Research Administration Advisory Council (RAAC)
Committee-at-Large
Tuesday, June 20, 2017, 3:00 – 4:30 pm
College of Engineering, Lurie Engineering Center
General Motors Conference Room, 4th Floor
Minutes

Attendees:

<table>
<thead>
<tr>
<th>Chris Allan  - ISR</th>
<th>Chris DeVries - RAAC</th>
<th>Becky O'Brien - Information</th>
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<tr>
<td>Meenu Baxendale  - SNRE</td>
<td>Nell Dority - BEC</td>
<td>Craig Reynolds - ORSP</td>
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<td>Steve Beach  - LSA</td>
<td>Karen Durigon  - Engineering</td>
<td>Jane Sierra  - Medical School</td>
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<td>Kristie Beckon - Sponsored Programs</td>
<td>Cathy Handyside - ITS</td>
<td>Danielle Smith - LSI</td>
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<td>Beth Brant  - Medical School</td>
<td>Stephanie Hensel  - Education</td>
<td>Scott Stanfill  - Social Work</td>
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<td>Constance Colthorp - ORSP/Sponsored Programs</td>
<td>Melissa Karby - Dentistry</td>
<td>Debbie Talley - Sponsored Programs</td>
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<td>John Cristiano - U-M Dearborn</td>
<td>Karen Kirchner - Nursing</td>
<td>Pat Turnbull  - U-M Dearborn</td>
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<td>Kerri Cross  - ISR</td>
<td>Heather Kraus  - LSA</td>
<td>Bryan VanSickle - Sponsored Programs</td>
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<td>Cindy Dames  - ORSP</td>
<td>Mindy LaRocca  - SPH</td>
<td>Daryl Weinert  - UMOR</td>
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<td>Lori Deromedi - UMOR</td>
<td>David Mulder  - ORSP</td>
<td>Li Yong  - SNRE</td>
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<td>Kathy Devereux  - UMOR</td>
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*Guest

1. **Introductions of Members and Guests** (*Daryl Weinert*) [3:00 – 3:05]

Daryl welcomed everyone and the group went around the room for introductions. Pat Turnbull called in. Daryl thanked the College of Engineering for hosting.

2. **Presentation:** Recharge Rates (*Tony Burger*)  Attachment #1 [3:05 – 3:35]

Tony presented on recharge rates to provide education about recharge basics, activity, roles and responsibilities, and where to go to get answers. This is an effort to meet recommendations provided during the internal audit process.

A recharge rate is a charge for goods/services provided by your unit to other internal users of that service. Research recharges are typical. Focus is on direct costs when establishing rates with the intention of breaking even. Rates need to be consistently applied to internal users.

We recharge over $500M per year (more like $600M in FY2017). Over 400 individual rates are approved per year, but we think collectively there are about 5000 rates (some labor related).

Roles and Responsibilities:

- Central office (Financial Analysis) – reviews and approves rates, provides training, and has compliance responsibility.
• Units - responsible for establishing/modifyng recharge rates, billing for services, and maintains supporting documentation. Maintaining documentation today is easier given electronic storage means.

Financial Analysis can help with process - assistance with complications that may arise with the recharge rate process:
• Help establish new rates.
• Provide assistance if there is turnover within your department.
• Help adjust rates for unexpected increases or decreases in service volume.
• Offer support when staff’s expertise may not be in finance or accounting.

Typical Audit Findings:
• Billing units for services with an approved recharge rate - some units don’t use recharge rate.
• Not charging all customers consistently.
• Publishing rates (billing) on a website that don’t match approved rate. - keep in sync if changes.
• Not billing the correct amount or changing the billing rate without proper approvals.
• Unable to provide supporting documentation for the direct costs.

Melissa asked about subsidies. Tony replied that subsidies are okay, but they need to be consistent. Subsidies mean you charge everyone the same, keep it at the department to offset expense.

Daryl asked if there can be differentiation in recharge rates for different times of the year, to account for things like changes in volume. Tony answered that this is okay, as long as the differences are documented. This happens with hospitality units. There can be charges that differ in summer/winter rates. Some flexibility, consistency is what is being looked at.

