

# **Research Administration Advisory Council (RAAC)**

## **Committee-at-Large**

Tuesday, February 18, 2020, 3:00 – 4:30 pm

G18 Wolverine Tower

MINUTES

### **Attendees:**

<b>Chris Allan</b> – ISR	<b>Melissa Karby</b> – Dentistry	<b>Carolyn Pappas</b> – ITS
<b>Steve Beach</b> – LSA	<b>Karen Kirchner</b> – Nursing	<b>Craig Reynolds</b> – ORSP
<b>Beth Brant</b> – Medical School	<b>Heather Kraus</b> – LSA	<b>Jane Sierra</b> – Medical School
<b>Constance Colthorp</b> – ORSP/Sponsored Programs	<b>Patrick Lagua</b> – Dentistry	<b>Nicole Sleight</b> – SSC
<b>Lori Deromedi</b> – UMOR	<b>Mindy LaRocca</b> – SPH	<b>Danielle Smith</b> – LSI
<b>Kathy Devereux</b> – UMOR	<b>Charlie Mattison</b> – ISR	<b>Debbie Talley</b> – Sponsored Programs
<b>Chris DeVries</b> – RAAC	<b>Jan Mitchell</b> – Pharmacy	<b>Pat Turnbull</b> – Dearborn
<b>Stephanie Hensel</b> – Education	<b>David Mulder</b> – ORSP/Sponsored Programs	<b>Rick Wintergerst</b> – Engineering
<b>Teresa Herrick</b> – SEAS	<b>Becky O'Brien</b> – Information	

### **1. Introductions of Members and Guests (*Craig Reynolds*)**

### **2. Presentation: RAAC Metrics Subcommittee Update (*Chris Allan*)      Attachment #1**

Chris A. provided the RAAC Metrics update. Since the last update to the RAAC Committee-at-Large, we have added two new members to our roster – Stephanie Hensel from the School of Education and Rick Wintergerst from the College of Engineering.

#### **Current & Pending Support Web Application**

The working group that was created to help with the application provided good feedback in terms of keeping the project on-track. There was some confusion at the outset as the group focused heavily on the data and where it came from, rather than the utility of the application itself and the sponsor output formats. Many of the data questions raised by the group will be resolved with the creation of an API to pull the data.

The project is currently in a holding pattern as we await the final formats from NIH and NSF. Chris A. sent an update to the working group today letting them know about the status. However, the group will still have access to the application to continue testing and providing feedback. Chris A. is happy to provide access to anyone, but wants to remind everyone that the same data may be obtained using the BusinessObjects report that is available.

#### **Tableau Visualization Catalog**

Chris A. provided a few brief updates on the Tableau catalog of metrics visualizations. First, per a tip from the SSC in relation to the Management Reports, we have added a link to the Tableau User Guide in all of the visualizations.

We will soon be creating metrics visualizations related to the Deadline Policy. We will start by looking at the review type buckets and let folks dig into these metrics first before rolling out additional visualizations.

### RAAC Metrics Charge and Related Activities

Chris A. reviewed the RAAC Metrics charge and how RAAC Metrics meets its goals related to communicating, advocating, and educating.

In terms of how we bring all of the goals together (center of the Venn diagram), we have been working with RAAC Training to create a catalog of all reports in BusinessObjects, Tableau, and to some extent, M-Reports that may be applicable to research administrators. As of today, we have a good plan that we worked to develop with RAAC Training. Our next step is to meet with Information Quest (IQ) to determine if we can leverage the Report Library in M-Reports.

On the educating aspect, RAAC Metrics has made the following additions to BusinessObjects reports, in an effort to help users understand the nature and function of the reports. Namely, we've applied global standards to reports in terms of introducing the report, indicating where the data is housed, and the purpose of the report. We've also added reports by Administrative Home, which may be more useful for RAs. We've also added a report related to the Deadline Policy.

RAAC Metrics has been working to communicate with various groups on campus, many at their request. We met with Dentistry, the Small Schools and Colleges Research Administrators Group (SSCRAG), and the School of Nursing, which included the Research Associate Dean. We will also be sending a RAPid communications with a formal announcement of the Tableau visualizations. We may also include a message about the updated BusinessObjects reports, if they are completed.

