The RCC Business Rules provide guidance on enrollment, participation and credit in RCC Certificate programs and other policies. Further questions should be directed to RCC at rcc-cert@duke.edu

May 23, 2016

rcc-cert@duke.edu
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Introduction

Welcome to the Research Costing Compliance Business Rules for certification programs and related training information. This booklet provides information regarding the requirements for RCC certification programs, including eligibility, enrollment, class participation, testing, and continuing education requirements. There is special guidance for both participants and supervisors.

Please read through this document carefully. RCC attempts to address as many questions as possible, and we welcome your suggestions for adding additional information and/or clarification.

Research Costing Compliance serves as the primary training and professional development unit for the Duke University research administration/grant management community. Together with our partnering organizations (Office of Research Administration, Office of Research Support, Office of Sponsored Programs, Financial Training, and the Duke Office of Clinical Research) RCC provides a comprehensive, tiered program designed to ensure that all individuals who participate in the management of sponsored activities are well informed and prepared to complete their important tasks.

Thank you for all that you do in support of Duke University’s research enterprise.
Research Administration Academy (RAA)

Research Administration Academy (RAA) is designed to provide grant managers at Duke University with basic knowledge of the core principles of research administration at Duke, as well as “hands on” training in common grant management tasks. The RAA program is applicable to grant managers who perform essential tasks associated with proposal submission and grant management after the award. RAA core curriculum courses will be offered in a cohort style to provide a logical progression of core principles of research administration practices at Duke University.

RAA Eligibility

You are eligible to participate in the Research Administration Academy Program if you are a Duke Employee with more than 50% of your job duties and responsibilities in the field of research administration. The program is generally designed for individuals with zero to two years of research administration experience. Staff with less than 50% research administration responsibilities should take the on-boarding/introductory classes and/or job-specific electives.

RAA Program Content

All RCC Core Curriculum classes will be offered within a cohort style. Participants will be enrolled in a sequential set of core curriculum courses and will attend classes as a group. This style encourages group participation and networking within the field of research administration. It is required that participants attend all RCC Core curriculum classes in sequential order and complete the quiz for each course. Special circumstances caused by scheduling may sometimes apply. Any special circumstances will be communicated on a cohort by cohort basis at time of orientation. Once the RCC Core curriculum has been completed, it is recommended that students immediately enroll in his/her four electives in order to meet deadlines for certification. The cohorts for RAA will be offered two to three times per year depending on enrollment numbers.

The RAA Program consists of required prerequisites, orientation, four core classes, and four supervisor-selected electives.

Prerequisites: The following must be completed prior to applying for the certificate program:

Systems Access:
- SAP
- Sponsored Projects System (SPS)
- Grants Management Tab on the Duke@Work website

Prerequisite Classes: All participants should self-enroll in prerequisite classes through the LMS.
- Introduction to Duke Accounting & Business Practices – Duke University & School of Medicine
- Introduction to Duke General Ledger Accounts - Research Administration (Online)
- Research Management at Duke Online
- Basic Compliance Online

Orientation:
After an employee is accepted into the RAA program, s/he will be informed of the date for the RAA Orientation. The employee must attend the orientation prior to attending the first core curriculum class in his or her cohort.
Required RAA Core Curriculum Classes: The following are required after completion of prerequisites and orientation:

RAA Core Classes:
1. Pre-Award Fundamentals
2. Post-Award Fundamentals
3. Effort Fundamentals
4. Procuring Goods and Services - Research Administration

Electives: Your supervisor should select four job-related electives using the Elective Decision Matrix as part of the application process. The participant should enroll in the electives indicated by the Decision Matrix once they have completed the RCC Core classes.

If the participant is assigned primarily pre-award duties, the majority of the electives should be pre-award electives; conversely, if the participant is assigned primarily post-award duties, the majority of the electives should be post-award electives.

The supervisor and participant should select appropriate electives using the Decision Matrix as guidance. The Decision Matrix must be signed and returned as part of the RAA Application.

Revisions to Electives
Electives can be dropped/added with supervisor approval and submission of a revised Decision Matrix to rcc-cert@duke.edu. Electives can also be adjusted with supervisor approval and submission of an email to rcc-cert@duke.edu as long as the supervisor is copied on the email. Supervisors should ensure new electives are complimentary of current or expected job assignments, and changes to electives should not be done to bypass poor performance on previously selected electives.

Supervisors should assist in completing the Electives Matrix in conjunction with enrollee’s input. In signing the Electives Matrix, supervisors certify that the form reflects the primary duties currently performed by the enrollee. If the Decision Matrix needs to be modified for any reason, the supervisor should contact RCC and request to submit a revised Decision Matrix. RCC will use the Decision Matrix to evaluate whether a participant has completed all certification requirements and is eligible to sit for the final exam. Only electives listed on the Elective Decision Matrix will count towards certification requirements.