Melissa asked if auditors will ask for logs of time used. Bryan responded that they will ask. Tony added that units should think about what is reasonable. If it is not possible to keep logs, maintain documentation on people’s effort (e.g., timesheets).

Financial Analysis is proactively reaching out to units to clarify the importance of adhering to our recharge rate policies and guidelines. Every rate that is approved, Financial Analysis will go out and remind of process and provide updated resource materials. Communication is sent to all active rate contacts. Training/workshops are provided.

Kathy asked about sub-accounts and collecting indirect costs (IDCs). How is that determined? Bryan answered that this is not typical; applies mostly to functional magnetic resonance imaging (fMRI). They only do scans and not analysis work.

Daryl asked how often rates need to be approved. Tony replied rates are generally approved for one year; some are approved for two years. The approval will indicate the expiration date, and Financial Analysis will give advance notice of expiring rates (typically 30-90 days).

Kathy asked if Financial Analysis analyzes whether recharges are being recouped at the approved rate. Tony answered, absolutely. There are many factors that go into a rate, and at times, either the rate or volume may need to be changed. Units need to be in compliance, and Tony encourages units to come to Financial Analysis to recommend changes if not going as planned.

Kathy asked if there are there examples of costs that cannot be included. Tony responded that only direct costs can be included. No space/building costs, and equipment costs can be hard as there are a lot of rules.
Melissa suggested to provide information for a procedural document or Roles and Responsibilities document on the website. Tony said there are templates, and explanations up there, but any feedback is helpful.

Daryk asked why some units don’t use recharge rates. Tony answered that this is mostly due to lack of knowledge; not knowing that it is needed, or who to go to. The research community does a good job; service centers (e.g., Michigan League) are not as consistent.

Beth asked about the average timeline to request a new rate approval. Tony responded that the approval usually occurs in less than a month. Biggest challenge is the June 30 date, when many rates expire.

Kathy asked about volume - do you go back 2 or 3 years to compare? Tony said yes, Financial Analysis will go back 2 years to review and how rates were calculated. As long as you are within the compliance parameters, there will not be a lot of questions.

Craig asked whether it is acceptable to provide an approved internal recharge rate with an external customer. Tony responded that technically you can charge what you want. However, Tony advised caution, as the rate will need to be justified.

3. **Presentation: RAAC Metrics Subcommittee Update (Chris Allan) [3:35 – 4:00]**

   Attachment #2

Chris A. went over membership and recognized Pat Schultz who is going to step down. Chris A. mentioned the subcommittee was trying to get a replacement, and there will be opportunities for different forms (short term) of memberships.

**Current & Pending Template:** Reduce administrators’ efforts in preparation of Current & Pending documentation. It provides a tool to allow administrators the ability to pull as much university data as possible from a canned query into a template for review and export in the sponsor’s format.

- **Status:** Excel template was created and passed along (Med School, Engineering, and RAAC Communications) to those who use it and we are looking to include a link in the RA Toolkit. Unfortunately, does not work with Macs but looking at it. Main goal is to get into a web application so any user can use. Training and best practice materials are intended to accompany the template.

**Department Reporting Hierarchy:** Goal to provide a table in the data warehouse that reflects multi-level hierarchies beyond department group. Also, make table available in tools like Business Objects and Tableau.

- **Status:** ITS Information Quest (IQ) - working with President’s office and developing tables right now. Once complete our cross-campus group will test various uses to help prepare for the formal rollout.

**Collaboration with IQ:** Met with IQ to get technical assistance and guidance for delivery of RAAC Metrics dashboards. Asked to get functional assistance in best practices in identifying metrics. RAAC Metrics will provide guidance to Information Quest as they get into research reporting with U-M leadership.

