

# RESEARCH ADMINISTRATION

THIS QUESTION GUIDE IS DESIGNED TO SERVE AS AN AID WHILE TAKING THE ONLINE SURVEY. PLEASE USE THIS TO HELP YOU PREPARE FOR AND WORK THROUGH THE SURVEY, BUT BE SURE TO SUBMIT ALL RESPONSES INTO THE ONLINE SURVEY.

1. **Please enter the Institutional Code assigned to you via email:** The Institutional Code will allow us to identify your responses with your institution.
2. **Password:** Note: The password is also your Institutional Code.
3. **Please enter the name, title and institutional email address for the individual responsible for completing this survey.** In the event that you are not able to complete this entire survey in a single session, your survey results will be saved and a link back into the initiated survey will be sent to the email address below. If multiple individuals will be assisting in a single survey response, please provide the name and details for the key point of contact for the survey.
6. **Does your central post-award office manage (invoice, monitor, etc.) industry-sponsored clinical trials?**
  - Yes
  - No

## Research Performance/Spending

The first section of this survey, as well as institutional information gathered as part of your institution's Demographic Profile, establishes a common standard by which the other survey responses will be normalized.

4. **Please indicate the fiscal year for which you are providing data in response to this survey.**  
We recommend institutions use their most recently completed fiscal year and that all data provided, to the greatest extent possible, is for the same institutional fiscal year.
  - FY2016
  - FY2017
  - FY2018
5. **How much of your total expenditures for separately budgeted research and development came from the following sources in your most recently completed fiscal year (as would be reported on the National Science Foundation HERD Survey)?** Dollars in thousands – for example, report \$25,342 as \$25.
  - U.S. Federal Government
  - State & Local Government
  - Business
  - Non-Profit Organizations
  - Institutional Funds
  - All Other Sources
  - Total
7. **For your most recently completed fiscal year, please indicate the total amount of externally sponsored project expenditures by expense category and funding source. Include ALL externally funded expenditures on sponsored awards.** Exclude institutionally funded cost share expenses. Only include expenditures incurred on industry-sponsored clinical trial account types if clinical trials are managed (invoiced, monitored, etc.) by the central post-award office, as indicated in the previous question. Dollars in thousands – for example, report \$25,342 as \$25. Federal/Federal Pass-Through Expenditures, Industry Sponsored Clinical Trials, and All Other Sponsor Types for the following:
  - Direct Labor Expense (Salary, Wages, Fringe Benefits)
  - Subrecipient Expenditures
  - Equipment/Capital Assets
  - Other Direct Costs
  - Indirect Costs
8. **Please indicate the base year for your currently negotiated F&A rates.**
9. **Please indicate your federally-negotiated F&A rates by program type.**  
For example, for 42% report 42. On-Campus and Off-Campus for the following:
  - Research
  - Instruction
  - Other Sponsored Activities
10. **Please indicate the amount of institutional cost share by cost share type tracked by your institution in your most recently completed fiscal year. If you track cost share as mandatory and voluntary, please indicate these amounts separately in the second and third rows below.**

If your institution does not track mandatory and voluntary cost share differently, please indicate the combined total in the fourth row.

- Over-the-Cap Salary
- Mandatory (excluding over the cap)
- Voluntary
- Mandatory (not over the cap) & Voluntary Combined

## Organizational Structure, Staffing and Experience

Infrastructure benchmarks and comparison points allow institutions to gauge whether their organization adequately supports the research operation and if resources are well-aligned to achieve institutional objectives, such as service, compliance, efficiency and growth.

### 11. Does your institution have separate Pre-Award and Post-Award Central Research Administration Offices or a combined Pre- and Post-Award Office?

For the purposes of this survey, the Post-Award Office should be considered the central research administration office performing the sponsored project's financial activities. Aside from this definition of Post-Award, please answer this question and the following section based on your institution's organizational structure and institutionally defined Pre-Award and Post-Award offices. The goal of this survey is to review organizational structure by breaking them down into functions and processes, as opposed to offices and titles.