RAA Enrollment Process
1. RCC recommends that participants should be in their current position for at least 90 days prior to RAA application and Orientation in order to allow time to complete the prerequisites, as long as HR timelines are met.
2. Supervisors will complete the RAA Application Form, which includes the Elective Decision Matrix to nominate eligible employees for the RAA program. The complete application packet should be submitted by the supervisor to rcc-cert@duke.edu
3. RCC will review all applications and must approve all participants prior to enrollment. Incomplete applications will delay the enrollment date.
4. RAA classes taken prior to official enrollment into the certificate program will not be counted towards the RAA certificate. RCC strongly recommends that new employees do not enroll in the RAA program until they have...
completed his or her first 90 days of employment at Duke University and completed the appropriate prerequisites. Enrollment is defined as the date the RAA participant receives a confirmation email accepting his/her enrollment into the program.

5. The application includes an agreement outlining expectations prior to enrolling in RAA. The application form must be signed by both the supervisor and the participant. Signing and submitting the application form indicates acceptance of the agreement. If RCC believes that the participant or supervisor is in violation of this agreement, RCC has the right to terminate participation in the program at any time.

6. RAA participants have eighteen months from the date of enrollment confirmation to complete all curriculum requirements for RCC. Date of enrollment is defined as the date the employee has received a confirmation email accepting his/her enrollment into the program. If a participant in the RCC program fails to meet requirements in this timeframe, s/he must re-take all classes as the completed classes will not count towards certification. Exceptions to the time limit will be reviewed on a case-by-case basis. RCC has developed a petition form that should be used to petition for exceptions to the RCC business rules. If a participant identifies that s/he will not be able to complete the program within the prescribed timeframe due to extenuating circumstances (illness, death in the family, family emergency, etc.), the petition form will be due to RCC for review and consideration 30 days prior to the participant’s enrollment expiration date or as soon as the participant is aware that there is a conflict with completing the program.

Important Note: The eighteen months to complete certification once enrolled is an RCC deadline and should not be confused with any RACI designated required training deadlines. Please refer to the Career Progression section of the RACI website for additional information.

**RAA Curriculum Assignments and Assessments (Quizzes)**

1. All course assignments are required to be completed by the due date. Due dates for assignments are listed in the LMS for each course.

2. All classes have an assessment (quiz), which must be completed in order to receive credit for the class. RCC will send an email when the quiz is available, and will state the quiz due date in that email, typically ten business days.

3. Participants should allow dedicated, uninterrupted time to complete the assessment. Participants may use class materials, other university resources, web search, and consultation with supervisors in answering assessment questions, as the goal is to allow participants to use informed judgement and available resourcing rather than rote memory of materials taught in class. A list of resource materials allowable for reference during the final exam are provided in the RAA Proctored Final Exam section below.

4. Each participant is allowed one attempt to pass the assessment (quiz).

5. All classes will include an optional course evaluation, which should be completed by the due date of the assessment (quiz). While the evaluation is optional, RCC encourages feedback to maintain the highest quality of program offerings.

6. Some courses may have pre-work, which is due by the scheduled class date. These requirements are listed in the LMS by specific course.

7. If a class includes homework, it is due the same day the course assessment (quiz) and course evaluation are due.

8. If all course assignments are not completed and submitted to rcc-cert@duke.edu by the due date, the participant will not receive credit for the course, and must re-enroll in the course and complete all assignments in order to receive credit. Please note: failure to complete assignments and quizzes in a timely manner can result in difficulty completing certification requirements.
9. RCC is unable to extend due dates for individual participants.

10. Note: Exceptional circumstances caused by system failure, such as technical issues with quizzes, should be recorded through screen shots of the error message and immediately sent to rcc-cert@duke.edu for attention.

**RAA Program Completion and Test Prep**

1. Once a participant has completed all core and elective requirements as defined by their Elective Decision Matrix, s/he must email RCC at rcc-cert@duke.edu and request to sit for the proctored final exam. Dates for the proctored exam are provided on the RCC website (http://finance.duke.edu/research/training/certificate/index.php#to) and in the RCC Community Newsletter.

2. RCC will confirm that all core and elective requirements have been met based on the Elective Decision Matrix, and provide the participant with proctored final dates. Participants will select the desired exam date and RCC will enroll the participant in the preferred final exam.

3. RCC offers Test Prep Review Sessions, which the participant can choose to attend and should self-register via the Duke LMS. The Test Prep Review Sessions contain content only from the RCC Core Classes and do not cover elective course content.

**RAA Proctored Final Exam**

In addition to the individual class assessments, there is a final exam taken after all core and elective classes are completed. It is composed of questions from the RCC Core Curriculum Classes and from the supervisor-selected electives. The proctored final exam will take place in a computer lab. There are a total of 120 questions in the final exam (15 questions per each core class and 15 questions per each selected elective). Participants will be given 4 hours to complete the final exam.

**Allowable Materials for the RAA Final Exam**

1. Participants are allowed to use all course material, hand written or typed notes, calculators, Excel, and the Internet.

2. Participants are **not** allowed to use test questions from the quizzes, cell phones or smart phones (including calculator features on the cell/smart phone), tablets, contact colleagues, or store information on a cloud service to assist in taking the proctored final. Participants are permitted to download all electronic material on a thumb drive, bring to class and transfer to the desktop of the computer in use for the exam in the lab. The jump drive must be removed from the computer in use prior to the start of the exam.

