Welcome to RAN!

May 19, 2021
Research Administrators’ Network (RAN) Meeting
Welcome!

RAAC Communications Subcommittee

- Constance Colthorp (ORSP/Spon Progs)
- Cindy Dames (ORSP)
- Lori Deromedi (UMOR)
- Chris DeVries (ORSP/Spon Progs)
- Dan Green (LSA)
- Cathy Liebowitz (ISR)
- Amy Lingle (Engineering)

- Daniela Marchelletta (ORSP)
- Sarena Nuttall (Med School)
- Becky O’Brien (UMSI)
- Sally Sivrais (Med School)
- Ashley Tyler (Spon Progs)
Meeting notes & details

- This event is being recorded.
- Participants’ video and microphone are automatically muted. Chat is disabled.
- Live captioning is turned on (you can disable this using your settings).
- You can submit questions via the Q&A function.
- We acknowledge that the University of Michigan is located on the territory of the Anishinaabe people.
Our agenda

What we have planned for you today

- Presentations:
  - Effort
  - NIH Biosketch and Other Support Changes
  - DEI UROP Survey Results
- Updates: ORSP, Sponsored Programs, ITS

“Success is dependent on effort” – Sophocles
Quick poll – Attendee Information

- This poll is anonymous.
- Tell us about your primary research administration roles (select all that apply)
- Tell us about your effort-related activities (select all that apply)
Community kudos

2021 UMOR Staff Recognition Awards

- Exceptional Service Award - April Pepperdine
- Research Administrator Recognition Award - Becky O’Brien
- Research Technical Staff Recognition Awards - David Paris and Caleb Smith

NCURA 2021 Julia Jacobsen Distinguished Service Award - Sue Kelch

Association for the Accreditation of Human Research Protection Programs (AAHRPP) Distinguished Site Visitor Award - Judy Birk
Our Emcee

From the Medical School
Office of Grants Services & Analysis,
Heather Offhaus, Director

- 25 years of service at U-M
- Committed to advancing resources and tools for RAs
- Worked on U-M’s electronic research administration systems
- Research Administration Advisory Committee member (RAAC)
- Research Administration Schools & Colleges group (RASC) member
- National Council of University Research Administrators (NCURA)
Our Emcee

Heather Offhaus

- Lives in Fort Wayne, IN with her spouse, 2 kids, 1 dog
- Two degrees - Bachelor of Music with dual minor in math and sciences; Master of Music Performance (orchestral)
- Hair Harvester - donates hair
- Passionate about Effort, at U-M and nationally
A bit on effort... in a nutshell

Heather Offhaus, Grant Services & Analysis
Medical School
What does effort mean...

- How someone spends their time
- Although we talk about effort as a %, you have to know the hours associated
- Keep in mind: the number of hours in a work week varies by individual

\[
\frac{\text{# hours on activity}}{\text{# hours in week}} = \text{effort}
\]
It comes in all shapes and sizes

- Calendar Year
- U-Year (9 month, 10 month)
- Summer appointments (e.g. 1.5, 2, 2.5 months)
- Reduced appointments
But it is all the same “whole pie”

Regardless of FTE, a person has 100% effort to distribute
Thinking about Effort (*Linear Example)

- **PROPOSAL:** We offer Commitments
- **AWARD:** Commitments Become Obligations
- **Commitment Setup**
- **Commitments are Fulfilled**
- **Tracking and Management**
- **Documentation & Reporting of Fulfillment**

Lifecycle of a Grant
Talking about Effort Certification

- Cheryl Soper
- Jim Mettlach
- Barb Olson
Jim Mettlach

Director of University Payroll

- Responsible for time keeping, taxes / other deductions, appointment related services, retroactive payments and distribution transfers, and off-cycle payments.
Cheryl Soper

Controller and Director of Financial Operations

- Responsibilities include financial reporting, payroll, student accounts, accounting operations, investment accounting, and executive office business services
Barb Olson

Business Systems Analyst, Payroll

- Administers the effort certification process
- Main contact for certifiers & administrators
- Processing discretionary additional pay batchload files, allowing variable funding effective dates for the entire university
Effort Certification