In the overlap between educating and advocating, we are still looking at how we can reasonably provide projections to units. We know that this is still a desire and our meeting with the SSCRAG confirmed this. We started looking at how we can accomplish this, but there is a fairly large obstacle. Since it is not possible to obtain data regarding which portion of an award belongs to which department (in the case of awards with multiple departments), this makes projections more difficult. We will continue to explore options and solutions.

As always, please reach out to RAAC Metrics if you would like to meet with us or your leadership, or if you have ideas about what we could work on that would be beneficial.

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

### Staff Updates

Yvonne Sturt will be leaving at the end of this month to join a private, home healthcare company. A posting to find a successor to Yvonne will be up soon. Terri Maxwell will be retiring in May 2020 and a posting to find a successor to her went up today. Sue Murphy, one of our support staff team members will be retiring in a few days. We welcomed a new PR, Hilary Bond, and she started yesterday. We have finished our Associate Director interviews and will be making an offer soon. Finally, we are interviewing for the Project Manager position to assist with International Engagement Security and Compliance. We are looking to get the selected candidate in place as soon as possible.

### Delinquent NSF Reports

If you recall, we mentioned that Rebecca Cunningham received an email from NSF with a list of outstanding progress reports. She also received a follow-up email with additional outstanding reports. However, between the first and second emails, we reduced the number of outstanding reports by 50%. The only remaining problem is that about 50% of the remaining reports belong to the same PIs as those in the first report.

### Deadline Policy

Since we implemented on January 6, 2020, we've had one proposal that did not get submitted. It arrived at ORSP at 4:53 pm on the due date. We also had a proposal that was submitted through another institution rather than U-M, due to the policy. A reminder that if the project team will be submitting the proposal, make sure to run the activity as soon as possible to avoid having the proposal go into the state of "Deadline Missed."

Karen brought up a glitch with a proposal that had an incorrect time stamp on it. Carolyn mentioned that this was an inadvertent mistake on the part of ITS when they were trying to help Nursing resolve a problem manually. This issue has since been corrected.

Jane mentioned that the SF424 forms were down and unavailable over the weekend. In such a situation, is there any consideration for system issues. Carolyn clarified that the forms were down due to an issue that occurred when ITS rebooted the system. ITS was made aware of this and corrected the problem first thing on Monday. Craig responded that having a Help Desk ticket documenting the issue would be sufficient for him to allow a reprieve for the project team.

Becky had an issue with a proposal in FastLane. ORSP was granted full edit and submission rights but the support staff member in charge of the proposal was unable to see it in FastLane. It was subsequently sent back to the project team. The suggestion from ORSP was that project teams can always call to confirm that ORSP has access to submit the proposal. However, in this situation there was nothing the project team could do except reverse then resubmit the proposal in order for ORSP to have access. Craig responded that contacting ORSP is always advised, and to the extent project teams can document the issues, this will help with ORSP allowing some leeway in terms of the deadline.

### NSF and SciENcv

Craig let the group know that there is a webinar available featuring Jean Feldman from NSF. Teresa commented that the webinar mentioned the fact that the Current and Pending Support templates will be available soon, but that they are not available yet.

### International Research

A reminder that there are two more Town Halls related to International Research / Foreign Engagements this week – one at the Medical School; the other at the School of Dentistry.

ORSP has revised the JIT request and RPPR documents that are sent to project teams, to include language related to foreign components. We will also be updating the PACR form with the next system update, to include an item related to foreign components.

Craig will be at COGR next week, and there will be an opportunity to ask questions of the NIH and NSF Policy Office representatives. Criag will be asking them to clarify what does not constitute "other support," given that their respective definitions are vague and could logically include nearly everything related to a faculty member's research. Karen mentioned that there is some confusion on the part of the project teams in terms of what needs to be disclosed on the Other Support forms versus what needs to be disclosed in M-Inform. Danielle added that she has been

provided conflicting information from sponsor Program Officers. Craig asked that in these situations, project teams inform the Program Officer that they are following their institution's guidance. If there are further questions, you may direct the Program Officer to contact Craig directly.

Jan asked about faculty who are supported by NIH-like groups in foreign countries (e.g., Canada). In these cases, should that support be disclosed in M-Inform. Lori responded that yes, this is very likely. Craig added that he will confirm and get back to Jan.

Craig let the group know that the PI Sign activity in the PAF will be redesigned. It will likely require that all investigators (not just the PI) sign the attestation. Additionally, it is likely that it will soon be required that all federal funding be disclosed in M-Inform. More information will be forthcoming.

