Research Administration Advisory Council (RAAC)
Committee-at-Large
Tuesday, May 17, 2016, 3:00 – 4:30 pm
Ford School of Public Policy
(Directions Attached)
Weill Hall
735 South State Street
3rd Floor Seminar Room, 3240

MINUTES

1. 

Introductions of Members and Guests: (Daryl Weinert) [3:00 - 3:05]
Daryl called the meeting and thanked Alex Thebaud from Ford School of Public Policy for hosting today’s meeting. Holly Nielsen was introduced and a new member to the RAAC team.

2. 

Presentation: Export Controls: What do research administrators need to know? [3:05 – 3:30] (Krista Campeau)

Hard to pinpoint what Export Controls is. A lot of scenarios where they come into play:

- Research involving military equipment, nuclear technology, rocket systems
- Research involving Dual Use items
- International travel to embargoed countries or destinations covered by economic sanctions.

Program began in 1990 and initially managed by ORSP. We were under an unofficial “no license” policy at UM, so did Fundamental research. We didn’t have many foreign nationals working on export controls.

Today, we are applying for licenses for about every branch of government.

- The program is now under UMOR
- Recordkeeping (per internal audit) in eRPM
- Training is available (CITI modules and PEERRS module)
- Implemented new Restricted Party Screening (RPS) (for lists that have “do not contract”).
- TCP’s cover IT Security and Physical Security
- Rolling out international travel.

Now included with the other UM Compliance programs.

Why export controls?
US Gov’t made this available to protect materials, data, equipment, etc. so it does not get transferred in the wrong hands.

Three main branches:
1. State Department -International Traffic in Arms Regulations (ITAR) - Items subject to ITAR:
   - Items on the U.S. Munitions List (USML)
   - Items “specially designed” for one of the items on USML
   - Includes technical data and defense services (training)
Items are equally controlled to all destinations. No foreign nationals have access to ITAR items. Civil and Criminal sanctions for violations.

2. Commerce Department - Bureau of Industry and Security (BIS):
   ● Export Admin. Regulations (EAR)
   ● Items on a Commerce Control List (CCL)
     ○ Covers items not on the USML
     ○ Characteristics of item determines controls
     ○ Items are controlled only to specific countries
     ○ Many license exceptions.
   ● Civil and Criminal sanctions for violations

3. Treasury Department - Office of Foreign Assets Control (OFAC)
   ● Economic sanction, trade restrictions and embargoes imposed against specific countries (Cuba, Iran, Sudan, Syria, North Korea)
   ● Civil and criminal sanctions for violations

Lot of other export regulations.
   ● OFAC has 26 different sanction programs for various countries.
   ● Nuclear Regulatory Commission (regulations for nuclear materials and reactors)
   ● Dept. of Energy (regulations for assistance to foreign nuclear activities)
   ● Dept. of Defense (regulations to safeguard classified information)
   ● All regulations need to be analyzed together.

Who are Foreign Nationals?
   ● Anyone not a US person - not a US citizen or permanent resident (green card holder).
   ● Work or student visa does not change status.
   ● NDA does not change status of foreign national and create compliance.
   ● You need permission to work with export controls.

Export and Deemed Export?
Export: Physical shipment outside of the US. Also includes technology and software accessed from outside the US.

Deemed Export: Transfer ITAR information to a foreign national working in the US is “deemed” to be an export to that foreign nationals country.

Fundamental Research Exclusion:

Commerce Depart,emt definition for export control projects:
   ● Basic and applied research in science and engineering.
   ● The resulting information is “ordinarily published” and shared broadly in the scientific community.
   ● The results of research are not controlled under Export Control regulations.

State Dept. has a similar definition that is a little narrower in the research needs to take place at an “accredited institution of higher learning in US.”

   ● The loss of the FRE can occur through language in sponsored research agreement.
   ● Contracts and grants (even NDA’s) that contain the following are problematic:
     ○ Publication restrictions
- Publication approval (pre-publication review is ok)
- Restriction on foreign nationals
- Assignment of owners of IP to sponsor is problematic
- FAR/DFAR clauses
- These restrictions can disqualify research as fundamental. We try to stay in fundamental research.

