

**02 - Negotiate sub-awards:** *The terms and conditions of a sub-award agreement may require negotiation between the prime recipient institution and the subrecipient organization. Research administrators often lead or participate in these negotiations to ensure that the agreement is fair and equitable to both parties, that it adequately addresses key issues such as intellectual property rights, publication guidelines, and reporting requirements, and that it aligns with the prime sponsor's terms and conditions. Documenting the final agreed-upon terms is crucial for clarity and accountability.*

**47. In the context of negotiating a sub-award agreement, a research administrator might focus on:**

- a) Dictating all terms and conditions to the subrecipient.
- b) Ensuring the subrecipient's budget is significantly reduced.
- c) Reaching a mutually agreeable understanding on key terms like intellectual property.
- d) Eliminating all reporting requirements for the subrecipient.

**48. Why is it important to negotiate the terms of a sub-award agreement?**

- a) To ensure the subrecipient is aware of the prime recipient's internal policies.
- b) To establish clear expectations and protect the interests of all parties involved.
- c) To expedite the payment process for the subrecipient.
- d) To allow the prime recipient to directly manage the subrecipient's research activities.

**03 - Monitor sub-recipients:** *The prime recipient institution has the responsibility to oversee the activities and compliance of its subrecipients throughout the project period. Research administrators play a vital role in this monitoring process, which may include reviewing the subrecipient's progress reports (both technical and financial), tracking invoices and expenditures to ensure they align with the approved budget and scope of work, conducting risk assessments to identify potential areas of concern, and taking appropriate corrective action if any issues or non-compliance are identified.*

**49. Effective monitoring of a subrecipient by a research administrator includes:**

- a) Conducting the subrecipient's research activities directly.
- b) Approving all of the subrecipient's expenditures without question.
- c) Reviewing the subrecipient's progress reports and financial documentation.
- d) Assuming the subrecipient's institutional review board (IRB) responsibilities.

**50. What is the primary reason for a prime recipient institution to monitor its subrecipients?**

- a) To ensure the subrecipient adheres to the prime recipient's institutional culture.
- b) To comply with the prime sponsor's requirements and ensure proper use of funds.
- c) To evaluate the subrecipient's eligibility for future funding opportunities.
- d) To directly manage the subrecipient's personnel and resources.

**04 - Respond to sub-recipient questions:** *Throughout the course of a sub-award, the subrecipient organization may have various questions or require clarification on aspects of the agreement, reporting requirements, payment processes, or other administrative matters. Research administrators serve as a key point of contact and are responsible for providing timely, accurate, and helpful responses to these inquiries, facilitating effective communication and a positive working relationship between the prime recipient and the subrecipient.*

**51. When responding to questions from a subrecipient, a research administrator should prioritize:**

- a) Providing lengthy and highly technical explanations.
- b) Offering immediate personal opinions without consulting project documentation.
- c) Ensuring the prime recipient's interests are always prioritized over the subrecipient's needs.
- d) Providing timely and accurate information based on the sub-award agreement and sponsor terms.

**52. Effective communication with subrecipients by a research administrator helps to:**

- a) Increase the administrative burden on the subrecipient organization.
- b) Foster a positive working relationship and facilitate project progress.
- c) Limit the subrecipient's access to information about the prime-sponsored award.
- d) Ensure the subrecipient strictly adheres to the prime recipient's internal policies.

## **E - Account Management**

**01 - Request/establish an advance account:** *In some cases, particularly when there is a delay between the official start date of a sponsored award and the establishment of the full award account in the institution's financial system, an advance account may be requested or established. Research administrators often initiate this process, working with the institution's finance or accounting office to set up a temporary account that allows the project to begin incurring allowable expenses before the formal award account is in place. This ensures that critical research activities are not unnecessarily delayed.*

**53. The primary purpose of requesting or establishing an advance account is to:**

- a) Allow the principal investigator to access funds for personal use before the award starts.
- b) Provide preliminary funding to begin project activities before the official award account is established.
- c) Serve as the permanent financial account for the sponsored project.
- d) Track the institution's overall research expenditures across all projects.

**54. Who typically initiates the process of requesting or establishing an advance account for a sponsored project?**

- a) The funding agency's program officer.
- b) The institution's human resources department.
- c) The research administrator or sponsored programs office.
- d) The principal investigator's academic department.

**02 - Enter award data into financial system:** *Once a sponsored award is received, the detailed information contained in the award notice must be accurately entered into the institution's financial management system. This critical step is often performed by research administrators or post-award financial specialists and involves inputting key details such as the award amount, the project period, the budget by category, the sponsor's terms and conditions, and any specific accounting or reporting requirements. Accurate data entry is essential for proper financial management, budget tracking, and compliance throughout the award lifecycle.*

**55. What is the primary function of entering sponsored award data into the financial system?**

- a) To notify the principal investigator that the award has been received.
- b) To facilitate accurate budget allocation, expenditure tracking, and financial reporting.
- c) To generate a unique identifier for the research project.
- d) To comply with the institution's record retention policies.

**56. Which of the following pieces of information from a sponsored award notice would typically be entered into the financial system?**

- a) The abstract or summary of the research project.
- b) The sponsor's contact information for technical inquiries.
- c) The total award amount and the budget by expenditure category.
- d) The biographical sketches of the key personnel involved in the project.

**03 - Establish an award account:** *The culmination of the initial post-award setup process is the formal establishment of a dedicated financial account for the funded research project within the institution's accounting system. Research administrators often work in collaboration with the finance or accounting office to ensure this account is created accurately, reflecting the award details entered into the system. The award account serves as the central mechanism for recording all financial transactions related to the project, including expenditures, revenue, and any cost-sharing activities, and is essential for effective financial management and reporting.*

**57. The primary purpose of establishing a dedicated award account for a sponsored project is to:**

- a) Provide a secure location for storing research data.
- b) Serve as the central mechanism for recording all financial transactions related to the project.
- c) Track the progress of the research activities and milestones.
- d) Facilitate communication between the research team and the funding agency.

**58. The establishment of an award account typically involves:**

- a) Obtaining approval from the principal investigator's department chair.
- b) Assigning a unique account number and linking it to the sponsored project details.
- c) Notifying the funding agency that the project has officially commenced.
- d) Distributing the total award amount to the investigators as a lump sum.

**04 - Manage award closeout process:** *The end of a sponsored research project requires a formal closeout process to ensure that all sponsor requirements have been met and the award is officially terminated. Research administrators play a critical role in managing this process, which includes working with the principal investigator and the institution's finance office to reconcile all project expenditures, prepare and submit final financial and technical reports to the sponsor, ensure proper disposition of any project-related equipment or supplies, and formally close out the award account in the financial system. Timely and accurate closeout is essential for maintaining the institution's eligibility for future funding.*

**59. A key responsibility of a research administrator in managing the award closeout process is to:**

- a) Conduct the final research experiments and analyze the data.
- b) Negotiate the terms of future funding opportunities with the sponsor.
- c) Ensure the timely submission of all final financial and technical reports.
- d) Archive all research data in the principal investigator's personal files.

**60. Which of the following activities is typically involved in the award closeout process?**

- a) Submitting a proposal for a continuation of the research project.
- b) Reconciling project expenditures and preparing final financial reports.
- c) Transferring the remaining project funds to a new research account.
- d) Conducting a final performance evaluation of the research team.