May 19, 2021
Research Administrators’ Network (RAN) Meeting
Cheryl Soper, Controller and Director of Financial Operations
Jim Mettlach, Payroll Director
Barb Olson, Business Systems Analyst, Payroll Office
Agenda

- Background
- Process and Timeline
- Best Practices
- Resources and Contacts
As a recipient of federal funding, U-M is required to comply with the OMB’s *Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards* (“Uniform Guidance”)

- Charges to federal awards for salaries and wages must be based on records that accurately reflect the work performed
- Records must be supported by a system of internal control which provides reasonable assurance that changes are accurate, allowable, and properly allocated
- Internal controls must include processes for after-the-fact review of charges to federal awards based on estimates
After-the-fact effort certification is used for employees to attest that salaries and wages charged (or cost-shared) to sponsored projects are reasonable and consistent with the portion of total effort:

- Proportional distribution of 100% of employee’s university effort
- Includes all activities
- Percentage of time, not hours

By signing, an employee certifies that effort percentages shown in the Effort Certification Report are reasonable in relation to work performed for the time period.
Employees are required to certify effort if they:

- Perform sponsored activities
- Are compensated by cost sharing related to sponsored activities
- Are a Medical School faculty member who holds an MD
## How and When is Effort Certified

<table>
<thead>
<tr>
<th>Who</th>
<th>How to Certify</th>
<th>When Reports Become Available</th>
<th>Certification Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty and Staff</td>
<td>Employee Self Service</td>
<td>April 1</td>
<td>August 15</td>
</tr>
<tr>
<td>Graduate Students (GSRA, GSI, GSSA)</td>
<td>Employee Self Service</td>
<td>Winter Term – Jan 1 Spring/Summer Term – May 1 Fall Term – Sept 1</td>
<td>April 30 August 31 December 31</td>
</tr>
<tr>
<td>Need to recertify</td>
<td>Employee Self Service</td>
<td>Day after DBE PAR approved</td>
<td>After administrator receives email</td>
</tr>
<tr>
<td>Unable to certify or re-certify before inactivation</td>
<td>Administrator directed “As Needed Process”</td>
<td>N/A</td>
<td>Date of termination or lay-off status</td>
</tr>
<tr>
<td>Temporary Employees</td>
<td>Bi-Weekly Time Report</td>
<td>N/A</td>
<td>Payroll Cut-Off</td>
</tr>
<tr>
<td>Non-Instructional Sponsored Pool</td>
<td>Monthly / Bi-Weekly Time Report</td>
<td>N/A</td>
<td>Payroll Cut-Off</td>
</tr>
</tbody>
</table>
Proactive Outreach and Monitoring

▪ Advance communication to Certifiers and their HR Administrators
  • Six weeks prior to due date, initial emails from U-M Controller explain importance and how to certify online and monitor unit progress
  • Two weeks prior to due date, reminder emails from Payroll Office

▪ Follow-up communication for any certifications not received by due date
  • Certifier and HR Administrator
  • BAG member
  • Dean’s Office HR Administrator

▪ Expectation is 100% compliance
  • Auditors monitor closely and issue audit findings for unsatisfactory results
How to Adjust Effort Percentages

- Determine reasonable effort percentages for activities
- Change Department Budget Earnings (DBE) via Personnel Action Request (PAR)
  - If effort previously certified, Department Administrator receives email about need to recertify when DBE change has been approved by PAR Final Approver
  - Department Administrator responsible for notifying Certifier to recertify
- Certifier reviews and recertifies the new Effort Certification Report online via Wolverine Access - Employee Self Service
As-Needed Certification

- If Non-Active status on job data, an As-Needed Effort Certification Report is used to certify or re-certify
  - Non-Active status includes Terminated, Reduction in Force, or Leave of Absence

- To generate, HR Administrator accesses M-Pathways HCM via Wolverine Access - University Business
  - As-Needed Report requires manual signature by Certifier
  - If alternate signer necessary, prior approval required from Payroll Office (via email at effort.reporting.payroll@umich.edu)
    - Alternate signer must have direct knowledge of the work performed by Certifier

