Meeting Minutes

The Research Administration Advisory Council (RAAC) meeting was held on September 16, 2014, 3:00-4:30pm at Wolverine Tower.

Deb Talley called the meeting to order at 3:00pm.

Introductions of Members and Guests
Daryl is out today, Debbie Talley is facilitating.

Presentation: RAAC Communications Subcommittee (Pat Turnbull)
See attached presentation
Pat introduced the committee members, noting that they are looking for people from the Medical School and an ORSP Project Representative.

Accomplished this year:
• Re-examined charge and made more action oriented.
• Planned and executed three Research Administration Network (RAN) meetings.
• Developed a RAN website: orsp.umich.edu/ran/
• Completed RAN venue review. Considered hosting the meeting at the Michigan League, Pierpont Commons or NCRC. Concluded that the Michigan League was the best venue in terms of location/convenience, capacity, parking, cost, a/v capabilities at this time.
• Developed a communications delivery matrix used by RAAC Communications to support research administration.
• Created a RAAC website: orsp.umich.edu/raac
• Compared SAW website against peer institutions. After a survey, decided to relocate the SAW database to a secured page. It is now Kerberos protected.
• Assisted with development and launch of the new Research Administration Post (RAP). Constance and RAAC Communications are soliciting article ideas!

Current and ongoing:
• Planning engaging and relevant RAN meetings. If you have ideas, please email at Ran-plans@umich.edu
• Soliciting RA Community to guide development of the new Research Enterprise website. Launch date approximately December, 2014
• Recommend content and propose ideas for RAP
• Task Group 1—finalizing a Communications Best Practices guide for Research Administrators
• Task Group 2—review and revision of out of date FAQs on grants.gov section of the ORSP website, possibly integrating it with the eRPM FAQ
• Serve as an advisory group & sounding board for initiative based communications to ORSP, Sponsored Programs and RA community.

Next initiatives in the queue
• Investigate ways to more directly/effectively reach out to the RAN group, including creating a forum/blog/email group for RAN members.
• Review top 10 pages visited on the ORSP website as identified by Google analytics, recommending updates/improvements
• Explore possible live streaming of RAN meetings.
Feedback is that there is value in networking and that would be lost if we streamed the meeting. Yvonne Sturt noted that people have repeatedly requested taping so that those who can’t attend can be kept abreast, particularly on the updates. Someone asked couldn’t that be done with an email? Carole Bach wondered about using BlueJeans for audio/video access to the meetings. Yvonne noted that BlueJeans is being used across campus for similar purposes. Pat Turnbull commented that there are 2000+ people registered as Research Administrators across campus, but only 200 registered with RAN, might we get more participation this way? Craig Reynolds noted that if we are only reaching 10% of the population currently, this would be an experiment worth doing to see if attendance is affected or if we can reach more people this way. It can’t hurt to reach more people. The presentations made available on the web do not communicate fully. Constance Colthorp noted that we could communicate several ways, video (concerns about quality?), notes posted after the meeting, or via voiceover on video, conference phone (doesn’t think that would work well). Peggy Westrick suggested we ask the 1700 that don’t attend RAN if they are interested in this idea.
• Long Range Ideas: establish role as a channel for disseminating ideas by gathering input and advising. Consider expanding charge to include exploration of not just how but what things need to be communicated. This might include roadshows.

Presentation: Tech Transfer (Robin Rasor)
See attached presentation
Robin provided an overview of UM Tech Transfer Office. Daryl asked Robin to present to RAAC to apprise us of what Tech Transfer is and what they do. In a nutshell, it is transferring university innovations to the public sector. Tech Transfer is the office that handles inventions from faculty to commercialize products and services. The inventions include useful products, processes and services to benefit the general public. They also help facilitate new research collaborations.

Before 1980 universities did not own their own Intellectual Property (IP). It was messy. The Bayh-Dole Act provided a uniform policy to promote the commercialization of IP resulting from government-funded research. In 2013 alone 719 new products and 818 new business startups resulted nationwide.

