

Research Administration Advisory Council (RAAC)

Committee-at-Large

Fairlane Center South Building
19000 Hubbard Dr. Dearborn, MI 48126
Michigan Room
MINUTES

Attendees:

Steve Beach – LSA	Jennifer Huntington – Business	Craig Reynolds – ORSP
Joy Beatty – U-M Dearborn	Melissa Karby – Dentistry	Jane Sierra – Medical School
Beth Brant – Medical School	Karen Kirchner – Nursing	Danielle Smith – LSI
John Cristiano – U-M Dearborn	Charlie Mattison – ISR	Debbie Talley – Sponsored Programs
Cindy Dames – ORSP	Ilir Miteza – U-M Dearborn	Pat Turnbull – U-M Dearborn
Chris DeVries – RAAC	David Mulder – ORSP / Sponsored Programs	Bryan VanSickle – Sponsored Programs
Chris Fick – BEC	Becky O'Brien – Information	Daryl Weinert – UMOR
Cathy Handyside – ITS		

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

Daryl welcomed everyone and thanked Pat and John for hosting the meeting. The group went around the room for introductions.

2. **Welcome to U-M Dearborn** (*Chancellor Domenico Grasso*)

Chancellor Grasso welcomed everyone and thanked the committee for helping with efficiencies and supporting research, and thanked Pat and John for their work in Dearborn. Chancellor Grasso previously served as a Vice President of Research for 4 years, so he appreciates the work it takes to be successful as a research administrator. He is looking to double research activity each year.

Craig asked what administrators need to do to increase productivity to faculty. Chancellor Grasso thought to minimize administrative burden on faculty would be best to let them work on their creativity.

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

Attachment #1

Member Updates:

- Melissa Karby took over as chair for the RAAC Process Subcommittee in July.
- Pat Turnbull is a new member.
- Heather Offhaus (old chair) is remaining as a member.

Project Updates:

Each project presented business cases to the RAAC Executive Committee (EC), with the exception of the Roles and Responsibilities project. The matrix created by the RAAC Process subcommittee was presented to the EC.

Roles and Responsibilities (R&R): Entire Process team.

Phase IV:

- Completed and published on ORSP website.
- Contains related to the non-financial management of projects.

Phase V:

- Includes project closeout of the award.
- Working through the individual items to set a comprehensive list and identify the RASCI assignments.
- Anticipated completion: Winter 2019.

Craig asked two questions: if Phase V pertains specifically to project close-out and if the compliance aspects are part of Phase IV. Melissa responded that there is no real alignment between the Roles and Responsibilities phases and the project lifecycle. Phase V is the compliance phase and also bleeds into closeout/project management.

Business Cases presented:

Automation of OCA activities: Victoria Devulder (Project Champion)

- Highlights from business case include support to move forward with electronic submission and signing of concurrence receipts. Process similar to payment requests. When Duo goes live will be able to proceed.
- More information on websites for what is required to process a subcontract, and ways to access reports. Put more information out for RAs to what is needed to put subcontract together.
- Working with Shared Service Center on Foreign Transaction Form. If statement is contained on the invoice no longer have to replicate form.
- Working with RAAC committees with specific deliverables and other central offices for recommendations.

Project Financial Review & Forecasting: Melissa Karby (Project Champion)

- M-Reports enhancements to automate and forecast in easier way. Include more information, some visualizations, ability to expand account rollups to see the account codes, recommendation to create a repository of the most useful reports.
- Next Steps: Prioritizing recommendations and working with business partners/ITS to consolidate requests.
- Working with UMOR on M-Reports Dashboard.

Budget Template Suite: Kerri Cross (Project Champion)

- Looking at viability for a repository (website) needed for all campus to access.
- Maintenance and stewardship of this repository will need to be identified and implemented.
- Next Steps: Working with other RAAC Committees to find home (including maintenance) for repository.

Internal Funding - Tracking: Danielle Smith (Project Champion)

- Track and identify where faculty have funding.
- Recommendation include forming another taskforce to look into the feasibility and requirements of a centralized system to track internal awards.
- Next steps: On hold until other university projects are completed (i.e., Award Management)

4. ITS / Award Management Update (*Cathy Handyside*)

Attachment #2

Award Management:

Award Management was implemented on August 20, 2018!