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

Attachment #2

Carolyn let the group know about the following upcoming system updates:

- eRPM – March 9, 2020
- SF424 (Grants.gov) – March 21, 2020
- SF424 (Grants.gov) – May 2020 (exact date TBD)

##### eRPM March Update

- *Deadline Policy Related*
  - In the Reviewer Inbox, Approved tab, there will be a separate lister for proposals in the state of "Awaiting Final Proposal." The PAF ID, Name, Date Modified, State ("Awaiting Final Proposal"), PI, Dept, Sponsor Name, Submission Deadline, Target Date, and PR will be shown.
  - The Update Submission Deadline activity now includes a "No Submission Deadline" checkbox, and the "Update Submission Deadline" field will only accept dates that are today or later.
  - There is a new message in the "Awaiting Final Proposal" state which directs the user to contact the school/college/institute-level office if changes to the PAF are needed at this stage.
- *Award Enhancements*
  - Hold emails now contain the Hold Comments related to the hold. Compliance holds also contain an explanation about the hold and links to the Compliance Offices.
  - There are three new workspace messages for awards and modifications:
    - Agreement Acceptance Request in Progress
    - One or more of the sponsors is on the Restricted Party list
    - Multiple Principal Investigators
  - Added a new Type to the Post Award Change Request for Foreign Component
  - Added Project Period Start and End Dates and NCE Processed flag to the "\$\$\$" tab.

##### SF424 March 2020 Release

This release will include support for the new FORMS-F set, whose release is forthcoming. There will also be other bug fixes and small enhancements. This includes a fix to erroneous fringe benefit validation and a new warning on Validate Activity to indicate the FOA closing date has passed.

## SF424 May 2020 Release

This release will include implementing an updated set of SF424 forms with a new standard for Country and State Codes. The vendor will also be providing the first of two forms updates with this release.

### **5. Sponsored Programs Update (*Debbie Tally*)**

Debbie thanked everyone and their respective teams for helping Sponsored Programs get 95% of the 2,300 reports submitted before the end of 2019.

The single audit was submitted the first week of February 2020. There were no findings.

So far, we have not seen any negative impacts related to the updated Uniform Guidance (UG), but we will get more information about this at COGR.

In January, we had five new staff members join Sponsored Programs – 3 accountants and 2 interns. We also have a student temp helping the Navigate team. He will be working on developing the RA Competencies model web page and the faculty portal.

### **6. Matters Arising (*Craig Reynolds*)**

Craig let everyone know that Cathy Liebowitz from ISR will be taking over the RAAC Communications Chair role, as Becky O'Brien's term has ended. Thanks very much to Becky for her service!

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

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#### **RAAC Committee-At-Large Meeting Dates**

- Tuesday, March 17, 2020, 3:00 – 4:30 pm, B5570/B5580 Blau Building (Ross School of Business) (*Melissa Karby*, RAAC Process Subcommittee)
- Tuesday, April 21, 2020, 3:00 – 4:30 pm, 2001 LSA Building (*Judy Carrillo*, RAAC Training Subcommittee)
- Tuesday, May 19, 2020, 3:00 – 4:30 pm, Location TBD (*Cathy Liebowitz*, RAAC Communications Subcommittee)

#### **Executive Committee Meetings**

Wolverine Tower, Conference Room 1025 (unless noted)

- Tuesday, March 10, 2020
- Tuesday, April 14, 2020
- Tuesday, May 12, 2020

# RAAC Metrics Subcommittee

update to RAAC committee-at-large  
February 18, 2020  
@ Wolverine Tower



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Michigan Money Council  
Michigan Dept. of Treasury

## Today's agenda

- RAAC Metrics members
- Current & Pending Support web application
- Tableau visualization content
- Update on some of our objectives and activities
- Questions/discussion

### Agenda

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87 views · 02:00

Effect

76 views



Submission Dollars

18 views · 02:00

Resear

14 views

## RAAC Metrics membership

- Chris Allan, chair ([ISR](#))
- Steve Beach ([LSA](#))
- John Cristiano ([Dearborn](#))
- Chris DeVries ([RAAC](#))
- Laura Dickey ([ORSP](#))
- \*Stephanie Hensel ([School of Education](#))
- Jennifer Huntington ([School of Business](#))
- Adam Mall ([Sponsored Programs](#))
- Vasu Ramani ([ITS](#))
- Mike Randolph ([ITS](#))
- Kristen Rea ([LSA](#))
- Rachael Ristau ([Engineering](#))
- Susan Sica ([Medical School](#))
- Amy Webb ([ORSP](#))
- Beth Wenner ([ORSP](#))
- \*Rick Wintergerst ([Engineering](#))

