

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

Tuesday, April 20, 2021, 3:00 – 4:30 pm
Zoom Meeting
MINUTES

Attendees:

Andrea Anderson – ORSP	Melissa Karby – UMOR	Susan Powell – Engineering
Steve Beach – LSA	Karen Kirchner – Nursing	Craig Reynolds – ORSP
Beth Brant – Medical School	Amy Klinke – BEC	Jane Sierra – Medical School
Linda Chadwick – ORSP	Patrick Lagua – Dentistry	Danielle Smith – LSI
Cindy Dames – ORSP	Mindy LaRocca – SPH	Ken Sylvester – U-M Flint
Lori Deromedi – UMOR	Jennifer Linzmeier – Dentistry	Debbie Talley – Sponsored Programs
Chris DeVries – RAAC	Charlie Mattison – ISR	Michelle Terrell – SMTD
Amalie Helms – U-M Flint	Jan Mitchell – Pharmacy	Anne Thomson – LSA
Stephanie Hensel – Education	David Mulder – ORSP	Pat Turnbull – U-M Dearborn
Jennifer Huntington – Ross School	Carolyn Pappas – ITS	Rick Wintergerst – Engineering
Laura Kaminski – Ford School	Lisa Parker – Nursing	

The meeting started at 3:00 p.m.

1. **Welcome** (*Craig Reynolds*)

Craig called the meeting to order at 3:00 p.m. and welcomed our newest member, Jennifer Linzmeier from the School of Dentistry.

2. **Presentation:** RAAC Process Subcommittee Update (*Melissa Karby*)

Attachment #1

Melissa gave the update for RAAC Process.

Membership:

Andrea Anderson from ORSP has joined the committee.

Roles & Responsibilities:

- Six out of the seven phases are complete.
- Continue to work on the compliance phase of the Roles & Responsibilities and will take feedback from offices.
- We will also review the completed Roles & Responsibilities and see if we need to make any changes.

Craig mentioned they had a virtual site visit and the Roles & Responsibilities document was a terrific help. We were also contacted by New York University asking if they could use our Roles & Responsibilities document as a template.

Reporting and Forecasting:

The various M-Reports enhancements have all been implemented. "7471 Phase II" is in progress and close to fully being implemented. It will create Budget Allocation workflow in an automated way. There will be communications coming out soon.

There are three projects on the list with ITS that have not started:

- Add purchasing commitment to non-sponsor P/Gs
- Add imputed indirect costs to cost-share P/Gs
- Ability to expand account code rollups on budget reports

As a reminder, ITS enhancement requests from the RAAC Process subcommittee that are related to M-Pathways are prioritized through U-M Finance.

Electronic ACR:

Phase 1 is complete and we are moving forward with the next phase, which will involve designing the new workflow. May be reaching out for a focus workgroup to review and provide feedback.

Subrecipient Invoice Approval Process (aka CR Workflow)

This was implemented in November and no major issues. The project is now considered complete.

Internal Awards

Project put on hold at the outset of the pandemic. Will restart the project soon. Looking at a systematic way to track internal projects/awards.

Budget Allocation Tool

Implemented some suggested enhancements that came out of RAAC Training, and the new tool is available. If there is a reallocation pending on a Project/Grant, there will be a message indicating a pending reallocation in M-Reports. Need to make sure you are authenticated through the Finance system to be able to use the tool.

Ongoing Work:

- eRPM Updates:
 - Reviewed the new post-award contact on Award record with ITS.
- In Discussions:
 - SAPOC change process
 - Sub PG creation workflow limitation
 - Potential account roll-up remapping (for a single account code)
- Roles & Responsibilities: Review R&R document to update as needed based on institutional policy changes and work to finalize the compliance R&R.

Upcoming Work:

- Take PACR automation into the next phase to work through system functionality, programming, and implementation.
- Continue to review and provide feedback on various ITS enhancement requests.
- Continue discussions about the Internal Awards group.
- Bring R&R items to process this quarter that need updating per changes in system/new policy.
- Continue to partner with the various subgroups for the multitude of projects being worked on.

