Research Administrators’ Network Meeting

AGENDA
May 15, 2018
2:00-3:30 p.m.
Michigan League Ballroom
Webcast - http://orsp.umich.edu/ran-meeting-live-stream

Welcome & Introductions [2:00-2:10]
Becky O’Brien, RAAC Communications Subcommittee Chair
Yvonne Sturt, Assistant Director, ORSP, Guest Emcee

Uniform Guidance (UG) Procurement Standards [2:10-2:20]
Bob Johnson, Procurement Supervisor, Procurement Services

Updates [2:20-2:50]
Sponsored Programs, Debbie Talley, Director, Sponsored Programs [2:20-2:30]
Office of Research & Sponsored Projects, Craig Reynolds, Exec. Director, ORSP [2:30-2:40]
ITS, Cathy Handyside, Assistant Director, eResearch Administration Systems [2:40-2:50]

Featured Presentation [2:50-3:20]
New Award Functionality Preview
Cathy Handyside, Assistant Director, eResearch Administration Systems

Navigate and Professional Society Updates, David Mulder, Training Manager, ORSP

Closing Remarks [3:25-3:30]

*2018 U-M Office of Research Staff Recognition Awards*
Ceremony & Reception immediately following 3:30 – 5:00 p.m.
Michigan League, 2nd Floor, Hussey Room
Congratulations to Rick Brandon, Tom Bray, Judy Carrillo, and Lori Deromedi!

RAN schedule for the rest of this Academic Year:
http://orsp.umich.edu/ran

Ideas for a future meeting?  Contact ran-plans@umich.edu

Brought to you by the Research Administration Advisory Council (RAAC) Communications Subcommittee.
Research Administrators’ Network

Welcome!

May 15, 2018
Why We Give Recognition

Why is it good to take time out of our busy professional lives to celebrate success?

1. It confirms that our work is valued by others.

2. An awards ceremony is an opportunity for celebration and reflection.

3. **Happy chemicals!** It makes us feel good to give recognition to the deserving.

4. It **inspires** us.
Uniform Guidance (UG): Procurement Update

Research Administrators’ Network

Bob Johnson, Procurement Supervisor, Procurement Services
May 15, 2018
Top University Impacts

Uniform Guidance Update - Procurement

CFR 200.318 through 200.326 contain the primary procurement related guidance.

- The good news is, U-M is currently compliant with most of the sections.
- There have been three major areas of concern:
  - Bid Limit
  - Conflict of Interest
  - Sole Source
Competitive Bid Limit
Uniform Guidance Update - Procurement

Consistent with current U-M policy, competitive bidding will be required on purchases of $10,000 or greater.

- At this time, the Uniform Guidance (UG) states that the threshold will be $3,500. However:
  - There is conflicting guidance from federal agencies which support the $10,000 threshold.
    - The FAR is anticipated to increase to $10,000.
- Many peer institutions have already decided on $10,000.
Conflicts of Interest

Uniform Guidance Update - Procurement

Conflicted parties cannot be involved in the selection, award or administration of a purchase.

- Primary impacts to U-M:
  - Includes real or apparent conflicts of interest
  - Conflicted parties are expanded to include:
    - Members of employee’s immediate family
    - Spouse / partner
U-M’s current Sole Source Justification process is consistent with the UG, with one clarification:

- The UG says, procurement by noncompetitive proposals (sole sources) are only permitted when:
  1. The item is available only from a single source;
  2. The public exigency or emergency for the requirement will not permit a delay resulting from competitive solicitation;
  3. The Federal awarding agency or pass-through entity expressly authorizes noncompetitive proposals in response to a written request from the non-Federal entity;
  4. After solicitation of a number of sources, competition is determined inadequate.
Point #3 represents a change in practice:

3. The Federal awarding agency or pass-through entity expressly authorizes noncompetitive proposals in response to a written request from the non-Federal entity;

In the past U-M may have allowed a specific supplier or product listed in the study proposal budget to act as justification for a sole source purchase.

