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

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rcc-cert@duke.edu
## Contents

- Introduction ............................................................................................................................................................................ 3
- Research Administration Academy (RAA) ............................................................................................................................... 4
  - RAA Enrollment ..................................................................................................................................................................... 4
  - RAA Program Content ............................................................................................................................................................ 4
  - RAA Proctored Final Exam .................................................................................................................................................. 6
  - Final RAA Program Score .................................................................................................................................................... 7
  - Additional RAA Policies ....................................................................................................................................................... 7
- RAA Test-Out ........................................................................................................................................................................... 7
  - RAA Test-Out Enrollment .................................................................................................................................................... 7
  - RAA Test-Out Content ......................................................................................................................................................... 7
  - RAA Test-Out and Continuing Education ............................................................................................................................ 8
- Advanced Grant Management (AGM) .................................................................................................................................... 8
  - AGM Enrollment ................................................................................................................................................................. 8
  - AGM Content ...................................................................................................................................................................... 8
  - AGM Proctored Final Exam ................................................................................................................................................. 9
  - AGM Final Score ................................................................................................................................................................ 10
- Research Administration Institute (RAI) ............................................................................................................................... 10
- Federal Contracting Certificate (FCC) .................................................................................................................................... 10
  - FCC Enrollment .................................................................................................................................................................. 10
  - FCC Content ...................................................................................................................................................................... 10
  - FCC Proctored Final Exam ................................................................................................................................................. 11
  - Final FCC Program Score ................................................................................................................................................... 12
- On-Boarding/Introductory Classes ....................................................................................................................................... 12
- FasTracks ............................................................................................................................................................................... 12
- Continuing Education Credit: Effective FY15 ....................................................................................................................... 13
  - Ways to Earn Continuing Education Credit ........................................................................................................................ 13
  - Additional Continuing Education Credit Policies .................................................................................................................. 14
  - Important Information Regarding Continuing Education Credit for Those Enrolled in Certificate Programs .......... 14
- RCC Leave Policy ................................................................................................................................................................... 15
- RCC No-Show Fee Policy ....................................................................................................................................................... 15
- RCC Severe Weather Policy ................................................................................................................................................... 15
- Supervisor Roles and Responsibilities ................................................................................................................................... 15

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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 enrollment, class participation, testing, continuing education and eligibility. 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, 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)

Beginning April 2014, all employees who have been reclassified into job codes: 2647, 2648, 2649, 2627, 2628, and 2629 are required to be RAA certified by December 31, 2015. New employees will have 18 months to complete certification requirements. An employee can achieve certification by completing the RAA curriculum or by passing the RAA Test-Out. This section of the RCC Business Rules provides the business rules for the RAA curriculum. See the RAA Test-Out Section for information on the RAA Test-Out.

RAA Enrollment

1. RCC recommends that participants should be in their current position for at least 90 days prior to RAA Orientation in order to allow time to complete the prerequisites, as long as HR timelines are met.
2. Eligible employees must have at least 50% research administration responsibilities to enroll in the RAA Certificate program. Staff with less than 50% research administration responsibilities should take the Introductory/Onboarding classes and/or job-specific electives.
3. 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
4. RCC will review all applications and must approve all participants prior to enrollment. Incomplete applications will delay the enrollment date.
5. The RAA core and elective classes are open to anyone at Duke, but only employees who are formally enrolled in/complete the certificate/test out are eligible to receive a certificate.
6. 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 RAA open enrollment classes until they have been accepted into the RAA curriculum and completed the appropriate pre-requisites. Enrollment is defined as the date the RAA participant completes RAA Orientation.
7. 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.
8. RAA participants have eighteen months from the date of enrollment to complete all curriculum requirements. Date of enrollment is defined as the date the employee completes the required on-line RAA Orientation module. If a participant 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 by RCC leadership 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.

RAA Program Content

1. The RAA Program consists of required content cores and 4 electives.
   A. Pre-requisites: The following must be completed prior to applying for the certificate program:
      i. Intro to Duke Accounting
      ii. Intro to Duke G/L Accounts
      iii. SPS Class
      iv. University Reporting: Sponsored Projects
      v. SAP Access
B. Online Orientation: After an employee is accepted into the RAA program, s/he will be given access to the RAA Online Orientation. The employee must complete the orientation prior to enrolling in required content and electives. The date the employee completes orientation will be the date used to start the clock on the 18-month completion requirement.