3. **ORSP Update** (*Craig Reynolds*)

Attachment #2

Deadline Policy:

A reminder that the goal for At-Risk proposals is to get to 10% or less. In the 3rd quarter they were at 12% and now 16%, so we're not heading in the right direction. ORSP is not in the position to discuss a waiver requirement yet, but need to make a decision on how to prioritize and ask to drive that number down.

Jane asked for clarification on the discussions that are happening within ORSP – is it still the practice to review At-Risk proposals after all of those that are in the queue for Limited Review. Craig responded that is how it should be now, but the project representatives do provide excellent customer service and will spend additional time working to review At-Risk proposals.

NIH Biosketches Requirements:

Changes/additions have been made.

- Due date on or after January 2022 (estimate).
- Separate sections for Project Support and for In-kind Support.
- Foreign employment/appointments/affiliations:
 - Copies of agreement specific to senior/key person's foreign support have changed and "that constitutes a form of Other Support" must be submitted.
 - Will accept Machine-read versions for translations. Faculty need to confirm the translations accurately relay what the contract represents.
 - Confidential personal information may be redacted (e.g., Social Security Number, formula equations, etc. as long as substance is clear in the agreement).
- Section B 'Positions and Honors' is going back 3 years for scientific appointments/honors'/affiliations.

Other Support:

- Extension through January 2022.
- The new form will be in SciENCv but has not been issued. There is a version created in Word to start using. Encouraged by NIH, but Craig recommends to not use until rules are clear.
- Gifts - the language has not changed but have not received clarification from NIH.
- In-Kind Other Support added new questions and answers. Anyone in the lab that is being supported by a 3rd party needs to be included in "In-Kind."
- If there is private equity financing it needs to be reported.
- We can list zero-effort for in-kind resources. Need to present estimated dollar value.
- Need to provide a description of the source from collaborators.
 - Collaboration that is a benefit to faculty needs to be reported.

David asked if NIH gave any indication of what they mean by collaborations. Craig responded that they asked NIH to follow the DoE lead.

Beth asked if the timeline is applicable to progress reports. Craig answered that we will have to wait and see. She added that there have been proposals submitted without effort or in-kind effort, and they have been returned by ORSP.

4. **ITS Update** (*Carolyn Pappas*)

eRPM 6.2 Update - Scheduled for May 24th:

- Usability updates to PAF 'Finalize for Submission to Sponsor.' Waiting for final proposal state. People were having problems completing the questions to finalize a document. Moved some of the questions to the bottom and enlarged the text.
- Adding a pop-up box warning you are leaving the view and has not been finalized. You can leave if not finalized, however, you need to answer OK (e.g., you are just uploading a document).

Awards marked as Multiple Principal Investigators:

Preparing everyone on the Award Change Request Re-Design. ORSP will check if there are multiple PIs. The clarification of these projects will only be marked if the sponsor requires all PIs to approve requested changes. ORSP is making modification cleanup.

Jane asked if ORSP project representatives will be marking the multiple PI flag when they review the proposal. Carolyn responded that the PRs can and it will carry over to the award record. Will need to be recognized by the sponsor.

UFA:

There is a modified question and a new question on the unfunded agreements (UFAs) page.

- Is material leaving the country (adding data/software).
- New question - shipping materials in or out of the country. Need to explain what is being shipped. If the question is selected, it will be sent to the Export Control office.

Office of Contract Administration:

- Will ask for an email for the office official (field is required by OCA). You can put in the email if you know it, or OCA will fill in and maintain going forward.

New Question on Material Transfer Agreements:

- New optional group email on SUBK's Institutional Offices.
- Fix to Award's No Cost Extension Date. Fixing the code that will make sure that date gets populated with also a way to pull from existing mods to populate in Award.