*\*new member since last update*

## Current & Pending Support web app

- Campus working group provided good feedback to start in good direction
- Status: in holding pattern as we await changes from NIH/NSF

## Tableau visualization catalog

### Tableau visualizations

- Added Tableau User Guide to existing reports
- In-progress - Deadline Policy metrics
- Coming soon - Budget Period Funding

### COMMUNICATE

networking related to reporting

outreach regarding reporting needs

reporting best practices

stay informed of central office initiatives

### ADVOCATE

involvement early on with process changes

datasets curated for specific needs

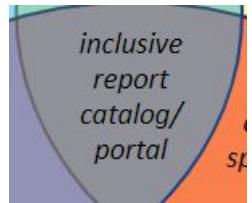
process changes to fill data gaps

### EDUCATE

expand Lunch & Learn for Tableau, Report Catalog, BusObj labs

BusObj starter reports

## Bringing it all together



- “We just want data and don’t care where it is.”
- Collaboration with RAAC Training
- Status: meeting with ITS Information Quest about possibility of using existing Report Catalog in M-Reports

## Educating

*expand Lunch & Learn for Tableau, Report Catalog, BusObj labs*

*BusObj starter reports*

**EDUCATE**

- Review of current BusinessObjects offerings
  - Folder structure in BusinessObjects
  - Apply additional standards to reports
  - Add reports by Admin Home
  - Add Deadline Policy report

## Communicating

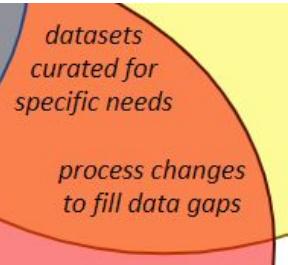
**COMMUNICATE**

*networking  
related to  
reporting*

*outreach  
regarding  
reporting  
needs*

- On-campus meetings (Dentistry, SSCRAG, Nursing)
- Spreading the word (finally) with a formal announcement of the Tableau visualization catalog (e.g. via RAPid alert) - would this be useful?

## Educating and Advocating



- Projections...
  - Still a desire from campus units
  - Began looking at “how”, which leads to the struggle of identifying how much of a proposal/award belongs to a unit

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Administration Advisory Council

Summer, 2016

## Questions/ Discussion

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87 views



0



Effective Indirect Rate

76 views



0



Submission Dollars

15 views



0



Research Expenditures

14 views



0

Feel free to contact any of the RAAC Metrics members or send an email to [RAAC.Metrics@umich.edu](mailto:RAAC.Metrics@umich.edu).

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

# ITS Update

RAAC Committee-at-Large

**Carolyn Pappas** - ITS Research Administration Systems  
February 18, 2020



## Upcoming System Updates



- eRPM - March 9, 2020
- SF424 (Grants.gov) - March 21st
- SF424 (Grants.gov) - May - exact date TBD



# eRPM March Update

- **Deadline Policy Related**
  - Added the "Awaiting Final Proposal" state to Reviewers Inbox
  - Update Submission Deadline Date and Activity
  - New workspace message in "Awaiting Final Proposal"
- **Award Enhancements - Quick Wins**
  - Update Hold and Compliance Hold email text
  - Three New Award and Mod Workspace Messages
  - Award Change Request (ACR): New Foreign Component as a Post-Award Change Type
  - Can't create a Hardship on a PAF if Award has been created
  - Added project period start and end date and NCE indicator to \$\$\$ tab
- **Export Controls - Technology Control Plans (TCPs)**
  - Update to Security Measures Page & Other minor help updates



## Deadline Policy: Awaiting Finalization

- **Reviewer Inbox, Approved Tab - Awaiting Finalization lister**
  - lists ID, Name, Date Modified, State (Awaiting Final Proposal), PI, Dept, Sponsor Name, Submission Deadline, Target Date, PR

PAFs	SUBKs	UFAs	Agreement Acceptance	Upcoming	Approved	Submitted to Sponsor	Active/Pending
Awaiting Finalization							
Filter ?	ID	▼	Enter text to search for	Go	+ Add Filter	✖ Clear All	
ID	Name		▼ Date Modified	State	PI	Dept	
20-PAF00040	mikeran - New PAF - Tue Oct 29 13:07:25 EDT 2019		2/10/2020 4:01 PM	Awaiting Final Proposal	Smith	Otorhinolaryngology De	
1 items			◀ page	1	of 1	▶	