- Possible future IT enhancements include enabling online As-Needed certification
Be sure to use correct start and end dates
  • For graduate students, start-date is first day of term student is certifying (1/1/yy, 5/1/yy, or 9/1/yy) and end-date is last day of the term, or last day worked, whichever is later
  • For regular employees, start-date is first day of fiscal year employee is certifying (7/1/yy) and end-date is last day of fiscal year, or last day worked, whichever is later

When an employee transfers from one unit to another, not necessary to process an As-Needed report since employee is still active

When a terminating employee’s effort is split between two departments, the report needs to be run for the individual as a whole and signed by alternate signers from both departments
Peer Tips for Timely Certification

- Monitor your unit’s effort reporting by running the Effort Certification Status Report in Wolverine Access on a regular basis.
- Use the Status Report to create a spreadsheet to track those who need to certify or recertify, so you can notify them.
- Establish an internal deadline that is earlier than the actual deadline to ensure timely certifications.
- Send reminders to Certifiers and/or Managers leading up to the due date via emails/newsletters.
Peer Tips for Timely Certification (continued)

- Offer annual training sessions

- Set up filter for re-certification emails that forward them to designated individuals

- Upon processing termination PAR, check if effort certification is required and ask individual to certify before leaving the university

- Request employees email you when done certifying, and remember to thank them!
Best Practices for Efficient Effort Certification

- Process appointment and DBE changes in a timely manner throughout the year, as soon as they are known
- Work collaboratively when you share joint appointments
- Perform monthly reconciliations
- Be a resource to, and seek feedback from, your unit and peers
- Educate Certifiers in your unit
  - Employees should periodically review the PREVIEW Effort Certification Report available in Wolverine Access under Employee Business
- Review certification status as part of the off-boarding process
  - Run As Needed Reports when employees terminate, if necessary
- Contact us if you need assistance
Resources

- **Effort Reporting and Certification**
  - Policy and Procedures: [finance.umich.edu/finops/payroll/faculty/effort](finance.umich.edu/finops/payroll/faculty/effort)
  - Standard Practice Guide: [spg.umich.edu/policy/501.10](spg.umich.edu/policy/501.10)

- **Retroactive Salary Transfers**
  - Policy and Procedures: [finance.umich.edu/programs/rules/retroactive-salary-transfers](finance.umich.edu/programs/rules/retroactive-salary-transfers)
  - Standard Practice Guide: [spg.umich.edu/policy/501.09](spg.umich.edu/policy/501.09)

- **Internal Controls Gap Analysis and Procedure Templates**
  - Employment Process: [finance.umich.edu/controls/tools](finance.umich.edu/controls/tools)

- **Uniform Guidance**
  - [ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl](ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl)
Barb Olson
Business Systems Analyst
Email: bjolson@umich.edu
Phone: 615-4881

Lisa Engel
Accounting Supervisor
Email: lengel@umich.edu
Phone: 647-3988

Email: effort.reporting.payroll@umich.edu
How can you support the effort certification process?

- Great understanding of proposal, award terms, and sponsor expectations
- Timely requests for effort changes in the HR system
- Early and often reviews of effort on sponsored projects with faculty and staff
Effort is how time is spent, not how paid
Effort > $ Charged to a Project
(institutional commitment)

Effort = $ Charged to a Project

Effort < $ Charged to a Project
Quick Case Study

Prof Good is successful with her latest NIH application and has a new sponsored project with effort. But no departmental research time available…

How do you advise her?
Possible Solution

Distribution?

- Possible to reduce administration and grant writing with only the unit being in the discussion
- Changes to other sponsored projects (e.g. NASA) triggers conversations with sponsors
- Everything has to be there, and everything has to fit
It’s the truth!

Don’t say you don’t have enough time. You have exactly the same number of hours per day that were given to Helen Keller, Pasteur, Michelangelo, Mother Teresa, Leonardo da Vinci, Thomas Jefferson, and Albert Einstein.