Once they come in - Crystal sends to triage manager. If issue, proceed and manage issue. If problem, stop!

- Most information comes in through ORSP (grants and contracts) for sponsored research. May come in proposal or award.
- Purchasing (incoming export controlled items). Equipment can go through the system and end up in a lab with Foreign National students.
- Shipping (outgoing export controlled items)
- Positive restricted party screens
- Visiting scholars and other visiting entities
- Technology Transfer - MTA’s and licenses
- International agreement
- International Travel - guidance needed
- Issues with international campuses (gifts that come in).
- Gifts coming from International Entities.

Manage export controls: Technology control plans, Export Control Licences


- ORSP neg. contracts/grants to remove publication restrictions or IP assignment language.
- If issue remains, a management plan called a Technology Control Plan (TCP) is written:
  - Export Control Officer and PI write TCP to manage the export controlled data, equipment, software
  - Dear, Department, IT signatures are obtained
  - UMOR Export Control Working Group approves TCP
  - Project personnel are screened and complete training

- Used if a foreign national needs access to work with Export Control technology at UM.
- State, Commerce, and Treasury Departments all have licensing processes.
- Can be lengthy process.
- Licenses are not always approved, so foreign nationals cannot begin work on export control item until approval is obtained.

Updates to eRPM for Export Controls:

- TCPs and Licenses are now in eRPM as their own UFAs (Export Control Agreements).
  - Linked to their underlying PAF or UFA
  - Screening in Visual Compliance is completed
  - Training in CITI is documented
  - End dates are tracked in eRPM
  - Return/destroy of export controlled information is documented in the UFA

- PRs now have the ability to Request Export Control Review on a PAF or UFA.
- Export Control reviews are documented in Activity History on front of PAF
- PAFs have expanded question 5.9 to include Export Controls.
eRPM will email additional questions to PI and PRA once the project moves into an awarded state. PI or PRA will have the ability to respond to the questions and reply back in eRPM.

More training: UMOR Research Compliance Export Controls webpage: http://research-compliance.umich.edu/export-controls

CITI Training for RAs on Export Controls: https://www.citiprogram.org/

RAs don’t necessarily need to take training. If you are on a TCP, training is needed.

Daryl asked about International Travel Registry. If you travel internationally, you are required to register. Crystal gets email and traveler gets email with questions on why, what you are taking, etc.

How does it relate to eVerify - HR system for federal project (>100K)? It would be one of the lists that would be checked. Health System screens, and Export Controls will do a screen on individuals.


Daryl explained Dan has left ORSP, and Linda has agreed to take us through the update.

Background: Membership has stayed the same. Heather stepped down from the committee, and Kelly Miller (Dentistry) joined.

Metrics are measurement of progress towards a goal. Need to be reproducible, adapted and accessible (via Tableau - a Web Dashboards) and provides visual, on-demand data.

Past 6 mos. have developed a suite of metrics. Visited 11 different schools. 98 total attendees (different managers/faculty/Deans participated).

Suite of Metrics included:
- Accounts Receivable reports
- Awarding rates
- Showing collaborative research (pre-post award)
- Effective IDC rates
- Submission Lead Time

Presented to various schools. From the presentations, received over 90 suggestions from attendees asking for tweaks, new information of data, etc. Consolidated the suggestions and committee prioritized. Longer term, what goals the suggestions represent?

Goals:
- Demonstrate value of work
- Ensure compliance
- Ensure IDC can cover overhead
- Increase collaboration
- Maximize future research
- Minimize administrative workload

From the goals, Maximize Research and Ensure Compliance were the most requested from the attendees.

Next steps:
Implement suggestions - Changes to existing metrics.

Rollout
- Develop landing pages
- Talk to RAAC - Committee-at-large (who should have access at your school/college).

Communication/Tutorial (how to use Tableau)

Managing access

Continue to develop metrics on existing data.

Completed to Date:

- Current - maintaining access list via MCommunity groups.
- Future - Managing through ITS Identity and Access Management (IAM) initiative

Department Hierarchy

In the Data warehouses, has dept. ID, name, and group, college/school - need another level. Need level that identifies subgroups (i.e., Mechanical Engineering in the Engineering group). Had to figure how Tableau could provide information at both levels. Chris Allan, ISR develop “Tree” hierarchy. Working with ITS on how to get into data warehouse - will affect only the “Trees” just in the data warehouse.

