

Research Administration Advisory Council (RAAC) Committee-at-Large

Tuesday, September 20, 2016, 3:00 – 4:30 pm
School of Public Health
1415 Washington Heights
Community Room, Room 1680

MINUTES

1. **Introductions of Members and Guests** (*Debbie Talley*) [3:00 - 3:05]
 - a. Marcelo Valdivieso – New Director of Procurement Services
 - b. Chris DeVries – New RAAC Project Manager
 - c. Judy Carrillo – New RAAC Training subcommittee chair, effective October 1
 - d. Kerri Cross – New RAAC CAL representative from ISR
 - e. Karen Durigon – New RAAC CAL representative from the College of Engineering
 - f. Drew Bennett – New RAAC CAL representative from the Office of Technology Transfer

Debbie thanked everyone for joining today. Above are the new members/roles for the committee.

Linda Forsyth, Heather Offhaus, and Pat Turnbull participated via phone.

2. **Presentation:** RAAC Process Subcommittee Update [3:05 – 3:30]
(*Heather Offhaus / Charlotte Young Bowens*)

Charlotte is on the Process subcommittee and presented with an update. Since the last update, there have been a few membership changes.

Charlotte stressed that volunteers are needed to serve on the committee. Sent out survey this month which is due on September 30, and a request for new members was included. In addition to new members (long-term commitment), RAAC Process also seeks members to serve on task forces and working groups (short-term commitment).

The Process Subcommittee is not a working group for initiatives with champions, but an advisory group steering and facilitating new processes for research administration through task forces, focus groups, and work groups. The recommendations from these groups are brought to the RAAC Process group as a whole, then the RAAC Executive Committee, RAAC Communication-at-Large, and RAAC Faculty Advisory Council, if needed.

Depending on your interests, we could use all types of volunteers. Champions are those that spearhead special assignments and think tank more efficient processes with the work group.

A benefit of being on the Process subcommittee is you get a heads up of what is potentially going to change, and what is the priority of research administration at large in the university.

If you look over the slides and want to participate in a particular group, please let Heather or Charlotte know.

The Process subcommittee will analyze the results of survey to help prioritize of what is important to the research community.

Roles and Responsibilities – Phase I is complete.

Roles and Responsibilities – Phase II has been completed and a draft has been reviewed with the RAAC Executive Committee and Committee-at-large.

Phase III – Champions: Stephanie Ford, Bryan VanSickle, and Terri Maxwell. This is a huge phase, and incorporates Post Award Management through close out.

Post Award Management Module has 4 sections:

1. Award maintenance
2. Certification of time and effort, compliance and audits
3. Invoicing, billing, and reporting,
4. Close-out functions.

To reiterate, we are looking for volunteers to join Process subcommittee (long-term), or the task groups for Roles and Responsibilities Phase III (short-term). The task group for Phase III will be 2 meetings per month for 3 months. Some work may be needed outside the meetings.

Heather Offhaus sent out email on description of the Phase III project and work involved earlier today.

Electronic Budget templates – Champion: Beth Brant.

Beth provided the update on the budget template initiative. These templates would be incorporated into eResearch. The work group looked at the out-of-the-box product to see whether it would meet the research community's need for a budget template tool in eRPM. After evaluating the product, the work group decided that it would not meet the need for a budgeting tool. However, the tool may add value in other ways, and the subcommittee will keep it in mind.

Defined Close-out Process – Champion: Anita English.

The work group came up with areas they felt were needed in the close-out process. A document was developed and we are looking to release the checklists in the coming months. RAAC Process will continue prioritizing work areas (with EC) and continue branches of improvements.

There are two representations of the checklist, one by task, the other by lead time. The checklist will replace the one that is currently on the Sponsored Programs website. Kristie Beckon worked with Anita will work to update the document on the website. This process is very important and should help as a tool to close out a project. It also helps new RAs to look at elements of close out on timeline basis.

Award Management – Process subcommittee is not officially overseeing this process; ORSP, Sponsored Programs, and ITS will oversee.

We will continue to look at electronic systems – especially those that come from ITS, and any other program initiatives.