H. Jackson Brown, Jr.
Update: NIH Biographical Sketch and Other Support Requirements

May 19, 2021
Research Administrators’ Network (RAN) Meeting
Craig Reynolds, Assistant Vice President for Research – Sponsored Projects
Absent/conflicting/inconsistent guidance from multiple sources confusing at best.

- NIH Guide Notice NOT-OD-21-073 (03/12/21)
- NIH Guide Notice NOT-OD-21-110 (04/28/21)
- FAQs updated/added to; when is unknown
- NIH Nexus Newsletter (05/05/21)
- Various public statements, closed meetings, and directed emails from NIH officials
Biographical Sketch Changes
Biosketch Changes

For proposals and RPPRs submitted on/before 01/24/22:
- Use old Biosketch format (templates available) OR
- Use new Biosketch format (templates available) OR
- SciENcv Biosketch

For proposals and RPPRs submitted on/after 01/25/22:
- Follow new Biosketch format (templates available) OR
- Use SciENcv Biosketch
- Non-compliance may cause NIH to withdraw your application from consideration
Biosketch Changes

- Separate forms and instructions for fellowships and non-fellowships

- Regardless of form, provide required information
Biosketch Changes

- Section B “Positions and Honors” renamed “Positions, Scientific Appointments and Honors”
  - List in reverse chronological order
  - List all positions and scientific appointments, both domestic and foreign, whether or not remuneration is received, and whether full-time, part-time, or voluntary (e.g., adjunct, visiting, or honorary).
Biosketch Changes

- Section D on research support “removed” (actually moved to Other Support)
- Personal Statement (Section A) may highlight ongoing and completed research projects from the past three years.
Other Support Changes
Other Support Changes

● For JITs and RPPRs submitted on/before 01/24/22:
  ○ Use old Other Support format (templates available) OR
  ○ Use new Other Support format (templates available)
  ○ Reporting requirements unchanged

● For JITs and RPPRs submitted on/after 01/25/22:
  ○ Use SciENcv Other Support (release this fall) OR
  ○ Use new Other Support format (templates available)
  ○ Non-compliance may cause NIH to withdraw your application from consideration
Other Support Changes

- Separate sections for Project/Proposal Support and for In-Kind Other Support
- Consider In-Kind lab resources as follows:

<table>
<thead>
<tr>
<th>Person, Equipment, Samples, Materials, etc</th>
<th>Facilities &amp; Resources</th>
<th>Other Support</th>
<th>Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>Access to, but not needed on, project</td>
<td></td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>Used on project, but not charged to project</td>
<td></td>
<td>x</td>
<td></td>
</tr>
<tr>
<td>Budgeted to charge to project</td>
<td></td>
<td></td>
<td>x</td>
</tr>
</tbody>
</table>
Other Support Changes

- Completed Support for the last 3 years must be reported in Project/Proposal Support section (but not in In-Kind).

- Outside activities (e.g. consulting, visiting professorships) must be reported as Other Support if senior/key person is conducting research as part of the outside activity.
  - NIH’s unofficial litmus test for “conducting research” seems to be publication authorship

- Gifts do not count as Other Support unless donor expects anything in return (e.g. time, services, research).
Other Support Changes Effective Jan. 25, 2022

“Supporting documentation” requirement

- Copies of any agreement for an investigator’s appointment/employment with a foreign entity must be submitted if appointment/employment is a source of current Other Support (i.e., not applicable to Completed Support).
- Translated copy must be provided if not in English
- Machine translations acceptable
“Supporting documentation” continued

- Confidential information may be redacted but key provisions including award amounts and/or time and effort devoted to the activity must be provided.
- Internal process and expectations for review of foreign contracts prior to submission to NIH TBD.
- NIH may request supporting documentation prior to 01/25/22 if necessary
● Each senior/key person must electronically sign a PDF of their Other Support prior to submission.
● Signed PDF must be “flattened” prior to submission.
RAAC DEI Workgroup
UROP Research Support

May 19th, 2021
RAN Meeting
Zeina Reda
At the University of Michigan, roughly 84% of research administrators identify as white. With the university’s DEI initiative permeating academic spaces, there is a need to evaluate DEI consciousness among research administrators.