3. If a participant uses any banned test aids, RCC will remove the participant from the proctored exam and notify the employee’s supervisor.

4. RCC is not obligated to allow the employee to re-take the proctored final. RCC, in consultation with the participant’s supervisor, will make a determination if the participant can re-take the proctored final. Generally this exception will only be granted related to a demonstrated technical problem, or unusual circumstances such as illness while taking the exam.

**Final RAA Program Score**

1. The cumulative assessment/quiz grades will count as 40% of the final RAA score, and the proctored final grade will count as 60% of the final score. The RAA participant must pass the RAA Program with a cumulative final weighted average of a score of 80% or greater in order to receive an RAA certificate.

2. The participant’s supervisor and the participant will receive feedback on both quiz and final grades in order to provide direction for future continuing education.
RAA Attendance, Absences & Cancellations

1. RCC reserves the right to cancel classes at any time. A class will be cancelled due to low enrollment – defined as less than 10 enrollees one week prior to the scheduled class date. This is applicable to all certificate classes, introductory classes, FasTracks, electives, or any other course taught by RCC.

2. Participants are required to attend all classes for the duration of the class.

3. Participants must sign the roster to indicate attendance.

4. Participants should not arrive late or leave early.

5. A code will be distributed at the end of each class that is required to access the quiz. Participant must stay to the end of class to receive the code.

6. Participants enrolled in each RAA cohort will be allowed to miss one class in the RAA core curriculum, however, s/he will need to complete the assessment in order to receive credit and continue with the program. If two or more RAA core curriculum classes are missed within the cohort, the student will be automatically dropped from the RAA program and will need to reapply for the next cohort.
   a. Note that if any classes were successfully completed as part of the cohort, the credit for those will transfer to the next cohort. This does not apply to participants who do not pass the RAA program. See Additional RAA Policies below for details.

Additional RAA Policies

1. If an enrolled participant does not pass the RAA certificate program with a weighted average score of 80% or higher, s/he must re-apply to the program to attempt the certification for a second time. In this instance, all classes must be re-taken and passed, and the final exam must be completed, as outlined above. No scores from the first attempt at the RAA program will carry forward to the second enrollment.

2. An employee may only enroll in the certificate program 2 times. If a participant completes the RAA program and receives an RAA certificate, the continuing education requirement is waived for the fiscal year(s) the employee is enrolled in the certificate program, with the exception of Management of Selected Post-Award Issues and required FasTracks (specialized, mandated training such as town halls, on-live videos, etc.)

3. If an enrolled participant does not complete the RAA certificate program, the core and elective courses passed can count towards continuing education for RCC/AGM/RAI/FCC certificate holders.

4. If an employee is unable to complete his/her RAA curriculum, which includes passing all required exams, within the prescribed timeframe, and/or allows his/her certification to lapse, the employee and employee’s manager should refer to the Career Progression section of the RACI website for additional information.

RAA Evaluations

Program participants are given opportunities to provide anonymous feedback on each individual course and on the RAA program as a whole. The future success of this career development opportunity relies on the constructive feedback from all program participants and supervisors. RCC welcomes and appreciate all feedback and will make every effort to maintain and improve upon the highest standards for the program.
RAA Test-Out Option

1. Employees who are in a RACI designated Grants & Contracts or Research Administration position currently and were hired prior to 12/31/15 with at least 3 years of research administration experience at Duke or another institution may petition to test-out of the RAA program with supervisor approval. Any employees hired after 12/31/15 will not have the option to test-out of RAA and will need to enroll in the RAA program.

2. If the employee is eligible for test-out, the supervisor should submit an RAA Test-Out Application to rcc-cert@duke.edu, which includes an Elective Decision Matrix that outlines the electives the employee will tested on.

3. RAA Test-Out Participants will be notified of acceptance and provided with dates to sit for the final exam. The participant must select and notify RCC of the preferred test-out date via e-mail to rcc-cert@duke.edu. RCC will provide acceptance and confirmation of test-out status.
   a) Once accepted to the test-out, the participant will be given access to all classroom training materials (slides and handouts), which should be reviewed prior to attempting the final exam.

4. RCC offers RAA Test Prep Review Sessions which the participant can choose to attend and will self-register via the Duke LMS. RCC strongly recommends test-out participants attend a review session.
Advanced Grant Management (AGM)
The Advanced Grant Management Program (AGM) is a certificate program for grant managers and other interested individuals with at least three years' experience in grant management and greater than 50% grant management duties. Employees with less than three years of grant management experience may be accepted into the program based upon recommendation from a supervisor.

AGM Eligibility
The AGM certificate program is open to any Duke employee who meets the following qualifications:

1. Full-time employee of Duke University
2. Currently holds an active RAA Certification
3. Has approval of his/her supervisor to participate
4. Has relevant grant management responsibilities at Duke, as well as access to SAP
5. At least 3 years’ experience in Grant Management, and at least 50% job duties related to grant management.

AGM Program Content
Prerequisites: All prerequisites must be completed prior to applying to the AGM Certificate Program:

1. Current RAA Certification
2. Access to Grant Management tab in Duke@Work

AGM Courses: The AGM Program consists of seven core content courses. All are required to be completed prior to sitting for the proctored final exam. If content changes, AGM participants will be notified at time of enrollment of required courses.