What is IP? Patents and copyrights are the majority of Tech Transfers work. It used to be generated mostly by the College of Engineering and the Med School, but it is exploding right now, mostly with software and apps.
Robin presented the organization of the Tech Transfer office. Tech Transfer manages the Business Accelerator space at NCRC, provides a variety of services involved in setting up a business, and operates the Michigan Venture Center. Inventions and agreements have increased over the past four years. Tech Transfer startups are increasing each year. Some examples of the products on the market as a result of the Office of Tech Transfer: Flu-mist, a diagnostic for Cystic Fibrosis, Intralase laser used in ophthalmology, clinic scheduling software, Orecia for Rheumatoid Arthritis, Cerdelga treatment for Gaucher’s disease, anti-wrinkle serum sold by Amway, etc.

The UM does not own inventions by students. If they are not employees, we don’t own their invention.

Tech Transfer also advises on Conflict of Interest issues.

Constance inquired if it would be helpful to have a matrix online so that people understand where to go with questions? Robin replied that they are working on a matrix for NDAs. Hopefully by the end of the year there will be a website to help guide people where to go.

**Update: ORSP (Daryl Weinert)**

Craig Reynolds stood in for Daryl, who was out for the day. The ORSP office has been organized into a Private Sponsors Team and a Government Sponsors Team. Staffing updates, Gayle Jackson is retiring September 30. New hires and promotions: Julie Olivero (Private Team) and Tracey Larkin (Government Team) have both been promoted to Assistant Project Representatives. They were formerly Administrative Specialists. Amy Holihan joined the office from Engineering on the Government Team as an Assistant Project Representative, too.

A draft of update on Uniform Guidance (UG) has been prepared. Bryan Van Sickle attended the Federal Demonstration Project meeting last week. There is still no solid news. The December 26 deadline is still in effect. OMB says they have drafts from Feds, and expect them to be released on 12/24/14. We are preparing the communication now. Project teams should start submitting proposal budgets now that are in compliance with UG. Long and short, things are not changing that much. A-21, allow-ability remains the same. Our ability for funding for administrative and clerical support remains the same, however we are encouraging people to make sure it is in your budget, with a specific request for funding for administrative and clerical support. New definitions regarding computing devices: cost allocations of A21 still apply, so you must demonstrate that they are reasonable and necessary. Take-a-ways: participant support costs will require prior approval, participant support costs will no longer be added to the base for F&A rate. Subcontractors with no F&A rate can either use 10% of MTDC (modified total direct cost) rate or they can negotiate with UM. Procurement threshold for competitive bids has been reduced to 3K, but COFAR agreed to delay that until July 1 of 2016. The UG Task Force is developing a set of recommendations for Daryl Weinert and Deb Talley to review and will continue to monitor federal agencies for any quirks or changes needed for UG.

The NIH recently released a statement related to Individual Development Plans that they are now requiring as part of their annual reporting process. This does not apply to Grad Students or Post Docs, but they have added a question asking about this on Annual Reports. Rackham is developing language to use to support that IDPs are not required.

NIH also recently released a Genomic Data Policy. It requires certifying that the data sharing plan and Informed Consents of subjects are in compliance with NIH regulations.
PI effort during no cost extension change. PIs are now required to maintain their effort during no cost extensions, or request prior approval from agency prior to any reduction of effort. This puts the onus on project teams to let us know if you need ORSP help in seeking approval for reduction of effort. Maureen Martin noted that it would be very helpful if documents that apply to federal funding state that clearly from the beginning, to distinguish them from foundation requirements.

Peggy Westrick asked that we please advise how to communicate these changes to faculty.

**Update: Sponsored Programs** *(Debbie Talley)*
Last week Deb sent out a note about updating of coordinators/accountant contacts at OSP. An accountant is moving to the payroll office as of October 1. They have an open supervisor position and two administrative positions open. They are still working on an A133 audit.