C. Required Content: The following classes are core material and are required to be completed after enrollment in the RAA Certificate Program and completing the online orientation:
   i. Research Management@Duke Online
   ii. Basic Compliance Online
   iii. Pre-Award Fundamentals
   iv. Post Award Fundamentals
   v. Core skill development – either G&C 101 (Medical Center employees) or GCC 101, 102, and 103 (Campus employees)

D. Electives: Supervisor will 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.
   i. 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.
   ii. The supervisor and participant should select appropriate electives using the Decision Matrix as guidance.
   iii. The Decision Matrix must be signed and returned as part of the RAA Application.
   iv. 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.

2. 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.

3. Course Requirements
   A. Participants are required to attend all classes for the duration of the class.
      i. Participants must sign the roster to indicate attendance
      ii. Participants should not arrive late or leave early
      iii. 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.
   B. All course assignments are required to be completed by the due date.
      i. All classes have an assessment (quiz), which must be passed with a score of 80% or greater. RCC will send an email when the quiz is available, and will state the quiz due date in that email.
         1. Each participant is allowed one attempt to pass the assessment (quiz). If a participant scores <80% on an assessment, the participant should enroll in the same class as soon as possible.
      ii. All classes will include an optional course evaluation, which should be completed by the due date of the assessment (quiz).
      iii. Some courses may have pre-work, which is due by the scheduled class date.
iv. If a class includes homework, it is due the same day the course assessment (quiz) and course evaluation are due.

v. 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.

vi. RCC is unable to extend due dates for assignments for individual participants. The assignment/quiz/evaluation due date given in the email notification is the final due date.

C. Core and Elective classes may be repeated once in order to pass the class. Please note: “Completing the class” means that the participant has scored 80% or better on the assessment and completed all assignments/homework associated with the class.

i. 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.

D. Electives can be dropped/added with supervisor approval and submission of a revised Decision Matrix to rcc-cert@duke.edu. 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.

RAA Proctored Final Exam

1. 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 core material (compliance, pre-award, post-award) and material from the selected electives. The participant has one attempt to take the final.

2. Once a participant has completed all core and elective requirements, s/he must email RCC at rcc-cert@duke.edu and request to sit for the proctored final exam.

3. RCC will confirm that all core and elective requirements have been met, and provide the participant with proctored final dates. RCC will enroll the participant in the preferred proctored final date.

4. RCC offers optional final review sessions, which the participant can choose to attend and will self-register via the Duke LMS.

5. The proctored final will be in a computer lab. Participants are allowed to use all course material, calculators, Excel, and the Internet.

6. 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.

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

    B. 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.

7. The final exam will contain sections for the core material and each elective. Each section will be weighted equally. There are approximately 120 questions in the final exam.

8. Participants will be given 4 hours to complete the final 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 RAA 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 RAA program with a score of 80% or greater in order to receive a RAA certificate.
3. The participant’s supervisor will receive feedback on both quiz and final grades in order to provide direction for future continuing education.

Additional RAA Policies

1. If an enrolled participant does not complete or does not pass the RAA 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 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 MSPAI and required FasTracks.
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 certificate holders. MSPAI is required for all certificates to complete CE requirements, as well as required FasTracks.
4. If an employee is unable to pass the RAA curriculum or test-out within the prescribed timeframe, or allows his/her certification to lapse, the employee may be subject to performance management.

RAA Test-Out

RAA Test-Out Enrollment

1. Employees 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. RCC reserves the right to require enrollment in RAA in lieu of the test-out option.
2. The supervisor will submit a RAA Test-Out application to rcc-cert@duke.edu, which includes an Elective Decision Matrix that outlines the elective assessments the employee will attempt for the test out.
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.
   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 on his/her own time prior to attempting the final exam.
4. RCC offers optional final review sessions, which the participant can choose to attend and will self-register via the Duke LMS. RCC strongly recommends test-out participants attend an optional review session.