1. Advanced Sponsored Projects Reporting
2. Regulatory Environment
3. Federal Contracting Basics (unless taken as an RAA elective within the past three years)
4. Management of Complex Research Projects
5. Management of Training and Career Awards
6. Advanced Export Controls
7. Advanced Effort Management - Campus or SOM/SON

AGM Enrollment Process
1. Enrollment in AGM requires supervisor approval and submission of the AGM Application Form to rcc-cert@duke.edu.
2. Participants must officially apply and be accepted in the AGM program before enrolling in AGM classes for credit towards the certificate. Previously completed AGM classes can be counted towards continuing education, but not towards the certificate requirements.
3. RCC will review all applications and must approve all participants prior to enrollment. Incomplete applications will delay the enrollment date.
4. AGM participants have eighteen months from the date of enrollment confirmation to complete all curriculum requirements for RCC. Date of enrollment is defined as the date the employee has received a confirmation email accepting his or her enrollment into the program. If a participant in the AGM program fails to meet requirements in this timeframe, s/he must re-take all classes as the completed classes will not count.
Exceptions to the time limit will be reviewed on a case-by-case basis. RCC has developed a petition form that should be used to petition for exceptions to the RCC business rules. If a participant identifies that s/he will not be able to complete the program within the prescribed timeframe due to extenuating circumstances (illness, death in the family, family emergency, etc.), the petition form will be due to RCC for review and consideration 30 days prior to the participant’s enrollment expiration date or as soon as the participant is aware that there is a conflict with completing the program.

**Important Note:** The eighteen months to complete certification once enrolled is an RCC deadline and should not be confused with any RACI designated required training deadlines. Please refer to the Career Progression section of the RACI website for additional information.

**AGM Curriculum Assignments and Assessments (Quizzes)**

1. All course assignments are required to be completed by the due date.
2. All classes have an assessment (quiz), which must be completed in order to receive credit for the class. RCC will send an email when the quiz is available, and will state the quiz due date in that email.
3. Each participant is allowed one attempt to pass the assessment (quiz).
4. All classes will include an optional course evaluation, which should be completed by the due date of the assessment (quiz).
5. Some courses may have pre-work, which is due by the scheduled class date.
6. If a class includes homework, it is due the same day the course assessment (quiz) and course evaluation are due.
7. If all course assignments are not completed and submitted to rcc-cert@duke.edu by the due date, the participant will not receive credit for the course, and must re-enroll in the course and complete all assignments in order to receive credit. Please note: failure to complete assignments and quizzes in a timely manner can result in difficulty completing certification requirements. See 3.D. for further information.
8. RCC is unable to extend due dates for assignments for individual participants.

**AGM Program Completion and Test Prep**

1. All course assignments are required to be completed by the due date. All classes have an assessment (quiz), which must be passed with a score of 80% or greater. RCC will send out an email when the quiz is available, and will state the quiz due date in that email. Some courses may have pre-work, which is due by the scheduled class date. If a class includes homework, it is due the same day the course assessment (quiz) is due.
   a. If all course assignments are not complete and submitted by the due date, the participant will not receive credit for the course, and must re-enroll in the course and complete all assignments in order to receive credit.
   b. RCC is unable to extend due dates for assignments and assessments for individual participants.
2. Each participant is allowed one attempt to pass the assessment.
3. If a participant scores <80% on an assessment, the participant should enroll in another offering of the class as soon as possible.
4. If a participant fails a class two times, the supervisor will be notified. Supervisor approval is required to enroll in a class beyond two attempts.
5. After completing all AGM classes, the participant is eligible to sit for the AGM final exam. The final exam will consist of content from all AGM classes.
6. Once a participant has completed all required courses, s/he will email rcc-cert@duke.edu and request to sit for the final exam. RCC will confirm course requirements have been met, and provide the employee with final exam dates.

7. RCC does not offer a Test Preparation Review Session for the AGM Program.

**AGM Proctored Final Exam**

In addition to the individual class assessments, there is a final exam taken after all AGM classes are completed. It is composed of material from all AGM Classes listed above.

The proctored final exam will take place in a computer lab. There are a total of 105 questions in the final exam consisting of questions pertaining to material taught in the seven (7) AGM courses. Participants will be given 4 hours to complete the final exam. Each participant will have 1 attempt to pass the final exam.

**Allowable Materials for the AGM Final Exam**

1. Participants are allowed to use all course material, hand written or typed notes, calculators, Excel, and the Internet.

2. Participants are not allowed to use test questions from the quizzes, cell phones or smart phones (including calculator features on the cell/smart phone), tablets, contact colleagues, or store information on a cloud service to assist in taking the proctored final. Participants are permitted to download all electronic material on a thumb drive, bring to class and transfer to the desktop of the computer in use for the exam in the lab. The jump drive must be removed from the computer in use prior to the start of the exam.

3. If a participant uses any banned test aids, RCC will remove the participant from the proctored exam and notify the employee’s supervisor.

4. RCC is not obligated to allow the employee to re-take the proctored final. RCC, in consultation with the participant’s supervisor, will make a determination if the participant can re-take the proctored final.