- Now under UG, an express authorization in response to U-M’s written request will be required.
RFP/RFQ requirements

- Use generic specifications when obtaining quotes.
- Have a documented process for technical bid evaluations.
- RFPs need to be “publicized” for purchases over $150,000 for federally-sponsored purchases.
- Include small, minority and women-owned businesses when possible.
- Firms that helped draft the bid specification cannot bid on the project.
Orders under $10,000

- Departments need to maintain records sufficient to detail the history of procurement (i.e. selection rationale, basis for the price, etc).
- On these purchases, do some due diligence & shop around.
- Use strategic suppliers when possible; due diligence has been done, and pricing has been predetermined in most cases.
Next Steps

Uniform Guidance Update - Procurement

- Finalize decisions based on OGC input.
- Complete the redline changes of SPGs, standard procedures, working documents (RFP, RFQ, SSJ, etc.), and Procurement website.
- Prepare and distribute communications to campus.
- Goes into effect by July 1, 2018.
Questions?
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<tr>
<th>Award Title</th>
<th>Recipient</th>
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<tr>
<td>U-M Office of Research Exceptional Service Award</td>
<td>Rick Brandon</td>
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Awardee Fun Facts – Rick Brandon

1. Fan of *Curse of Oak Island* on the History Channel

2. Projectionist at a drive-in movie theater

3. Office #7

4. He met Bo. Twice.
Awardee Fun Facts – Tom Bray

1. Drove a 1964 Triumph Spitfire to Ann Arbor from Washington DC. He later purchased it again.

2. His wife’s name is Jeri.

3. First job out of college was touring with Dionne Warwick.

4. For his 60th birthday, he and his wife spent four days riding horses in the back country of Iceland.
Sponsored Programs Update

Research Administrators’ Network

Debbie Talley, Director, Finance-Sponsored Programs
May 15, 2018
Single Audit

FY17 Audit

Findings: Equipment, Financial Aid

FY18 Audit - working on first 9 months now
Staff Updates

New accountants and interns started May 7

Accountants
1. Abigail Debano
2. Nick Rafferty
3. Jerry Shi

Interns
1. Casey Simlar
2. Nicole Kuschel
New email for Early Closeouts

Currently:

● You send early closeout requests to your Customer Service Financial Coordinator.

From now on:

● Please send early closeout requests to: earlycloseout@umich.edu.
  ○ Don’t forget to attach your completed closeout checklist.
  ○ You can start using this now.
  ○ We will announce soon in RAP/RAPid.
Staff Updates

- Managing Project Representative Tom Zdeba retiring June 8
- Tracy Schwab promoted to Support Staff Manager
- New Asst. Project Representative Joe Johnson (Private Sponsors Team)
- New Asst. Project Representative Filip Kobylecki (Private Sponsors Team)
- New Asst. Project Representative Eric Ward (Gov’t. Sponsors Team)
- New Administrative Assistant Marie Turner (no relation!)
- New Administrative Assistant Rebekah Turner (no relation!)
- New Data and Reporting Assistant Amy Webb
- New Instructional Designer Lyn Fyfe
Policies and Procedures Updates

● The Internal Deadline Policy Evolves..
  ○ Final proposals/PAFs received 4 or more business days prior to sponsor’s deadline get full review and submitted by deadline
  ○ Final proposals/PAFs received 2-3 business days prior to sponsor’s deadline get limited review and submitted by deadline
  ○ Final proposals/PAFs received less than 2 business days prior to sponsor’s deadline get limited review; timely submission not guaranteed (at risk)
    ■ VPR Hu will determine later whether approved extension required
  ○ Cross-campus working group ironing out eRPM system requirements and implementation details
  ○ Start of 9-month soft launch period delayed (was September 1, 2018)
Federal Update - Common Rule Delay

- **Proposed**: Further delay of the Revised Federal Policy for the Protection of Human Subjects (Common Rule) until **January 2019**.