**Domain 2 – Legal Requirements and Sponsor Interface (Approximately 45 Questions)**

*The research administrator must ensure compliance with regulations like the Common Rule (45 CFR Part 46), which governs research involving human subjects. \* They must also adhere to Good Clinical Practice (GCP) guidelines, particularly when clinical trials are involved. \* For research involving animals, the Public Health Service Policy on Humane Care and Use of Laboratory Animals and the Animal Welfare Act are key regulations. \* Research administrators also need to be aware of regulations concerning the use of select agents and toxins, ensuring compliance with biosafety and biosecurity protocols.*

**61. Which regulation primarily governs the ethical treatment of human subjects in research funded by the U.S. federal government?**

- a) The Animal Welfare Act.
- b) The Bayh-Dole Act.
- c) 45 CFR Part 46 (The Common Rule).
- d) The Health Insurance Portability and Accountability Act (HIPAA).

**62. Good Clinical Practice (GCP) guidelines are particularly important for what type of research?**

- a) Basic science research using animal models.
- b) Clinical trials involving human participants.
- c) Social science research using surveys.
- d) Educational research analyzing student performance data.

**63. The Public Health Service Policy on Humane Care and Use of Laboratory Animals is a key regulation for research involving:**

- a) Human subjects.
- b) Laboratory animals.
- c) Select agents and toxins.
- d) Recombinant DNA.



**64. Which regulation addresses the humane care and treatment of animals used in research?**

- a) The Common Rule.
- b) The Animal Welfare Act.
- c) The Bayh-Dole Act.
- d) GCP guidelines.

**65. Compliance with biosafety and biosecurity protocols is particularly important when research involves:**

- a) De-identified patient data.
- b) Select agents and toxins.
- c) Mathematical modeling.
- d) Literature reviews.

*Research administrators must be knowledgeable about the Health Insurance Portability and Accountability Act (HIPAA) and its implications for protecting the privacy and security of individuals' Protected Health Information (PHI) when used in research. The Bayh-Dole Act is also significant, as it governs the ownership of inventions made with federal funding, allowing institutions to retain title to these inventions and encouraging their commercialization. Export control regulations are another critical area, as they restrict the transfer of certain technologies, information, and commodities to foreign entities or individuals, particularly those related to defense or national security. Research administrators need to ensure that research activities comply with these regulations, especially when international collaborations are involved or when research outcomes could have dual-use applications.*

**66. Which federal law addresses the privacy and security of protected health information?**

- a) The Bayh-Dole Act.
- b) The Animal Welfare Act.
- c) The Health Insurance Portability and Accountability Act (HIPAA).
- d) The Common Rule.

**67. The Bayh-Dole Act primarily relates to:**

- a) The ethical treatment of human subjects in research.
- b) The ownership of inventions arising from federally funded research.
- c) The regulations governing the use of animals in research.
- d) The control of exports of sensitive technologies.

**68. Which of the following situations would most likely trigger concerns related to export control regulations?**

- a) Conducting a survey about public opinions within the United States.
- b) Collaborating on a research project involving the transfer of advanced aerospace technology to researchers in another country.
- c) Publishing research findings in an open-access scientific journal.
- d) Using commercially available software in a research laboratory.

*Research administrators need to understand and implement institutional policies related to research ethics, conflict of interest, and responsible conduct of research, ensuring that researchers are aware of and adhere to these policies. They also serve as a key point of contact between the institution and external sponsors, including federal agencies (like NIH and NSF), foundations, and industry partners. Effective communication and a clear understanding of sponsor-specific requirements and guidelines are essential for successful research administration. This includes interpreting and applying sponsor policies on issues such as budget development, allowable costs, reporting requirements, and intellectual property.*

**69. Which of the following is a key area of institutional policy that research administrators help to implement and ensure compliance with?**

- a) Faculty teaching loads and responsibilities.
- b) Policies related to research ethics and responsible conduct of research.
- c) Student admissions criteria and procedures.
- d) Building maintenance and safety protocols.

**70. A research administrator plays a crucial role in facilitating communication and understanding between:**

- a) The institution's dining services and the campus bookstore.
- b) The institution and external sponsors of research projects.
- c) The human resources department and the information technology services.
- d) The undergraduate student government and the graduate student association.

**71. Understanding and applying sponsor-specific policies is particularly important regarding:**

- a) The institution's internal payroll procedures.
- b) Guidelines for budget development and allowable costs on sponsored projects.
- c) The personal research interests of the institution's president.
- d) The standard curriculum for undergraduate degree programs.

*Research administrators often assist in the negotiation of research agreements with sponsors, ensuring that the terms are acceptable to the institution and comply with applicable regulations and policies. This includes understanding the different types of agreements, such as grants, contracts, and cooperative agreements, and the specific legal and administrative requirements associated with each.*

**72. Which of the following types of research agreements typically involves more specific deliverables and terms defined by the sponsor?**

- a) A grant from a federal agency.
- b) A contract with an industry partner.
- c) A fellowship awarded to an individual researcher.
- d) An internal seed funding award from the institution.

**73. In the negotiation of research agreements, a research administrator would typically focus on:**

- a) The scientific methodology proposed by the researchers.
- b) Ensuring the proposed budget aligns with the sponsor's guidelines.
- c) The potential impact of the research on the broader community.
- d) The investigator's qualifications and prior research experience.

*They may also be involved in intellectual property management, working with technology transfer offices to protect and potentially commercialize inventions arising from sponsored research, in accordance with the Bayh-Dole Act and institutional policies.*

**74. Which office within a research institution is typically responsible for the protection and commercialization of intellectual property resulting from research?**

- a) The office of sponsored programs.
- b) The institutional review board (IRB).
- c) The technology transfer office.
- d) The office of research compliance.

**75. The Bayh-Dole Act gives institutions the option to:**

- a) Require researchers to immediately publish all findings in open-access journals.
- b) Retain ownership of inventions made with federal funding and pursue commercialization.
- c) Prohibit any research that could potentially lead to patentable inventions.
- d) Directly transfer ownership of all federally funded inventions to the government.

*Understanding the nuances of different funding mechanisms, such as grants, contracts, and cooperative agreements, is crucial for research administrators to effectively manage the legal and administrative aspects of sponsored projects.*

**76. A key difference between a grant and a contract is that a contract typically:**

- a) Provides more autonomy to the researcher in determining the scope of work.
- b) Involves a more specific set of deliverables and expectations defined by the sponsor.
- c) Is primarily aimed at supporting basic research rather than applied research.
- d) Has less stringent financial reporting requirements.

**77. In a cooperative agreement, the sponsor typically has:**

- a) No direct involvement in the research activities.
- b) Substantial programmatic involvement in the research activities beyond typical grant oversight.
- c) Limited oversight focused solely on financial aspects of the project.
- d) The same level of involvement as in a standard contract.

*They need to be able to interpret and apply sponsor terms and conditions related to areas such as data management, data sharing, and publication of research results.*

**78. Sponsor terms and conditions often dictate requirements for:**

- a) The personal social media use of the principal investigator.
- b) The institution's internal faculty governance structure.
- c) How research data must be managed and shared with the sponsor or the public.
- d) The specific brand of equipment that must be purchased with grant funds.

**79. Why do sponsors often include terms and conditions related to the publication of research results?**

- a) To restrict the dissemination of findings that may be unfavorable to the sponsor.
- b) To ensure that the research outcomes are made available to the broader scientific community.
- c) To grant the sponsor exclusive rights to all publications arising from the funded research.
- d) To require that all publications are first reviewed and approved by the sponsor's marketing department.