**Final AGM Program Score**

1. The cumulative class quiz grades will count as 40% of the final AGM score, and the proctored final grade will count as 60% of the final score. The AGM participant must pass AGM with a final score of 80% or greater.

2. Participants must pass each class with an assessment score of 80% or greater, complete the proctored final, and pass the AGM program with a weighted average score of 80% or greater in order to receive an AGM certificate.

**AGM Attendance, Absences & Cancellations**

1. RCC reserves the right to cancel classes at any time. A class will be cancelled due to low enrollment – defined as less than 10 enrollees one week prior to the scheduled class date. This is applicable to all certificate classes, introductory classes, FasTracks, electives, or any other course taught by RCC.

2. Participants are required to attend all classes for the duration of the class.

3. Participants must sign the roster to indicate attendance.

4. Participants should not arrive late or leave early.

5. A code will be distributed at the end of each class that is required to attempt the quiz. Participant must stay to the end of class to receive the code.
**Additional AGM Policies**

1. If an enrolled participant does not pass the AGM certificate program, s/he must re-apply to the program to attempt the certification for a second time. All classes must be re-taken and passed, and the final exam must be completed, as outlined above. No scores from the first attempt at the RAA program will carry forward to the second enrollment.

2. An employee may only enroll in the certificate program 2 times. If a participant completes the AGM program and receives an AGM certificate, the continuing education requirement is waived for the fiscal year(s) the employee is enrolled in the certificate program, with the exception of Management of Selected Post-Award Issues and required FasTracks.

3. If an enrolled participant does not complete the AGM certificate program, the courses passed can count towards continuing education for RCC/AGM/RAI/FCC certificate holders.

4. If an employee is unable to complete his/her AGM curriculum, which includes passing all required exams, within the prescribed timeframe, and/or allows his/her certification to lapse, the employee and employee’s manager should refer to the Career Progression section of the RACI website for additional information.

5. If a participant has taken successfully completed “Federal Contracting Basics“ as part of the FCC or RAA certification the participant will not have to re-take this class. This completed class can count toward the AGM certification if taken within the previous three years.

**AGM Evaluations**

Program participants are given opportunities to provide anonymous feedback on each individual course and on the AGM program as a whole. The future success of this career development opportunity relies on the constructive feedback from all program participants and supervisors. RCC welcomes and appreciate all feedback and will make every effort to maintain and improve upon the highest standards for the program.
Research Administration Institute (RAI)
The RAI is a one day session of leadership and supervisory classes designed for senior-level grant managers. This session includes Myers-Briggs pre-work, activity, and discussion to assist senior grant managers in creating or improving current strategies specific to managing research administrators.

RAI Eligibility
The RAI certificate program is currently only open to senior grants and contracts managers at Duke University. Participants must hold current and active RAA and AGM certifications and must hold a position in job code 2629 or 2649.

RAI Program Content
Once enrolled in the RAI program, participants will be provided with information to complete a Myers-Briggs Type Indicator Personality Test which must be completed prior to the one day session. This information will not be shared with class participants, but will be used a basis for discussion in the class. The RAI program consists of in depth discussions centering on management strategies specifically in research administration.

RAI Curriculum Assignments and Assessments
The RAI program does not have a quiz associated with the program content.

RAI Program Completion and Test Prep
The RAI program does not have a final exam associate with the certification; however, graduates may be required to attend mandatory follow-up sessions to share experiences with other senior colleagues.

RAI Attendance, Absences & Cancellations
Participants are required to attend the full duration of the one day session.

1. Participants must sign the roster to indicate attendance.
2. Participants should not arrive late or leave early.

RAI Evaluations
Program participants are given opportunities to provide anonymous feedback on each individual course and on the RAI program as a whole. The future success of this career development opportunity relies on the constructive feedback from all program participants and supervisors. RCC welcomes and appreciate all feedback and will make every effort to maintain and improve upon the highest standards for the program.
**Federal Contracting Certificate (FCC)**
The Federal Contracting Certificate (FCC) program is an advanced-level certification that is designed to provide training to grants and contracts administrators/managers, departmental Business Managers, and research administrators/managers who manage federal contracts in their portfolios or would like to be proficient in federal contracting. The certification will include five core courses and two electives and will be taught by Office of Research Administration, Office of Research Support, Procurement, DHTS Information Security and Office of Sponsored Programs.

**FCC Eligibility**
While FCC Certification is open to anyone who has met the prerequisites, it is an advanced-level certification and RCC recommends that the applicant manage federal contracts, or will be managing federal contracts in the future. Participation in the FCC classes is open to anyone at Duke, but only those who enroll in the certificate program are eligible to receive the certificate.

**FCC Enrollment**
Enrollment in FCC requires supervisor approval and submission of the FCC Application Form to rcc-cert@duke.edu

1. FCC is a cohort-based certification with a limited application period.
2. FCC classes completed prior to enrolling in the certification will count towards certification requirements if they are completed within 12 months of enrollment in the FCC.
3. Participants must complete all requirements for an FCC within 24 months of enrolling.
4. “FCC Enrollment” is defined as the day of the first FCC class for the selected cohort, not the first class attended by the participant.