Current and Pending Task Force (Other Support)

- Develop institutional solution for generating sponsor required “Current and Pending/Other support” documents. Trying to come up with method to make it easier for faculty/RAs to use across all school/colleges.
- Reached out to University of Arizona and other schools and drafted a business objects report. Doesn’t provide everything but is a comprehensive list to use.
- Next step will move in workspace so data can be tweaked and saved.
- Release as interim tools.
- Working with RAAC EC to centrally address tracking internal funding.

Long-term:
- Identify and examine metrics opportunity for comparing UM against other institutions, and award process.
- Take advantage of new developments in the data systems (e.g. Award Process).

Daryl asked about reports on market share on UM overtime vs. other institutions. Public data is out there - to see if we are doing better or worse, etc. Med School does this with NIH.

4. ITS Update: (Carolyn Pappas) [3:55 – 4:05]

SF424 (grants.gov) update:

- Phase 2 - May 2 - complete
  - Forms-D NIH validations added to eRPM.
  - Incomplete NIH validations on two forms:
    - PHS 398 Cover Page Supplement
    - PHS 398 Research Training Program Plan
  - ITS working with vendor to update missing validations
  - Added PHS Fellowship Supplemental Form V3.0
Grants.gov SF424 Corrupted Document Issue
- No new occurrence since March - no system slowness but continue to check. Taken proactive steps: PAF summary tuning.

NIH Deadlines - June/July
- Anticipate 40-50 submissions per day.
- Implemented system correction for corrupted document issue. If the system cannot complete a transaction with 2 mins., you will receive an error message.
- PAF Summary Tuning - no change to what you see. Change to the way the information is pulled. Helps address the underlying memory management issue.

RA Tips for Success

Flatten PDF Files - have a new job aid to instruct how to flatten documents. Reduces corrupted documents.
- Improves processing for eRPM and sponsor systems such as Grants.Gov. ITS created new job aid for how to Flatten a PDF.
- Avoid opening a new window/tab to retry an activity.

Grants.gov
- Run the “Copy PAF Info to Grants.gov Forms” activity.
  Required to populate standard UM and PAF info in the Grants.gov SF424 forms.
- Avoid running “Hide/Show Errors” on blank SF424 forms
- Complete your PAF before Grants.gov forms
- Complete Grants.gov forms as early as possible.
- During the deadline period:
  - ITS will be monitoring system performance closely.
  - If slowness is detected:
    - ITS will post system alert for maintenance (takes 10-15 mins. to correct).
    - If you experience slowness - longer than 30 seconds. Wait 5-10 mins. and if not fixed, call ITS service Center.

- New Two-Factor Authentication Solution - coming this summer.
  - Applies only to current MToken users.

For RA:
  - Data warehouse
  - Not eResearch - but applies to eResearch data (warehouse).

On July 20, people who use an MToken when logging into systems through Wolverine Access will stop using their MToken and begin using Duo two-factor authentication system. If a system is not two-factored (password) today, it won’t be two-factored on July 20.

5. Sponsored Programs Update: (Debbie Talley) [4:05 – 4:15]
- Financial is going through an upgrade. Cannot put in requests at this time. Upgrade will happen in September, and through November there will be a period of stabilization.
- NSF audit - submitted - last of the 2nd request. Will either result in a report or request additional information.
- Fair Labor Standards Act - have impact on proposal/awards. Change is to take minimum salary from approximately $23K - $50K. Craig said to make sure you take into account when working on budgets. More will be communicated through HR.
- Monday, May 2 - added 5 new accountants.
Susan Flair, Managed Risk Assessments retired.  
Cathy Austin is moving to Engineering - last day May 31.
● Training Manager - Interviews taking place with 2nd round happening next week.
● Training for Fundamentals course will be offered this Fall. Scott Stanfill asked about availability of Fundamentals Course materials. Daryl indicated discussions have occurred regarding the materials, however, this course is not developed as self-learning so not available on the website. We may develop job aids to put up on the site for people to access. Other questions can be directed to RAAC Training committee or Mindy directly, or put message up on Navigate portal.