## Deadline Policy: Submission Deadline

- Earliest **Update Submission Deadline** date is **today**
- Added checkbox for **No Sponsor Deadline** to the activity

**Update Submission Deadline**

**Purposeful Manipulation and Perception in Multi-bin Clutter (19-PAF03837)**

Use this activity to update the submission deadline. Updating the submission deadline will also update the ORSP Full and Limited Review deadlines.  
Enter the updated submission deadline and comments.  
Click OK to update the deadline. Click CANCEL to cancel this activity and close the window.

**Submission Deadline:**

Updated Submission Deadline:  → = or > Today

**or No Sponsor Deadline:**

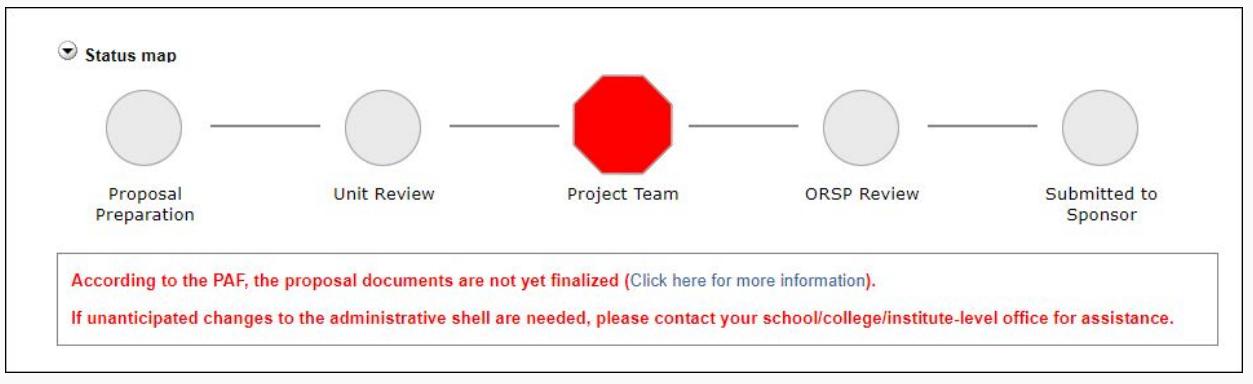
**Comments:**

**OK** **Cancel**



## Deadline Policy: New Workspace Message

- New PAF Workspace Message in “Awaiting Final Proposal” State
  - Instructions to contact school/colleges/institute if changes to the PAF are needed.



# Award Enhancements: Hold Email Updates



- **Hold emails**
  - added **Hold Comments** and [Job Aid](#) link
  - [example email](#)
- **Compliance Hold emails**
  - added explanation, links to Contacts, and [Job Aid](#)
  - [example email](#)

From: <[eresearch@umich.edu](mailto:eresearch@umich.edu)>  
Date: Thu, Feb 13, 2020 at 3:33 PM  
Subject: Funding ON HOLD Pending PI/Project Team Action: AWD011331 (Principal)  
To: <[eresearchpm-test@umich.edu](mailto:eresearchpm-test@umich.edu)>

Action may be required. Please do not reply to this message.

The Award referenced below was placed on hold by your ORSP Project Representative. Please review this Award's reason(s) for hold below and note that funding will not be released until the issue(s) have been resolved.

Job Aid: [Compliance Status and Holds](#)

**Hold Comments:**

Please complete the relevant PEERRS modules.

**Award hold reason(s):**

Program for Education and Evaluation in Responsible Research and Scholarship (PEERRS)

From: <[eresearch@umich.edu](mailto:eresearch@umich.edu)>  
Date: Wed, Feb 12, 2020 at 12:01 PM  
Subject: Action May Be Required: Award moved to Compliance Hold AWD011167 (Principal)  
To: <[eresearchpm-test@umich.edu](mailto:eresearchpm-test@umich.edu)>

Action may be required. Please do not reply to this message.

A **Compliance Hold** has been placed on the Award referenced below due to one or more outstanding regulatory requirements. Funding will not be released until the compliance items indicated in the Award have been satisfied. Click the AWD link below and review the Compliance Status box to see the reason for the Compliance Hold. **Contact the appropriate regulatory office if you have questions.** ORSP cannot release Compliance Holds.