Summary:

Finished:

- Phase II – Roles & Responsibilities
- Evaluated budget tool to incorporate in eRPM

Ongoing:

- Defining close-out process
- Award Process

Start:

- Phase III – Post-Award Management – in need of of volunteers
- Survey analysis and identifying next projects

Future:

- Progress Reports – need a champion

3. **Presentation:** Award Management System (*Craig Reynolds*) [3:30 – 3:55]

eRPM system is a great tool for routing and approving proposals, but it is also used to manage awards. We are trying to improve and make the award management process better. We now have a full-time team working on it. The project plan is broken into 2 phases:

Phase I (18 mo. timeline): Implement the Click Commerce/Huron award management module. This change to the eRPM system will improve the overall non-financial management of sponsored awards. Estimated completion = December 2017.

Phase II (18 mo. Timeline): Integrate the Click Award Management tool with PeopleSoft Grants module. Integrating both of these modules will allow the eRPM and financials systems to talk to each other. This will significantly improve the financial management of sponsored awards and eliminate a lot of rework. Estimated completion = TBD (pending approval).

The Award Management module will create an Award Record in eRPM. It will have the same look and feel of the current PAF and will connect pre- and post-award research administration activities.

The module will improve the administrative management of sponsored projects with multiple PAFs by creating a single record of award. This will eliminate the need to determine which of the multiple PAFs should be used (e.g., CILER).

Award Management will better integrate with the compliance systems (human and animal modules). It will improve system congruency between an award record and related compliance component systems by creating reciprocal links between the systems.

The module will also improve the post-award change request process by creating a system activity to initiate these requests, and a workflow to capture the required approvals.

Improve system visibility for user community by adding status views for compliance elements. (from an example from the University of Florida who is a couple years ahead of us).

Craig introduced Kate Strzempek and Carolyn Pappas (two of the four members) on the Award Management Project team. They will be giving periodic updates. A separate Project Management website will be developed. Will try and be as transparent as possible and engage all of you through the governance structure.

Governance Structure:

Executive Sponsors – (Jack Hu / Kevin Hegarty). They own the process.

Project Sponsors – (Daryl Weinert, Debbie Talley, and Craig Reynolds). If Lead Team needs clarification on decisions, they will appeal to RAAC EC. If EC can't make decision it will go to Project Sponsors team.

Lead Team – (Cathy Handyside, Craig Reynolds, Bryan VanSickle, Heather Offhaus, and Linda Forsyth). Will look at progress to-date, and advise how to handle any business process changes that might arise. The advisory teams will make recommendations to the Lead Team, who will make a decision to incorporate. If Lead Team does not agree, they will appeal to Project Sponsors.

Project Team – Will ensure project is progressing and that decisions are being made.

Advisory Teams – 4 Teams:

These are not Design Teams as we are working with an off-the-shelf product. The advisory teams will provide recommendations on design elements that should be included or excluded.

1. Schools/Colleges/Units – there are going to be 10 members (representation from Med School, LSA, Engineering, Small Schools and Colleges, ISR).
2. Data & Reporting (RAAC Metrics and others). They will be concerned with how we use the system, and to get the data out efficiently and integrate with other systems.
3. Central Offices (ORSP/Sponsored Programs, Shared Services, Office of Tech Transfer, Compliance)
4. End users (focus groups).

Progress is happening quickly, but there are many decision to be made and questions to be answered before we have a complete system to implement.

Lois raised a concern around individuals shown as project team members in the PAF. We should determine how to manage project team changes, as this represents a potential compliance risk. Lois would like to be involved in this part. Craig said there is a cost/benefit to maintaining the project personnel in the system, and if the data is in one system, we can hopefully automate between systems. Cathy H. agreed, and Craig confirmed the Project Team will meet with Lois.

Melissa mentioned that the Shared Services Center receives questions related to using eRPM for document management. Is this the intent for this program? Cathy indicated to some extent, yes. The concern is how we manage all the documents.

Maureen asked if the post-award system will be connected to Fin Ops as this would make the process much easier for foundation sponsors. Craig answered that this is the goal of Phase II.

Teresa was concerned that small school/colleges were not represented in Lead Team composition. Craig said we are interested in hearing everyone's pain points and will take them into consideration. Bryan mentioned that the idea is that those on the Lead Team are not only representing their school/college/unit, but the interests of the entire campus. Kate indicated that the members of the Project Team are also part of the Lead Team and they can serve as a voice on the Lead Team as well.

Production Support Issue – There is an intermittent problem getting with PEERRS information not populating in the PAF. An interface with the My LINC system is the root of the problem. Since the issue is intermittent, it is hard to pinpoint the cause. However, ITS is working to correct this.