Yvonne Sturt conveyed the RAAC Process Update for Heather Offhaus: In January of 2013 a survey went out to the RA community. Some of the recommendations gleaned from that survey are in progress. Some have been completed. A new survey will be going out shortly. The surveys will be due back October 17. Complete only one survey from each school or department.

**Update: ITS** *(Cathy Handyside)*
Research Administration Systems are supported by ITS. eRPM updates: UFAs are now handled in eRPM. Up and running for OTT and ORSP, with the exception of NDAs. SSP data was recently converted into eRPM. Units now have access to that data thru eRPM. Carole Bach asked how did the data get assigned? It is carrying the single administrative contact listed on it. There is stale data because contacts were not updated. Cathy asked that we talk about this at RAAC EC. Data is now in the Data Warehouse. There will be some pre-defined reports added to the Data Warehouse.

There will be an eRPM update released on 10/27. Currently the UFA form asks for the sponsor to be entered. That will be changing to “external entity”, which is consistent with the SPG and all documents moving to the same terminology.

M-Inform is the system that schools and colleges use for disclosure of outside interests. Every school has a different group of people who are required to disclose Conflicts of Interest (COI). Coming in October COI Management Plans will be put in M-Inform. M-Inform will house research related Management Plans. The annual revision process will be automated.

**Closing and Future Meetings**
The next RAAC meeting is scheduled for 10/21/14. There is an SRA conference that day, as well. How many people will be attending? Should we reschedule? It looks like most people will be here.

**Adjournment**

Deb Talley adjourned the meeting at 4:40 pm

Minutes submitted by Lisa Kiel
RAAC Meeting Dates
- October 21, 2014, 3:00-4:30 pm (UMTRI, McCormick conference room: includes pre-meeting activities)
- November 18, 2014, 3:00-4:30 pm (TBD)
- ***Cancelled*** December, 2014
- ***Cancelled*** January, 2015

RAAC Executive Committee Meeting Dates (all meetings held in Conf Room 1025, Wolverine Tower)
- Tuesday, October 14, 2014, 3:30-5:00 pm
- Tuesday, November 11, 2014, 3:30-5:00 pm
- Tuesday, December 9, 2014, 3:30-5:00 pm
- Tuesday, January, 13, 2015, 3:30 – 5:00 pm
Communication Subcommittee Members:

Carrie Disney
Cathy Handyside
Charlotte Young Bowens
Constance Colthorp
Corey Turner
Heidi Madias
Leslie Chavez
Lisa Kisabeth
Lori Deromedi
Pat Turnbull (Chair)
Yvonne Sturt

School of Social Work
Information Technology Services
College of Engineering
Office of Research & Sponsored Projects/Sponsored Programs
School of Information
College of Literature, Science & the Arts
Sponsored Programs Office
College of Literature, Science & the Arts
U-M Office of Research
UM-Dearborn
Office of Research & Sponsored Projects/Sponsored Programs

Working on adding Medical School representatives and an ORSP Project Representative!
Completed this year…

Stop Doing
What Doesn’t
Work
1. Revisited and revised our charge toward more action-oriented work

Committee Charge:

The RAAC Communications Subcommittee seeks to…

- Identify and assess the communication methods currently used at U-M for research administration
- Recommend best practices by topic, purpose, and/or method
- Once identified, work to develop improved systems that support robust, consistent and effective communications within the research administration community
- Facilitate and foster communications to and among research administrators by conducting the quarterly Research Administrators Network (RAN) meetings
2. Planned and executed three Research Administrators’ Network (RAN) meetings

• February – 200 registrants
  • Feature Presentation: Vice President for Research, Jack Hu
  • Networking Activity: RA Bingo