**FCC Program Content**

**Prerequisites:** All prerequisites must be completed prior to applying to the FCC Program:
1. Current RAA Certification
2. Currently a full-time employee of Duke University

**FCC Certification Core Curriculum Classes:**
1. Federal Contracting Basics (4 hours): Taught by ORA, ORS, and OSP. This course provides a fundamental understanding of the federal contracting process, including both the Campus and Medical Center perspective, as well tying invoicing into the budgeting process.
2. Federal Contracting: Proposal Management (3.5 hours): Taught by ORA and ORS. This class includes instruction on building different types of budgets seen in federal contracting and will include case studies from both Campus and Medical Center.
3. Federal Contracting: Special Terms and Conditions and The FAR (3 hours): Taught by ORA and ORS, the class focuses on Severability, CORs, COAs, and the FAR.
4. Federal Contracting: Post Award Management (3 hours): Taught by ORA, ORS, and OSP, the class includes material on rebudgeting, cost transfers, salary cap, other restrictions, reporting requirements, and project closeout.
5. Federal Contracting: Invoicing (1 to 1.5 hours): Taught by OSP, content is relevant to both Campus and Medical Center. The class presents case studies of common problems in invoicing and federal contracts.
FCC Certification Electives:
Staff enrolled in the certificate program will select two electives from the list below:

1. FISMA (1.5 hours): Taught by IT Security, and relevant primarily to Medical Center Staff.
2. Small Business Subcontracting (1.5 hours): Taught by Procurement, content is relevant to both Campus and Medical Center for staff who manage federal contracts with a small business subcontracting requirement.
3. Subcontracting (1.5 hours): Content relevant to both Campus and Medical Center focused on issues related to subcontracting on a federal contract.

FCC Program Completion and Test Preparation
All course assignments are required to be completed by the due date. All classes have an assessment (quiz), which must be passed with a score of 80% or greater. RCC will send out an email when the quiz is available and will state the quiz due date in that email.

1. Each participant is given one attempt to pass the assessment.
2. If the participant scores <80% on the assessment, the participant should enroll in another offering of the class.

All classes will include an optional course evaluation, which should be completed by the due date of the assessment (quiz).

1. Some courses may have pre-work, which is due by the scheduled class date. Some classes may include homework. If a class includes homework, it is due the same day the course assessment (quiz) is due.
2. If all course assignments are not completed and submitted by the due date, the participant will not receive credit for the course, and must re-enroll in the course and complete all assignments in order to receive credit.
3. RCC is unable to extend due dates for assignments for individual participants. The assignment/quiz due date given in the email notification is the final due date.
4. After completing all FCC classes, the participant is eligible to sit for the FCC final exam. The final exam will consist of content from all FCC core classes and selected electives.

FCC Proctored Final Exam
In addition to the individual class assessments, there is a final exam taken after all FCC classes are completed. It is composed of material from all FCC Classes listed above.

The proctored final exam will take place in a computer lab. There are a total of 120 questions in the final exam consisting of questions pertaining to material taught in the five core courses and two of the selected electives. Participants will be given 4 hours to complete the final exam. Each participant will have 1 attempt to pass the final exam.

Allowable Materials for the FCC Final Exam
1. Participants are allowed to use all course material, hand written or typed notes, calculators, Excel, and the Internet.
2. Participants are not allowed to use test questions from the quizzes, cell phones or smart phones (including calculator features on the cell/smart phone), tablets, contact colleagues, or store information on a cloud service to assist in taking the proctored final. Participants are permitted to download all electronic material on a thumb drive, bring to class and transfer to the desktop of the computer in use for the exam in the lab. The jump drive must be removed from the computer in use prior to the start of the exam.
3. If a participant uses any banned test aids, RCC will remove the participant from the proctored exam and notify the employee’s supervisor.
4. RCC is not obligated to allow the employee to re-take the proctored final. RCC, in consultation with the participant’s supervisor, will make a determination if the participant can re-take the proctored final.

Final FCC Program Score
The cumulative assessment (quiz) grades will count as 40% of the final FCC score, and the proctored final grade (resulting from the final proctored exam) will count as 60% of the final score. Participants must pass each class with an assessment score of 80% or greater, complete the proctored final, and pass the FCC program with a weighted average score of 80% or greater in order to receive a FCC certificate.

The participant’s supervisor will receive feedback on both quiz and final grades in order to provide direction for future continuing education.

FCC Attendance, Absences & Cancellations
1. Participants are required to attend all classes for the duration of the class.
2. Participants must sign the roster to indicate attendance.
3. Participants should not arrive late or leave early.
4. A code will be distributed at the end of each class that is required to attempt the quiz. Participant must stay to the end of class to receive the code.
5. RCC reserves the right to cancel a class at any time. A class will be cancelled due to low enrollment- defined as less than 10 enrollees one week prior to the scheduled class date. This is applicable to all certificate classes, introductory classes, FasTracks, electives, or any other course taught by RCC.
On-Boarding/Introductory Classes

These classes are geared towards employees new to research administration and those whose job is composed of <50% research administration or people who are new to research administration at Duke. Since these are designed for persons new to research administration, most do not count toward meeting the RCC Continuing Education requirement. See below for more information on Continuing Education.