- **Beginning June 11**: IRB/eResearch *pilot for non-federally funded* human subjects research only, including:
  - Elimination of continuing review for most minimal risk research
  - Application of new exemption criteria
  - Self-determination option for some exempt projects
  - Updated *Sponsor Information* section, which allows study team to select PAFs, UFAs, etc. associated with study
Federal Update - NIH Clinical Trial Delay

- March 22, 2018 federal appropriations act directs NIH to:
  - Delay enforcement of its expanded definition of research that qualifies as a clinical trial for federal fiscal year 2018.
  - Seek research community feedback on the expanded definition prior to subsequent action.

- NIH has not yet issued guidance

- All NIH clinical trial policies and processes in effect until NIH announces changes imposed by this law
The Federal government requires ORSP to certify that U-M and our faculty are not (among other things) debarred, suspended, proposed for debarment, ineligible, or voluntarily excluded from participating in a federally-funded activity.

U-M is moving to a new screening process wherein PIs and Co-PIs are screened 3x per year by our vendor, Visual Compliance.

Visual Compliance is also used for Export Controls screening.
GDPR!?! What’s that?

- Regulates how U-M must protect personal data of European Union (EU) residents and non-EU citizens located in the EU.
- Fines for violations up to 4% of annual global turnover or €20 million, whichever is more.
- You do not need to do anything right now.
- Contract negotiations may be delayed.
- If you have immediate questions or concerns, email gdpr-project@umich.edu.
Communication Best Practices Reminder

● **When to use email:**
  ○ You want to document information for later support and clarification.
  ○ Documentation in eRPM is not necessary.
  ○ Clarification is needed before documenting in eRPM.
  ○ Correspondence with a sponsor.

● **When to phone:**
  ○ You need a quick confirmation or to speak with someone directly.
  ○ You are experiencing miscommunications (e.g., still not clear after writing back and forth).
  ○ You need to discuss complex situations or multiple issues.
  ○ Routing a same day submission request.
**Communication Best Practices Reminder**

- **When to Post a Comment:**
  - Create a permanent record in the system
  - Relay information
  - Attach documents to PAF
  - Instructed by ORSP
  - Request ORSP to return PAF for changes prior to submission

- **When to Request ORSP Action:**
  - Status of Proposal Award Form (PAF) needs to change
  - Forward Award Documents
  - Post-Award Change Requests (requires PAC-R Form)
  - Pre-Award Change Requests
Communication Best Practices Reminder

- Include contact information in your signature, including phone number.
- Include relevant U-M reference information, e.g., PAF number, P/G, UFA number, PI name, Sponsor name and contact information.
- Direct your email to the person you’re requesting response from (use “To” line appropriately).
- Copy interested parties when necessary (use “cc:” and “Reply to All” wisely).
- Proofread for content and tone.
- When forwarding an email, summarize and include the action requested.

http://orsp.umich.edu/communications-best-practices
ITS Update

Research Administrators Network

Cathy Handyside, Assistant Director - ITS Research Administration Systems
May 15, 2018
Award Management

- Project Timeline
- PAF/Award Relationship
- What Can Project Teams Do on an Award?
- Award Workspace in eRPM
- Request an Award Change
- Creating & Managing Deliverables
Project Timeline

Award Management

- Implementation planned for August 2018
  - New Functionality in eRPM
  - Existing active PAFs converted to new Award format
  - Updates to Data Warehouse and canned Business Objects reports
- User Acceptance Testing - June 2018
  - Review with select groups including Project Advisory Teams (S/C/I & Central Office), RAAC Sub-committees, etc.
- Training for Units and Central Offices - July 2018
  - Webinar planned for Research Administrators and Unit Reviewer/Approvers
  - In-person training planned for central offices
PAF/Award Relationship

**PAF Current State**

- 1:1 relationship between PAF and Award
- Not much visibility into award details, related compliance, sub-contracts, etc.
PAF/Award Relationship Overview

Award Management

- New approach for managing projects in post-award
- Introduces a single award number
  - Aligns with M-Pathways Financials
  - References all related Proposal Approval Forms (PAFs)
  - Includes reference to all related compliance records and sub-contracts
What can PI/PTs do on an Award?