• May – 190 registrants
  • Feature Presentation: RAAC Subcommittee updates
  • Networking Activity: RA Table Topic discussions
  • Hosted Michigan State RAs at RAN to share and exchange ideas

• September – (157 already registered with one week to go)
  • Feature Presentations: Mentoring Program/Procurement Small Business Plans
  • Networking Activity: Communications Practices

(Agendas and presentations can be found on the RAN webpage: http://orsp.umich.edu/ran/)
3. Completed a RAN venue review

Goal: Cost reduction and/or containment (meetings were running approximately $1700)

- Identified and evaluated 3 possible venues:
  - Michigan League
  - Pierpont Commons
  - North Campus Research Center

- Considered:
  - Location/Convenience
  - Capacity
  - Parking
  - Cost
  - A/V Capabilities

- After considering all of the above, we determined the League was the best venue for this meeting!
4. Developed a communications delivery matrix used by RAAC Communications to support research administration

Helps us consider:

- Audience segments
- Type of information being shared
- Best communication method(s) to be used
5. Created a RAAC website: [http://orsp.umich.edu/raac](http://orsp.umich.edu/raac)
6. Compared Sponsored Awards on the Web (SAW) website against peer institutions

- Sampled a number of peer websites to determine whether their award information is public-facing
- Information provided by our committee resulted in a decision to move SAW to a secured page
7. Facilitated School/College/Unit input to help guide the development and successful launch of the new Research Administration Post (RAP)
Current and Ongoing

- Continue to present engaging and relevant RAN meetings (ran-plans@umich.edu)
- Solicit RA Community input to guide development of the new Research Enterprise website
- Recommend content and propose ideas for RAP newsletter
- Task Group 1: Finalizing a Communications Best Practices guide for research administration (based on the document created by Tony Nielsen, Elizabeth Tropiano and reviewed by RAAC Process and others)
- Task Group 2: Conducting a review and revision of out-of-date Frequently Asked Questions (FAQs) on the Grants.gov section of the ORSP website and, upon update, possibly integrating with the eRPM FAQ
- Serve as an advisory group and sounding board for initiative-based communications to help ORSP, Sponsored Programs, and the research administration community understand one another’s needs and perspectives
Next Initiatives in our Queue:

• Investigate ways to more directly/effectively reach out to the RAN group, including creating a forum/blog/email group for RAN members to interact more regularly

• Review of the top 10 pages visited on the ORSP website identified by Google analytics; recommend updates/improvements

• Explore possible live streaming of RAN – any thoughts on this from RAAC??
Long Range Ideas:

• Further establish our role as a channel for disseminating ideas by collecting input and advising on best practices for communicating information within the Research Community.

• Consider expanding our change to include exploration of not just *how* but *what* things need to be communicated (is the RA community getting the information it needs?)

• Roadshows
U-M Tech Transfer

Robin L. Rasor, CLP
Managing Director of Licensing
Past President, AUTM
President Elect, CLP

robinlr@umich.edu
What is Technology Transfer?

• The transfer of university innovations to the public sector

• How? License the intellectual property to companies who can commercialize products and services
  – New discoveries and innovations $\rightarrow$ useful products, processes and services to benefit the general public
  – Propel new research collaborations, promote exchange with industry
A Historical Perspective

The Bayh-Dole Act of 1980

• Before this act, few university technologies made it into the public sector
• Provided a uniform policy to promote the commercialization of intellectual property resulting from government-funded research
• Assigns title of any resulting inventions to universities, small businesses and other non-profits providing:
  – Proactive efforts are made to commercialize inventions
  – Preference given to small U.S. businesses
  – Inventors share in any rewards from licensing
• Results: In 2012 alone in the United States:
  – 6,372 new agreements
  – 591 new products
  – 705 new business startups (Source: AUTM 2012 Survey)
What is Intellectual Property?