This study aims to assess

- The awareness and needs of research administrators in terms of diversity and inclusion in their individual work setting
- The effectiveness of the university’s DEI efforts at an institutional level.

The study serves to further inform how the RAAC DEI Workgroup can promote its mission to develop, foster, and guide a diverse and inclusive research environment at the University of Michigan.
Survey Methodologies

Areas of focus in the survey are:

❖ Personal Demographics
❖ Assessing Workplace Diversity and Experiences
❖ Evaluating the Institution
❖ Next Steps

Survey Distribution:

❖ Target population - Research Administrators at U-M
❖ Type - online, anonymous survey
❖ Platform - Google Forms
❖ Duration - around 4-5 minutes to complete
❖ Format - multiple choice, 5-point likert scale, and open-ended questions
Personal Demographics
Total Responses (n) = 150

- White: 82.7%
- Asian: 4.7%
- Prefer not to Say: 3.3%
- Black/African American: 2.7%
- ME/NA: 2.7%
- Hispanic/Latix/Spanish Origin: 2%
- American Indian or Alaskan Native: 0.7%
- Biracial/Multi-racial: 0.7%
- Other: 0.7%
- Native Hawaiian or Pacific Islander: 0%

Race Minority Response = 20

- Asian: 35%
- Black/African American: 20%
- ME/NA: 20%
- Hispanic/Latix/Spanish Origin: 15%
- American Indian or Alaskan Native: 5%
- Biracial/Multi-racial: 5%
Total Responses (n): 151

- **50-59**: 33.1%
- **40-49**: 27.8%
- **30-39**: 18.5%
- **60+**: 14.6%
- **25-29**: 4%
- **Prefer Not to Say**: 2%
- **18-24**: 0%
Assessing Workplace Diversity and Experiences
“My work environment is diverse in its composition”

Total Responses (n): 151

(1) Strongly Disagree: 9.3%
(2) “Disagree”: 25.8%
(3) “Neither Agree nor Disagree”: 29.8%
(4) “Agree”: 25.8%
(5) Strongly Agree: 9.3%

Race Minority Responses: 20

(1) Strongly Disagree: 15%
(2) “Disagree”: 30%
(3) “Neither Agree nor Disagree”: 20%
(4) “Agree”: 20%
(5) Strongly Agree: 15%
“I have access to spaces where I can discuss anti-racism and learn how to combat discrimination and prejudice.”

Total Responses (n): 150

(1) Strongly Disagree: 4%
(2) “Disagree”: 8%
(3) “Neither Agree nor Disagree”: 17.3%
(4) “Agree”: 46.7%
(5) Strongly Agree: 24%

Race Minority Responses: 20

(1) Strongly Disagree: 10%
(2) “Disagree”: 0%
(3) “Neither Agree nor Disagree”: 20%
(4) “Agree”: 40%
(5) Strongly Agree: 30%
“I often worry about not having things in common with others in my work group.”

Total Responses (n): 151

- (1) Strongly Disagree: 29.8%
- (2) “Disagree”: 32.5%
- (3) “Neither Agree nor Disagree”: 21.2%
- (4) “Agree”: 11.3%
- (5) Strongly Agree: 5.3%

Race-Minority Responses: 20

- (1) Strongly Disagree: 25%
- (2) “Disagree”: 30%
- (3) “Neither Agree nor Disagree”: 20%
- (4) “Agree”: 10%
- (5) Strongly Agree: 15%

Age-Minority Responses (60+ or 25-29): 28

- (1) Strongly Disagree: 28.5%
- (2) “Disagree”: 21.4%
- (3) “Neither Agree nor Disagree”: 14.3%
- (4) “Agree”: 32.1%
- (5) Strongly Agree: 3.5%
Evaluating the Institution
“I believe the University of Michigan provides sufficient resources and information about DEI in the workplace.”