- Track award progress and details
- View related compliance components
- Link to M-Reports
  - (Same Award ID in eRPM & M-Pathways Financials)
- Manage Non-Key & Administrative Personnel
- Request post-award changes
- Set up deliverables
- Store unit documents
Award Workspace

Current State
Hold

Create Award Change/Request

Award Record
View Award Worksheet
Print Worksheet

Activities
Manage Administrative Personnel
Manage Non Key Investigators
Manage Unit Documents
Post a Comment
Manage Deliverables

Principal Investigator(s):
Isabelle Lombaert
John Moran

UM Principal Investigator
UM Sponsor Principal Investigator
lombaert@umich.edu
moran@umich.edu
734-765-1648
734-615-0456

Primary Post-Award Contact:
Patrick Lagua, 734-764-5525, jeangrey@umich.edu

Administrative Home:
DENT Bio & Materials Science, 39000

Project Representative:
LaTonya Woods, 734-530-1766, lwoods@umich.edu

Compliance Status
IRB Approval Needed by 5/31/2019
Sponsor Approval of IRB
COI Personnel Approval
Agreement Acceptance Request
Award Workspace - Status Map

- Can be toggled on or off
- Displays where Award is in the workflow
- Includes states for ORSP, Shared Services Center (SSC), Sponsored Programs and Office of Contracts Administration (OCA), if applicable
- PAF Workflow will also change and will no longer include award processing states
Award Workspace - Compliance Status

- Displays applicable compliance factors as indicated by PAF information or by ORSP.
- Uses traffic signals to indicate if award processing is stopped due to an outstanding compliance item.
- Yellow warning signs indicate a future condition related to compliance, such as delayed onset of human subjects work.
Display information related to Award, including Contacts, Terms & Conditions, Sub-Contracts, etc.
- Displays award modifications in progress and completed.
- This tab will also display Award Change Requests.
Award Workspace - $$$

- Displays highest-level Project Grant number
  - Other P/Gs can be found in M-Pathways Financials and M-Reports
- Budget Period information will include details of all award changes
<table>
<thead>
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<th>Authorized Budget Periods</th>
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<tr>
<td>AWD00001-MOD1</td>
<td>Budget correction</td>
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</table>
Award Workspace - Deliverables

Deliverables Types:

- Progress/Technical Report
- Property Report
- Small Business Report
- Patent/Invention Report

Email Reminders:

- Prior to Due Date
  - Sent to PIs, Primary Post-Award Administrator (PPA)
  - Sent at 60, 30, 5 days
- After Due Date
  - Sent every 7 days to PI & PPA until complete
  - After 35 days, Admin Home Dean level added
Award Workspace - Terms & Conditions

### Related Agreement Acceptance Requests:

<table>
<thead>
<tr>
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### Special Terms and Conditions:

#### Citizenship/Nationality Restrictions

Please be aware that this award has restrictions on participation based on citizenship/nationality. Read the award terms and conditions for specific guidance.

#### Confidentiality Terms

Please be aware that this award requires compliance with terms and conditions regarding confidentiality, including the possibility of returning or destroying confidential sponsor information. Read the award for specific guidance.

#### Equipment Disposition Determined by Sponsor

This award contains a property clause requiring the University to contact the sponsor for final disposition of some or all equipment purchased and supplied. All purchased equipment should use account 614300.

#### Environment, Health, and Safety Review/Approval

The activities supported by this award may require additional review and approval by Environment, Health, and Safety (EHS) department before proceeding (e.g., blood-borne pathogens, hazardous or infectious agents, etc.). Please contact EHS, as necessary, before carrying out funded research.