• Property rights recognized by federal and state laws
• Intangible property (e.g., products of the mind) versus real property.
  - Patents
  - Copyrights
  - Trademarks
  - Trade Secrets
UM Tech Transfer Mission

To generate benefits for the University, our community, and society through the transfer of University innovations
Tech Transfer Organization

• Licensing Function
  - Disclosure, Protections, Agreements, COI

• New Business Development
  - Business Formation Consultants, link to resources

• Legal Assistance
  - OGC resources for patenting, agreements, litigation

• Business Support
  - Marketing, Data support, Revenue Disbursements

• Management of Accelerator
Services

• Assist researchers with all intellectual property and commercialization issues associated with their discoveries:
  - Invention disclosures
  - IP Clauses in Sponsored Research
  - Negotiate license and option agreements
  - Patent filing and prosecution management
  - Copyright and trademark issues

• Associated Services:
  - MTAs
  - Navigate COI process
Michigan Venture Center

- Provide clear focal point for faculty considering a startup
  - Core business formation staff
  - Mentors-in-Residence
  - A focus on talent (utilizing alumni / local connections)
  - U-M internal partnering for innovation, translation research funds and student talent
  - External partnering for pre-seed funds, talent and business acceleration resources
  - Manage accelerator at NCRC
U-M Tech Transfer Results

The image shows a graph with the following data:

- **Y-axis (Invention Reports):**
  - 2010: 300
  - 2011: 350
  - 2012: 375
  - 2013: 400
  - 2014: 425

- **Y-axis (Number of Agreements):**
  - 2010: 50
  - 2011: 100
  - 2012: 150
  - 2013: 200
  - 2014: 250

- **X-axis (Fiscal Year):**
  - 2010
  - 2011
  - 2012
  - 2013
  - 2014

The graph compares invention reports and the number of agreements over fiscal years 2010 to 2014.
U-M Tech Transfer Startups
Example Products from UM

• Diagnostic for Cystic Fibrosis
• Flumist flu vaccine
• Intralase laser
• Medhub scheduling software
• Ocrenbia drug for rheumatoid arthritis
• Cerdelga treatment for Gaucher’s disease
• Anti-wrinkle serum sold by Amway
• Myriad of other technologies in development
Our Process

Licensing

- Research
- Pre-Disclosure
- Invention Disclosure
- Assessment
- Protection

Marketing to Find or Form Licensee

- Existing Business
- Licensing

Commercialization

Revenue

New Business Formation

- Form Startup Business
University Objectives in a License

• Primary Goal: Making the technology available to the public
• Milestones are included to verify diligence by licensee toward commercialization
• UM desires a fair commercial return; timing and form of the return can be tailored appropriately
• Licensee must pay associated patent costs and costs of doing business (e.g., liability insurance, enforcing patents, etc.)
Michigan Policy on Patents

• Administrative Scope
  – Covers all faculty and staff at the university
  – Subject Matter Scope
  – Covers all intellectual property (e.g., inventions, computer software, chemical or biological compositions, know how, etc.)

• OTT Responsible for all aspects of protection, marketing and transfer of university IP
OTT Transactions that lead to COI Issues

- Option or License Agreements where Inventor (faculty, students, postdoc) have equity in the optionee/licensee. We do NOT bring agreements to Regents where there is no ownership interest in the company (i.e., the more typical license/option deal which is solely royalty based)

- Issues typically are:
  - Sponsored research (STTR/SBIR/other) in addition to agreement
  - Involvement of students or other subordinates to lead inventor
  - Consulting (SAB, other role in company)
  - Animal/human trials
  - University may also be funding some of the development (misc. translational funds)
How can RA’s help OTT?

• **Contact us for:**
  – Questions/help on MTAs or collaboration agreement
  – NDA needed related to a current disclosure
  – Faculty member believes they may have a new invention/idea
  – Questions on program final or progress report
  – Questions on COI process related to entrepreneurial activities
  – Visiting faculty coming here or going elsewhere
  – IP updates for resumes