

Research Administration Advisory Council (RAAC)

Committee-at-Large

Tuesday, February 20, 2018, 3:00 – 4:30 pm
 The Institute for Research on Women and Gender (IRWG)
 2239 Lane Hall
 Agenda

Attendees:

Chris Allan – ISR	Teresa Herrick – SEAS	Becky O’Brien – Information
Meenu Baxendale – SEAS	Jennifer Huntington – Business	Lisa Parker – IRWG
Steve Beach – LSA	Melissa Karby – Dentistry	Craig Reynolds – ORSP
Beth Brant – Medical School	Olga Kiely – BEC	Nicole Sleight – SSC
Constance Colthorp – ORSP / Sponsored Programs	Karen Kirchner – Nursing	Danielle Smith – LSI
John Cristiano – U-M Dearborn	Mindy LaRocca – SPH	Yvonne Sturt – ORSP
Lori Deromedi – UMOR	Marina Lukyanchuk – Architecture & Urban Planning	Ken Sylvester – U-M Flint
Chris DeVries – RAAC	Charlie Mattison – ISR	Bryan VanSickle – Sponsored Programs
Linda Forsyth – Engineering	Jan Mitchell – Pharmacy	Daryl Weinert – UMOR
Cathy Handyside – ITS	David Mulder – ORSP / Sponsored Programs	

1. **Introductions of Members and Guests** (*Daryl Weinert*)

2. **Presentation: RAAC Metrics Subcommittee Update** (*Chris Allan*)

Chris A. provided an update about the progress of the RAAC Metrics subcommittee, since the last update in June 2017.

The only change in membership since the last update is Joel Scharboneau (Nursing) stepping off the committee.

Initiatives

- *Current and Pending Template* – The goal of this initiative is to provide a tool to aid research administrators in compiling current/pending or other support documents for proposal submissions, and thereby reduce the administrative burden associated with these tasks. The template is available on the ORSP website (in a few locations, but most specifically, the RA Toolkit section), and the current version also pulls in HR effort data.

Given that the template is in Excel, it is hard to compile metrics indicating how many people have used the template. Additionally, the HR effort shown comes from the HR system, and is difficult to program translating this effort into Academic or University Year, or Summer calendar months.

Next steps with the template include: working with ITS to develop a web application; consult with the RAAC Executive Committee on security related to the web application; and, working with the RAAC Communications and Training subcommittees on training materials.

- *Department Reporting Hierarchy* – The goals of this initiative is to provide a table in the data warehouse that reflects multi-level hierarchies beyond the Department Group level, and to make the table available in Business Objects and Tableau. The table is complete and available in the data warehouse (Financials, Payroll, and Student universes).

Daryl asked if the tree includes U-M Dearborn and U-M Flint. Chris A. answered that it does, and is comprehensive for all units under the UMICH organization.

Next steps include working with the Shared Services Center (SSC) on how tree changes are requested. Also, we are looking for ways to spread the word about the tree, including among the Budget Administrators Group (BAG) members, who may find the most value from the new tree.

Cathy mentioned that the new tree does not apply to eRPM, where the approval hierarchy is determined by the units.

- *Campus Collaboration* – The RAAC Metrics group has been working with the Information Quest (IQ) team in ITS. We worked with IQ to identify potential metrics using the SIPOC (suppliers, inputs, process, outputs, customers) methodology. We also discussed with IQ how we could work with them to collaboratively produce new metrics. This may involve a rethinking of our current meeting format. Since the IQ process is iterative, it may not sync well with the RAAC Metrics meetings.

Members from RAAC Metrics and ORSP are working together to attempt to use NIH and NSF data to identify overdue and coming due technical and progress reports. There are some limitations on this due to the format of the data sent by the sponsors. However, the goal is to have a report that can be shared with units.