- **Status:** RAAC Metrics met with Information Quest for three meetings (with Daryl, Debbie, and VJ) for initial, high-level overview. Exchanged details about each others’ projects to identify next steps, and discussed/explained current and pending initiative. Chris is optimistic they will fit us into their schedule.
Next step:
- Continue discussion to move toward web application.
- Have Metrics members go through an exercise to identify metrics.
- Utilize Information Quest resources as needed for delivery of more dashboards or potential toolkits.

**Delivery of Metrics Dashboards:** How to deliver on the web and workbooks.

- There are five categories (workbooks) with 11 reports.
- Available through Wolverine Access - tableau - RAAC or a direct link to a Table of Contents (there will be a follow up email).

Reports: Go back to eResearch inception.
- Proposals: Counts/Dollars/Counts or Dollars by Sponsors.
- Awards and Commitments: Counts/Dollars/Largest Awards/Dollars by Sponsors.
- Expenditures: Volume of research or externally funded.
- Indirect Costs: Effective IDC rate, direct divided by indirect, indirects vs. calculated taxes (based on tax model).
- Receivables: Activity and open items. Can see details of invoices.
- Access to reports: RAAC Community-at-Large, Budget Administrators Group (BAG), Research Associate Deans (RADs), eResearch Proposal Management data warehouse users.

Information and Help buttons - shows where the data came from, and what will the report filters do.

Chris A. went over a demo of the reports and dashboard. Showed you can filter and save your filter (favorites), and can download.

Melissa asked how often the data set is refreshed. Chris A. responded that most are updated daily. Award and proposal reports are updated monthly (at the end of the month).

Daryl asked about the wording of “through period” as it is confusing. Chris A. said one bad point is there is no default filter in Tableau, but will make note of this and correct it.

Becky asked if there is a way to compare your unit to other units. Chris A. responded that some of the available reports will allow for this. For other, the RAAC Metrics group will continue to work toward this.

**Coming soon:**
- Award success rates: Is a little confusing and looking at different ways to present.
- Post award collaboration.
- Deadline/lead time. Need more detail.

Daryl reminded Chris A. to continue to think about market share - that is, how much of a particular sponsor does U-M’s share make up, and is it going up or down for agency or sponsor. Chris A. said it is being looked at. Chris thought the Med School is doing it now, and is on the radar.

**Next Steps:**
- Work with ORSP Communication on sharing updates and on U-M Research site.
- Work with Information Quest on including with Michigan Metrics.
- To be continued in “Looking forward.”
Chris A. mentioned all units are different and want something unique. Looking to get unified goals and satisfy everyone and be sustainable. Need more direct conversations with units to ask what are the goals, and then measure/monitor goals. Chris A. would like to have partnerships with schools/units and have more in-depth conversations (short-term) to understand their goals and reporting needs. RAAC Metrics will reach out to smaller/bigger schools/colleges/units and provide guidance on using the research data. Encourage sharing ideas to be more creative.

4. **ORSP Update:** *(Craig Reynolds)* [4:00 – 4:10]

Craig said ORSP has a couple postings:
1. Business Development Analyst - a support person (to Laura Dickey) for data.
2. Training Coordinator - focus on ORSP staff training needs.

Award Management tool: Asked subcommittee of RAAC EC to look at cost sharing for Award Management project. Found that the PAF summary that ORSP sees is different than what units see. Craig mentioned currently the Voluntary Committed Cost Share says it is a “UM other commitment” which is not true. Voluntary Committed Cost Share is a UM “cost share” and will correct definition. There will be other changes.

NIH sent a notice delaying implementation of the single IRB requirement, for multi-site studies. Delayed a few months from September 2017 to January 25, 2018. There will be communications coming out how to budget for these single IRB costs.

There are some changes in respect of Grants.gov. Occasionally applications packages which are not supported by our system and need to download a PDF. Grants.gov is doing away with PDF package and replacing with using Workspace. We will start seeing applications that will need to submit through Grants.gov Workspace tool. It will impact only a small set of proposals. Research Administrators will need go through Grants.gov and register as an “organizational applicant” which will then notify ORSP. A communication will go out on this change.