Enhancements to eRPM – The NIH October deadline is approaching. Last year on September 21 there were major problems, but ITS has implemented processes to handle the load this year. The system will be updated with alerts if issues arise. Call the ITS Help Desk if you do not see slowness corrected (>10 mins).

October updates – There will be changes to the PAF workspace, include a subway map (pictorial) indicating where the proposal is in the process. Based on the feedback received so far, this functionality may be implemented for unfunded agreements in a future release.

The Manage Administrative Personnel will be corrected to allow those with edit rights to edit the personnel on the proposal.

There will be a fix to ensure congruency with the IACUC protocols / approvals matching the PAF.

Some of the export controls processes will be automated.

The release will move to production on October 31.

5. Sponsored Programs Update: (*Debbie Talley*) [4:05 – 4:15]

Bryan VanSickle mentioned that the Finance MPathways system upgrade is complete and was successful.

Single audit – This is still in process and will be completed soon. Bryan sent out information to those who had transactions selected and Sponsored Programs is working with the auditors. The goal is to have this done by the end of the year.

NSF Audit – A response was submitted to the initial report of findings. The next step is to work with the auditors on resolution. Debbie has been working with Tim George (Finance Communications) and an e-mail will be sent detailing the audit (i.e., findings and schools impacted). There were a total of \$2.7 million in questioned costs; we feel we owe \$35,000.

6. ORSP Update: (*Craig Reynolds*) [4:15 – 4:25]

We have hired 3 new Project Representatives – Maggie Swift, Sandy Franklin, and Jeff Alber. Jeff Alber has joined the Private Sponsors team. Maggie Swift will handle data use agreements and foreign sponsors (government and private). Sandy Franklin has joined the Private Sponsors Blue team.

Research Administrators day is September 25. Hope everyone is celebrating their RAs. ORSP/Sponsored Programs is celebrating with a tailgate on Monday, September 26.

Craig has been shopping around an internal deadline policy. He has been receiving good feedback and the plan is to have a more about policy at future RAAC meetings. The hope is to have the policy approved by Jan. 2017. A lot of programming will be needed in eRPM, so hopefully implementation will occur in July 2017, at which point there will be a soft launch of the policy.

Uniform Guidance Procurement Standards – We are hoping will extend our grace period to July 2018. Moving the competitive bid requirement from \$10,000 to \$3,000 will require a lot of work.

FISMA guidelines were released earlier this month and more will be coming out soon. Curt Smitka is single point of contact in ORSP for information security.

Agreement Acceptance: There was a paper-based process for approving awards with publication restrictions. This was very cumbersome and we figured out a way to make it electronic. In designing the electronic PAF-R process, it was realized that this workflow could apply to other award restrictions. In October, we will release an Agreement Acceptance activity that will provide alerts when there are terms in the agreement that may require a financial obligation on the part of the unit (e.g., indirect cost rate change, cost sharing change, award amount +/- 20%).

David was asked to provide an update on Navigate. The next Navigate: Fundamentals course starts next week Wednesday, September 28, 2016. It is a seven-day course. There are two new advanced Navigate courses:

- Advanced Budgeting I (3 half-days) starts October 28. Registration deadline is October 3.
- Uniform Guidance Cost Principles (1 day) is October 25. Registration deadline is October 14.

7. Closing and Future Meetings: (*Debbie Talley*) [4:25 – 4:30]

- a. Please contact Chris DeVries if you would be interested in hosting a committee-at-large meeting in 2017.

Looking for people to host for 2017 CAL meetings. Chris will send out the dates for 2017 meeting, asking for location possibilities.