6. **ORSP Update: (Daryl Weinert)**  

Daryl mentioned Yvonne Sturt is taking on the Assistant Director role. Will be big shoes to fill on the PM side, and working on transition.

Two new ORSP Administrative Assistants: Lesley Hart and Ashley Tillotson
Dan Stanish left for new position in UM, and ORSP looking for a Metrics Manager.

Curt Smitka is point of contact for IT Security requirements and compliance issues.

Federal Wide Research Terms and Conditions still pending.

7. **Closing and Future Meetings: (Daryl Weinert)**  

RAAC Committee-At-Large Meeting Dates
- Tuesday, June 21, 2016 (Scott Stanfill, RAAC Process Subcommittee @ School of Social Work)
- NO JULY MEETING
- NO AUGUST MEETING

Executive Committee Meetings
Wolverine Tower, Conference Room 1025
- Tuesday, June 14, 2016, 3:30 – 5:00 pm
- Tuesday, July 12, 2016, 3:30 – 5:00 pm
- NO AUGUST MEETING
The Ford School is located at the southwest corner of the University of Michigan's central campus, at the junction between State and Hill Streets.

**Ford School of Public Policy Address:**
Weill Hall  
735 South State Street, Ann Arbor, Michigan

**Conference Room**

The meeting will be held in Room 3240, which is located on the 3rd floor.

**Parking**

Metered street parking is generally available on the surface streets surrounding Weill Hall, including State Street on the west, Monroe Street on the north, and Oakland Avenue on the east. In addition, public parking lots are located about three blocks northwest of Weill Hall at the corner of Thompson and Madison Streets, and a few blocks northeast of Weill Hall at the corner of Forest Avenue and Willard Street.
Export Controls Overview 2016

Krista L. Campeau, J.D., ECoP®
Export Control Officer
(734) 615-0672
exportcontrols@umich.edu
What ground does export controls cover?

Research involving military equipment, nuclear technology, rocket systems

Research involving Dual Use Items

International Travel to embargoed countries or destinations covered by economic sanctions

Accepting export controlled technology from a research sponsor, generating export controlled technology here at U-M, or traveling to embargoed countries may require U-M to apply for an export license
Topics to be covered

- Background on Export Controls at U-M
- Export Control Regulations Overview
- How is Export Controlled research managed at UM?
- Updates to eRPM for Export Controls
- Questions
Background on Export Controls at UM

- Program began in 1990’s
- Managed by ORSP
- Unofficial “no license” policy at U-M
- Not many foreign nationals working on export controlled projects
- Where are we today?
Export Controls Compliance Program today

- Governance – UMOR
- Recordkeeping in eRPM
- Training (CITI modules & PEERRS)
- Implemented return/destroy procedures
- Restricted Party Screening (RPS)
- TCP’s cover IT Security and Physical Security
- International Travel
Welcome

Ethics and compliance in research covers a broad range of activity from general guidelines about conducting research responsibly to specific regulations governing a type of research (e.g., human subjects research).

U-M Compliance Core Principles

1. Foster ethical conduct
2. Ensure compliance with federal and state regulations
3. Define U-M compliance guidelines
4. Safeguard U-M researchers and research

U-M Compliance Programs
Export Control Regulations Overview

- Why Export Controls?
- What is controlled? (3 main regulations)
- Who are foreign nationals?
- What is an export and deemed export?
- What is the Fundamental Research Exclusion?
- Sponsored Research Agreements
Why Export Controls?

- Avoid exporting U.S. technology to enemy forces
- Protect U.S. economic interests & competitiveness
- National Security
- Foreign Policy
- Crime Control
- Anti-Terrorism
- Non-Proliferation: Nuclear, Chemical and Biological Weapons, Missiles, etc
What is controlled?
Defense Articles (Military)
State Department – Directorate of Defense Trade Controls (DDTC)

- International Traffic in Arms Regulations (ITAR)
- Items subject to ITAR
  - Items designated on the U.S. Munitions List (USML)
  - Items “specially designed” for one of the items on USML
  - Includes technical data and defense services (training)
- Items are controlled to all destinations
- Civil and Criminal sanctions for violations
What is controlled?