- Separate Pre-Award and Post-Award Offices
- Combined Office

### 12. / 24. Please indicate the approximate title of the individual in institutional leadership (e.g., VP for Research, Controller) to whom the central Pre-Award and Post-Award offices report. Also, indicate whether that role would be considered Academic or Financial within your institution's organizational structure.

- Pre-Award Office
- Post-Award Office
- Combined Pre-Award & Post-Award Office

### 13. / 25. If the title you selected for Pre-Award was Other, please specify the individual's title.

Include individuals with titles such as Assistant Manager or Associate Director in the Manager and Director categories accordingly.

### 14. If the title you selected for Post-Award was Other, please specify the individual's title.

Include individuals with titles such as Assistant Manager or Associate Director in the Manager and Director categories accordingly.

### 15. / 26. In your institution's Pre-Award and Post-Award offices, please provide the average staff tenure in the office as well as under your institution's employment.

Average Staff Tenure in Office and Average Staff Tenure in Institution for the following:

- Pre-Award Office
- Post-Award Office
- Combined Central Research Administration Office

### 16. / 27. Please indicate which office (Central Pre-Award or Post-Award) is primarily responsible for each central research administration function listed below.

If this function is performed by both the Pre-Award and Post-Award offices, indicate Shared Responsibility. If this function is not performed by a central Pre-Award or Post-Award office, either not performed centrally or performed by another central office, please select Not Applicable. For Separate Pre-Award and Post-Award offices, select either Pre-Award, Post-Award, Shared Responsibility or Not Applicable for the following; for Combined Pre-Award and Post Award offices, select either Pre-Award Aligned, Post-Award Aligned, Shared Responsibility or Not Applicable for the following:

- Proposal Drafting and Development
- Proposal Review and Submission
- Contracting & Negotiation (Incoming and Outgoing Agreements)
- Non-Competing Continuation Applications/ Progress Reports
- Account Set-Up
- Financial Reporting
- Invoicing
- Other Cash Management
- Financial Compliance (Expenditure Monitoring, Oversight, Transaction Review)
- Effort Reporting Administration/ Management
- Account Closeout

**17. / 28. Please provide the average salary expenditures by FTE for your central research administration offices for your most recently completed fiscal year by the position level. For individuals with titles such as Assistant Manager or Associate Director, please include in the Manager and Director categories accordingly.**

- Pre-Award Director Level
- Pre-Award Manager Level
- Pre-Award Staff
- Post-Award Director Level
- Post-Award Manager Level
- Post-Award Staff
- Combined Director Level
- Combined Manager Level
- Combined Staff

**18. / 25. Please indicate the number of FTEs in your central Pre-Award and Post-Award offices dedicated to the central research administration functions outlined below. The total number of FTEs in this table should represent all FTEs in your Pre-Award and Post-Award central offices. If an individual is not dedicated to any of these specific functions, their FTE should be included in Other.**

Include individuals with titles such as Assistant Manager or Associate Director in the Manager and Director categories accordingly.

- Proposal Drafting and Development
- Proposal Review and Submission
- Contracting & Negotiation (Incoming and Outgoing Agreements)
- Non-Competing Continuation Applications/Progress Reports
- Account Set-Up
- Financial Reporting
- Invoicing
- Other Cash Management
- Financial Compliance (Expenditure Monitoring, Oversight, Transaction Review)
- Effort Reporting Administration/Management
- Account Closeout
- Management (Pre-Award)
- Clerical/Administrative Support (Pre-Award)
- Other (Pre-Award)
- Management (Post-Award)
- Clerical/Administrative Support (Post-Award)
- Other (Post-Award)

**19. / 30. Please indicate the number of temporarily funded FTEs included in the table above.**

**20. / 31. If you indicated FTEs dedicated to Other processes in Q18, please provide the high-level processes performed by these individuals within your central Pre-Award and Post-Award offices. (You do not need to provide a detailed FTE breakdown for these Other functions.)**

**21. / 32. Please indicate the FTE count of terminations or other departures in central Pre-Award and Post-Award offices during your most recently completed fiscal year.**

- Pre-Award Office
- Post-Award Office
- Combined Pre-Award and Post-Award Office