*Research administrators are also responsible for ensuring compliance with federal regulations related to research misconduct, promoting an environment of integrity in research, and handling any allegations of misconduct according to institutional policies and federal requirements.*

**80. Federal regulations define research misconduct as:**

- a) Honest errors or differences of opinion in the interpretation of data.
- b) Fabrication, falsification, or plagiarism in proposing, performing, or reviewing research.
- c) Sloppy or negligent work habits that do not directly impact the integrity of the data.
- d) Disagreements among research team members regarding project direction.

**81. What is the primary responsibility of a research administrator regarding allegations of research misconduct?**

- a) To conduct the investigation and determine the guilt or innocence of the accused researcher.
- b) To protect the reputation of the institution and the researcher by downplaying any potential misconduct.
- c) To immediately notify the funding agency of any suspicions of research misconduct, regardless of the evidence.
- d) To ensure that the institution has a process in place for handling allegations fairly and in accordance with federal requirements.

*They play a vital role in facilitating the Responsible Conduct of Research (RCR) training for researchers, helping to educate them on ethical principles and regulatory requirements.*

**82. The goal of Responsible Conduct of Research (RCR) training is to:**

- a) Teach researchers how to effectively manage their research budgets.
- b) Ensure that researchers understand and adhere to the ethical and regulatory standards in their field.
- c) Provide researchers with strategies for maximizing their publication output.
- d) Help researchers develop strong grant writing skills.

**83. Which of the following topics is typically covered in Responsible Conduct of Research (RCR) training?**

- a) Advanced statistical analysis techniques.
- b) Laboratory safety procedures for handling hazardous materials.
- c) Authorship guidelines and the responsible reporting of research findings.
- d) Strategies for effective science communication to the public.

*Understanding the legal and ethical implications of research is paramount for research administrators to ensure the integrity and compliance of the institution's research enterprise.*

**84. Why is it important for research administrators to understand the legal and ethical implications of research?**

- a) To personally conduct ethical reviews of all research protocols.
- b) To ensure the institution's research activities are conducted with integrity and in compliance with all applicable laws and regulations.
- c) To provide legal counsel to researchers in case of disputes with sponsors.
- d) To make decisions about the scientific merit of proposed research projects.

**85. Which of the following is an example of an ethical consideration in research involving human subjects?**

- a) Ensuring that the research budget is spent efficiently.
- b) Obtaining voluntary informed consent from participants.
- c) Publishing the research findings in a high-impact journal.
- d) Protecting the intellectual property rights related to any inventions.

*A research administrator should be familiar with regulations related to research involving recombinant DNA and other biohazards, ensuring that proper safety protocols are in place.*

**86. Regulations concerning research involving recombinant DNA and other biohazards primarily aim to:**

- a) Facilitate the rapid advancement of biotechnology.
- b) Protect researchers, the public, and the environment from potential harm.
- c) Streamline the approval process for research protocols involving these materials.
- d) Ensure that all research in these areas leads to commercially viable products.

**87. Which of the following is a key safety measure often required in laboratories working with biohazards?**

- a) Allowing food and drinks in the lab to prevent distractions.
- b) Wearing appropriate personal protective equipment (PPE), such as gloves and lab coats.
- c) Disposing of all waste in regular trash bins for convenience.
- d) Overcrowding workspaces to maximize the use of available space.

*Research administrators may also need to handle issues related to research data management and sharing, including compliance with sponsor policies and federal mandates for data accessibility.*

**88. Why are sponsors and federal agencies increasingly emphasizing data management and sharing requirements for funded research?**

- a) To restrict access to research findings and maintain a competitive advantage.
- b) To promote transparency, reproducibility, and the advancement of knowledge through wider data accessibility.
- c) To increase the administrative burden on researchers and institutions.
- d) To allow funding agencies to directly control the use of research data for commercial purposes.

**89. Which of the following is a common element of a research data management plan?**

- a) The principal investigator's personal biography and publication history.
- b) A description of the types of data to be generated, how they will be stored and preserved, and how they will be made accessible.
- c) A detailed budget for the entire research project, including non-data-related expenses.
- d) Letters of support from collaborating institutions.

*They often serve as a liaison between researchers and the institution's legal counsel on matters related to research agreements, intellectual property, and regulatory compliance.*

**90. When a researcher has a question about the legal terms of a sponsored research agreement, a research administrator might:**

- a) Provide their own interpretation of the legal language based on their experience.
- b) Refer the researcher to the institution's legal counsel for expert advice.
- c) Advise the researcher to contact the funding agency directly for legal clarification.
- d) Ignore the question if it seems too complex or time-consuming.

**91. Why is it important for research administrators to act as a liaison with the institution's legal counsel?**

- a) To give the legal counsel more work and justify their existence.
- b) To ensure that research activities and agreements comply with all applicable laws and institutional policies, thereby protecting the institution and the researchers.
- c) To intimidate researchers into following all administrative procedures without question.
- d) To delay the research process by adding unnecessary layers of review.

*Research administrators need to stay updated on changes in federal and state regulations, as well as sponsor policies, that impact the conduct and administration of research.*

**92. How do research administrators typically stay informed about changes in regulations and sponsor policies?**

- a) By relying solely on information provided by individual researchers.
- b) By attending professional development workshops, subscribing to relevant newsletters, and participating in professional organizations.
- c) By assuming that regulations and policies remain constant over time.
- d) By focusing only on the regulations directly relevant to currently funded projects.

**93. Why is it crucial for research administrators to remain current on changes in the regulatory landscape?**

- a) To have more topics to discuss at staff meetings.
- b) To ensure that the institution's research practices remain compliant, ethical, and aligned with sponsor expectations, avoiding potential penalties or disruptions.
- c) To be able to impress researchers with their extensive knowledge of obscure regulations.
- d) To justify their role within the institution by constantly pointing out potential compliance issues.

*They often participate in institutional committees related to research compliance and policy development, contributing their expertise to the establishment and implementation of best practices.*

**94. The participation of research administrators in institutional committees is valuable because they can provide insights on:**

- a) The practical implications of proposed policies and regulations on the research community.
- b) The latest scientific breakthroughs in various fields of research.
- c) The institution's overall fundraising strategy and alumni engagement.
- d) The specific technical details of individual research projects.

**95. What is a key benefit of having research administrators involved in the development of research-related policies?**

- a) It ensures that all policies are written in complex legal jargon to maintain their authority.
- b) It helps to create policies that are practical, compliant, and supportive of the research process.
- c) It guarantees that all policies will be universally accepted and followed without question by researchers.
- d) It streamlines the policy development process by eliminating the need for input from faculty.



*Research administrators frequently interact with various offices within the institution, such as the Office of General Counsel, the Institutional Review Board (IRB), the Office of Technology Transfer, and the Office of Research Integrity, to ensure a coordinated approach to research administration and compliance.*

**96. When a research project involves human subjects, a research administrator would most likely need to interact with:**

- a) The Office of General Counsel to discuss legal aspects of the funding agreement.
- b) The Institutional Review Board (IRB) to ensure ethical review and approval of the protocol.
- c) The Office of Technology Transfer to address potential intellectual property arising from the research.
- d) The Office of Research Integrity to confirm compliance with research misconduct policies.

**97. Why is it important for research administrators to have effective working relationships with other institutional offices involved in research oversight?**

- a) To create bureaucratic hurdles that make it more difficult for researchers to conduct their work.
- b) To ensure a fragmented and inefficient approach to research administration.
- c) To facilitate a coordinated and comprehensive system of support and compliance for the institution's research activities.
- d) To centralize all authority over research within the sponsored programs office.