5. **ITS Update:** *(Cathy Handyside)* [4:10 – 4:20] Attached #3

eRPM System Performance - went through 2 deadlines without bringing down the system. Upgrade 8.0 provided significant “positive” impact on performance. 99.87% of transactions were completed within 10 seconds.

**eRPM Enhancement Schedule:**

**June 26, 2017 - eRPM Release 4.6 Update**
- Adding new option on Project Team Submit Changes activity for Finalized Proposal.
- Updates to Export Controls Security - locking down the export control agreements to only those named on the agreements.

**July 22, 2017 - SF424 (Grants.gov) Update**
- Updated forms - new format similar to Grants.gov Workspace.

**September 25, 2017 - eRPM Rel. 4.7**
- Updates to Agreement Acceptance Request process - going to user acceptance testing prior to September.
• PAF Transparency - Will be able to see PAFs across campus. Thinking about having a tab to see all and one for your own.

Kerri asked if you go to “all PAFs” will you see all of them? Cathy said not yet, but looking at it.

Grants.gov Transition to Workspace: If you try and load an adobe document and gives you “wont load” message you will need to go to Workspace.
  • Expected for all non-eRPM submissions by end of 2017.
  • Replaces Adobe package.

Forms E
  • NIH Release - October 31, 2017.
  • First deadline - on or after January 25, 2018.

6. **Sponsored Programs Update: (Debbie Talley) [4:20 - 4:30]**

Old NSF Audit (2009) - the auditors believe we owe $90,000, and don’t agree, but better than what it was. Will be looking over trying to resolve amount. Was in semi-annual report to Congress.

Had nine people that went through intense training (group of accountants and interns) and now assigned 20 reports each. Lots of new names. Three employees are leaving Sponsored Programs.

Tomorrow is the first Lunch and Learn - Kristie is talking on Financial Status Report (FSR).

Daryl concluded with we are on summer break and the next meeting will be in September, and for everyone to enjoy their summer!

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**RAAC Committee-At-Large Meeting Dates**

- **NO JULY MEETING**
- **NO AUGUST MEETING**
- Tuesday, September 19, 2017, 3:00 - 4:30 pm @ LSA (Heather Offhaus, RAAC Process Subcommittee)

**Executive Committee Meetings**

*Wolverine Tower, Conference Room 1025*

- Tuesday, July 11, 2017, 3:30 – 5:00 pm
- **NO AUGUST MEETING**
- Tuesday, September 12, 2017, 3:30 – 5:00 pm
Recharge Rate Outline

• Recharge Rate Basics
• Recharge Rate Activity
• Typical Audit Findings
• Roles and Responsibilities
• Outreach Actions

Recharge Rate Basics

• Definition:

  A recharge rate is a charge for goods/services provided by your unit to other internal users of that service. The focus is on direct costs when establishing rates with the intention for the activity to break even. Rates need to be consistently applied to internal users.

• Recharge rate contact information:
  – Website: www.finance.umich.edu/analysis/financial/recharge-rates
  – E-mail: recharge@umich.edu
  – Phone: (734) 764-9272
Recharge Rate Activity

- More than $500M revenue from approved recharge rates
- Over 200 units performing recharge services
- Over 400 rate approvals per year
- Collectively, approximately 5,000 rates
- Wide array of services including Facilities & Operations recharge rates for labor and utilities, labor consulting rates, event services, anatomical donations, DNA sequencing, other research related rates across campus, etc.

Roles & Responsibilities

- Financial Analysis responsibility
  - Reviewing/approving recharge rates
  - Provide training and consultation
  - Compliance responsibility

- Units responsibility
  - Establishing / modifying recharge rates
  - Billing for services
  - Maintaining supporting documentation
Financial Analysis Can Also…

Assistance with complications that may arise with the recharge rate process, including:

- Help establish any new rates
- Provide assistance if there is turnover within your department
- Help adjust rates for unexpected increases or decreases in service volumes
- Offer support when your staff’s expertise may not be in finance or accounting

Typical Audit Findings

Typical items found during an audit:

- Billing units for services without an approved recharge rate
- Not charging all customers consistently
- Publishing rates (billing) on a website that don’t match the rate approval letter
- Not billing the correct amount or changing the billing rate without proper approvals
- Unable to provide supporting documentation for the direct costs
Outreach Actions – In Progress

- Proactively reaching out to units to clarify the importance of adhering to our recharge rate policies and guidelines
- Updated resource materials and content available on Office of Financial Analysis website
- Send communication to all active rate contacts
- Provide training or workshops
- Complete the follow-up with units that were issued audit findings/comments regarding recharge rates

Comments/Questions?