**22. / 33. Please rank the following models of local level research administration support (i.e. within departments, centers, institutes) by the most common support structure at your institution and the number of individual investigators supported (serves the most individual PIs = 1, serves the fewest individual PIs = 4). Each selection must be unique; you can only select one 1, 2, 3 and 4.**

The answer to this question can be based on your estimation and understanding of your institution's local level support, therefore it is understandably a

- Specific Service Units
- Designated Research Administration Specialists (individuals)
- Generalists who spend a portion of time in research administration
- No Support

**23. / 34. Please use this space to share any comments on your research administration staffing and organization as outlined above:**

## Training

An understanding of training and education programs will allow institutions to better assess if their organization is well-positioned to develop and retain superior staff.

**35. Does your institution have a formal research administration training program for local research administrators?**

- Yes
- No

36. Does your institution require mandatory, ongoing continuing education for local research administration staff?
- Yes
  - No
37. Is system access or process authority based on the completion of a training program/course? (For example, in order to process cost transfers in the financial system, do users have to pass a cost transfer training course?)
- Yes
  - No
38. If yes, please explain the training required and the associated conditional system access or process authority, specifically including the functional areas impacted (Account Set-Up, Cost Transfers, etc.).
39. Do you have specifically dedicated FTEs responsible for developing or administering a formal, central training program?
- Yes
  - No
40. If so, how many FTEs are dedicated to developing/administering your program?
41. Please provide any supplemental details related to your research administration training program. For example, is your program administered by a central institutional training unit?
42. How many unique training sessions (courses)/hours of training were formally made available to local research administrations in your most recently completed fiscal year? Unique Sessions Held and Hours of Training Available for the following:
- Pre-Award Content
  - Post-Award Content
  - Other Research Administration Content

## Pre-Award Processes

Detailed process benchmarking of Pre-Award operations will allow institutions to identify possible improvements in process efficiency and customer satisfaction.

43. For your most recently completed fiscal year, please provide the count and dollar amount of competing proposals that were submitted by your central Pre-Award office by the sponsoring

agency type, including new proposals, competing renewals and all other competing applications. (Only include industry-sponsored clinical trials proposals if they are reviewed and submitted by the central Pre-Award office.) For the dollar amount, if available, provide the value of the first year of funding requested as well as the cumulative total of funding requested. If one value is not tracked or easily available at your institution, leave that column blank. If an award was received without a proposal record, these can be excluded from the count as the proposal record was not reviewed/processed by the Pre-Award office. Federal/Federal Pass-Through Expenditures, Industry Sponsored Clinical Trials and All Other Sponsor Types for the following:

- Proposal Count
- Proposal Dollar Value (First Year Funding Requested Only)
- Proposal Dollar Value (Total Funding Requested)

44. For your most recently completed fiscal year, please provide the count and dollar amount of contracts for external funding negotiated by your central Pre-Award/research administration office by the sponsoring agency type, including new contracts, incoming subaward agreements, amendments and modifications. Exclude Material Transfer Agreements, Confidential Disclosure Agreements, etc. as these do not represent incoming external funding. (Only include any negotiated industry-sponsored clinical trial agreements if they are negotiated by the central Pre-Award/research administration office.) For the dollar amount, provide the amount of the contract executed (new contract amount, amended added funding, etc). For time extensions with no added funding, the funding amount should be \$0. Federal/Federal Pass-Through Expenditures, Industry Sponsored Clinical Trials, and All Other Sponsor Types for the following:
- Contract Count
  - Contract Amount

45. For your most recently completed fiscal year, please provide the count and dollar amount of outgoing subaward agreements executed by your central Pre-Award research administration office, including new subaward agreements, modifications and amendments.
- Subaward Count
  - Subaward Dollar Value

**46. Please provide the average cycle time (in business days) in your most recently completed fiscal year for the following processes as defined in Questions 43-45 above. (Only include any negotiated industry-sponsored clinical trial agreements if they are negotiated by the central Pre-Award/research administration office. Exclude all unilateral agreements, if tracked.)**

- Industry-Sponsored Clinical Trial Contract Negotiation (Start Date: Contract Request Received in Central Office; End Date: Fully Executed Agreement)
- External Funding (Non-Industry-Sponsored Clinical Trial) Contract Negotiation (Start Date: Contract Request Received in Central Office; End Date: Fully Executed Agreement)
- Outgoing Subaward Execution (Start Date: Initial Receipt of Outgoing Subaward Request in Central Pre-Award Office; End Date: Date of Full Execution and Signature.)