System update on September 10, 2018:

- Award Change Request (ACR) function available during award processing. Immediately active now.
- Award Modification system-generated email notifications were updated to include more information including:
 - Modification/amendment name
 - Prime sponsor (if applicable)
 - PI Last Name added to the email subject line.
- Subcontracts tab on the Award Workspace now includes the State of the SUBK.
- Award records have system-generated email notifications when Award go into the state of Compliance Hold.
 - Sent to the U-M PI(s), U-M Sponsor PI, and Primary Post-Award Contact listed on the award.
- An issue when creating an Agreement Acceptance Request (AAR) from an Award was resolved.
- An issue with completed Deliverables receiving past due email reminders was resolved.

Unit Resources:

- Job aides and training
 - Video-based presentation and system demonstrations
 - Step-by-step job aids
 - FAQs
 - eRPM Sandbox

SF424 Update:

- Can sort by different pieces of information.
- Forms:
 - Additional forms transitioned to the new web-based format.
 - Updated forms (with the agency that most frequently sues in parentheses).

Corrected issues:.

- Applications using the PHS398 Modular Budget form, the generated PDF defaulted to show all five periods. This was correct to only show the number of budget periods filled out.
- Two issues with Fellowship applications have been fixed:
 - PHS Fellowship Supplemental Form - generated PDF did not show the NRSA Support data.
 - Progress Report Publication List was required if the application type was resubmission.

Beth asked where the Award Query falls in the queue and if there have been unit inquiries about this. Cathy answered there have not been many inquiries. Cathy recognizes this is a high need. However, it is also high effort and ITS is looking for a single query function that would allow to look over all projects.

Using a Quadrant for upgrade requests.

- Using amount of effort to amount of impact (efficiencies/impact gained). Upgrades/priorities based on quadrant.
- Send requests for upgrades to Chris DeVries or Craig Reynolds.

David asked where internal funding fits in the list of enhancements. Cathy responded that currently, ITS does not have internal funding on the list.

David followed up by asking if Data Warehouse enhancements get prioritized in the same way. Cathy answered that there is a different team working on Data Warehouse, so any enhancements there could be done concurrently with the Award enhancements.

Cathy thanked everyone that participated in user testing and advisory committees with the group to get Award Management released.

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

[3:55 – 4:05]

Single audit:

- Started working on the audit (external audit with PWC) early in April to look at information. Looking to be completed by end of October/early November.

There was a RAPid announcement on Procurement Standards under Uniform Guidance.

- Micro purchase threshold is \$10K bid limit.
- Work with Procurement Services on sole-source purchases.
- There is a lot of information on the Procurement Services website.

Implementation of parental leave – there is a new Parental Leave option for employees; see the ORSP website for more information.

Staff Updates:

- Jill Brisbois – Contract Administrator will be going to Clinical Trial Support Unit.
- Crystal Ginyard – moved to the Shared Services Center (SSC); specifically, the Imaging area.
- Three accountants have moved to LSA and the SSC.
- Will be hiring additional staff in January.

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

[4:05 – 4:15]

Craig thanked everyone for helping with the Award Management transition a success! He also thanked Cathy and team for all the hard work to make it happen.

The Award module is very important to ORSP PRs and support staff, but is a big change and a learning process. It creates a significant positive change and will tie together the compliance story of a single project. PRs need to understand how to interact with IRB and IACUC approval process.

Communications will be going out soon regarding the RPPR process being handled through posted comments.

Change to the PAC-R form:

1. There is a line on the form for mid project advanced (hardship) accounts.

2. Related to Modification to Award – there is additional language if appointing a new PI.

Craig asked the group to spread the word there is a new version of PAC-R.

Standard Operating Procedures:

- Other Support: Faculty are required to supply true information, including internal funds. For example, if faculty are getting money from another university/entity, they need to report it.
- When ORSP will restore a PAF that has been turned down:
 - a) if you have an “award” letter/document (legal document),
 - b) if you have been asked by sponsor to correct proposal previously submitted.
- Gift vs. Grants: If you have an award document and not sure if a gift routed through development or through ORSP, route through ORSP and will look at documentation to determine if gift (cancel the PAF), or sponsored project (continue routing).
- Pre-proposal or PAF: Pre-proposal is a document you won't get funding from. Will not need to route through ORSP if no signature required. Do not want to see any “pre” documents unless they require action.