### Additional Special Terms & Conditions:

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Award Workspace - Related Records

Pre-Award PAFs Referencing this Award

Awarded PAFs:

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<thead>
<tr>
<th>PAF ID</th>
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<td>17-PAF04050</td>
<td>Real World Testing of a Brain-Computer Interface to Operate a Commercial Augmentative and Alternative Communication System</td>
<td>Jane Huggins</td>
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Related UFA:

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Related HUMs:

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<th>Orig Appr Date</th>
<th>Exp Date</th>
<th>Radioactivity?</th>
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Related IBC Applications:

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### Award Documents

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### Supporting Documents

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### Security Plan

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Award Activities:

- Create Award Change/Request
- Manage Administrative Personnel
- Manage Non-Key Investigators
- Manage Unit Documents
- Post a Comment
- Manage Deliverables
Request Post-Award Changes

● Award Change Request
  ○ Completed by PI/Project Team
  ○ Reviewed by ORSP
    ■ Upload signed PAC-R Form for award changes
  ○ Determination by ORSP if modification is required

● Award Modification
  ○ Completed by ORSP
  ○ Workflow follows the initial Award workflow
  ○ Modification data updates the award once it is approved
Manage Personnel

- **Non-Key Investigators**
  - PI/Project Teams can make changes to add/delete any non-key Investigators.
  - If a Senior/Key Investigator should be added or removed on an award, the request must be sent to ORSP via the Create Award Change/Request activity.

- **Administrative Personnel**
  - PI/Project Teams can make changes to administrative personnel on the award record.
  - Administrative personnel can run activities and will receive email notifications.
Manage Deliverables

- Allows PI/Project Teams to add, edit, remove, or complete deliverables related to the award.
- Displayed on Deliverables tab.
- Email notifications sent for upcoming items due.
- Complete action allows for upload of related documentation.
Questions
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</table>
1. Learned the **Michigan Fight Song** in 1st grade.

2. Career in research administration started at the **National Institutes of Health** working in the **Infectious Diseases Branch**.

3. Her nephew plays in a local band – **Joe Hertler and the Rainbow Seekers**. You should definitely check out his music!

4. Her family owned **Hertler Brothers** on Ashley, in the building which is now Downtown Home & Garden.
Year 1916
Description Parade float in front of Hertler's barn, Labor day, 1916
Repository: Bentley Historical Library
1. Loves most sports.

2. Cannot throw a real football, even though her dad was a football coach.

3. Will attend almost any concert, play, etc. offered through UMS (the University Musical Society).

4. Wants to participate in the Senior Olympics when she is 90!

5. Favorite vacation spot is the family cabin on Pelee Island, Ontario, Canada. (She hasn’t missed one summer there in her entire life!)
Professional Development Spotlight
Research Administrators’ Network

May 15, 2018
David Mulder, Training Manager, ORSP / Sponsored Programs
Professional Societies Update

National Council of University Research Administrators (NCURA)

- National Annual Meeting – August 5-8, 2018 – Washington, DC

Society of Research Administrators International (SRAI)

- The SRAI Michigan Chapter Meeting will be held June 29, 2018, at the Central Michigan University in Mount Pleasant, MI.
Upcoming Classes:

- **Research Administration Mentoring Program (RAMP)**:
  Applications for the 5th cohort will be available in Summer 2018.

- **Budgeting Basics for Sponsored Projects**:
  Apply by May 25. Class dates: June 13 & 27

Stay tuned to the RAP and RAPid for future class announcements, including **Advanced Budgeting** courses, and **Lunch & Learn** events.

For more info, visit [orsp.umich.edu/navigate](http://orsp.umich.edu/navigate) or email [navigate-research@umich.edu](mailto:navigate-research@umich.edu).
Closing Remarks

● Thanks to the RAAC Communications Subcommittee!

● Ideas for a future meeting? ran-plans@umich.edu

● Next RAN meeting:
  ○ October 18, 2018
  ○ 2:00 – 4:00 pm
  ○ Michigan League Ballroom