**Dual Use Items** (Commercial goods and technology that could have military applications)

Commerce Department – Bureau of Industry and Security (BIS)

- Export Administration Regulations (EAR)
- Items listed on the Commerce Control List (CCL)
  - CCL covers items not on the USML
  - Characteristics of item determines controls
  - Items are controlled only to specific countries
  - Many license exceptions available
- Civil and Criminal sanctions for violations
What is controlled?

Embargoed Countries

Treasury Department – Office of Foreign Assets Control (OFAC)

- Economic sanctions, trade restrictions and embargoes imposed against specific countries for reasons of foreign policy and national security
- Cuba, Iran, Sudan, Syria, North Korea
- Civil and Criminal Sanctions for violations
Other Export Control Regulations

- OFAC has 26 different sanction programs for various countries
- Nuclear Regulatory Commission has regulations for nuclear materials and reactors
- Department of Energy has regulations for assistance to foreign nuclear activities
- Department of Defense has regulations to safeguard classified information
- All regulations need to be analyzed together
Who are Foreign Nationals?

- Anyone not a “US Person” – not a citizen or a lawful permanent resident (green card holder)
- Work or student visa does not change status
- NDA to keep export controlled information confidential does not change status of foreign national and create compliance
- Foreign nationals on export controlled sponsored projects may need to be licensed
What is an Export and Deemed Export?

- **Export**
  - Physical shipments outside of the US
  - Technology and software accessed from outside the US

- **Deemed Export**
  - Transfer (even a release of information) to a foreign national in the US is “deemed” to be an export to that foreign national’s country

- This is why ORSP and the Export Control Officer inquire as to the citizenship of UM project personnel on export controlled projects
What is the Fundamental Research Exclusion?

- Commerce Department definition for export controlled projects
  - Basic and applied research in science and engineering
  - The resulting information is “ordinarily published” and shared broadly in the scientific community
  - The results of the research are not controlled under Export Control regulations
- State Department – has a similar definition that is a little narrower in that the research needs to take place at an “accredited institution of higher learning in US”
- But be careful…
Sponsored Research Agreements

- The loss of the FRE can occur through language in sponsored research agreements
- Contracts and grants (even NDA’s or side letters) that contain the following are problematic:
  - Publication restrictions
  - Publication approval (pre-publication review is ok)
  - Restrictions on foreign nationals
  - Assignment of ownership of IP to Sponsor is problematic
  - FAR/DFAR clauses – e.g. 252.204.7000
- These restrictions can disqualify the research as fundamental if the results are no longer able to be published and shared broadly with the scientific community
How is Export Controlled research managed at U-M?

Export Control Issue

UMOR Export Control Compliance Program

No Issue

Proceed and Manage Issue

STOP
Export Control Work comes in from:

- ORSP grants and contracts for sponsored research
- Purchasing (incoming export controlled items)
- Shipping (outgoing export controlled items)
- Positive Restricted Party screens
- Visiting scholars and other visiting entities
- Technology Transfer: MTA’s and licenses
- International Agreements
- International Travel – guidance needed
- Issues with International campuses/institutes
- Gifts coming from International Entities
How is Export Controlled research managed at UM?

1) Technology Control Plans

2) Export Control Licenses
Technology Control Plans (TCP’s)

- ORSP PR’s negotiate contracts/grants to remove publication restrictions or IP assignment language.

- If issue remains, a management plan called a Technology Control Plan (TCP) is written:
  - Export Control Officer and PI write TCP to manage the export controlled data, equipment, software.
  - Dean, Department, IT signatures are obtained.
  - UMOR Export Control Working Group approves TCP.
  - Project personnel are screened and complete training.
Export Control Licenses

- Used if a foreign national needs to work with export controlled technology at U-M
- State Department, Commerce Department and Treasury Department all have licensing processes
- Can be a lengthy process
- Licenses are not always approved, so foreign nationals cannot begin work on export controlled projects until we have approval
Updates to eRPM for Export Controls

- TCP’s and Licenses are now in eRPM as their own UFA’s
  - Linked to their underlying PAF or UFA
  - Screening in Visual Compliance is completed
  - Training in CITI is documented
  - End dates are tracked in eRPM
  - Return/destroy of export controlled information is documented in the UFA
Updates to eRPM for Export Controls