Total Responses (n): 151

(1) Strongly Disagree: 0 (0%)
(2) “Disagree”: 13 (8.6%)
(3) “Neither Agree nor Disagree”: 29 (19.2%)
(4) “Agree”: 69 (45.7%)
(5) Strongly Agree: 40 (26.5%)

“I believe the University of Michigan acknowledges and is responsive to policy violations.”

Total Responses (n): 149

(1) Strongly Disagree: 5 (3.4%)
(2) “Disagree”: 28 (18.8%)
(3) “Neither Agree nor Disagree”: 35 (31.5%)
(4) “Agree”: 47 (31.5%)
(5) Strongly Agree: 16 (10.7%)
Open-Ended Responses

Please elaborate on the reasoning behind your evaluations above, including what the institution does well, needs to do better, or does not do at all.

(n = 101 Responses)

“I think the University is trying to educate and provides ample opportunities, however, my current department absolutely does not support any DEI activities.”

“I think there are so many micro-aggressions that don’t rise to the level of being acknowledged as policy violations; issues with language and attitudes contribute to disconnect between those experiencing issues and those setting the tone.”

“The UM seems to only value ethnic, cultural, racial, and gender diversity. Diversity of thought is suppressed.”

“Leaders and non-leaders must be held to the same policy violations and performance expectations; this does not always happen.”

“I think a lot of programs and resources exists but are hard to find sometimes.”

“The university provides opportunities for employees, however there should be more mandatory efforts of participation. It seems as if those who want to change go to diversity training and those who need it the most do not go.”
Next Steps
Open-Ended Responses

I am interested in learning more about (select all that may apply):

**Total Responses (n): 127**

- Bystander Intervention: 81
- Unconscious Bias: 70
- Anti-Racism: 66
- Facilitating Conversations around DEI: 66
- Allyship: 61
- Sexual Harassment in the Workplace: 44
- Gender Identity: 40

**Other Responses:**
- Political Harassment
- Learning Disabilities and Barriers
- How to Recognize Problems
- Trauma-Informed Communication Approaches/Sensitive Communication Methods
- How to Help Victims Feel Safe to Come Forward
- Action-Oriented Responses
Open-Ended Responses

Is there anything we did not ask that you would like to share with us? This may include any initiatives you would like to see the RAAC DEI Workgroup focus on.

(n = 38 Responses)

“Need small group cohorts across schools and colleges. We need to get out of our silos within schools and departments and learn from one another/ share experiences.”

“Bias against females, age, and level of education are still an issue here - in Michigan Medicine and on campus. Most females I know still feel their male doctors are dismissive of them. The opinion of those without higher education, regardless of their current position, continue to be unheard by leaders. Those who are thought too young or too old continue to be considered less valuable for their contributions. we are making efforts, but still have a lot of work to do for all to feel equal and included.”

“I feel there is too much political divide. Liberal and conservative folks alike should be heard and respected.”

“The campus needs an impressive monument or statue around which the current social passion for anti-racism can focus for rallies, speeches, marches, etc. You know, something that is attractive, thought provoking, permanent, indestructible, and way too big to miss.”

“There is great work being done to highlight racism, gender/LGBTQ+ issues, women issues, etc., but disability rights are still being hidden/ignored. “

“UM needs to encourage rather than discourage free speech. The current environment is intolerant of diverse viewpoints.”
Conclusions

Common themes among responses from Research Administrators:

- **Mandatory training** - those who need it the most typically avoid participation
- **Need for diversity of thought** - civil conversations and respecting different points of view
- **Acceptance versus tolerance** - acceptance from colleagues for our diversity as opposed to tolerance
- **Accountability** - leaders and non-leaders must be held to the same policy violations and performance expectations
- **Cohorts across schools and colleges** - getting out of our silos and learning from each other
Thank you!
ORSP Update

May 19, 2021
Research Administrators’ Network (RAN) Meeting
Andrea Anderson, Associate Director, ORSP
Best Practices for Communicating with ORSP