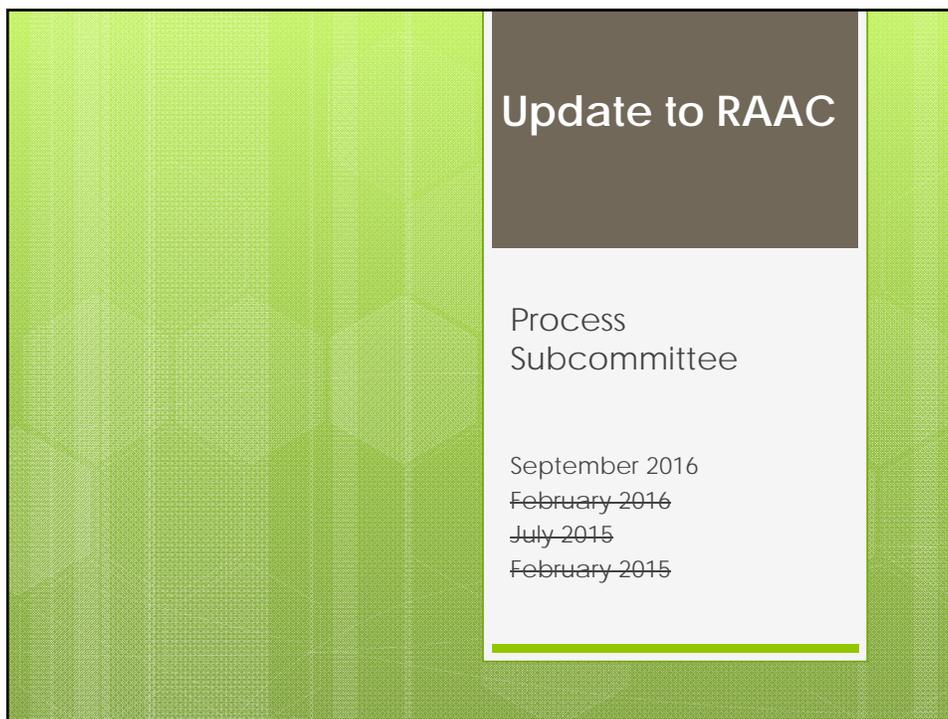
RAAC Committee-At-Large Meeting Dates

- Tuesday, October 18, 2016, 3:00 – 4:30 pm (*Judy Carrillo*, RAAC Training Subcommittee @ College of Engineering)
- Tuesday, November 15, 2016, 3:00 – 4:30 pm (*Becky O'Brien*, RAAC Communications Subcommittee @ U-M Dearborn)
- NO DECEMBER MEETING

Executive Committee Meetings

Wolverine Tower, Conference Room 1025

- Tuesday, October 11, 2016, 3:30 – 5:00 pm
- Tuesday, November 8, 2016, 3:30 – 5:00 pm
- Tuesday, December 13, 2016, 3:30 – 5:00 pm

A presentation slide with a green textured background. A dark grey header box contains the title "Update to RAAC". Below it, a white box contains the text "Process Subcommittee". At the bottom of the white box, a list of dates is shown: "September 2016", "~~February 2016~~", "~~July 2015~~", and "February 2015".

Update to RAAC

Process Subcommittee

September 2016
~~February 2016~~
~~July 2015~~
February 2015

A presentation slide with a green textured background. A dark grey header box contains the title "Members". Below it, a white box contains two columns of names and their affiliations.

Members

Bowens, Charlotte	Pharmacy
Brant, Beth	Dental School
Cristiano, John	UM-Dearborn
English, Anita	Medical School
Ford, Stephanie	College of Engineering
Huntington, Jennifer	Ross Business School
Maxwell, Terri	ORSP
Nielsen, Tony	ORSP
Offhaus, Heather	Medical School
Pappas, Carolyn	ITS
Thomson, Anne	LSA
VanSickle, Bryan	Sponsored Programs
DeVries, Chris	ORSP & Sponsored Prog

Shameless Plug

We need **YOU!**

(or someone you want to Voluntold...)

- Asked in the Process Survey and cover email for those you would like to send our way
- Important as we come out of the survey to help determine the next group of Process Projects
- Any RAAC CAL member can send great candidates our way – contact Heather / Chris
- More than 1/unit OK with us -- looking for good “thinkers”

Organization



General Process

- Process meetings aren't work product meetings for initiatives with Champions
- Champions work with volunteer taskforces / workgroups to think tank process and...
- The Process committee serves as a sounding board
- We do really like it when Process members volunteer to be Champion of a project!

Project Updates

- Each section is intended to be a high-level view into where things currently are
- Please feel free to reach out to the Process chair (Heather) or any of the Champions listed for the projects with
 - Questions
 - Concerns
 - Ideas
 - Anything!

Starting

Process Survey

Champion: Charlotte Bowens
 Status: Completely moving forward!

Activities:

- Survey was sent to all RAAC Unit Members
- One response per school/college/center **due 9/30**
- We will come find you if we do not hear from you

Next Steps:

- Results will be analyzed, grouped, and discussed
- May seek additional clarification
- Final projects (perceived high impact / high volume) will be taken to RAAC EC for green light v. other ongoing priorities

Complete!