RAAC Metrics attended a meeting of the Small Schools and Colleges Research Administrators Group (SSCRAG) to demonstrate the metrics visualizations in Tableau and explore ideas for additional metrics the group might find useful. Additionally, RAAC Metrics is looking for other possible venues to demonstrate the suite of metrics.

- *Metrics Visualizations* – There are currently five workbooks in Tableau, with 11 reports. The visualizations are available to all RAAC CAL members, as well as Deans, RADs, BAG, and eResearch Proposal Management (eRPM) Data Warehouse users. The easiest way to grant access to the visualizations is to grant eRPM Data Warehouse access. However, if this is not preferred, contact Chris A. and he can guide you through another process.

Chris A. reviewed some of the visualizations in progress, as well as some of the usability enhancements made, including a daily refresh, using an “apply” button when filtering, and correcting small dollar amounts (i.e., \$0.01 M).

Looking Forward

Similar to what the group has done with SSCRAG, we are always looking for ways to partner with schools, colleges, and units. This could take the form of a shorter term relationship, as opposed to a full RAAC Metrics membership. Additionally, RAAC Metrics would like to explore how units can better use the metrics visualizations in Tableau.

Melissa asked if there have been discussions about including space in the Tableau visualizations. Chris A. responded that this is on the RAAC Metrics wishlist, but the group still needs to determine what data is available in the data warehouse.

Constance asked a question about what is meant by “security” related to the current/pending template – is this about access or something else? Chris A. answered that this is not about access, but since the form contains investigator-specific information, it is more about who can see what data and who can manipulate the information in the template.

3. **ITS Update** (*Cathy Handyside*)

Cathy provided the update from ITS. There is new functionality in eRPM related to cost sharing. Additionally, the data warehouse has been updated as of this week to reflect the new functionality in eRPM.

FORMS-E: The rollout was bumpy, but no proposals went unsubmitted. There was a confluence of issues on the U-M (via the vendor) and NIH sides. The vendor provided a fix before the February 5 deadline, but ITS elected to wait until February 7 to implement, to avoid unnecessary work or potential confusion. There are two unresolved issues, but they will be fixed with a release on February 26:

- Enrollment tables are not calculating correctly.
- Display issues with PDF attachments – this pertains only to the order in which the attachments appear and the inability to successfully arrange them as desired.

Melissa asked about the study title character limitation issue that was fixed on February 7. Does that fix only relate to the title length, or did the issue with special characters not being recognized also get fixed? Cathy answered that it is both – you may indicate in the application whether it includes special characters. If you answer affirmatively, the system will check the entire application.

Award Management: The rollout for the new Award system is still scheduled for August 2018. User Acceptance Testing will occur in June and July, and ITS is planning to have structured events. However, prior to the acceptance testing, there will be opportunities for users to see the system demonstrated, which will include converted data.

Constance let the group know that there have been a few changes to the FORMS-E worksheet created by the RAAC Communications subcommittee. A communication will be sent outlining the changes.

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

Craig provided the ORSP update.

PAC-R: There is a new version of the Post-Award Change Request (PAC-R) form, and it includes the ability to put a printed name in the signature line. This will help ORSP verify the identity of the

signer. Jan mentioned that the signature box does not seem to allow for the signature to be seen. This means moving the signature to another area on the form. Craig will have the ORSP team take a look at this.

Staff updates: Rey Martell has rejoined ORSP after some time in LSA.

Deadline Policy: Craig and Daryl presented to the Academic Programs Group (APG), which is the Deans' forum. There is general support among the Deans for a 4-day / 2-day service level standard. However, the Deans would like to consider the exceptions that warrant an additional day. Jack Hu is working with the APG, and will likely also work with the RADs on this.

Common Rule: This was delayed at the last minute. We will not know the impact of this until we approach July 19, 2018, which is the new implementation date.

UG: Procurement Standards: The Uniform Guidance (UG) Procurement Standards are still set to go into effect July 2018. NSF released new guidance which includes the \$10,000 threshold, and this is what we expect to fully take effect. However, there has not yet been confirmation of the \$10,000 threshold from the Office of Management and Budget (OMB).