- Check locally first: your supervisor, unit research administrator, dean’s office, etc. may have the answer!
- Don’t forget to check agency guidelines and FAQ.
- Request ORSP Action is still the preferred method.
- ORSP phones **not** currently forwarded, however voicemails are computer-transcribed and forwarded via email. If it is time sensitive, please be sure to tell us the consequences for being untimely.
- As always, please include the PAF, UFA, P/G or AWD number and PI’s name.
Agency Updates
Agency Update Highlights

● Expanding Requirement for eRA Commons IDs to All Senior/Key Personnel

- NOT-OD-21-109

○ Due dates on or after January 25, 2022,

○ NIH, AHRQ, FDA, and ORD/VA will require all individuals listed on the R&R Senior/Key Person Profile (Expanded) Form to have an eRA Commons username (Commons ID)
Agency Update Highlights

- NIH Updated Grants Policy Statement
  - Significant Changes Summary
  - Published April, 2021
  - Effective for grant budget periods beginning on or after Oct 1, 2020

- 2021 Women, Minorities, and Persons with Disabilities in Science and Engineering report released by NSF and NCSES
On the Home Front

- Mission, Vision, Values, Motivation refresh
- Changes
- Deadline Policy
- PR Assignment Changes
- Reminders
Our Core Values

Balance
Respect
Integrity
Teamwork
Excellence
We safeguard and advance U-M’s research enterprise by providing our partners with effective and efficient pre-award and non-financial post-award services for the compliant administration of externally sponsored grants, contracts, and ancillary agreements.
Our Vision

We aspire to be recognized within U-M and across the globe as the leading provider of authoritative, innovative, and high value guidance on the conduct of sponsored research and other funded activities.
Our Motivation

We are motivated by the transformative research outcomes we enable, the positive role we play in sustaining U-M’s reputation for excellence, and the knowledge that our efforts are helping to create a better world and more promising future.
Award Acceptance
Request Changes
## Award Acceptance Request (AAR)

<table>
<thead>
<tr>
<th>Term Name</th>
<th>Brief Description</th>
<th>Approval Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>Foreign Currency (Typical)</td>
<td>Second type of foreign currency added. Same risk acceptance for project team; used by ORSP for more common currencies; does not require Treasury approval.</td>
<td>Project Team, Administrative Home Department</td>
</tr>
<tr>
<td>Alternative Dispute Resolution (Arbitration)</td>
<td>Approved use of costs associated with mandatory and binding alternative dispute resolution (e.g., arbitration, mediation)</td>
<td>Administrative Home Department</td>
</tr>
<tr>
<td>Reimbursement Risk - Final Financial Report</td>
<td>Unit is agreeing to bear the risk of covering any charges that have not yet shown up in the sponsored project account if we accept a final invoicing term that is under 45 days</td>
<td>Administrative Home Department</td>
</tr>
</tbody>
</table>
New Award Acceptance Terms

### Terms Requiring Review and Approval:

<table>
<thead>
<tr>
<th>Terms</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Foreign Currency (Typical)</td>
<td>The use of foreign currency for award has been reviewed and is acceptable, regardless of impact from conversion rates or imposed fees. The unit acknowledges that the actual US dollar award amount may fluctuate based on the currency exchange rate at the time the funds are received. The unit has identified the source of funds in the event of a deficit due to currency fluctuation.</td>
</tr>
<tr>
<td>Alternative Dispute Resolution (Arbitration)</td>
<td>This use of mandatory and binding alternative dispute resolution (e.g., arbitration, mediation) which precludes the University from bringing claims in court has been reviewed and is acceptable, and the Department bears the risks of any additional costs associated with this and understands the risk that the University may not be able to recover for all losses to the same extent it could in court.</td>
</tr>
<tr>
<td>Reimbursement Risk - Final Financial Report</td>
<td>The requirement by the sponsor to submit the final financial report under U-M’s generally accepted time period has been reviewed and is acceptable, and the Department bears the risk of not being reimbursed for any charges that may come in after U-M submits the final financial report.</td>
</tr>
</tbody>
</table>