*Their understanding of sponsor guidelines and priorities allows them to effectively advocate for the institution's research interests while ensuring compliance with funding requirements.*

**98. A research administrator's understanding of a sponsor's priorities can help the institution by:**

- a) Guaranteeing that all submitted proposals will be funded.
- b) Identifying funding opportunities that align with the institution's research strengths.
- c) Allowing researchers to disregard sponsor guidelines if they conflict with institutional policies.
- d) Providing the sponsor with unsolicited advice on how to improve their funding programs.

**99. When advocating for the institution's research interests with a sponsor, a research administrator might:**

- a) Misrepresent the institution's capabilities to secure funding.
- b) Request exceptions to sponsor guidelines without a valid justification.
- c) Clearly articulate the institution's strengths and how the proposed research aligns with the sponsor's mission.
- d) Behave aggressively or demand concessions from the sponsor.

*They often assist faculty in interpreting complex sponsor regulations and guidelines, helping them to understand the requirements for proposal submission, award management, and reporting.*

**100. What is a primary way in which research administrators assist faculty with sponsor regulations?**

- a) By conducting the research on behalf of the faculty.
- b) By simplifying complex guidelines and explaining their implications for the research project.
- c) By ignoring regulations that seem overly burdensome or impractical.
- d) By assuring sponsors that the faculty will comply with all regulations without needing to understand them fully.

**101. If a faculty member is confused about a specific requirement in a funding opportunity announcement, they should typically:**

- a) Assume that the requirement is not important and can be disregarded.
- b) Contact the sponsor's program officer directly without informing the research administration office.
- c) Seek clarification from the research administrator who has experience with the sponsor's policies.
- d) Ask a colleague in a different field for their interpretation of the requirement.

*Research administrators are also involved in the process of responding to sponsor audits and reviews, ensuring that the institution provides accurate and complete information in a timely manner.*

**102. What is the primary goal of a sponsor audit or review of a research project?**

- a) To criticize the researchers' scientific findings and methodology.
- b) To identify areas where the institution can improve its research infrastructure.
- c) To ensure that the funds were used appropriately and in compliance with the terms of the award.
- d) To gather information that can be used to justify reducing future funding to the institution.

**103. When responding to a sponsor audit, a research administrator should ensure that the information provided is:**

- a) As brief as possible to minimize the amount of time spent on the audit.
- b) Based on personal recollections without referring to official records.
- c) Accurate, complete, and supported by appropriate documentation.
- d) Designed to shift responsibility for any issues onto the principal investigator.

*They play a crucial role in maintaining positive relationships with sponsors, fostering trust and open communication that can lead to continued funding opportunities and successful collaborations.*

**104. Why is maintaining positive relationships with research sponsors important for an institution?**

- a) It guarantees that the institution will receive an unlimited amount of funding in the future.
- b) It can lead to continued funding opportunities, collaborative partnerships, and enhanced reputation.
- c) It allows the institution to disregard sponsor requirements without consequence.
- d) It ensures that the institution's researchers will always have the most prestigious awards.

**105. Which of the following actions by a research administrator would likely contribute to a positive relationship with a sponsor?**

- a) Ignoring sponsor requests for information or reports.
- b) Being unresponsive to sponsor inquiries and concerns.
- c) Communicating proactively and transparently about project progress and any challenges.
- d) Publicly criticizing the sponsor's funding priorities and processes.

### **Domain 3 – Financial Management (Approximately 40 Questions)**

#### **A - Budget Development**

***01 - Assist in the preparation of proposal budgets:** Research administrators often work closely with principal investigators to develop comprehensive and accurate budgets for their grant proposals. This involves understanding the scope of the proposed research, identifying all necessary personnel, supplies, equipment, and other expenses, and ensuring that these costs are presented in a format that meets the sponsor's requirements and aligns with institutional policies. They may also help researchers determine appropriate budget justifications for each cost item.*

**106. When assisting with the preparation of a proposal budget, a research administrator should prioritize:**

- a) Inflating the costs to ensure sufficient funding.
- b) Minimizing the budget to increase the chances of funding.
- c) Ensuring all costs are reasonable, allocable, and justified by the project's scope.
- d) Including costs for activities not directly related to the proposed research.

**107. A key aspect of preparing a proposal budget is:**

- a) Projecting potential salary increases over the project period.
- b) Including costs for personal expenses of the principal investigator.
- c) Aligning the budget categories with the sponsor's specific requirements.
- d) Guaranteeing that the actual expenses will not exceed the budgeted amounts.

**02 - Review proposal budgets for compliance with sponsor and institutional guidelines:** *After a draft budget is prepared, research administrators review it to ensure that all proposed costs adhere to both the funding sponsor's regulations and the institution's internal policies. This includes checking for allowable and unallowable costs, ensuring that appropriate facilities and administrative (F&A) rates are applied, verifying that any cost-sharing commitments are accurately reflected, and identifying any potential budget issues that could lead to problems if the project is funded.*

**108. What is a primary reason for a research administrator to review a proposal budget for compliance?**

- a) To assess the scientific merit of the proposed research activities.
- b) To ensure that the budget adheres to all sponsor and institutional regulations.
- c) To determine the principal investigator's qualifications for the project.
- d) To negotiate a higher indirect cost rate with the sponsor.

**109. During a budget review, a research administrator would typically verify:**

- a) Whether the proposed costs are allowable under the sponsor's guidelines.
- b) The investigator's history of successful grant funding.
- c) The potential for commercialization of the research outcomes.
- d) The alignment of the research with the institution's strategic plan.

**03 - Justify budget costs in accordance with sponsor and institutional guidelines:** *A well-prepared budget not only lists the estimated costs but also provides a clear justification for why each cost is necessary and reasonable for the project. Research administrators often assist investigators in developing these justifications, ensuring that they are detailed, clearly written, and address the*

*specific requirements of both the sponsor and the institution. Strong budget justifications can significantly strengthen a proposal.*

**110. The primary purpose of a budget justification is to:**

- a) Ensure the proposed research is scientifically sound.
- b) Request the maximum allowable funding from the sponsor.
- c) Demonstrate the principal investigator's financial management skills.
- d) Explain the necessity and reasonableness of each cost item for the project.

**111. An effective budget justification should:**

- a) Simply list the total amount requested for each budget category.
- b) Provide detailed explanations for how each cost item directly supports the proposed research activities.
- c) Focus primarily on the qualifications and experience of the research team.
- d) Compare the requested costs to those of similar projects at other institutions.

***04 - Develop budgets for complex projects, including multi-site and international collaborations:*** *Some research projects involve collaborations with other institutions, either domestically or internationally. Developing budgets for these complex projects requires careful coordination and communication to ensure that the costs associated with each collaborating site are accurately reflected and that the overall budget adheres to the sponsor's and all involved institutions' policies. Research administrators play a key role in facilitating this process.*

**112. What is a unique challenge in developing budgets for multi-site research projects?**

- a) Coordinating budget information and requirements across different institutions.
- b) Ensuring that all investigators have equal access to funding.
- c) Avoiding the need for a detailed budget justification.
- d) Applying the facilities and administrative (F&A) rate of only the lead institution.