Daryl asked if the standards take inflation effects into account for subsequent years' thresholds. Bryan responded that the micropurchase threshold does have inflationary increases built into it, but a new law is needed to make this official. U-M Procurement Services is mostly looking at other aspects of the standards.

NSF / NIH: NSF has released a new Proposal & Award Policies & Procedures Guide (PAPPG). NIH has implemented a change to the Inclusion Across the Lifespan policy. When submitting proposals, applicants will need to justify why any age group is excluded from a proposed study. This change will take effect January 25, 2019.

5. **Sponsored Programs Update** (*Bryan VanSickle*)

Bryan provided the Sponsored Programs update.

Staff updates: Scott Culver was promoted to Accounting Unit Supervisor. This change means there has been some shifting of units in terms of customer service coverage. We had 2 interns and 4 accountants start, as of January.

Single audit: We are still wrapping up the single audit, and some units will receive follow-up questions to the PI questionnaire the auditors requested previously. There are two findings currently – one related to financial aid; the other related to equipment. Since there have been equipment findings in the last few years, Internal Controls will be instituting a certification for equipment. For the upcoming certification, this will be an informational item only. For subsequent certifications, this will be a formal item requiring attestation.

We are receiving some pushback from the auditors on subrecipient monitoring. However, we feel that our practices are consistent with subrecipient guidelines.

The schedule for the FY2018 audit will be changed; the engagement will start on April 1, 2018, with the goal to have the audit wrapped up at the time the University's Financial Statements are released.

FIN system: The new "tiles" framework has been implemented in the Financials systems.

Constance asked if it would be possible to share lessons learned on equipment, once the audit is complete. Bryan responded that this may be difficult because of the disparate processes for tracking equipment in the units. However, once Internal Controls releases its guidance, we can use this for communication to units. In the meantime, all equipment disposals on sponsored projects in FY2018 will be audited to ensure the equipment was disposed.

6. **Matters Arising**

Daryl provided an update to the group on the Michigan Informational Dashboard for the Administration of Research (MIDAR) project. UMOR asked for funds to support a consulting study to identify all the systems used in the lifecycle of a project. UMOR would like to look at the cost and risks associated with connecting to disparate systems. This effort is being done in conjunction with University Audits, so they may be reaching out to units.

David let the group know that there are still openings for both the Navigate: Fundamentals and UG courses. The UG course will be conducted both on the Ann Arbor and Dearborn campuses. The deadline to apply is Tuesday, February 27, 2018.

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

RAAC Committee-At-Large Meeting Dates

- Tuesday, March 20, 2018, 3:00 – 4:30 pm @ Ross School of Business (*Judy Carrillo*, RAAC Training Subcommittee)
- Tuesday, April 17, 2018, 3:00 – 4:30 pm @ South Atrium, NCRC (*Heather Offhaus*, RAAC Process Subcommittee)
- *No May meeting*

Executive Committee Meetings

Wolverine Tower, Conference Room 1025 (unless noted)

- Tuesday, March 13, 2018, 3:30 - 5:00 pm
- Tuesday, April 10, 2018, 3:30 - 5:00 pm
- Tuesday, May 8, 2018. 3:30 - 5:00 pm



RAAC Metrics Subcommittee

update to RAAC committee-at-large
February 20, 2018
@ Institute for Research
on Women & Gender

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Agenda

Today's agenda

- RAAC Metrics members
- Initiatives
 - Current & Pending template
 - Department Reporting hierarchy
 - Campus collaboration
 - Metrics visualizations
- Looking forward
- Questions/discussion

Background: Members

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

Initiatives

What have we been up to?