Becky asked instances where there are multiple departments on a pre-proposal and they would like to capture approvals. Craig answered that ORSP will still take the pre-proposal, but units should let the PR know that this is a special situation.

Staffing Update:

- Eric Ward – doing Data Use Agreements full time.
- Joe Johnson – responsible for some of Tom Zdeba's work.
- Hiring three new Project Representatives on Private Sponsored team: Kate Chie, Lisa Johnson, and Tom Paluchniak.
- Beth Wenner moving over to Clinical Trials.

Procurement Standards/Sole Source (non-competitive) procurements:

- In Uniform Guidance - If you have a sole source procurement and can't justify it, need to go back to agency and get approval or have to bid.
- Can ask ORSP to ask sponsor for prior approval to use specific equipment.

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

[4:15 – 4:20]

Daryl thanked Pat and John for hosting the meeting and the campus tour. Chancellor Grasso is serious about growing their research portfolio, and if the group would help in this mission.

Chris mentioned that Chris Allan sent out survey from RAAC Metrics, and asked the group to please respond as he is requesting the schools/colleges/units what report/data leadership looks for.

Chris will send out the 2019 meeting dates, and is looking for people to host.

Meeting adjourned 4:15 p.m.



Update to RAAC

Process Subcommittee

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



Members

Brant, Beth	Medical School
Cross, Kerri	ISR
DeVries, Chris	ORSP & Sponsored Prog
Devulder, Victoria	Pharmacy
Forsyth, Linda	College of Engineering
Herrick, Teresa	Ross School of Business
Karby, Melissa	School of Dentistry
Maxwell, Terri	ORSP
Nielsen, Tony	ORSP
Offhaus, Heather	Medical School
Pappas, Carolyn	ITS
Smith, Danielle	LSI
Thomson, Anne	LSA
<i>Turner, Corey</i>	<i>Engineering</i>
Turnbull, Pat	UM-Dearborn
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 (Melissa) 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 IV

- Completed and published, Fall 2018

Phase V:

- Process team is working during meetings on Phase V
- Includes project closeout
- Working through the individual items to set a comprehensive list and identify the RASCI assignments
- Anticipated completion: Winter 2019

Near End

Automation of OCA Activities

Champion: Victoria Devulder
Status: Business Case Complete

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

- Highlights from business case include support to move forward with electronic submission and signing of concurrence receipts, including more information on websites for subcontracts like a listing what documentation is required to process a subcontract, ways to access reports for subcontracts
- 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
- Next Steps: Working with other RAAC Committees with specific deliverables and other central offices for recommendations.

Finishing Up

Project Financial Review & Forecasting

Champion: Melissa Karby
Status: Business Case Presented

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

- Highlights from business case: M-Reports enhancements to include more information, recommendation for some visualizations, ability to expand account rollups to see the account codes (akin to the Financial Management Reports), recommendation to create a repository of the most useful reports
- Next Steps: Synthesizing recommendations into priority lists and working with business partners to consolidate requests.

Close to End

Budget Template Suite

Champion: Kerri Cross
Status: Business Case Presented

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

- Business case identified that a repository is needed for all campus to access
- Maintenance and stewardship of this repository will need to be identified and implemented
- Next Steps: Working with other RAAC Committees to find home (including maintenance) for recommended repository.

Ongoing Work

Internal Funding - Tracking

Champion: Danielle Smith
Status: Business Case Presented

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

- Business case recommendation include forming another taskforce to look into the feasibility and requirements of a centralized system to track internal awards
- Next Steps: On hold until other University projects are completed

"On Call"