 Roles and Responsibilities/Risks in
 Research Admin Process **Phase II**

Champion: Carole Bach / Craig Reynolds
 Status: **Complete!!!!**

Activities: Second work group of volunteers - drafted roles / responsibilities... Ran through Process and EC... CAL saw.... It is published!

Overall potential of R&R project (all phases):

Defining processes, clarifying roles, and empowering where the risk lies.

Starting

Roles and Responsibilities/Risks in Research Admin Process **Phase III**

Champions: Stephanie Ford / Bryan VanSickle / Terri Maxwell
Status: Just starting

Phase III – VII(?)
Post award management through close out

What we are going to do:
Following the same format as Phases I & II, develop a high-level description of those involved in various roles of the post-award management process

Volunteer Description

Roles and Responsibilities/Risks in Research Admin Process **Phase III**

Who we would like RAAC CAL to put forward:
Individuals who have strengths in discussing:

- (1) award maintenance,
- (2) certification of time and effort, compliance, and audits;
- (3) invoicing, billing, and reporting; and,
- (4) close-out functions.

Time Commitment:

- Meet twice per month for three months
- With some work to be done outside the meetings.

We'll need to know what areas (maybe multiple?) and we will tailor the next phase to where we have the most support.

Next Steps

Roles and Responsibilities/Risks in Research Admin Process **Phase III**

What we are asking you to do:

- Review the scope email (sent today)
- Provide volunteers

What we are going to do:

- Begin the meeting process to tackle the topic
- If we have enough volunteers, simultaneously start more than one phase

Reminder: For all versions of the R&R, continue looking at how your unit interprets the "Unit" column and any guidance you might want to share within your unit

Update

Review of budget templates for potential incorporation in eRPM

Champion: Beth Brant

Status: **Complete!!!**

Activities: Taskforce made a recommendation to Process / EC about the product.

The skinny:

- *NOT* a viable budget tool on its own
- May have value as we move into considering an Award Management system
- Review a roll-out only in conjunction with system functionality of Award for biggest benefit.
- Award Management and Process will stay in contact to try to figure out how to maximize.

Update

Defined Close Out Process

Champion: Anita English
Status: Recommendations of Work Group reviewed by EC for implementation and further work

Potential: Help offer greater communication and understanding between units and Sponsored Programs.

Activity: Final document shared with EC had 6 initiatives.

Next steps: Hoping to release checklists of common unit processes to help Research Admins in coming month, continue prioritizing work areas (with EC) and continue branches of improvements

(Note: Would you like a copy of 6 final areas? email Anita or Heather)

Update

Award Management

Status: Completely moving forward!

Activities:
This was a Process initiative at early stages, but we are officially out of the business of management and leadership ☺

However, we are planning on remaining looped in and at the service of the initiative for anything they might need from Process!

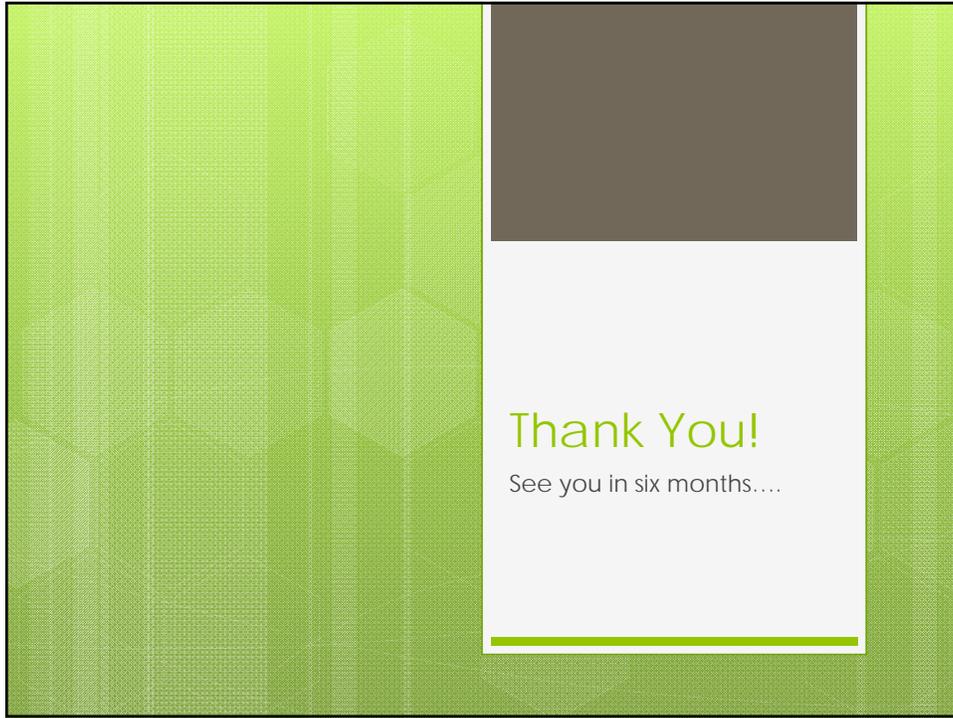
Updates to come from ORSP/Sponsored Programs/ITS