Initiatives: Current & Pending

Current and Pending Template

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

Initiatives: Current & Pending

Current and Pending Template

- Status
 - RAAC Metrics members have passed it along to various Schools/Colleges/Units (S/C/Us) and we've incorporated their feedback
 - Template made available on ORSP site (multiple places, but RA Toolkit is easiest to find)
 - NEW: HR effort included in BusObj query
 - Began work with ITS on web application

Initiatives: Current & Pending

Current and Pending Template

- Next steps
 - Continue working with ITS on web application
 - Solicit feedback from other subcommittees and/or other research administrators on web application experience
 - Consult with Executive Committee on security and other decisions
 - Work with Communications and Training subcommittees on training materials

Initiatives: Dept Rptg Hierarchy

Department Reporting Hierarchy

- Goals
 - Provide a table in the data warehouse that reflects multi-level hierarchies beyond the Dept Group
 - Make that table available in tools like BusinessObjects and Tableau
- Status
 - Table is complete and available in the data warehouse (Financials, Payroll, and Student universes in BusinessObjects, under the existing Dept view)

- Rev Exp Act Curr FN Dept Vw
- DeptID
- Dept Effdt
- Dept Eff Status
- Dept Descr
- EmplID
- Dept Grp
- Dept Grp Descr
- Dept Grp VP Area
- Dept Grp VP Area Descr
- Dept Grp Campus
- Dept Grp Campus Descr
- Dept Bud Seq
- Dept Bud Seq Descr
- Rev Exp Act Curr Dept Vw Dept Grp*
- Rev Exp Act Curr Fin Dept Rpt Hirchy Vw
- DeptID
- Dept Rpt Hirchy Effdt
- Dept Grp Campus
- Dept Grp Campus Descr
- Dept Grp Vp Area
- Dept Grp Vp Area Descr
- Dept Grp
- Dept Grp Descr
- Rpt Hirchy Lvl 4 Dept Grp Cd
- Rpt Hirchy Lvl 4 Dept Grp Des
- Rpt Hirchy Lvl 5 Dept Grp Cd
- Rpt Hirchy Lvl 5 Dept Grp Des

BusinessObjects example

Level 4 (Center/Division)	Count
Institute for Social Research	1
ISR Institute Administration	16
ISR Institute Sponsored	1
Center for Political Studies	9
Interuniv Consort Polit Soc Re	15
Population Studies Center	8
Research Center Group Dynamics	6
Survey Research Center	73

Tableau example

Level 4 (Center/Division)	Level 5	
Institute for Social Research	Institute for Social Research	1
ISR Institute Administration	ISR Business Services	4
	ISR Institute Administration	12
ISR Institute Sponsored	ISR Institute Sponsored	1
Center for Political Studies	Center for Political Studies	9
Interuniv Consort Polit Soc Re	Interuniv Consort Polit Soc Re	15
Population Studies Center	Population Studies Center	8
Research Center Group Dynamics	Research Center Group Dynamics	6
Survey Research Center	SRC Administration	2
	SRC Comp Multi Media Tech	7
	SRC Economic Behavior	6
	SRC Social Envir and Health	7
	SRC Studies of Youth	3
	SRC Survey Methodology	5
	SRC Survey Research Organizati	25
	Survey Research Center	18

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Initiatives: Dept Rptg Hierarchy

Table of contents

7 views

Effect

7 views

Expanded Business Units

7 views

Submission Dollars

7 views

Resour

14 views

Department Reporting Hierarchy

- Next steps
 - Work with Shared Service Center on tree change request format
 - Spread the word (RAAC units, BAG, etc)
 - If it's not ideal as-is, work with Information Quest on perfecting
 - Possibility of other BusObj universes
 - Incorporate into RAAC Metrics visualizations

Initiatives: Campus Collaboration

Campus Collaboration

- Information Quest (IQ)
 - Had a few meetings to go through the process improvement exercise called SIPOC (suppliers, inputs, process, outputs, customers)
 - Discussed further with IQ how they can be involved with RAAC Metrics and research administration reporting
 - Rethinking our meeting format
 - Making a case for resources