1. Research Management at Duke Online
2. Basic Compliance Online
3. Allocability Training Online

FasTracks

1. FasTracks are short-term, time limited offerings meant to disseminate critical process and/or policy changes in research administration. After initial scheduling, FasTrack content will be integrated into regular training classes.
2. FasTracks are open enrollment and do not require supervisor approval for enrollment at this time. All departmental guidelines for enrolling in training should be followed.
3. Some FasTracks may provide continuing education credit. Class descriptions should be checked to determine if continuing education credit is allowed.

Mandatory FasTracks

Mandatory FasTracks are focused training opportunities that are required of all certified individuals in order to maintain certification. Mandatory FasTracks may be live town halls, on-line videos, and/or a combination of online and live presentations. RCC will announce Mandatory FasTracks through eBlasts to the RCC list serve, on the RCC website, and through the RCC newsletter. Failure to complete mandatory FasTracks will result in loss of certification. Exceptional circumstances resulting in inability to complete a mandatory FasTrack will be considered through the RCC Petition process, but will only be granted in significant extraordinary circumstances.

See Ways to Earn Continuing Education Credit for more information.

Continuing Education Credit:

Continuing education is required to maintain RCC, RAA, AGM, RAI & FCC certification. Failing to meet these requirements annually results in losing certification. In order for certified Duke employees to renew their certification(s), they are required to complete continuing education every fiscal year (July 1 - June 30).

Continuing Education Requirements:

1. Attendance at Management of Selected Post-Award Issues (MSPAI) annually
2. 4 other continuing education credits from the list of options below
3. Required FasTracks, if applicable

RCC strongly recommends supervisors and staff use the Elective Decision Matrix to select continuing education training appropriate to the employee’s job responsibilities.
Ways to Earn Continuing Education Credit

1. RAA core classes, electives, AGM classes & FCC classes may be counted as continuing education credit. The RCC Course Catalog indicates whether a course counts for continuing education credit. In addition, continuing education credit is noted in the Associated Learning tab for each class in the Duke LMS. All classes include a quiz, which must be completed within the allotted timeframe and passed with a score of 80% or greater to count towards continuing education credit.

2. Quarterly meetings held by the following central offices. RCC receives copies of the sign-in sheets for these meetings – you will only receive credit if you sign the roster. The meetings listed below count for one continuing education credit.
   a. Research Costing Compliance (RCC)
   b. Office of Research Administration (ORA)
   c. Office of Research Support (ORS)
   d. Office of Audit, Risk and Compliance (OARC) - oarc.duke.edu

3. The semi-annual Certified Research Administrator (CRA) Study Group provided by RCC also counts as two continuing education credits, if all sessions are attended.

4. Attendance to external professional organization meetings count as continuing education credit. To request continuing education credit for attending a professional meeting, please submit a Request for RCC Certification Credit form. Most external professional meetings will count as two continuing education credits, but credit will be evaluated by RCC.
   a. North Carolina Society of Research Administrators (NCSRA)
   b. Society of Research Administrators (SRA)
   c. National Council of University Research Administrators (NCURA)

5. Attending the annual Symposium for Research Administrators at Duke counts as continuing education credit. To receive credit for participation in the Symposium, attendees must complete evaluations of event and break-out sessions. Attending half-day of the Symposium will count for one continuing education credit, and full-day attendance will count as two credits. Further details of how to earn credit for attending the Symposium are provided at the event.

6. Required FasTracks: RCC may periodically require certain FasTracks in order to maintain certification, if content is critical to the research administration community. Any required FasTrack is in addition to the five standing requirements, not in lieu of, unless otherwise specified. RCC will make every attempt to make the required FasTracks accessible online, and will provide ample time for completion. See FasTracks above.

Additional Continuing Education Credit Policies

1. RCC allows classes to be repeated once every three years to count for credit. This means that if a class is taken as part of a certification program or for continuing education, the class cannot be repeated for credit for three years.

2. RCC no longer allows interdepartmental training to count as continuing education credit.

3. Agency specific webinars do not count as continuing education credit, unless coordinated and sanctioned in advance by RCC.

4. If an agency/federal webinar is offered to the research administration community through RCC in a large venue, attendance and passing an assessment provides one continuing education credit.
5. Live training provided by a professional organization, such as the NCURA workshops can be counted as continuing education for the fiscal year in which the workshop was attended, at supervisor’s discretion. A Request for RCC Certification Credit form must be submitted to RCC during the appropriate fiscal year.

6. Subject Matter Experts (formerly Lead Trainers) and Central Office Trainers that teach RCC classes can count work in class development for continuing education with supervisor approval. An Instructor Petition to Waive Continuing Education Requirements form must be submitted to RCC during the appropriate fiscal year. If approved by the supervisor, all continuing education requirements for the year will be waived with the exception of Management of Selected Post-Award Issues (MSPAI) and any required FasTracks.

Important Information Regarding Continuing Education Credit for Those Enrolled in Certificate Programs

1. Individuals enrolled in RAA, AGM, RAI and/or FCC do not have to complete all five continuing education requirements for the fiscal year(s) they are enrolled in the certificate program. However, MSPAI and any required FasTracks must be completed annually.