"On Call"

- RAAC Process will continue responding:
 - To changes to electronic systems as proposed/handled for implementation by ITS
 - As requested, with comment on ORSP / Sponsored Program initiatives

Summary

- **Finished**
 - Roles & Responsibilities Phase II
 - Budget templates for incorporation in eRPM
- **Ongoing**
 - Defining the close out process
 - Award Process
- **Start**
 - Roles & Responsibilities Phase III
 - Survey analysis and identifying next projects
- **Maybe someday**
 - Process around Progress Reports (lack of Champion so far...)





Award Management System Project



The Award Management System is a strategic project to improve the management of sponsored awards by enhancing U-M electronic systems and streamlining current business practices related to sponsored award administration.

The Award Management System will be introduced in two-phases:

- *Phase I* – Design and implement a major change to the electronic Research Proposal Management (eRPM) system to improve the overall non-financial management of sponsored awards.
Award Management System, Phase I: 07/2016 - 12/2017
- *Phase II* – Integrate the eRPM system with the Finance-Sponsored Programs' financials system to improve the financial management of sponsored awards.
Award Management System, Phase II: TBD (Estimated duration 18 months)/ Pending Approval

eResearch

Enhancements to the eRPM system will:

- Be built from the Click/Huron Award Module platform
- Include new functionality to create an Award Record within eRPM
- Have the same “look and feel” of the current Proposal Approval Form (PAF)
- Connect pre- and post-award research administration activities

eResearch

- Improve the administrative management of sponsored projects with multiple components (e.g., PAFs, Protocols) by creating a single record of award.
- Improve system connectivity and congruency between an award record and related compliance component systems by creating reciprocal links between the systems.
- Improve the post-award change request process by creating a system activity to initiate requests, and a workflow to capture required approvals.
- Improve system visibility by adding status views for compliance elements.

eResearch **M**

- Project updates will be communicated to the Executive Council of the Research Administrators Advisory Council (RAAC EC) by one of the Lead Team members on a monthly basis
- An ORSP web page is under development and will be made publicly available in October to provide general project information and updates



eResearchM Governance Team Members

Executive Sponsors

Jack Hu, Kevin Hegarty

Project Sponsors

Daryl Weinert, Debora Talley, Craig Reynolds

Lead Team

Cathy Handyside, Craig Reynolds, Bryan Van Sickle, Unit Representation TBD

Project Team

Carolyn Pappas, Vasudha Ramani, Kate Strzempek, LaTonya Woods

Advisory Teams

Schools/
Colleges/
Units

Data &
Reporting
RAAC Metrics,
Others

Central Offices
ORSP, SP, Others

End Users
TBD

7

eResearchM

eResearchM

Thank you!

Award Management Project Governance

Craig Reynolds <creyno@umich.edu>

Thu, Sep 29, 2016 at 10:39 AM

Hello All,

After hearing feedback from the RAAC Exec. Committee and Committee at Large, we have decided to replace the proposed Lead Team component of the Award Management Project Governance with the RAAC Exec. Committee. We feel that we already have a well established process and organizational structure for making important decisions that impact our work and do not need to set up a separate deliberative body just for Award Management.

To accommodate the additional work being asked of the Exec. Committee, a standing topic for Award Management will be added to the EC agenda and additional time added to the EC meeting.

Best regards,

Craig

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Craig A. Reynolds, Director

University of Michigan | Office of Research and Sponsored Projects (ORSP)

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Office Hours: Mondays – Fridays, between 8:00 a.m. and 5:00 p.m.

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