

Research Administration Advisory Council (RAAC)

Committee-at-Large

Tuesday, April 17, 2018, 3:00 – 4:30 pm
 Medical School – NCRC
 2800 Plymouth Rd
 South Atrium
 Minutes

Attendees:

Steve Beach – LSA	Teresa Herrick – SEAS	Nick Miller – BEC
Beth Brant – Medical School	Maggie Herron – LSI	David Mulder – ORSP / Sponsored Programs
Constance Colthorp – ORSP / Sponsored Programs	Jennifer Huntington – Business	Lisa Parker – IRWG
Cindy Dames – ORSP	Bob Johnson – Procurement	Jane Sierra – Medical School
Kathy Devereux – UMOR	Melissa Karby – Dentistry	Yvonne Sturt – ORSP
Chris DeVries – RAAC	Karen Kirchner – Nursing	Ken Sylvester – U-M Flint
Laura Dickey – ORSP	Patrick Lagua – Dentistry	Debbie Talley – Sponsored Programs
Cathy Handyside – ITS	Heidi Madias – LSA	Bryan VanSickle – Sponsored Programs
Stephanie Hensel – Education		

1. **Introductions of Members and Guests** (*Debbie Talley*)

Meeting started at 3:00 p.m.

Debbie went over the agenda, introduced our new member, Patrick Lagua, and then went around the room for introductions.

2. **Presentation:** RAAC Process Subcommittee Update (*Melissa Karby*) Appendix #1

Melissa presented the RAAC Process update for Heather Offhaus who was at the NCURA regional meeting.

- All membership is the same with one new member, Corey Turner.

Projects in progress:

Roles & Responsibilities/Risks in Research Admin (RASCI) Process:

- Completed Phase III
- Moving into Phase IV
 - Using bi-weekly RAAC Process meetings vs. assigned task force.
 - Includes non-financial post-award.
 - Identify RASCI assignments.
 - Anticipated completion: June 2018.

Automation of Office of Contract Administration (OCA) Activities - Victoria Devulder, Chair:

- Identifying needs. Focus on OCA activities to electronic solutions. Post award is done through paper system and looking to automate.
- Went to RAAC FAC to use Duo 2-factor authentication to approve invoices in M-Pathways.
- Identified with the Foreign Transaction Form (FTF) there was rework having to be done in the process. Worked with Shared Service Center to accept rework as long as the statement on invoice indicates all services are performed outside the US, the FTF is not needed.
- Anticipated completion/delivery of assessment: end of May 2018.

Project Financial Review & Forecasting (reporting initiative) - Melissa Karby, Champion:

- Identified needs via survey or from workgroup itself.
- Demonstration of the unit process for reporting at the PI level.
- Process of sorting the enhancements to catalog.
- Next step: Develop business case including need for pre-award information for forecasting.
- Anticipated completion: May 2018.
- Looking at Investigator Specific side of post award. Not Department financials or up to high level.

Budget Template Suite - Kerri Cross, Champion:

- Based on survey – no tool repository.
- Looking to create a suite of templates. Working with David Mulder on what is in Navigate.
- Working how to maintain documents, who will field questions, how to refer (process).
- Anticipated completion May - June 2018.

Internal Funding - Danielle Smith, Champion:

- Methods for tracking internal awards (e.g., email funding to MICHR).
- Need to be able to track it and not go between financial and units.
- How to bridge the gap between pre and post-award.
- Completion: June 2018.

Initiatives:

- RAAC Process continues to be on call to ITS, ORSP/SP, and RAAC EC for other initiatives.
- We are on call for the Award Management Project.
- Email notification from Award system are going to be slightly different and working with Award Management group on communications (e.g. PAN email).
- Award Management is taking priority over other areas.

Melissa thanked all the champions and Chris DeVries for their help.

Upcoming Changes:

- In July 2018 Heather is retiring the post of RAAC Process Chair. Looking to identify her successor. If any interest or more information, contact Heather.

Yvonne asked about the reporting initiative – the stuff being worked on is not for faculty, but particular project – is that correct? Melissa answered that the group is working on how the faculty want to see the information research administrators are monitoring. This is what we have seen has worked well.

David asked about the enhancements to catalog as it relates to the budget template suite initiative. Melissa responded that these templates will go into a master list and will be prioritized through RAAC EC.

3. **Update:** Uniform Guidance Procurement Standards (*Bob Johnson*)

Appendix #2

Bob indicated that Uniform Guidance has been implemented throughout the University. July 1 is target implementation. Not a lot of show stoppers. May need to rewrite some SPGs, procedures, and deliver education and communications.