Initiatives: Campus Collaboration

Campus Collaboration

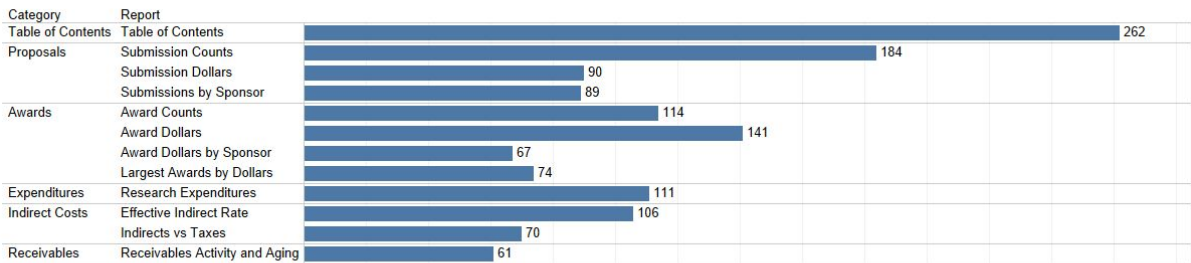
- Outstanding technical/progress reports
 - Members of RAAC Metrics and ORSP have worked together on getting info from NIH and NSF, creating queries to match with U-M data
 - Goal is to create output to share with schools/colleges
- Small Schools/Colleges (SSCRAG)
 - Attended a SSCRAG meeting to have a more tailored demo and discussion of the available visualizations

Metrics Visualizations

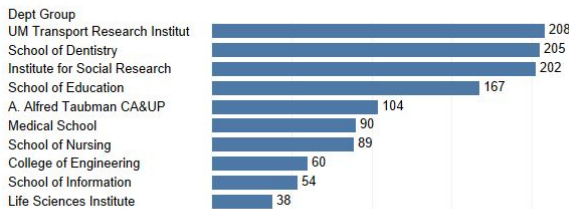
Initiatives: Metrics

- As of today, there are five categories (workbooks) with 11 reports
- Available at:
 - Wolverine Access > Tableau > RAAC Metrics
 - Direct link to a Table of Contents shared previously
- Available to: RAAC CAL, Deans, RADs, BAG, Prop Mgmt BusObj users

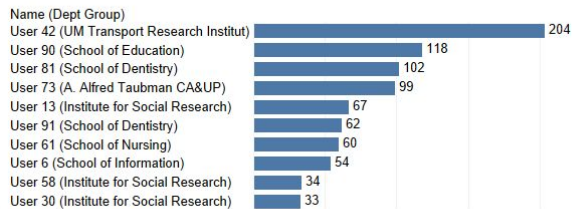
Views by Report



Top 10 by Department Group



Top 10 by User



As of 2/15/2018. Excludes RAAC Metrics and Information Quest staff.

Initiatives: Metrics

Metrics Visualizations: In Progress

- Usability
 - Daily refresh
 - “Apply” to filter
 - Small \$ display
- Proposals
 - By size
 - By status
 - Pending
 - Non-lead
- Awards
 - By size
 - Commitments
- Award Rates
 - Counts/Dollars
 - By age
 - By size
- Award Spending
 - Deobligations
 - Overdrafts
 - Fixed Price
 - Burn rate

Looking forward

What will we be up to?

Looking forward

Expanding RAAC Metrics

- RAAC Metrics “membership” (partnership)
 - While new members are welcome, perhaps a form of membership is a short-term partnership with an S/C/U to understand their goals and reporting needs.
- We’d like to have more direct discussions with S/C/Us. Breaking the ice...
 - Potential survey
 - Reaching out to those known to be using today (i.e. reach out to smaller S/C/Us first as they can get the most benefit)

Questions/ Discussion

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

Credits: presentation is modification of “Emilia” template from [SlidesCarnival.com](https://www.slidescarnival.com)