**47. Does your institution have a Mandatory (policy-documented) or Recommended Internal Deadline for all proposal submissions to be submitted for central review and approval?**

- Mandatory
- Recommended
- None

**48. If you have an internal deadline for proposal submissions, please indicate number of days the internal deadline requires the proposal in advance of the sponsor deadline.**

**49. If you have an internal deadline for proposal submissions, please indicate (or estimate) the percentage of proposals submitted by the internal deadline in your most recently completed fiscal year.**  
For example, for 42% report 42.

**50. As of the date of close for your most recently completed fiscal year (or nearest available point in time), please provide the current process queue/volume for each of the following transactions.**

- Industry-Sponsored Clinical Contracts to be Executed
- External Funding (Non-Industry-Sponsored Clinical Trial) Contracts to be Executed

## Post-Award Processes

As with Pre-Award, Post-Award operational benchmarking can allow institutions to assess the effectiveness of their business processes and identify areas to focus efforts to enhance productivity or minimize risk.

**51. For your most recently completed fiscal year, please provide the count of open, active awards and accounts in your system as of the close of your most recently completed fiscal year (or nearest available point in time). Include ALL awards and accounts between the Award/Account Start Date and End Date at the close of the last fully completed fiscal year. Exclude Awards/Accounts still open after the Award End Date. Only include clinical trials if they are managed (invoiced, monitored, etc.) by the central Post-Award office.**

An Award is a unique sponsored project/competitive segment and an account is a system account under an Award, for which there might be one or several to an Award.

- Project Awards
- Accounts

**52. Please provide the count of NEW sponsored project accounts set up in the financial system during your most recently completed fiscal year.**

**53. Does your institution utilize unique financial system accounts (also known as companion accounts) to track cost share?**

- Yes
- No

**54. Please provide the average cycle time (in business days) for the Account Setup Process in your most recently completed fiscal year for new setups. Start Date is the Receipt of a new Notice of Award, Request for an Advance Account or Fully Executed Contract in Central Research Administration Office. End Date is the completed account setup allowing spending to begin.**

**55. Please provide the backlog volume or current processes queue for the Account Setup Process as of the close date of your most recently completed fiscal year (or nearest available point in time).**

**56. For your most recently completed fiscal year, please provide the count of active accounts and the total expenditure balance in your system that have an At-Risk Spending Status if used by your institution as of the close of your most recently completed fiscal year (or nearest available point in time).**

An At-Risk Account is one that has been set up in the financial system in advance of the receipt of the Notice of Award or Fully Executed Agreement and is available for spending (also known as advance accounts or pre-award accounts).

- At-Risk/Advance Accounts
- Expenditure Balance

**57. For your most recently completed fiscal year, please provide the count of accounts and the cumulative account budget balance in your system for all sponsored project accounts in overdraft status as of the close of your most recently completed fiscal year (or nearest available point in time).**

Overdraft Status is any account where the total cumulative expenditures are in excess of the currently awarded amount.

- Count of Overdraft Accounts
- Account Budget Balance

**58. For your most recently completed fiscal year, please provide the count of accounts and the cumulative account budget balance in your system that were more than 90 days past the Award End Date and in open/active status as of the close of your most recently completed fiscal year (or nearest available point in time).** Count of Accounts and Account Budget Balance for the following:

- Negative Budget Balance Accounts (Expenditures > Budget)
- Positive Budget Balance Accounts (Budget > Expenditures)

**59. Please provide the average and median age (in days past the Award End Date) for all accounts pending closeout as of the close of your most recently completed fiscal year (or nearest available point in time).**

- Average Age
- Median Age

**60. Please provide the count and dollar amount for sponsored project cost transfers processed during your most recently completed fiscal year.**

A sponsored project cost transfer is defined as the debiting or crediting of a cost on a sponsored project account from a different sponsored project or non-sponsored project account.