Three major areas of concerns:

1. Bid limit
2. Conflict of Interest
3. Sole Source

Bid limit: Decision was made on \$10,000 limit for competitive bidding. Bid limit will be required on purchases of \$10,000 or greater. Staying with limit per policy.

Conflict of Interest: Parties cannot be involved in the selection, award, or administration of a purchase.

- Includes real or apparent Conflict of Interest statements.
- Conflicted parties are expanded to include:
 - Members of employee's immediate family
 - Spouse/partner.

Sole Source: Non-competitive proposals are permitted, provided:

- Item is available only from single source.
- Emergency for the requirement will not permit a delay.
- The federal awarding agency, or pass-through entity, expressly authorizes non-competitive proposals in response to a written request from the non-federal entity.
 - In the past the university might permit a specific supplier/product listed in the proposal budget to be justification for a sole source purchase.
 - Has to be very obvious with written request by U-M.
- Procurement will work with departments to help bring them in-line with the requirements so there are no audit concerns.
- What is a good sole source?
 - Good technical reasons, better for the research, feature and benefits help.
- Research team/PI using a "sole source" will have to go to ORSP for approval to go to Federal Agency, so process will take longer to get approval.
- If unique situation can credit to Sole Source.

Other Items:

RFP/RFQ requirements:

- Use generic specifications when obtaining quotes vs. a specific item listed.
- Have a documented process for technical bid evaluations. Look for it in the Scope of Work.
- RFP's need to be "publicized." Need to define on what media. Other universities posting on the website, news publications, etc.
- Include small, minority, and women owned businesses when possible.
- Firms that helped draft the bid specification cannot bid on the project.

Orders under \$10,000:

- Department needs to maintain records sufficient to detail the history of procurement (selection rationale, basis for the price, etc.).

- Purchases need due diligence – shop around.
- Use strategic suppliers when possible.

Next Steps:

- Finalize decisions based on OGC input.
- Complete the redline changes of SPG's, standard procedures, and working documents.
- Prepare and distribute communications to campus.
- Put into effect by July 1, 2018.

Melissa asked about the \$25,000 NIH threshold for equipment purchases under the expanded authority granted to the University. Debbie answered that the UG Procurement Standards indicate that written authorization is required, and this will be the University's stance.

Debbie commented that Bob should work with Constance on any communications to be distributed to research administrators as she is responsible for the RAP newsletter. Constance indicated she will also include in the website FAQ.

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

- Cathy went over the Award Management system. What the work space will look like, and it will be in the eResearch Proposal Management space.
- The functionality will be completed in May, with user testing in June.
- Converting existing data to Award structure, and will be able to view converted data in Sandbox.
- Award Management system will link multiple PAFs to same funding mechanism.
- Will connect new funding to existing awards.

New Features:

- A new "All Awards" tab - will see all the awards that were converted.
- New Award ID number - (AWDxxxx)
- Click on the link to get in the award workspace.
- PAF Query: If you do not know Award number, and want to get to the award information, you can put in PAF ID number, but will still see the PAF associated with Award.

Kathy asked if there is a way to a search by subaccount P/G. Cathy responded that this is not in the new system but that Laura could possibly generate a report to help with this.

- No longer going to use the PG number on the PAF.
- Award number also is linked.
- To add supplemental money to existing award, you now will add Award ID. Will link to awarded project. Will let ORSP know it is linked to PAF/Award.

Beth asked who will have the final say if two projects are related or not? Cathy responded that this will be up to ORSP and Sponsored Programs.

Example: Sponsor is expecting continuum. Can link awards together, but not in August, but in Phase II.

Patrick asked if all awards will be searchable by everybody, similar to the PAF search functionality today. Cathy answered that this will be the case. There will not be an Award query, but can do via PAF query. Will need tab specific to "my" awards.

Kathy asked when the Award record is created and available. Cathy responded that the record is created and available at the time of initial award processing. The award activation email is sent when it moves to Active.

Melissa mentioned RAAC Process discussed having email sent for initial Award notification to PR and PI.

Award can have separate title than PAF, and will be approved by Sponsor title information through ORSP.

Training:

- User acceptance training in June.
- Training will start in July, and go as long as needed.
- Will have job aids available.
- Will update Navigate Fundamentals content to reflect new Award Management system.

Award Management system differences:

- Requests ORSP action will be different. Give separate work inbox to manage separate change requests.
- Record your own deliverables. To track what is due. System will send email notifications based on how you set up dates.
- PAN process documents will not be available. Will get email (with most the same information) on what is included in PAN today, and if award has been modified, be able to track funding changes. Documents were used to communicate with faculty in past. Cathy said you can print changes to use in replacement.