- PR’s now have the ability to “Request Export Control Review” on a PAF or UFA
- EC Reviews are documented in Activity History on front of PAF
- PAF’s have expanded question 5.9 to include Export Controls
- Which looks like this in the PAF Worksheet…
Does the research project involve classified research or possible export controls?
No

Classified research or export controlled research includes:

1) Proposal submissions or solicitations that indicate restrictions on foreign nationals, U.S. government security classification/clearance requirements, publication approval language, or export control language generally;

2) Research involving restricted science or engineering areas, such as military/defense areas, missiles, weapons, satellites or other space technology, select agents or toxins, encryption technology; or

3) Research involving embargoed countries or their citizens (e.g. Cuba, Iran, North Korea, Sudan, or Syria).

See the UM export control webpage for more information:
http://orsp.umich.edu/export-controls/definition
PAF updates to eRPM for Export Controls

- PAF’s marked “yes” or “unsure” to 5.9
- eRPM will email additional questions to the PI and PRA once the project moves into an awarded state such as “ORSP Processing” or “Negotiation in Progress”
- PI or PRA will have the ability to respond to the questions and reply back in eRPM
- Additional questions look like this…
New Export Control questions added to UFA’s in eRPM

UFA Worksheet

NDA’s:

Is any of the information that will be exchanged under this NDA classified or export controlled?*

MTA’s:

Does the research you will be conducting with the materials involve possible export controls, classified research, or security clearances?*

- Yes
- No
- Unsure
For more information on export controls

- UMOR Research Compliance Export Controls webpage:  [http://research-compliance.umich.edu/export-controls](http://research-compliance.umich.edu/export-controls)

- CITI Training for Research Administrators on Export Controls:  [https://www.citiprogram.org/](https://www.citiprogram.org/)
Questions?
Agenda

- Background
  - Who, What, How
- Activities
- Looking forward
Background

- Subcommittee and Members
- What are metrics?
Background: RAAC Metrics - Members

Dan Stanish, Chair (ORSP)
Chris Allan (ISR)
John Cristiano (Dearborn)
Linda Forsyth (College of Engineering)
Jeff Longe (ORSP)
Adam Mall (Sponsored Programs)

Kelly Miller (Dentistry)
Mike Randolph (ITS)
Joel Scharboneau (Nursing)
Patricia Schultz (Dentistry)
Bryant Sheppard (Medical School)
Yvonne Sturt (Sponsored Programs/ORSP)
Metrics?
Metrics

- Measurement of progress towards goals
- Reproducible
- Adaptive
- Accessible - Tableau
▸ Web Dashboards
▸ Exploration as a feature
▸ Visualization
▸ On-demand data
Activities
Past Six Months
Suite Presentations
Department Hierarchy
Current and Pending Task Force
Data Access
Outstanding Sponsor Reports
Suite of Metrics Presentations
Suite of Metrics Presentations: **Completed!**

- 11 Schools
- 98 total attendees
Pilot Suite of Metrics

- Accounts Receivable Report
- Awarding Rates
- Collaborations
  - Pre-Award
  - Post-Award
- Effective IDC
- Submission Lead Time
Presented to:

- Dental School (6/19/15)
- School of Information (7/15/15)
- School of Social Work (7/29/15)
- School of Nursing (9/3/15)
- Medical School (9/9/15)
- LSA (9/24/15)
- School of Public Health (10/1/15)
- College of Engineering (10/16/15)
- Institute for Social Research (12/3/15)
- Transportation Research Institute (2/4/16)
- Dearborn (4/25/16)
Activities:
Suite of Metrics
Presentations

- Over 90 suggestions received from attendees:
  - Changes to existing metrics
  - New metrics on existing data
  - New metrics on new data
Consolidation/Prioritization

- Polled subcommittee members for priorities
- Longer term, what goals do these suggestions represent?
“Distilled” Goals

Identified underlying goals gleaned from the suggestions/visits:

- Demonstrate value of work
- Ensure compliance
- Ensure IDC can cover overhead
- Increase collaboration
- Maximize future research
- Minimize administration workload
“Distilled” Goals

- Subcommittee Prioritized Goals

Activities: Suite of Metrics Presentations

- Maximize future research: 30.4%
- Ensure compliance: 21.7%
- Minimize administrative workload: 13%
- Ensure IDC can cover overhead: 13%
- Demonstrate value of work: 13%
- Increase collaboration: 8.7%
Next Steps

▸ Implementing Suggestions
  ▪ Changes to existing metrics

▸ Rollout!
  ▪ Develop “Landing” Pages
  ▪ To RAAC - Committee at Large?