5. **Sponsored Programs Update** (*Debbie Talley*)

- Working with the auditors PWC on the Uniform Guidance audit and hope to complete in May.
- Still working on the NSF audit looking for Covid information feedback from the university and is ongoing.
- In the process of posting a couple new Accountant positions.

6. **RAAC DEI Workgroup Update** (*Chris DeVries*)

Membership:

- Linda Tam from Med School joined the group. Another inquiry came in today and will report at the next meeting.

Updates:

Deployed Zeina Reda's (UROP student) survey to the RA community. Tyler is working on an alternative project. Zeina presenting at the April 22, 2021, UROP Symposium. Zeina is the 3rd presenter.

Began the HR and Communications small group meetings. Working on goals for the groups, and reaching out with other DEI/Central Offices with some of the goals.

- Developing action plans with HR/Communications groups.

Discussed how our work intersects with current events. If anyone has interest in joining the DEI workgroup, contact Chris.

7. **Closing and Future Meetings** (*Craig Reynolds*)

There is an upcoming RAN meeting on Wednesday, May 19, 2021, but delaying the UMOR awards for the October RAN meeting hoping to meet in person. Congratulations to the award winners, Becky O'Brien, Caleb Smith, April Pepperdine, and David Paris.

The meeting was adjourned at 4:00 p.m.

RAAC Committee-At-Large Meeting Dates

- Tuesday, May 18, 2021 (*Patrick Laguna*, RAAC Training Subcommittee)
- Tuesday, June 15, 2021 (*Cathy Liebowitz*, RAAC Communications Subcommittee)
- *No July meeting*

Executive Committee Meetings (*all meetings 3:30-5:00 p.m., unless otherwise noted*)

- Tuesday, May 11, 2021
- Tuesday, June 8, 2021
- Tuesday, July 13, 2021

RAAC Process Update

RAAC Committee-at-Large Meeting

Melissa Karby, Associate Director for Research Administration, UMOR
April 20, 2021



RAAC Process Members



Alameddine, Karen – ORSP	Nielsen, Tony – ORSP
Anderson, Andrea – ORSP	Offhaus, Heather – Medical School
Brant, Beth – Medical School	Pappas, Carolyn – ITS
Cross, Kerri – ISR	Simon, Amanda – Sponsored Programs
DeVries, Chris – ORSP / Sponsored Programs	Smith, Amber – Engineering
Forsyth, Linda – Engineering	Thomson, Anne – LSA
Herrick, Teresa – SEAS	Turnbull, Pat – Dearborn
Karby, Melissa – Dentistry	VanSickle, Bryan – Sponsored Programs

New member since last RAAC CAL update in October 2020.

Project Updates – Roles & Responsibilities



Phase I (*Proposal Development*) – **Completed**

Phase II (*Proposal Review, Approval, and Processing*) – **Completed**

Phase III (*Award Acceptance and Negotiation*) – **Completed**

Phase IV (*Financial Management of Awards*) – **Completed**

Phase V (*Non-Financial Management*) – **Completed**

Phase VI (*Award Closeout*) – **Completed**

Phase VII (*Human / Animal Protocol Review, Approval, and Monitoring*) – will work to publish what we have received from the respective offices

Project Updates



Reporting and Forecasting:

- The many recommendations from the Reporting and Forecasting business case were split into groups and submitted to ITS via the Finance Prioritization group. The status of the recommendations is shown below:

Item	Status
Electronic Concurrence Receipt Workflow	<i>Completed</i>
Wire transfer information saved on vouchers	<i>Completed</i>
Show cents in M-Reports (with toggle)	<i>Completed</i>
Remove hyperlinks from exports to Excel format	<i>Completed</i>
Provide consolidated portfolio view in M-Reports	<i>Completed</i>
"7471 Phase II"	<i>In Progress</i>
Add purchasing commitments to non-sponsored P/Gs	<i>Not started</i>
Add imputed indirect costs to cost-share P/Gs	<i>Not started</i>
Ability to expand account code rollups on budget reports	<i>Not started</i>

Project Updates



Electronic PACR

- Initial design phase complete and group has transitioned into working with ITS to begin programming. RAAC Process may be reaching out in the future to solicit focus group members to review and test some of the programmed functionality.