RAA Test-Out Content

1. The RAA Test-Out exam consists of questions from the core material and selected electives.
2. The RAA Core exam and all 4 elective exams must be passed with an aggregate score of at least 80% in order to receive an RAA certification by test-out.
3. The test out candidate has 1 attempt to pass the RAA Test-Out exam with a score of 80% or better. If the test out candidate cannot pass the test-out exam after 1 attempt, s/he must apply for and enroll in the RAA certificate program.
   A. Exceptions to the attempt limit must meet significant circumstances. If an employee applies for the test-out more than once, supervisors must provide a strong justification for the repeated attempt at test-out.
4. The proctored exam will be in a computer lab. Test-Out participants are allowed to use all course material, calculators, Excel, and the Internet.
5. Participants are not allowed to use test questions from the quizzes, contact colleagues, cell phones, smart phones (including calculator features on the cell/smart phone), tablets, or information stored on a cloud service to assist in taking the proctored final.
   A. If a test-out participant uses any banned test aids, RCC will remove the participant from the proctored exam and notify the employee’s supervisor. The test-out participant will be required to enroll in the RAA program in order to complete RAA certificate requirements.
6. Participants will be given 4 hours to complete the final exam.

**RAA Test-Out and Continuing Education**

Individuals who test out of RAA do not have to complete continuing education requirements for the fiscal year in which they complete the test out, with the exception of Management of Selected Post-Award Issues (MSPA1) and required FasTracks, as applicable. Continuing education requirements are discussed in a special section below.

**Advanced Grant Management (AGM)**

**AGM Enrollment**

1. A participant is eligible to enroll in AGM if s/he has RAA certification, as well as 3 years of experience in research administration at Duke or another institution.
2. Enrollment in AGM requires supervisor approval and submission of the AGM Application Form to RCC.
3. Participation in the AGM classes is open to anyone at Duke, but only those who enroll in the certificate program are eligible to receive a certificate.
4. 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.
5. Participants must complete all requirements for an AGM certificate within 18 months of enrolling. Enrollment is defined as the date the employee completes the AGM online orientation.

**AGM Content**

1. Prerequisites: All pre-requisites must be completed prior to applying to the AGM Certificate Program:
   a. Current RAA Certification
   b. University Reporting: Sponsored Projects
   c. Grant Management role in Duke@Work
2. 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.
   a. Advanced Sponsored Projects Reporting
b. Regulatory Environment  
c. Federal Contracting Basics (unless taken as an RAA elective within the past three years)  
d. Management of Complex Research Projects  
e. Management of Training and Career Awards  
f. Advanced Export Controls  
g. Advanced Effort Management

3. Participants are required to attend all classes for the duration of the class.  
   a. Participants must sign the roster to indicate attendance  
   b. Participants should not arrive late or leave early  
   c. 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.

4. 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 for individual participants. The assignment/quiz due date given in the email notification is the final due date.

5. Each participant is allowed one attempt to pass the assessment.

6. If a participant scores <80% on an assessment, the participant should enroll in another offering of the class as soon as possible.

7. 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.

8. 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.

AGM Proctored Final Exam

1. A proctored final exam will be given after completing all courses. Each participant will have 1 attempt to pass the final exam. The final exam will count as 60% of the final score for the AGM certification program.

2. Once a participant has completed all required courses, s/he will notify RCC and request to sit for the final exam. RCC will confirm course requirements have been met, and provide the employee with final exam dates.

3. If a participant receives an AGM certificate, the continuing education requirement is waived for the fiscal year in which the certificate is earned, with the exception of MSPAI and any required FasTracks.

4. The proctored exam will be in a computer lab. AGM participants are allowed to use all course material, calculators, Excel, and the Internet. Participants are not allowed to use test questions from the quizzes, contact colleagues, cell phones, smart phones (including calculator features on the cell/smart phone), or information stored on a cloud service to assist in taking the proctored final.  
   a. If RCC finds an AGM participant using any banned test aids, RCC will remove the participant from the proctored exam and notify the employee’s supervisor. RCC, in conjunction with the employee’s supervisor, will determine if the employee can re-take the AGM final exam.
AGM Final 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 score of 80% or greater in order to receive an AGM certificate.
3. There is no AGM test-out. All staff must complete all certificate requirements in order to receive an AGM certificate.

Research Administration Institute (RAI)
Business rules for RAI are under development.