**113. When a research project involves an international collaboration, the budget development process may need to consider:**

- a) The personal income tax rates of the investigators in the foreign country.
- b) Currency exchange rates and potential fluctuations.
- c) The political stability of the collaborating institution's country.
- d) The collaborators' preferences for specific brands of research equipment.

## **B - Award Management**

**01 - Monitor expenditures against budget:** *Once a research project is funded, research administrators play a critical role in tracking how funds are being spent to ensure that expenditures remain within the approved budget and are in accordance with the sponsor's terms and institutional policies. This involves regularly reviewing financial reports, working with investigators to understand spending patterns, and identifying any potential overspending or underspending issues that may need to be addressed.*

**114. The primary purpose of monitoring expenditures against the budget is to:**

- a) Evaluate the scientific progress of the research.
- b) Identify opportunities to increase the scope of the project.
- c) Track the performance of individual researchers.
- d) Ensure that funds are spent appropriately and within the approved limits.

**115. If a research administrator identifies a potential budget overspend on a sponsored project, their initial step should be to:**

- a) Immediately transfer funds from another project to cover the deficit.
- b) Notify the funding agency that additional funds will be required.
- c) Work with the principal investigator to understand the reasons for the overspend and develop a corrective action plan.
- d) Automatically reduce future spending on the project to balance the budget.

**02 - Review and approve financial transactions (e.g., procurement requests, travel reimbursements):** *Research administrators often have the authority to review and approve financial transactions related to sponsored projects, ensuring that these transactions are allowable, allocable, reasonable, and comply with all applicable regulations and policies. This oversight helps to maintain the financial integrity of the project and the institution.*

**116. When reviewing a procurement request for a sponsored project, a research administrator should verify that the requested items are:**

- a) Preferred by the principal investigator.
- b) Available from a specific vendor mandated by the institution.
- c) Necessary for the project's scope of work and allowable under the sponsor's guidelines.
- d) Within the individual signing authority limit of the principal investigator.

**117. A travel reimbursement request for expenses incurred on a sponsored project should be reviewed by a research administrator to ensure that:**

- a) The traveler enjoyed their trip and found it professionally rewarding.
- b) The expenses are within the sponsor's and institution's travel policies and are directly related to the project.
- c) The reimbursement is processed within 24 hours of submission.
- d) The traveler received the maximum possible reimbursement amount.

***03 - Prepare and submit financial reports to sponsors:*** Sponsors typically require periodic financial reports detailing how the awarded funds have been spent. Research administrators are often responsible for preparing these reports, ensuring that the financial data is accurate, presented in the required format, and submitted to the sponsor by the specified deadlines. They work closely with the institution's finance office to gather the necessary information.

**118. The primary purpose of submitting financial reports to sponsors is to:**

- a) Provide a narrative of the scientific progress made on the project.
- b) Publicize the research findings to a wider audience.
- c) Request additional funding for future research endeavors.
- d) Demonstrate the institution's ability to manage the awarded funds responsibly and in compliance with the terms of the award.

**119. A key element of preparing a financial report for a sponsor is to:**

- a) Summarize the total amount spent in each budget category compared to the amount budgeted.
- b) Include detailed personal reflections on the research experience.
- c) Provide copies of all original receipts for every expenditure.
- d) Explain any minor deviations from the proposed research methodology.

***04 - Process cost transfers and other accounting adjustments:*** During the course of a sponsored project, it may become necessary to transfer costs between different budget categories or to make other accounting adjustments to ensure that expenses are accurately reflected and properly allocated. Research administrators often handle the processing of these cost transfers, ensuring that they are appropriately documented, justified, and comply with sponsor and institutional policies.

**120. A cost transfer is typically required when:**

- a) There is a surplus of funds in one budget category and a deficit in another.
- b) An expenditure was initially charged to the wrong sponsored project or budget category.
- c) The principal investigator decides to change the scope of the research.
- d) The funding agency requests a revised budget due to programmatic changes.

**121. When processing a cost transfer, a research administrator should ensure that:**

- a) The transfer is requested more than 90 days after the original transaction.
- b) The transfer is primarily for the convenience of the principal investigator.
- c) The transfer is well-documented, justified as necessary for the project, and allowable under sponsor guidelines.
- d) The transfer results in a significant increase in the total award amount.

***05 - Monitor and manage sub-award finances:*** *For projects that include sub-awards to other institutions, the prime recipient institution is responsible for monitoring the financial activities of the subrecipient. Research administrators at the prime institution often oversee this process, reviewing invoices submitted by the subrecipient, ensuring that expenditures are consistent with the sub-award agreement and the overall project objectives, and processing payments to the subrecipient in a timely manner.*

**122. What is a key aspect of monitoring sub-award finances?**

- a) Dictating how the subrecipient should conduct their research.
- b) Requiring the subrecipient to use the prime recipient's accounting system.
- c) Ensuring the subrecipient's expenditures align with the approved sub-award budget and scope of work.
- d) Delaying payments to the subrecipient to ensure they remain motivated.

**123. When reviewing an invoice from a subrecipient, a research administrator should look for:**

- a) Charges for activities outside the scope of the sub-award agreement.
- b) Detailed technical reports on the subrecipient's research progress.
- c) Evidence that the principal investigator at the subrecipient institution is managing their own budget.
- d) Confirmation that the subrecipient has complied with all of the prime recipient's internal policies.

***06 - Assist with effort certification processes:*** *As mentioned earlier, the certification of effort expended by personnel on sponsored projects is a critical compliance requirement. Research administrators often play a significant role in this process, providing guidance to faculty and staff on how to accurately complete effort reports, reviewing these reports for potential issues, and*



*facilitating the certification process in accordance with institutional and sponsor regulations.*

**124. The purpose of effort certification is to:**

- a) Track the number of hours worked by each employee for payroll purposes.
- b) Confirm that the salary charges to sponsored projects are consistent with the actual effort devoted to those projects.
- c) Evaluate the productivity and performance of researchers.
- d) Determine eligibility for employee benefits based on time worked.

**125. A research administrator assisting with effort certification might:**

- a) Complete and certify effort reports on behalf of faculty and staff.
- b) Ignore any discrepancies between reported effort and project budgets.
- c) Modify effort reports to ensure they meet sponsor requirements, regardless of actual effort.
- d) Provide training and guidance to individuals on how to accurately report their effort.

**C- Financial Compliance**

***01 - Ensure compliance with federal regulations (e.g., Uniform Guidance):***

*Research administrators must have a thorough understanding of the federal regulations that govern the administration of sponsored awards, such as the Uniform Guidance (2 CFR Part 200). They are responsible for ensuring that the institution's policies and procedures, as well as the day-to-day management of sponsored projects, comply with these regulations, particularly in areas related to financial management and cost allowability.*

**126. The Uniform Guidance (2 CFR Part 200) is a set of regulations that:**

- a) Outlines the ethical principles for conducting research with human subjects.
- b) Establishes government-wide rules for grants and agreements with federal agencies.
- c) Governs the protection of intellectual property arising from federally funded research.
- d) Specifies the procedures for reporting research misconduct..

**127. A key aspect of financial compliance under the Uniform Guidance is ensuring that costs charged to federal awards are:**

- a) Beneficial to the project but not necessarily directly related.
- b) Incurred at any point in time, regardless of the project period.
- c) Reasonable, allocable, and allowable under the terms of the award and the regulations.
- d) Primarily for the personal benefit of the principal investigator.