2. Individuals enrolled in the RAA Test-Out are not required to complete all five continuing education requirements in the fiscal year they complete the test-out. However, MSPAI and any required FasTracks must be completed annually.

3. Individuals who hold the RAA or AGM certification, and are currently enrolled in a higher level certificate program (AGM or RAI or FCC) do not have to complete all five continuing education requirements for the fiscal year(s) they are enrolled in the certificate program. However, MSPAI and any required FasTracks must be completed annually.

RCC Guide to Required Continuing Education Credit

<table>
<thead>
<tr>
<th>If I...</th>
<th>Required Continuing Education</th>
</tr>
</thead>
<tbody>
<tr>
<td>Have a current certificate (RCC, RAA, AGM, RAI, FCC) and am <strong>not enrolled</strong> in a certificate program?</td>
<td>MSPAI, 4 other CE credits, required FasTracks, as applicable</td>
</tr>
<tr>
<td>Have a current certificate and <strong>currently enrolled</strong> in another certificate (RAA, AGM, RAI, FCC)?</td>
<td>MSPAI and FasTracks, as applicable. The 4 other CE requirements will be waived for the fiscal years in which an employee is enrolled in a certificate program</td>
</tr>
<tr>
<td>Do not have a current certificate, but <strong>currently enrolled</strong> in certificate program (RAA, AGM, RAI, FCC)?</td>
<td>MSPAI and FasTracks, as applicable. The 4 other CE requirements will be waived for the fiscal years in which an employee is enrolled in a certificate program</td>
</tr>
<tr>
<td>Enrolled in RAA Test-Out?</td>
<td>MSPAI and FasTracks, as applicable. The 4 other CE requirements will be waived for the fiscal year in which an employee successfully completes Test-Out.</td>
</tr>
</tbody>
</table>

RCC Leave Policy

If an employee is on official leave from Duke University, and is unable to complete certificate or continuing education requirements, the employee’s supervisor can petition RCC to grant a one-time extension to meet training requirements. Petitions will be reviewed and approved by the RCC Advisory Board. If an extension is granted, the employee will be granted a provisional certification, but must meet all continuing education credits for the previous and current fiscal year during the current fiscal year in order to maintain certification, with the exception of the previous year’s Management of Selected Post Award Issues.
RCC No-Show Fee Policy
Financial Services has established a policy that requires RCC to charge a $100 “no show” fee for participants who cancel after 11:59 p.m. the day prior to the scheduled class or do not attend the class they have registered for. If a participant does not attend class or if a class registration is cancelled/dropped on the day of the class (by emailing rcc-cert@duke.edu), the employee’s default cost center will be charged the $100 no-show fee. A class registration cannot be dropped through the LMS on the same day of the class.

Attendance is confirmed by signing the class roster. If the employee fails to sign the roster, the employee’s default cost center will be charged the no-show fee of $100. Requests to waive the no-show fee can be submitted by the supervisor to rcc-cert@duke.edu and will be evaluated by RCC. Please note that workload is generally not an acceptable reason to waive the fee.

RCC Severe Weather Policy
RCC reserves the right to cancel a class if there is severe weather in the area. Generally, RCC will cancel a class if local schools are not in session and will contact all participants to inform them of the cancellation. RCC may re-schedule the offering, or may direct participants to existing offering dates. Please email rcc-cert@duke.edu if you must miss a class due to severe weather, and you have not received notice the class has been cancelled.

Supervisor Roles and Responsibilities
Supervisors play an integral role in the success of RCC training. Please review the following and direct any questions to rcc-cert@duke.edu.

Supervisors of Participants
1. Supervisors should work with staff to complete certificate program application forms.
2. Supervisors should work with staff in the RAA program or RAA Test-Out to complete Elective Decision Matrix—which is part of the application form for these programs. Supervisor should select training appropriate to the staff member’s job responsibilities, or expected job responsibilities.
   a. Some staff have more than one supervisor; the supervisor completing the Elective Decision Matrix should be responsible for the day-to-day grant management responsibilities of the staff member.
3. Supervisors should assist staff with any questions that may arise during training.
4. Supervisors should serve as point person for RCC to contact with any questions/concerns about employee progress through certificate programs.
5. Supervisors should be aware of time required for training, and allow staff the time needed to attend class and complete required course materials while balancing work responsibilities
6. Supervisors should be aware that all RCC classes include a $100 no-show fee if cancelled within 48 hours prior to the start of the class or if participant does not attend class without cancelling. Waiver requests submitted by the supervisor will be considered by RCC. Note: daily job responsibilities are not an acceptable reason to waive the no-show fee. No-show fees are advertised in the Duke LMS and in the RCC Course Catalog.
7. Supervisors are able to track the progress of staff through the LMS to ensure they meet any related HR requirements for specific research administration positions.
Supervisors and Continuing Education

1. RCC strongly recommends that supervisors use the Elective Decision Matrix as a tool during performance evaluations to direct training for staff for the coming fiscal year.
2. Additional tools for supervisors can be found in the RCC Course Catalog.