5. **ORSP Update** (*Yvonne Sturt*)

Yvonne provided the ORSP update for Craig who is at NCURA regional meeting.

New personnel:

- Amy Webb – New Data and Reporting Assistant, reporting to Laura Dickey.
- Two new support staff:
 - Marie Turner – Retired and came back.
 - Rebekah Turner – Used to work at Michigan in Patient Services, and came back from Audi.
- Tracy Schwab – promoted to Support Staff Manager.
- Open position for Project Representative to replace Jeff Alber.
- Approval to add a new Government Project Representative (50%) and (50%) data use agreements.

Staff Appreciation Day:

- ORSP will have a Staff Appreciation Day on Thursday, April 19, 2018. The office will be closed from 8:00 - 11:00 a.m. The main line will be transferred to Yvonne's cell number to take calls.

Deadline Policy:

- Deadline policy – continue to work with RAAC EC on Deadline policy.

Research Compliance:

- Report on Research Compliance: NIH delayed the date for new definition. All other date changes stay the same (e.g., FORMS-E form, etc.). Waiting for response from NIH on what they want us to do. Changing definition of Clinical Trial is now undetermined.

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

- New Staff: starting May 7, 2018.
- Single audit – completed on March 26, 2018.
 - This year we are working with PWC to test new single audit format. Will send out message for this fiscal year. Will start testing July 1 - March 31.

Kathy asked about the average turnaround time for budget reallocations. Bryan responded that generally, budget reallocations should be processed within 5 work days.

7. **Closing and Future Meetings** (*Debbie Talley*)

Reminder there will be no May meeting. Next meeting is June 19 with an update from RAAC Communications. July 17 meeting will give an update on RAAC Metrics.

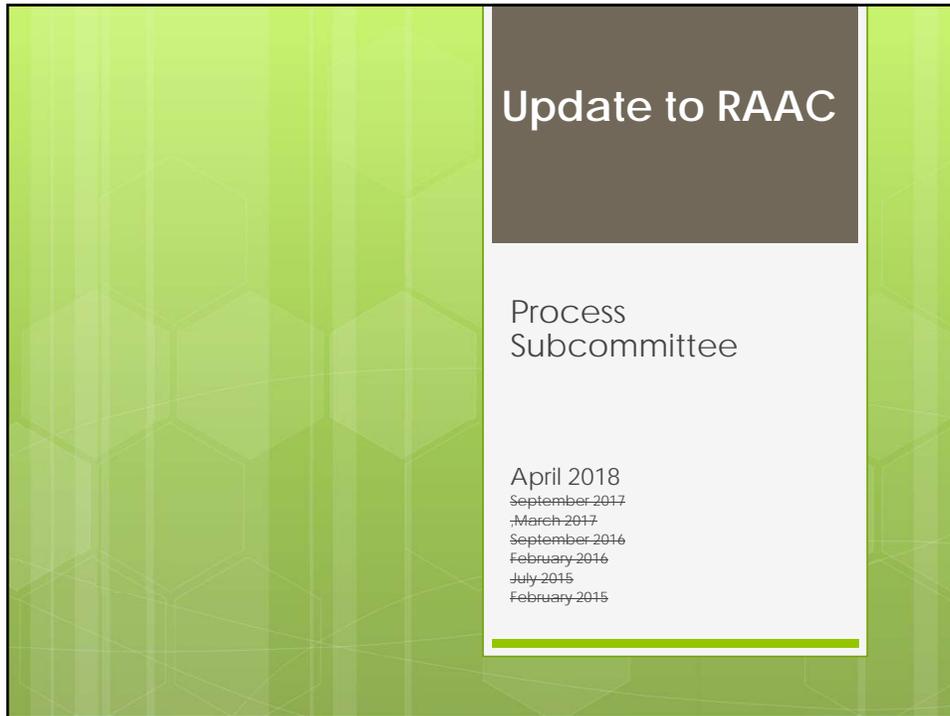
RAAC Committee-At-Large Meeting Dates

- *No May meeting*
- Tuesday, June 19, 2018, 3:00 – 4:30 pm @ Lurie Engineering Center (*Becky O'Brien*, RAAC Communications Subcommittee)
- Tuesday, July 17, 2018, 3:00 – 4:30 pm @ 1240 School of Nursing (*Chris Allan*, RAAC Metrics Subcommittee)

Executive Committee Meetings

Wolverine Tower, Conference Room 1025 (unless noted)

- Tuesday, May 8, 2018. 3:30 – 5:00 pm
- Wednesday, May 30, 2018, 3:30 – 5:00 pm (*Joint RAAC EC + FAC meeting - 2001 LSA Building*)
- Tuesday, June 12, 2018, 3:30 – 5:00 pm



The graphic features a green background with a hexagonal pattern. A dark grey box at the top right contains the title "Update to RAAC". Below it, a white box contains the text "Process Subcommittee". At the bottom, a list of dates is shown, with "April 2018" highlighted in green.