**02 - Adhere to sponsor-specific financial terms and conditions:** *In addition to federal regulations, each funding sponsor may have its own specific financial terms and conditions that must be followed. Research administrators must carefully review award notices and related documents to understand these sponsor-specific requirements and ensure that the institution's financial management practices align with them. This may include restrictions on certain types of expenditures, specific reporting formats, or unique invoicing procedures.*

**128. Sponsor-specific financial terms and conditions can often include:**

- a) Mandates on the specific research methodology to be used.
- b) Limitations on the types of costs that can be charged to the award.
- c) Requirements for the researchers' personal financial disclosures.
- d) Guarantees of future funding for related projects.

**129. If there is a conflict between a federal regulation (like the Uniform Guidance) and a sponsor-specific term, a research administrator should generally:**

- a) Always follow the federal regulation as it takes precedence.
- b) Always adhere to the sponsor's term to maintain a good relationship.
- c) Analyze the specific situation and consult with the sponsor or legal counsel to determine the appropriate course of action.
- d) Choose the option that is most convenient for the institution's financial system.

**03 - Implement and monitor cost accounting standards:** *Institutions that receive federal funding for research are typically required to comply with Cost Accounting Standards (CAS). These standards provide guidelines for the consistent treatment of costs across all sponsored projects. Research administrators play a role in implementing and monitoring adherence to these standards, ensuring that costs are allocated appropriately and consistently.*

**130. The primary goal of Cost Accounting Standards (CAS) is to:**

- a) Ensure consistency and uniformity in how costs are treated across all federal awards.
- b) Minimize the amount of funding that institutions receive for research.
- c) Simplify the process of preparing budgets for sponsored projects.
- d) Allow institutions maximum flexibility in charging costs to federal grants.

**131. Which of the following is an example of a principle addressed by Cost Accounting Standards (CAS)?**

- a) The requirement to obtain prior approval from the sponsor for all expenditures.
- b) The consistent treatment of indirect costs across all sponsored agreements.
- c) The specific format for submitting technical progress reports to funding agencies.
- d) The regulations governing the ethical conduct of research with human subjects.

**04 - Assist with audits of sponsored projects:** *Funding sponsors and government agencies may conduct audits of sponsored projects to ensure financial and regulatory compliance. Research administrators often assist with these audits by gathering necessary documentation, coordinating with investigators and the finance office, and helping to prepare responses to any audit findings.*

**132. The purpose of an audit of a sponsored project is primarily to:**

- a) Evaluate the scientific impact and outcomes of the research.
- b) Assess the institution's overall research productivity and success rate.
- c) Verify that the funds were spent in accordance with the terms of the award and applicable regulations.
- d) Provide recommendations for future research directions.

**133. When assisting with a sponsored project audit, a research administrator should:**

- a) Conceal any documentation that might raise questions.
- b) Provide all requested information accurately and in a timely manner.
- c) Speculate on the reasons for any discrepancies found.
- d) Direct all auditor inquiries solely to the principal investigator.

**D- Indirect Costs**

**01 - Understand and apply the institution's F&A rate:** *Facilities and Administrative (F&A) costs, also known as indirect costs or overhead, represent the expenses incurred by an institution that are not directly attributed to a specific research project but are necessary to support research activities (e.g., utilities, building maintenance, administrative support). Research administrators must understand the institution's negotiated F&A rate(s) and ensure that they are applied correctly to proposal budgets and award expenditures, in accordance with sponsor policies.*

**134. Facilities and Administrative (F&A) costs are intended to cover:**

- a) The salaries of the principal investigator and other research personnel.
- b) The direct costs of conducting the research, such as supplies and equipment.
- c) Institutional costs that support research, such as utilities and administrative support.
- d) Travel expenses for the research team to attend conferences.

**135. When applying the institution's F&A rate to a proposal budget, a research administrator should:**

- a) Negotiate a lower rate with the sponsor to increase the chances of funding.
- b) Apply the rate to all direct cost categories, including equipment and sub-awards over a certain amount.
- c) Ensure the rate used is the currently approved institutional rate and is applied to the appropriate base.
- d) Exclude the F&A costs from the budget to make the proposal appear more cost-effective.

***02 - Calculate F&A costs for proposals and awards:*** Research administrators are often responsible for calculating the appropriate amount of F&A costs to be included in proposal budgets and applied to sponsored awards. This requires understanding the institution's F&A rate agreement, including the definitions of the on-campus and off-campus rates and the Modified Total Direct Cost (MTDC) base, as well as any limitations or exclusions imposed by the sponsor.

**136. The Modified Total Direct Cost (MTDC) base for calculating F&A typically excludes:**

- a) Salaries and wages.
- b) Materials and supplies.
- c) Equipment, sub-awards over a certain threshold, and participant support costs.
- d) Travel expenses.

**137. If a research project is to be conducted entirely at an off-campus field site, the applicable F&A rate is likely to be:**

- a) The institution's standard on-campus F&A rate.
- b) A lower off-campus F&A rate.
- c) A rate negotiated specifically for that project.
- d) Zero, as no institutional facilities are being used.

***03 - Understand sponsor policies on indirect costs:*** Funding sponsors often have specific policies regarding the reimbursement of indirect costs. Some may have a limit on the F&A rate they will pay, while others may exclude certain types of costs from the F&A calculation. Research administrators must be familiar with these sponsor-specific policies to ensure that the institution requests the appropriate amount of indirect costs and complies with the sponsor's guidelines.

**138. Some funding sponsors may have a policy that:**

- a) Limits the indirect cost rate that they will reimburse to a specific percentage.
- b) Requires institutions to use their highest negotiated F&A rate.
- c) Allows institutions to charge F&A on all direct costs without exception.
- d) Provides a bonus to institutions that keep their indirect costs below a certain level.

**139. If a sponsor has a policy that limits the F&A rate to 10% of total direct costs, and the institution's negotiated rate is 50% of MTDC, the research administrator should:**

- a) Apply the institution's full negotiated rate, as it represents the actual cost of supporting the research.
- b) Apply the sponsor's limited rate of 10% to ensure compliance.
- c) Negotiate with the sponsor to try to get them to pay the institution's full rate.
- d) Decline to submit the proposal as the indirect cost reimbursement is too low.

## **E- Effort Reporting**

***01 - Interpret federal regulations and sponsor requirements for effort reporting:***  
*Effort reporting is mandated by federal regulations, particularly the Uniform Guidance, to ensure that salary charges to sponsored projects are accurate and reflect the actual work performed. Research administrators must understand these regulations, as well as any specific effort reporting requirements imposed by individual sponsors, and communicate these requirements to faculty and staff.*

**140. According to federal regulations, effort reporting is required for:**

- a) All institutional employees, regardless of whether they work on sponsored projects.
- b) External consultants who are paid through sponsored project funds.
- c) Only principal investigators who are responsible for the overall project management.
- d) Individuals whose salary is charged in whole or in part to federally funded projects.

**141. Sponsor-specific effort reporting requirements might include:**

- a) The use of a particular software system for submitting reports.
- b) A requirement for effort to be reported in increments of less than 1%.
- c) The need for more frequent reporting than what is required by federal regulations.
- d) Exemptions for certain types of personnel, such as postdoctoral researchers.

***02 - Train and support faculty and staff on effort reporting procedures:***

*Research administrators often provide training and support to faculty and staff members to ensure they understand the institution's effort reporting policies and procedures and can accurately complete their effort reports. This may involve conducting workshops, creating instructional materials, and providing one-on-one assistance to address individual questions or issues.*

**142. Effective training on effort reporting procedures should include:**

- a) Detailed instructions on how to maximize the amount of salary charged to sponsored projects.
- b) An overview of the relevant federal regulations and institutional policies.
- c) Guidance on how to report effort in a way that is most likely to result in favorable audit outcomes.
- d) Assurances that any errors in effort reporting will not have any consequences.