▸ Communications/Tutorial

▸ Managing Access

▸ Continue Developing Metrics
  ▪ New metrics on existing data
Data/Metrics Access
Work completed to date:

▸ Current State:
  ▸ Maintaining access list via MCommunity groups

▸ Future State:
  ▸ ITS Identity and Access Management (IAM) Initiative
Department Hierarchy
Goal: Identify Department Groupings

- Chris Allan, ISR developed “Tree” hierarchy
- ITS will work with RAAC Metrics to develop
Current and Pending Task Force (aka Other Support)
Develop institutional solution for generating sponsor required “Current and Pending/Other Support” documents
Work completed to date:

▸ Review of other support solutions
  ▴ University of Arizona
  ▴ Institute for Social Research
  ▴ Medical School
  ▴ Psychology

▸ Draft Business Objects report
Next Steps:

- Draft Report Workspace
- Release as interim tool
- Working with RAAC Executive Committee to centrally address tracking internal funding
Looking Forward
Long Term

▸ Identify and examine metrics opportunities for comparing University against other institutions.

▸ Take advantage of new developments in the data systems, (e.g. Award Process).
Questions?
• SF424 (Grants.gov) Update
  NIH FORMS-D Validations

• Update on PM Performance

• Preparing for the June/July Submission Deadlines

• Other ITS News
NIH FORMS-D
NIH transition starting with proposal deadlines on 5/25/16.

Phase 2 - May 2, 2016 - Complete
FORMS-D NIH Validations added to eRPM
Incomplete NIH validations on two forms:
PHS 398 Cover Page Supplement
PHS 398 Research Training Program Plan
ITS working with vendor to update missing validations
Check eRPM “What’s New” for latest validation information
Added PHS Fellowship Supplemental Form V3.0
NIH announced new version (V3.1) planned for near future.
Grants.gov SF424 Corrupted Document Issue
- No new occurrence since March

System Slowness
- No new occurrence since March
- On-going investigation

Performance enhancement to PAF Summary implemented in April
NIH Deadlines – June/July
Anticipate 40-50 submissions per day

What ITS has done to prepare
Implemented system correction for corrupted document issue
If the system cannot complete a transaction within two minutes, you will receive an error message.
PAF Summary Tuning
No change to what you see
Change to the way the info is pulled
Helps address the underlying memory management issue
RA Tips for Success

▸ Flatten PDF Files

*Common examples: Documents with inserted images*

Flattening reduces chances of corrupted documents

Improves processing for eRPM and sponsor systems, such as Grants.Gov

ITS created new job aid for how to flatten a PDF

Very easy, only seconds to complete

▸ Avoid opening a new window/tab to retry an activity
RA Tips for Success – Grants.gov

- Run the “Copy PAF Info to Grants-gov Forms” activity
  Required to populate standard U-M and PAF info in the Grants.gov SF424 forms
- Avoid running “Hide/Show Errors” on blank SF424 forms
- Complete your PAF before Grants.gov forms
- Complete Grants.gov forms as early as possible
During the deadline period:

- ITS will be monitoring system performance closely.
- If slowness is detected:
  ITS will post system alert indicating plan for system maintenance activity
  Maintenance usually takes 10-15 minutes to complete
- If you experience slowness (transactions taking longer than 30 seconds):
  Wait 5-10 minutes to see if transaction time improves
  If not, contact the ITS Service Center
New Two-Factor Authentication Solution Coming This Summer

Applies only to current MToken users.

For Research Administrators:
Data Warehouse
Not, eResearch

On July 20, people who use an MToken when logging in to systems through Wolverine Access will stop using their MToken and begin using Duo two-factor authentication instead.

If a system is not two-factored today, it won’t be two-factored on July 20.