Update to RAAC

Process Subcommittee

April 2018
September 2017
March 2017
September 2016
February 2016
July 2015
February 2015



The graphic has a green background with a hexagonal pattern. A dark grey box at the top right contains the title "Members". Below it, a white box contains a list of names and their affiliations.

Members

Brant, Beth	Medical School
Cristiano, John	UM-Dearborn
Cross, Kerri	ISR
DeVries, Chris	ORSP & Sponsored Prog
Devulder, Victoria	Pharmacy
Forsyth, Linda	College of Engineering
Herrick, Teresa	Ross School of Business
Karby, Melissa	Dental
Maxwell, Terri	ORSP
Nielsen, Tony	ORSP
Offhaus, Heather	Medical School
Pappas, Carolyn	ITS
Smith, Danielle	LSI
Thomson, Anne	LSA
Turner, Corey	Engineering
VanSickle, Bryan	Sponsored Programs

Project Updates

- Each section is intended to be a high-level view into the current state of the project
- Please feel free to reach out to the Process chair (Heather) or any of the Champions listed for the projects with
 - Questions
 - Concerns
 - Ideas

In Progress

Roles and Responsibilities/Risks in Research Admin Process

Champions: Entire Process Team

Status: Working on in the Process Meetings

Phase III

- Completed and published, Fall 2017

Phase IV:

- Process team is working during meetings on Phase IV
- Includes non-financial post-award
- Working through the individual items to set a comprehensive list and identify the RASCI assignments
- Anticipated completion: June 2018

Near End

Automation of OCA Activities

Champion: Victoria Devulder
Status: Identified Needs

What we heard: Bring OCA Activities into same electronic solutions as other systems

- Based on faculty feedback in units, there is general support for faculty having 2-factor authentication to approve invoices in M-Pathways
- Next: document items to move forward in the prioritization
- Working with the Shared Service Center, found a quick win on the Foreign Transaction Form (FTF): as long as a statement is contained on the invoice that all services were performed outside the United States, the FTF is not needed
- Anticipated completion/delivery of assessment: April - May, 2018.

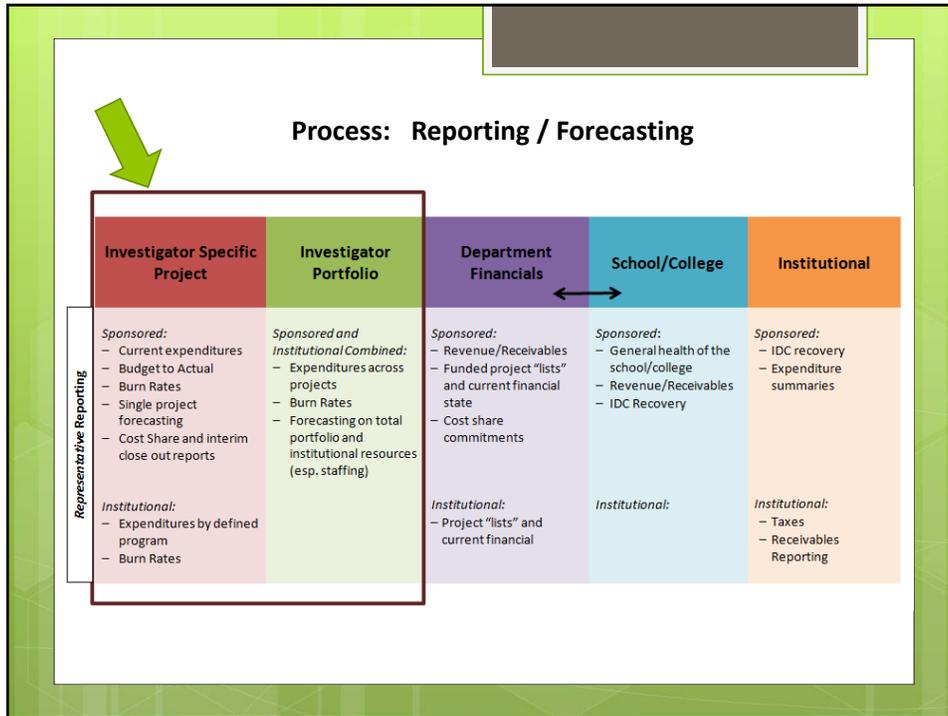
Finishing Up

Project Financial Review & Forecasting

Champion: Melissa Karby
Status: Writing final report

What we heard: The survey indicated that any type of project financial review and forecasting tools would be welcome to help reduce administrative work.