**143. When supporting faculty and staff with effort reporting, a research administrator should emphasize:**

- a) The importance of reporting effort in a way that aligns with the project budget, even if it doesn't fully reflect actual effort.
- b) The need for effort reports to be certified by individuals with firsthand knowledge of the work performed.
- c) That effort reporting is merely a bureaucratic formality with no real impact.
- d) That it is acceptable to estimate effort without referring to actual work records.

***03- Review certified effort reports for accuracy and completeness:*** *After effort reports are submitted and certified, research administrators often review them to ensure they are accurate and complete. This includes checking for any inconsistencies, discrepancies between reported effort and funding allocations, or potential issues that might indicate non-compliance. Follow-up with individuals to resolve any identified problems is a crucial step in this process.*

**144. When reviewing a certified effort report, a research administrator should look for:**

- a) Whether the reported effort exceeds 100%.
- b) Whether the distribution of effort across projects aligns with the individual's funding sources.
- c) Whether the effort report has been certified by someone other than the employee or their direct supervisor.
- d) All of the above.

**145. If a research administrator identifies a significant discrepancy between the effort reported on a sponsored project and the salary charged to that project, they should:**

- a) Immediately adjust the effort report to match the salary charges.
- b) Discuss the discrepancy with the employee and their supervisor to determine the cause and the appropriate corrective action.
- c) Assume that the salary charges are incorrect and initiate a cost transfer.
- d) Report the discrepancy directly to the funding agency without discussing it internally.

#### **Domain 4 – General Management (Approximately 26 Questions)**

##### **A - Pre-Award Management**

***01 - Interpret sponsor guidelines to determine eligibility and proposal requirements:*** *A fundamental aspect of pre-award management is the ability to understand and interpret the guidelines provided by funding sponsors for their grant programs. Research administrators must carefully review these guidelines to determine whether a project is eligible for a particular funding opportunity and to identify all the requirements for submitting a complete and compliant proposal. This includes understanding deadlines, formatting specifications, required content sections, and any specific sponsor policies.*

**146. When interpreting sponsor guidelines, a research administrator should pay close attention to:**

- a) The sponsor's overall mission and strategic goals.
- b) The specific eligibility criteria for the funding opportunity.
- c) The biographical sketches of the sponsor's program officers.
- d) The institution's past success rate with that particular sponsor.

**147. A funding opportunity announcement from a sponsor typically includes:**

- a) A guarantee that all proposals meeting the basic requirements will be funded.
- b) A list of the researchers who have previously received funding from that sponsor.
- c) Detailed instructions on the proposal format, content, and submission process.
- d) The sponsor's internal operating budget and administrative expenses.

***02 - Facilitate communication among investigators, collaborators, and institutional officials:*** *Effective communication is essential for successful pre-award management, especially for complex projects involving multiple investigators, collaborating institutions, or requiring input from various institutional offices (e.g., legal, technology transfer). Research administrators*

*often act as facilitators, ensuring that all parties are kept informed, that questions are answered, and that the proposal development process moves forward smoothly and efficiently.*

**148. In the context of pre-award management, a research administrator might facilitate communication by:**

- a) Conducting the proposed research on behalf of the investigators.
- b) Scheduling meetings between investigators and potential collaborators.
- c) Approving all budget expenditures before the proposal is submitted.
- d) Guaranteeing funding for the project if it is submitted to the sponsor.

**149. Why is effective communication among all parties involved crucial during the pre-award phase?**

- a) To ensure that the principal investigator has complete control over the project.
- b) To minimize the workload of the research administration office.
- c) To allow for the efficient sharing of information, coordination of tasks, and a cohesive proposal submission.
- d) To create a competitive environment among the research team members.

**03 - Manage the proposal review and submission process:** *As discussed earlier, research administrators often oversee the entire proposal review and submission process. This includes setting internal deadlines, coordinating internal reviews, ensuring all required documents are completed and approvals obtained, and submitting the final proposal to the sponsor by the deadline, often through electronic portals like Grants.gov. Effective management of this process is critical for a timely and successful submission.*

**150. A key responsibility of a research administrator in managing the proposal submission process is to:**

- a) Ensure that all internal and external deadlines are met.
- b) Write the entire proposal on behalf of the investigators.
- c) Conduct a final scientific edit of the proposal narrative.
- d) Determine the scientific merit of the proposed research.

**151. Which of the following is typically part of the proposal review process managed by a research administrator?**

- a) Conducting a statistical analysis of the proposed research design.
- b) Evaluating the potential impact of the research on the institution's reputation.
- c) Assessing the principal investigator's qualifications based on their publication record.
- d) Reviewing the budget for accuracy and compliance with sponsor guidelines.



## **B- Post-Award Management**

**01 - Interpret award terms and conditions:** *Upon receiving a sponsored award, research administrators must carefully review the award notice and any accompanying terms and conditions. This includes understanding the project period, the approved budget, reporting requirements (both financial and technical), and any specific sponsor policies or restrictions that apply to the award. A thorough understanding of these terms is essential for proper post-award management and compliance.*

**152. When interpreting award terms and conditions, a research administrator should identify:**

- a) The names and contact information of the sponsor's program officers.
- b) The specific deliverables and reporting requirements for the project.
- c) The sponsor's strategic plan for future funding opportunities.
- d) The peer review comments on the submitted proposal.

**153. Why is it important for a research administrator to have a thorough understanding of award terms and conditions?**

- a) To ensure that the project is conducted in compliance with the sponsor's requirements.
- b) To be able to rewrite the terms if they are not favorable to the institution.
- c) To directly manage the scientific activities of the research team.
- d) To negotiate for additional funding from the sponsor.

**02 - Monitor compliance with award terms and conditions:** *Throughout the lifecycle of a sponsored project, research administrators are responsible for monitoring compliance with the terms and conditions of the award. This includes tracking the submission of required reports, ensuring that expenditures are allowable and within budget, verifying that any sub-awards are properly managed, and addressing any potential issues of non-compliance in a timely manner.*

**154. Monitoring compliance with award terms and conditions may involve:**

- a) Regularly attending the research team's lab meetings.
- b) Reviewing financial reports and tracking the submission of progress reports.
- c) Conducting independent experiments to verify the research findings.
- d) Soliciting feedback from the sponsor on the principal investigator's performance.

**155. If a research administrator notices that a required project report is overdue, their next step should be to:**

- a) Assume the principal investigator has a good reason for the delay and take no action.
- b) Submit a request for a no-cost extension to the sponsor without discussing it with the project team.
- c) Contact the principal investigator to inquire about the status of the report and offer assistance.
- d) Immediately notify the sponsor of the non-compliance and the institution's plan to address it.

***03 - Facilitate award modifications (e.g., no-cost extensions, budget revisions):***

*During the course of a sponsored project, it may become necessary to request modifications to the award, such as a no-cost extension of the project period or a revision to the approved budget. Research administrators often assist investigators in preparing these requests, ensuring that they are properly justified, comply with sponsor policies, and are submitted in the required format.*

**156. A no-cost extension of a sponsored project might be requested when:**

- a) The principal investigator needs additional funds to complete the research.
- b) The research team requires more time to complete the project's aims and objectives.
- c) There are significant unspent funds remaining in the project budget.
- d) The sponsor requests additional deliverables beyond the original scope of work.