[Regulatory Office Contacts \(e.g., COI, IRB\)](#)  
[EHS Contacts \(e.g., RPC/Radiation Safety\)](#)  
Job Aid: [Compliance Status and Holds](#)

# Award Enhancements - Quick Wins



- Three New Workspace Messages for Awards & Mods
  - **Agreement Acceptance Request in Progress - see link on AWD Terms tab.**
    - Check the state of the AAR to see if you have an action item.
  - **One or more of the sponsors is on the Restricted Party list.**
    - Project Team should expect to hear from a PR. If not, reach out to PR to see if any action is to be taken.
  - **Multiple Principal Investigators**
    - NIH defined term. (Not regarding projects with PIs and Co-PIs)

Main	Mod/ACR	Activity Log	\$\$\$	Deliverables	Terms	Contacts	Compliance	SUBKs	Related Reco
Principal Investigator(s):	Jane Doe	UM Principal Investigator							<p>Agreement Acceptance Request in Progress - see link on AWD Terms tab.</p>
Primary Post-Award Contact:	Bob Administrator	734-889-7784, <a href="mailto:email@umich.edu">email@umich.edu</a>							<p>One or more of the sponsors is on the Restricted Party list.</p>
Administrative Home:	Michigan Dept,	999999							<p>Multiple Principal Investigators</p>
Project Representative:	Daniel Garber	, 734-764-2308, <a href="mailto:dgarber@umich.edu">dgarber@umich.edu</a>							
Project/Grant Coordinator:	Prentiss Laich	, 734-763-6484, <a href="mailto:prentiss@umich.edu">prentiss@umich.edu</a>							
Prime Sponsor:	McCance Family Foundation	522105							
									<p>Compliance Status</p> <p>COI Personnel Approval</p> 



# Award Enhancements - Quick Wins

- Post Award Change Request - New Type for Foreign Component

Please select what type of request you are sending to ORSP\*:

Name

ORSP Action Request

Post Award Change Request (Modification)

[Clear](#)

<input type="checkbox"/> Transfer to New Dept ID	Transfers and Other Changes
<input type="checkbox"/> Transfer to New Institution	Transfers and Other Changes
<input checked="" type="checkbox"/> Foreign Component	Transfers and Other Changes
<input type="checkbox"/> Other	Transfers and Other Changes



# Award Enhancements - Quick Wins

- Award \$\$\$ Tab

- includes Award Project Period Start and End Dates and NCE Processed flag

Main	Mod/ACR	Activity Log	\$\$\$	Deliverables	Terms	Contacts	Compliance	SUBKs
M-Reports Award Link: AWD005440								
Project/Grants (P/G):								
P/G	Title			P/G Short Code		Cost Share P/G Short Code		
F048213	YY -Phase II IUCRC UM: C-UAS			Empty				
N024859	389521- Sub of F048213- Industry Fees Only			389521				
Project Period Summary:								
Project Period Start Date		Project Period End Date		NCE Processed (yes/no)				
9/1/2017		8/31/2022		no				
Budget Period Summary:								
Start Date	End Date	Project/Grant	Direct	Indirect	Total	Associated PAF		
View 9/1/2017	8/31/2018	N024859	\$40,000.00	\$4,000.00	\$44,000.00	18-PAF03709		
View 9/1/2017	8/31/2018	N024859	\$40,000.00	\$4,000.00	\$44,000.00	18-PAF03701		



## SF424 - March Release

- Support For NIH's FORMS-F
  - <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-20-026.html>
  - <https://grants.nih.gov/grants/electronicreceipt/files/high-level-form-change-summary-FORMS-F.pdf>
- Other Bug Fixes and small enhancements
  - Resolved an issue on the SF424 R&R Detailed Budget with erroneous Fringe Benefit validations. An error in one budget period was triggering an error on all multiple budget periods.
  - New warning on Validate Activity to indicate the FOA closing date has passed. Will not prevent activity from executing.



## SF424 - May Release

- Updated Set of SF424 Forms with new standard for Country & State Codes
  - Will be used by Grants.gov starting on May 15th
  - Affects about 31 Grants.gov Forms
- Vendor will provide forms updates in two batches. Most common forms will be completed by May.
  - Second batch of forms are less common and will be updated in Fall of 2020.