- Wrapping up demonstrations of the unit processes for reporting at the PI level
- Team is in the process of sorting the enhancements to catalog
- Next step is to develop a business case, including need for pre-award information for forecasting
- Anticipated completion in May, 2018.



Close to End

Budget Template Suite

Champion: Kerri Cross
 Status: Finishing Up

What we heard: Tools needed / potential impact to cross-campus financial discussions

- In process of reviewing various unit-provided tools
- Discussing Navigate suite of templates with David Mulder
- Will catalog the templates
- Need to resolve/recommend best method of referring to templates, who will maintain if needed, and who will field questions/how to refer.
- Anticipated completion in May-June, 2018

Ongoing Work

Internal Funding - Tracking

Champion: Danielle Smith

Status: Midway

What we heard: Help needed to track & identify where faculty have funding to describe their total funding

- Various units are demonstrating methods for tracking internal awards
- Team is gathering best practices as well as system review
- Will be putting together common information
- Anticipated completion in June 2018

"On Call"

- RAAC Process will continue responding:
 - To changes to electronic systems as proposed/handled for implementation by ITS
 - As requested, with comment on ORSP / Sponsored Program initiatives

"On Call"

- Currently "On Call" includes the **Award Management Project:**
 - At the request of EC, Process is reviewing layout and language of anticipated system communications (e.g. PAN email)
 - Process is devoting any time needed to ITS on Award so that they can move as quickly as possible.

Special Thanks

THANK YOU!
to the Champions!

- Driving the work of the Process group
- Offering expertise
- Sharing their skills to work through the projects

& to Chris Devries for all his help!

Changes Coming

July, 2018, looking at switching the leadership of the Process group.

- Heather “retiring” as chair
- Working at identifying others with a passion for process and organization
- Chat with Heather if you would like more info! (hmills@umich.edu)

Thank You!

See you in six months....



Uniform Guidance Procurement Update

April 17, 2018 RAAC Committee-at-Large

Top University Impacts

Uniform Guidance Update - Procurement

CFR 200.318 through 200.326 contain the primary procurement related guidance.

- The good news is, the university is currently compliant with most of the sections.
- There have been three major areas of concern.
 - Bid Limit
 - Conflict of Interest
 - Sole Source



Competitive Bid Limit

Uniform Guidance Update - Procurement

Consistent with current university policy, competitive bidding will be required on purchases of \$10,000 or greater.

- At this time the guidance states that the threshold will be \$3,500. However;
 - There is conflicting guidance from federal agencies which support the \$10,000 threshold.
 - 2018 National Defense Authorization Act (NDAA)
 - The FAR is anticipated to increase to \$10,000.
- Many peer institutions have already decided on \$10,000.



Conflicts of Interest

Uniform Guidance Update - Procurement

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

- Primary impacts to the university:
 - Includes real or apparent conflicts of interest.
 - Conflicted parties are expanded to include:
 - Members of employee's immediate family.
 - Spouse / partner.



Sole Source Purchases

Uniform Guidance Update - Procurement

The university's current Sole Source Justification process is consistent with the guidance, with one clarification.

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



Sole Source Purchases

Uniform Guidance Update - Procurement

Point #3 represents a change in practice:

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

In the past the university might permit a specific supplier/product listed in the proposal budget to be justification for a sole source purchase.

- Now under UG, an express authorization in response to the university's written request will be required.



Other Items

Uniform Guidance Update - Procurement

RFP/RFQ requirements;

- Use generic specifications when obtaining quotes.
- Have a documented process for technical bid evaluations.
- RFP's need to be "publicized".
- Include small, minority and women owned businesses when possible.
- Firms that helped draft the bid specification cannot bid on the project.



Other Items (con't.)

Uniform Guidance Update - Procurement

Orders under \$10,000

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



Next Steps

Uniform Guidance Update - Procurement

- Finalize decisions based on OGC input.
- Complete the redline changes of SPG's, standard procedures and working documents. (RFP, RFQ, SSJ, etc).
- Prepare and distribute communications to campus.
- Put into effect by July 1, 2018



Questions?