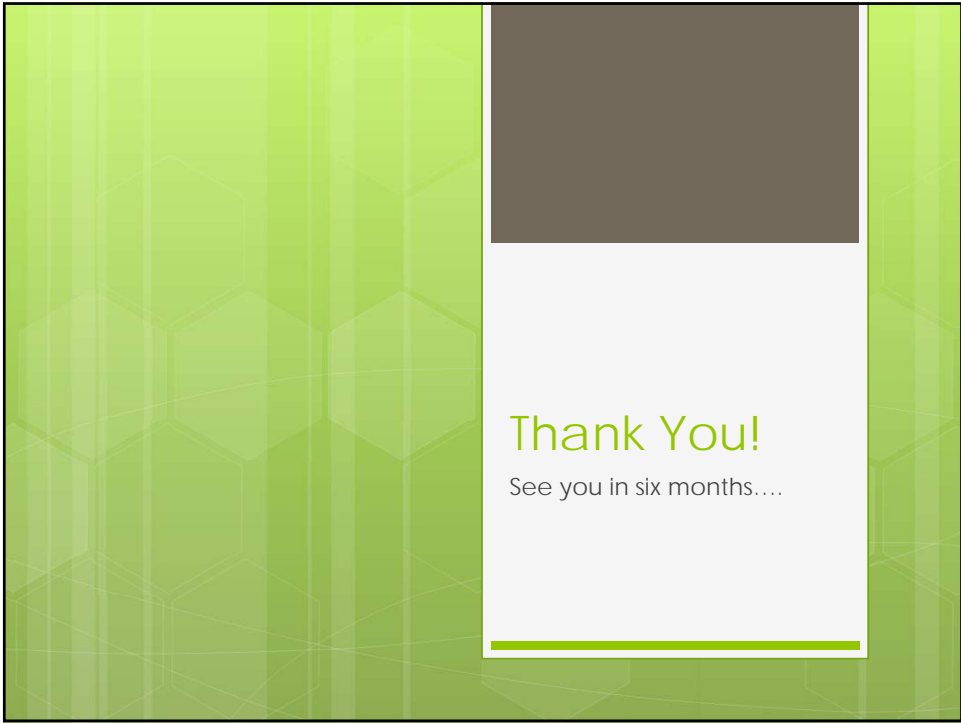
- RAAC Process will continue responding:
 - To changes to electronic systems as proposed/handled for implementation by ITS
 - As requested, with comment on ORSP / Sponsored Program initiatives

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!



Thank You!

See you in six months...

ITS Update

RAAC Committee-at-Large

Cathy Handyside, Assistant Director - ITS Research Administration Systems
September 18, 2018



Topics



- Award Management
- SF424 Update

Award Management



- Implemented on August 20, 2018!
- System Update - September 10, 2018
- Unit Resources
- Future Enhancements Process

System Update - 9/10/18



- **Award Change Request (ACR)** function available during award processing. Previously, this option was only available after the Award went Active.
- **Award Modification** system-generated **email notifications** updated to include more information, including:
 - Modification/Amendment Name
 - Prime Sponsor (if applicable)
 - PI Last Name added to the email subject line
- **Subcontracts tab** on the Award Workspace now includes the State of the SUBK.
- A system-generated email notification for Award records that go into the state of **Compliance Hold**.
 - Sent to the U-M Principal Investigator(s), U-M Sponsor Principal Investigator (if applicable) and the Primary Post-Award Contact listed on the Award.
- An issue when creating an **Agreement Acceptance Request (AAR)** from an Award was resolved.
- An issue with completed **Deliverables** receiving past due email reminders was resolved.

Unit Resources



- Job Aids and Training ([link](#))
 - Video-based Presentation with System Demonstrations
 - Step-by-Step Job Aids
 - Frequently Asked Questions
 - eRPM Sandbox

SF424 Update - 9/2/18



Additional forms transitioned to the new web-based format:

- SF424 R&R Cover Page
- Project/Performance Site Location(s)
- Research & Related Senior/Key Person Profile (Expanded)
- PHS Human Subject and Clinical Trials Information V1.0 (HHS)
 - Added the ability to sort for the following fields:
 - Study Conditions
 - Inclusion Enrollment Reports
 - Interventions
 - Outcomes Measures fields

Updated forms (with the agency that most frequently uses in parentheses):

- ED-900P Proposal for EDA Assistance (Economic Development Agency)
- ED-900F Supplement for Revolving Loan Fund Applications
- ED-900B Beneficiary Information Form
- ED-900D Design and Engineering
- ED-900C EDA Application Supplement for Construction Programs
- ED-900E Calculation of Estimated Relocation and Land Acquisition Expenses V1.0
- NAT Program Specific Data Forms V1.1 (HRSA)



Corrected issues

- For applications using the PHS398 Modular Budget form, the generated PDF defaulted to show all five periods. This was corrected to only show the number of budget periods filled out.
- Two issues with Fellowship applications have been fixed:
 - PHS Fellowship Supplemental Form - generated PDF did not show the NRSA Support data.
 - Progress Report Publication List was required if the application type was resubmission.