Count and Dollar Value for the following:

- Labor Cost Transfers
- Non-Labor Cost Transfers

**61. Please provide the count and dollar amount for "late" sponsored project cost transfers processed during your most recently completed fiscal year.**

A sponsored project cost transfer is defined as the debiting or crediting of a cost on a sponsored project account from a different sponsored project's or non-sponsored project's account. A "late" cost transfer is typically defined as a transaction processed more than 90 days after the original transaction date. If your institution has formalized (documented in policy and procedure) a different definition and timeframe for Late Cost Transfers, please use your institutional definition. Count and Dollar Value for the following:

- Late Labor Cost Transfers
- Late Non-Labor Cost Transfers

**62. Has your institution formalized (documented in policy and procedure) a different definition and timeframe for Late Cost Transfers?**

- Yes
- No

**63. If Yes, please explain your institutional definition:**

**64. Please provide the total outstanding sponsored projects Accounts Receivable balance as of the close of your most recently completed fiscal year (or nearest available point in time).**

**65. Please provide the total dollar value of unbilled sponsored projects expenditures as of the close of your most recently completed fiscal year (or nearest available point in time).**

**66. Please provide the total dollar value of sponsored projects payments received but not yet applied as of the close of your most recently completed fiscal year (or nearest available point in time).**

**67. Please provide the frequency of your institution's Letter of Credit draws.** If you have different frequencies for different sponsors, please indicate the most frequent draw timing.

- More frequently than weekly
- Weekly
- Monthly
- Less frequently than monthly

**68. Please provide the count of sponsor financial reports (interim and final) submitted during your most recently completed fiscal year.**

A Late Financial Report is a report of expenditures or financial data for an Award (not an invoice) submitted after the sponsor required Due Date.

- Total Sponsor Financial Reports Submitted
- Total Sponsor Financial Reports Submitted Late

**69. Please provide the count of (interim and final) sponsor financial reports outstanding (past due) as of the close of your most recently completed fiscal year (or nearest available point in time).**

**70. Please provide your effort (payroll certification) reporting cycle.**

- Monthly
- Annually
- Semi-Yearly
- Quarterly
- Academic Term (Fall, Spring)

**71. On average, how many effort reports (payroll certification forms) were issued/required for a single certification cycle in your most recently completed fiscal year?**

**72. Please provide the total count of sponsored project effort reports (payroll certifications) outstanding as of the close of your most recently completed fiscal year (or nearest available point in time).**

**home-grown system is used, please provide that detail as well.** Please format your response as MM/YYYY. Select the System Name (Oracle, PeopleSoft, Workday, InfoEd, Huron Research Software, Quali Coeus, Homegrown, Other, None) and give the Original Implementation Date for the following systems:

- Financial System/General Ledger
- Pre-Award/Proposal Management
- Post-Award/Grants Management
- Animal Subjects
- Human Subjects
- Conflict of Interest
- Effort Reporting

**74. If the System Name you selected in the question above was Other, please specify the System Name.**

- Financial System/General Ledger
- Pre-Award/Proposal Management
- Post-Award/Grants Management
- Animal Subjects
- Human Subjects
- Conflict of Interest

**75. How many research administration dedicated Information Technology FTEs does your institution have? (These individuals may be based in your research administration office, within a central IT office or at a School/Department level.)**

**76. Are your research IT support personnel primarily centralized, primarily decentralized or a balanced hybrid of both?**

- Primarily Decentralized
- Primarily Centralized
- Hybrid

Thank you for completing the General Research Administration survey module. If there are other questions or data points that you would like to see included in future iterations of this survey effort, please use the space below to share your suggestions.

## Technology Systems

Insight into how industry peers support the functions of their research administration through technology will provide institutions with added perspective into how they might better meet customer needs, bolster compliance and execute strategic objectives.

**73. Please provide the system/technology name and original implementation year for the following types of internal research administration systems. If a**