Contact Information:

- Tony Burger – tburger@umich.edu; (734) 615-3309
- Sheryl Bourlier – sbourlie@umich.edu; (734) 647-3431
- Lori Hogan – lkhogan@umich.edu; (734) 936-2060
- Tammy Swickerath – tammyhal@umich.edu; (734) 936-1843
Today’s agenda

- RAAC Metrics members
- Initiatives
  - Current & Pending template
  - Department Reporting hierarchy
  - Collaboration with ITS Information Quest (IQ)
  - Oh...some metrics too
- Looking forward
- Questions/discussion
**RAAC Metrics membership**

- Chris Allan, chair (ISR)
- Steve Beach (LSA)
- Brandi Berg (LSA)
- John Cristiano (Dearborn)
- Chris DeVries (Sponsored Programs/ORSP)
- Laura Dickey (ORSP)
- Linda Forsyth (Engineering)
- Jeff Longe (ORSP)
- Adam Mall (Sponsored Programs)
- Mike Randolph (ITS)
- Joel Scharboneau (Nursing)
- Patricia Schultz (Dentistry)
- Bryant Sheppard (Medical School)

**Initiatives**

What have we been up to?
Current and Pending Template

- Goals
  - Reduce administrators’ efforts in preparation of Current & Pending doc
  - Provide a tool to allow administrators the ability to pull as much information as possible from a canned query into a template for review and export in the sponsor’s format (e.g. NIH Other Support or NSF Current and Pending)

- Status
  - RAAC Metrics members have passed it along to various Schools/Colleges/Units (S/C/Us) and we’ve incorporated their feedback
  - The template will be made available in the RA Toolkit. We’ll include a link and reminder in a follow-up email to RAAC.
Current and Pending Template

- Next steps
  - The template currently does not work on a Mac so users would need to use Parallels/Remote Desktop to a PC environment. While that can still be looked at, the end goal is to get it to a web application (more on that in a few).
  - Training and best practice materials are intended to accompany the template.

Department Reporting Hierarchy

- Goals
  - Provide a table in the data warehouse that reflects multi-level hierarchies beyond the Dept Group.
  - Make that table available in tools like BusinessObjects and Tableau.

- Status
  - ITS Information Quest is developing tables right now. Once complete, our cross-campus group will test various uses to help prepare for the formal rollout.
Collaboration with Information Quest

- Goals
  - Get technical assistance and guidance for delivery of RAAC Metrics’ dashboards
  - Get functional assistance in best practices in identifying metrics
  - Provide guidance to IQ as they get into research reporting with U-M leadership

- Status
  - Met three times with IQ to discuss what we’re all doing:
    - Initial, high-level overview with Vijay, Daryl, and Debbie
    - Got into more detail about each others’ projects to identify next steps
    - Discussed/explained Current and Pending initiative
Collaboration with Information Quest

- Next steps
  - Continue discussion about Current and Pending to move toward web app
  - Have RAAC Metrics members go through an exercise to identify metrics
  - Utilize IQ resources as needed for delivery of more dashboards or potential toolkits for expanded discussions across campus

Delivery of Metrics Dashboards

- Status
  - As of today, there are five categories (workbooks) with 11 reports
  - Available through Wolverine Access > Tableau > RAAC or a direct link to a Table of Contents (which will be in a follow-up email soon)
Delivery of Metrics Dashboards

- Proposals
  - Counts
  - Dollars
  - Counts or Dollars by Sponsors
- Awards and Commitments
  - Counts
  - Dollars
  - Largest Awards
  - Dollars by Sponsors