Subrecipient Invoice Approval Process (aka, CR Workflow)

- Workflow has been implemented with no issues. Project is now considered complete.

Project Updates



Internal Awards

- This project was put on hold at the outset of the pandemic. Before restarting the project, we plan to review the scope and objectives to ensure they are accurate. This is on deck to be discussed by Process in the coming months

Budget Allocation Tool

- RAAC Process worked with ITS to implement a few changes to the Budget Allocation Tool, at the request of RAAC Training. This includes an alert in M-Reports when a budget allocation is pending, as well as a link to the tool directly from M-Reports. Most recent change implemented is being able to collapse subPGs in the tool now.

Ongoing Work



Various eRPM Updates

- Reviewed the new post-award contact on Award record

Various Discussions/Brainstorms:

- SAPOC change process
- Sub P/G creation workflow limitation
- Potential account roll-up remapping (for a single account code)

Roles and Responsibilities Updates:

- Process will look over all current R&R documents to update as needed due to institutional policy changes and work to finalize the compliance R&R

Upcoming Work



- We will take the PACR Automation to the next phase to work through system functionality, programming and implementation
- We will continue to review and provide feedback on various ITS enhancement requests as needed.
- We will continue discussions about the Internal Awards group for next steps
- We will bring R&R Items to process this quarter that need updating per changes in system/new policy
- We will continue to partner with the various subgroups for the multitude of projects being worked on when needed.

- As always we welcome your feedback!

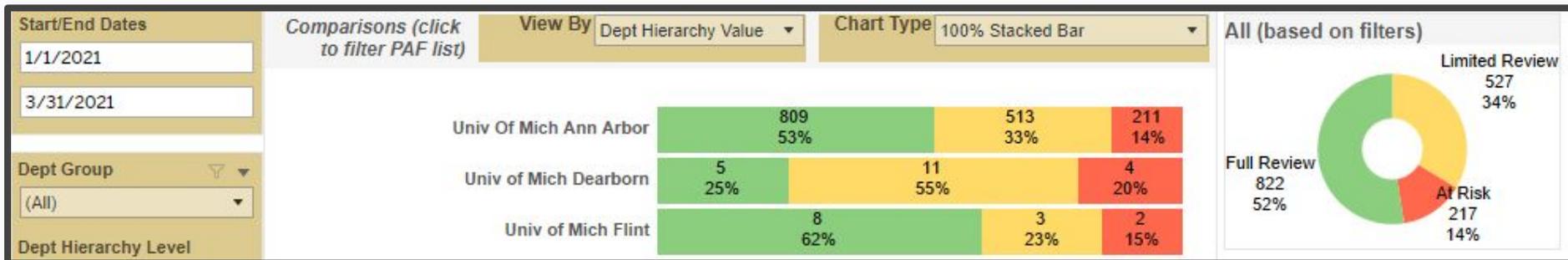
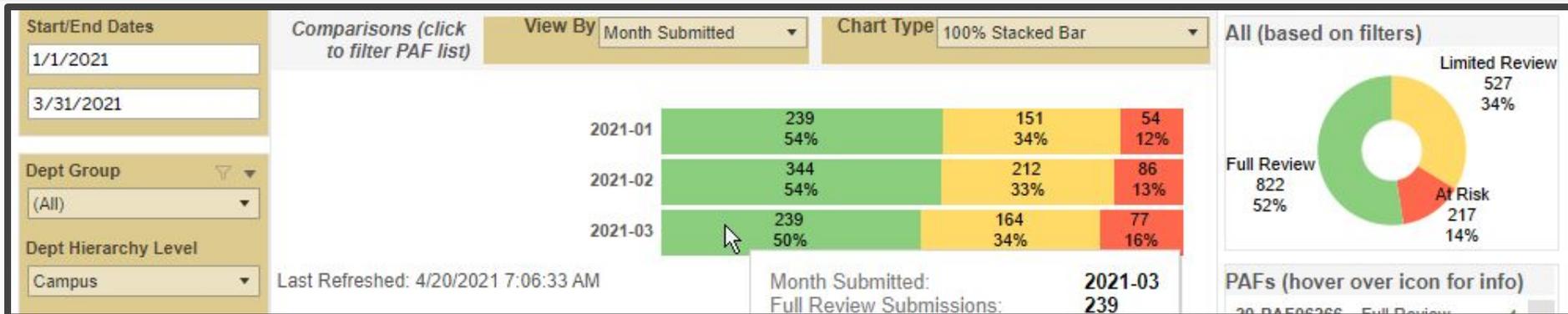