Federal Contracting Certificate (FCC)

FCC Enrollment
1. Enrollment in FCC requires supervisor approval and submission of the FCC Application Form to RCC.
2. While FCC enrollment is open to anyone who has met the pre-requisites, it is an advanced-level certification and RCC recommends that the applicant manage federal contracts, or will be managing federal contracts in the future.
3. FCC is a cohort-based certification with a limited application period.
4. 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.
5. 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.
6. Participants must complete all requirements for an FCC within 24 months of enrolling.
7. “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 Content
1. Prerequisites: All prerequisites must be completed prior to applying to the FCC Program:
   a. Current RAA Certification
   b. Currently a full-time employee of Duke University
2. Core courses:
   a. 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.
   b. Federal Contracting: Proposals 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.
   c. 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.
d. 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.

e. 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.

3. Staff enrolled in the certificate program will select two electives from the list below:
   a. FISMA (1.5 hours): Taught by IT Security, and relevant primarily to Medical Center Staff.
   b. 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.
   c. Subcontracting (1.5 hours): Content relevant to both Campus and Medical Center focused on issues related to subcontracting on a federal contract.

4. Participants are required to attend all classes for the duration of the class.
   a. Participants must sign the roster to indicate attendance
   b. Participants should not arrive late or leave early
   c. 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. 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.
   a. Each participant is given one attempt to pass the assessment.
   b. If the participant scores <80% on the assessment, the participant should enroll in another offering of the class.

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

7. 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.

8. 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.

9. 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.

10. 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.

11. 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.

**FCC Proctored Final Exam**

1. 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 core material and material from the selected electives. The participant has one attempt to take the final.

2. The proctored final date will be provided, along with the dates of the classes to those who are enrolled in the FCC program.
3. The proctored final will be in a computer lab. Participants are allowed to use all course material, calculators, Excel, and the Internet.

4. 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.
   a. If a participant uses any banned test aids, RCC will remove the participant from the proctored exam and notify the employee’s supervisor.
   b. 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.

5. The final exam will contain sections for the core material and each elective. Each section will be weighted equally.

Final FCC Program Score
1. 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. The FCC participant must pass FCC 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 FCC program with a score of 80% or greater in order to receive a FCC certificate.
3. The participant’s supervisor will receive feedback on both quiz and final grades in order to provide direction for future continuing education.
4. There is no FCC test-out. Participants must complete all certificate requirements in order to receive the FCC.

On-Boarding/Introductory Classes
These classes are geared towards employees new to research administration and those whose job is composed of <80% 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. Currently, the exception is Pre-Award Fundamentals. RCC is in the process of transitioning all on-boarding/introductory courses online. After this transition, none of these classes will count for continuing education credit. See below for more information on Continuing Education.
   1. Introduction to Research Administration
   2. Research Management @ Duke Online
   3. Pre-Award Fundamentals: This is the same class that is in the RAA core.

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.
4. Some FasTracks may be required for maintaining certification. See Ways to Earn Continuing Education Credit for more information.
Continuing Education Credit: Effective FY15

Continuing education is required to maintain RCC, RAA, AGM, and RAI 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 MSPAI annually
2. 4 other continuing education credits from the list of options below
3. Required FasTracks, see Ways to Earn Continuing Education Credit. Note: This is an important change in Continuing Education Requirements

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, and AGM 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. Some classes include homework assignments, which also must be completed on time in order for the class to count for CE credit. Most RAA classes count for one continuing education credit per class.
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 Sponsored Programs (OSP)
   e. Duke Ethics and Compliance Office (DECO)
   f. Office of Internal Audit (OIA)
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.
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 1 internal update 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. Lead Trainers and central office training staff who teach RCC classes can count work in class development for continuing education with supervisor approval. 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.

7. If an employee loses RAA certification due to failure to maintain continuing education credit, the employee may petition to test out with supervisor approval.

8. Please note that there is no test-out option for AGM, RAI or FCC. Failure to maintain these certifications will result in having to repeat the certification program.

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

1. Individuals enrolled in RAA, AGM and/or RAI 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) 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) 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)?</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)?</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 class registration is cancelled/dropped on the day of the class, the employee’s default cost center will be charged the $100 no-show fee.

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. 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. Due to constraints in the registration system, RCC can no longer allow a substitute to take the place of someone who has registered and cannot attend.

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 RAA, RAA Test-Out Participants, AGM, and FCC 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 or RAA Test-Out.
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.

**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](#).