Delivery of Metrics Dashboards

- Expenditures
  - Volume of Research or Externally Funded
- Indirect Costs
  - Effective IDC Rate
  - Indirects vs Calculated Taxes
- Receivables
  - Activity and Open Items
Delivery of Metrics Dashboards

- Reminder about access
  - RAAC committee-at-large
  - Budget Administrators Group (BAG)
  - Deans
  - Research Associate Deans (RADs)
  - eResearch Proposal Management data warehouse users

Being a soft rollout, there won’t be formal communication to these people. It will be at the discretion of RAAC members to spread the word.

Tips

- Info and Help buttons
  - Where did the data come from?
    - What will the report filters do?
  - Saving your own view and exporting
- Workbooks with multiple reports will have tabs at top to navigate quickly
Delivery of Metrics Dashboards

- Coming soon
  - Award success rates
  - Post-award collaboration
  - Deadline/lead time
- Next steps
  - Work with ORSP Communications on sharing on U-M Research site
  - If desired, work with IQ on including with Michigan Metrics
  - To be continued in “Looking forward”...

Looking forward

What will we be up to?
Let’s order a pizza....

Med: “Gimme the WORKS!”

SPH/SSW/SI: “Pepperoni and mushrooms”

Dearborn: “Hawaiian, please.”

Engineering: “BBQ Chicken”

LSA: “Deluxe”

ISR: “Can I get extra anchovies?”

What we’ll agree on....

[Image of Little Caesars Hot-N-Ready Large Pizza]
We all have different tastes (goals). While we can find commonalities, let’s embrace the differences.

Now I’m hungry. What’s your point?

Expanding RAAC Metrics

- RAAC Metrics “membership”
  - While new members are welcome, perhaps a form of membership is a short-term partnership with an S/C/U to understand their goals and reporting needs.
- Membership aside, we’d like to have more direct discussions with S/C/Us.
- May reach out to smaller S/C/Us first as they can get the most benefit.
- Provide guidance on using the research data
- Encourage S/C/Us to share their ideas....
“The trick to having good ideas is not to sit around in glorious isolation and try to think big thoughts. The trick is to get more parts on the table.”

“This is not the wisdom of the crowd, but the wisdom of someone in the crowd. It’s not that the network itself is smart; it’s that the individuals get smarter because they’re connected to the network.”
“...we are often better served by connecting ideas than we are by protecting them.”

These three quotes are from Steven Johnson, author of “Where Good Ideas Come From”.

Connecting our pizza creations....
Feel free to contact any of the RAAC Metrics members or send an email to RAAC.Metrics@umich.edu.

Credits: presentation is modification of “Emilia” template from SlidesCarnival.com
ITS Update
RAAC Committee-at-Large

Cathy Handyside, Interim Assistant Director - ITS Research Administration Systems
June 20, 2017

Topics

● eRPM System Performance
● eRPM 2017 Enhancement Schedule
● Grants.gov Changes
Update on PM Performance

- System Slowness during NIH deadline period
  - Success at last!
  - No new occurrences during June NIH deadlines
  - Some stats that might be of interest:
    - Total number of eRPM transactions on Monday, June 5: 374,190
    - Percentage of transactions under 10 seconds: 99.87%
    - An NIH Deadline without system maintenance in the middle of the business day: PRICELESS!

eRPM Enhancement Schedule

- June 26, 2017 - eRPM Release 4.6
  - New option on Project Team Submit Changes activity for Finalized Proposal
  - Updates to Export Controls Security
- July 22, 2017 - SF424 (Grants.gov) Update
  - Updated Forms - New format similar to Workspace
- September 25, 2017 - eRPM Release 4.7
  - Updates to Agreement Acceptance Request
  - PAF Transparency
Grants.gov Changes

- Grants.gov Transition to Workspace
  - Expected for all non-eRPM submissions by end of 2017
  - Replaces Adobe package

- Forms E
  - NIH Release - October 31, 2017
  - First Deadline - On or After January 25, 2018