ORSP Update RAAC Committee at Large

Craig Reynolds, Asst. Vice President for Research, ORSP
April 20, 2021



Progress toward 10% At-Risk Proposals



NIH NOT-OD-21-073 Changes to BioSketch



Changes to the Biographical Sketch expected to be delayed until JAN. 2022 est. Watch for an official NIH NOT.

- Separate sections for Project Supports and for In-kind Support
- Foreign employment/appointments/affiliations:
 - Copies of any agreement specific to senior/key person's foreign ~~Other Support~~, employment/appointments/affiliations that constitutes a form of Other Support must be submitted.
 - If the agreement is not in English, we must provide a translated copy. Machine-read versions are OK.
 - Confidential personal information may be redacted.

NIH NOT-OD-21-073 Changes to BioSketch



- Section B “Positions and Honors’ has been renamed “Positions, Scientific Appointments and Honors’ and entries listed in “reverse chronological order” **going back 3 years**
- Personal Statement to include ongoing and completed research projects from the past three years that senior/key person wants to highlight (previously known as research support).
- Section D on research support removed from the non-Fellowship biosketch, and for the Fellowship Biosketch, that same section has been updated to remove “Research Support”.

NIH NOT-OD-21-073 Changes to Other Support



- Changes to Other Support expected to be delayed until JAN. 2022 est. Watch for an official NIH NOT.
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- A new Other Support form that each senior/key person must electronically sign as a PDF prior to submission.
- SciENCv the tool for Other Support and Biosketches; not available for Other Support until Fall 2021

NIH NOT-OD-21-073 Changes to Other Support



- Private outside activities (e.g. consulting) are a form of Other Support if the senior/key person is conducting research as part of the activity.
- Copies of any agreement specific to senior/key person's foreign ~~Other Support~~, appointment or employment that constitutes a form of Other Support must be submitted. If the agreement is not in English, we must provide a translated copy. Machine-read translations are OK.
- Confidential information may be redacted, but basic information must remain untouched.

NIH NOT-OD-21-073 Changes to Other Support



- Gifts

- Monetary gifts are a form of Other Support if the donor has an expectation of anything in return (e.g. time, services, specific research activities, money, etc.).
- An item or service given by a donor with the expectation of an associated time commitment from a senior/key person must be reported as an in-kind form of Other Support.

NIH NOT-OD-21-073 Changes to Other Support



- In-Kind Other support
 - Exchange students, grad students, postdocs, etc. working on research activities in PI's lab and funded/paid by a third party need to be included in Other Support.
 - Private equity financing need to be reported in Other Support.
 - If an in-kind contribution is intended for use on the proposed project, the information must be included as part of the Facilities and Other Resources or Equipment section of the application.
 - If an in-kind contribution is not intended for use on proposed project, then the information must be included as part of Other Support.

NIH NOT-OD-21-073 Changes to Other Support



- In-Kind Other support
 - Zero effort can be listed for in-kind resources with no associated time commitment, but estimated dollar value must be provided.
 - The source, a summary of the in-kind contribution, and the estimated value of materials received from collaborators must be included as in-kind
- Undisclosed Other Support
 - If we discover that Other Support for an active NIH grant was not disclosed as required, we must immediately submit updated Other Support to NIH.