**157. When assisting with a budget revision request for a sponsor, a research administrator should ensure that:**

- a) The requested changes align with the original scope of work and are well-justified.
- b) The revised budget includes a significant increase in the facilities and administrative (F&A) costs.
- c) The principal investigator personally contacts the sponsor to discuss the changes.
- d) The request is submitted only after all the proposed expenditures have already been incurred.

***04 - Manage award closeout process:*** *As discussed in Domain 1, research administrators play a crucial role in the award closeout process, ensuring that all sponsor requirements are met and the project is formally terminated. This*

*includes coordinating the submission of final reports, reconciling expenditures, and ensuring proper disposition of any project-related assets.*

**158. A critical step in the award closeout process is:**

- a) Applying for a renewal of the project funding.
- b) Ensuring that all project personnel have found new positions.
- c) Reconciling all financial expenditures and submitting the final financial report.
- d) Destroying all project-related records to protect the privacy of participants.

**159. What is the potential consequence of not properly managing the closeout of a sponsored award?**

- a) The institution may be required to return any unspent funds.
- b) The institution's eligibility for future funding from that sponsor may be jeopardized.
- c) The principal investigator may not receive proper recognition for their work.
- d) All of the above.

### **C - Team Management and Professional Development**

***01 - Supervise and mentor research administration staff:*** *In many research administration offices, experienced administrators may have supervisory responsibilities, including overseeing the work of other staff members, providing guidance and mentorship, and fostering a positive and productive work environment. Effective team management is essential for the overall success of the research administration function.*

**160. An important aspect of supervising research administration staff is to:**

- a) Provide clear expectations, regular feedback, and opportunities for professional growth.
- b) Assign all routine tasks to junior staff members and focus only on high-level issues.
- c) Micromanage staff to ensure that all tasks are completed exactly as instructed.
- d) Avoid addressing performance issues to maintain a harmonious workplace.

**161. Mentoring in research administration involves:**

- a) Primarily focusing on correcting mistakes and enforcing compliance.
- b) Sharing expertise, providing guidance, and supporting the professional development of colleagues.
- c) Maintaining a strict hierarchical relationship with junior staff.
- d) Discouraging staff from seeking external professional development

opportunities.

**02 - Engage in professional development activities to enhance knowledge and skills:** *The field of research administration is constantly evolving with new regulations, sponsor policies, and best practices. Therefore, it is crucial for research administrators to actively engage in professional development activities, such as attending workshops, conferences, and webinars, participating in online courses, and pursuing certifications like the CRA, to stay current in the field and enhance their knowledge and skills.*

**162. Engaging in professional development activities is important for research administrators because it helps them to:**

- a) Network with other professionals in the field and share best practices.
- b) Stay informed about changes in regulations, policies, and sponsor guidelines.
- c) Develop new skills and knowledge to enhance their performance.
- d) All of the above.

**163. Which of the following is an example of a valuable professional development activity for a research administrator?**

- a) Attending a conference focused on a specific area of research, such as cancer biology.
- b) Subscribing to a journal related to higher education administration.
- c) Completing a training on new features of the institution's grant management system.
- d) Regularly reading science fiction novels to foster creativity.

## **D - Communication and Collaboration**

**01 - Communicate effectively with diverse stakeholders (e.g., faculty, staff, sponsors, auditors):** *Research administrators interact with a wide range of stakeholders with different backgrounds, perspectives, and levels of understanding of research administration processes. The ability to communicate clearly, concisely, and professionally with each of these groups is essential for building trust, fostering collaboration, and ensuring that information is effectively conveyed.*

**164. When communicating with a faculty member about a complex sponsor regulation, a research administrator should:**

- a) Use highly technical jargon to demonstrate their expertise.
- b) Avoid providing any written documentation to encourage the faculty member to remember the details.

- c) Explain the regulation in clear, straightforward language and be prepared to answer questions.
- d) Assume the faculty member is already familiar with the regulation and provide only a brief overview.

**165. When interacting with a funding sponsor, a research administrator should strive to be:**

- a) Argumentative and demanding to ensure the institution's needs are met.
- b) Unresponsive to emails and phone calls to minimize their workload.
- c) Overly casual and familiar to build rapport.
- d) Professional, courteous, and well-informed about the project and the institution's policies.

***02 - Build and maintain effective working relationships with internal and external partners:*** *Research administration is a collaborative endeavor that requires building strong working relationships with various internal departments (e.g., finance, legal, IRB) and external partners (e.g., sponsors, subrecipient institutions). These relationships are built on trust, mutual respect, and open communication, and are crucial for navigating complex issues and achieving common goals.*

**166. Building an effective working relationship with the institution's finance office can help a research administrator to:**

- a) Avoid having to comply with financial regulations and policies.
- b) Obtain accurate and timely financial information for sponsored projects.
- c) Override budget restrictions and approve expenditures without proper authorization.
- d) Keep the finance office unaware of any potential financial issues on sponsored projects.

**167. When collaborating with a subrecipient institution, a research administrator should:**

- a) Dictate all terms and conditions without seeking input from the subrecipient.
- b) Treat the subrecipient as an independent entity with its own responsibilities and expertise.
- c) Assume that the subrecipient will handle all aspects of their portion of the project without any oversight.
- d) Communicate clearly about expectations, reporting requirements, and any potential challenges.

## **E - Policy and Procedure Development and Implementation**

**01 - Understand and apply institutional policies and procedures related to research administration:** *Every research institution has its own set of policies and procedures that govern the administration of research activities. Research administrators must have a thorough understanding of these policies and ensure that they are consistently applied in all aspects of their work, from proposal development to award management and closeout.*

**168. Institutional policies related to research administration are important because they:**

- a) Guarantee that the institution will always receive the maximum amount of funding from sponsors.
- b) Provide a framework for the ethical and compliant conduct of research activities.
- c) Eliminate the need to comply with federal and sponsor regulations.
- d) Give individual researchers complete autonomy over how they manage their projects.

**169. When faced with a situation where an institutional policy seems to conflict with a sponsor's guideline, a research administrator should:**

- a) Always follow the institutional policy, as it represents the official rules of the institution.
- b) Always adhere to the sponsor's guidelines to ensure compliance with the funding requirements.
- c) Consult with their supervisor or the appropriate institutional office to determine the correct course of action.
- d) Choose whichever option is most convenient for the researcher involved.

**02 - Participate in the development and implementation of new or revised policies and procedures:** *Research administrators often have valuable insights into the practical aspects of research administration and can contribute to the development or revision of institutional policies and procedures to ensure they are clear, effective, and support the institution's research mission. Their involvement helps to create policies that are both compliant and workable for the research community.*

**170. The participation of research administrators in policy development is beneficial because they can:**

- a) Ensure that all policies are written solely from an administrative perspective without considering the impact on researchers.
- b) Provide input based on their direct experience and understanding of the

research administration process.

c) Advocate for policies that minimize the administrative burden on their own office, even if it creates more work for others.

d) Delay the policy development process by raising numerous concerns and objections.

**171. When a new research administration policy is being implemented at an institution, research administrators typically play a role in:**

a) Communicating the policy to the research community and providing guidance on its application.

b) Determining whether the policy is necessary or justified.

c) Deciding which researchers will be exempt from the new policy.

d) Enforcing the policy without any flexibility or consideration for individual circumstances.