**Notes from ORSP/OTT:**
Deadline Policy Update
At Risk Proposals

<table>
<thead>
<tr>
<th>Year</th>
<th>Approved</th>
<th>Rejected</th>
<th>Total</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>2020-11</td>
<td>174</td>
<td>51</td>
<td>225</td>
<td>45%</td>
</tr>
<tr>
<td>2020-12</td>
<td>141</td>
<td>126</td>
<td>267</td>
<td>44%</td>
</tr>
<tr>
<td>2021-01</td>
<td>239</td>
<td>54</td>
<td>293</td>
<td>54%</td>
</tr>
<tr>
<td>2021-02</td>
<td>212</td>
<td>86</td>
<td>298</td>
<td>33%</td>
</tr>
<tr>
<td>2021-03</td>
<td>239</td>
<td>77</td>
<td>316</td>
<td>50%</td>
</tr>
<tr>
<td>2021-04</td>
<td>161</td>
<td>55</td>
<td>216</td>
<td>45%</td>
</tr>
</tbody>
</table>

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Other Updates and Reminders

- Award Change Request Automation is under development
- ORSP anticipated workload reassignments
- ORSP is Hiring!
- ORSP Response Time Goals
  - Keep our Response Time Goals in mind when setting Target Dates.
Sponsored Programs Update

May 19, 2021
Research Administrators’ Network (RAN) Meeting
Debbie Talley, Director, Finance-Sponsored Programs
NIH reporting requirements

- NOT-OD-21-102
- Reminder to be conscious of the FSR due dates
- Final payment requests within 120 days
Closeouts

With your help we...

- Inactivated 1,600 project grants since January
- But.... another 1,200 still to closeout
- And....500 are late with charges that need to be addressed
Resources available

- Financial Status Reports [FSR Overview]
- Uniform guidance [Introduction to Uniform Guidance Principles]
Audits update

NSF

Single Audit
Coming Soon - New Sub P/G e-Form

● An e-version of the existing Sub-P/G form is coming to FINPROD*!
● When ready for use, we will announce in an upcoming RAP/RAPid.
● Improvements:
  ✓ Time-savings in preparation of Sub P/G requests
  ✓ Ability to track progress in workflow
  ✓ Additional fields and accompanying instructions
● See before and after “sneak preview” images on following slides

*FINPROD is the M-Pathways Financials and Physical Resource System, accessible through Wolverine Access
Current Sub P/G Form

REQUEST FOR SPONSORED SUB PROJECT/GRANT(s)

Parent Project/Grant: ____________________________
Parent DeptID: ____________________________
SAPOC: ____________________________
SAPOC Uniqname: ____________________________

Project Director (PD): ____________________________
SAPOC: ____________________________
SAPOC Uniqname: ____________________________

PD Uniqname: ____________________________

Requestor to complete for sub P/Gs to be opened:

Sub PD: ____________________________
P/G: ____________________________

Sub PD Uniqname: ____________________________
ShortCode: ____________________________

Sub SAPOC: ____________________________
C/S ShortCode: ____________________________

Sub SAPOC Uniqname: ____________________________
Sub DeptID: ____________________________
C/S ShortCode (Y/N)?: ____________________________

Sub DeptID: ____________________________
C/S ShortCode Fund: ____________________________
Future Electronic Sub P/G Form

Similar fields with optional additional fields for:
Title, Program, and Equipment Fabrication.
New staff in the Uniform Guidance area

- Fareeha Azimi
- Michael Holtz
- Judi Jones
- Natalie Mussato
Questions
ITS Update

May 19, 2021
Research Administrators’ Network (RAN) Meeting
Carolyn Pappas, Business Systems Analyst Lead
eResearch Administration Systems
eResearch Updates

- Proposal Management system enhancement update on May 24th.
- Next release will be the automated Award Change Request
  - Date TBD, estimate of Fall 2021
May 24th Release Highlights

- PAF - Finalize for Submission to Sponsor
- Award - Clarification of language for Awards marked as “Multiple Principal Investigators”
- Award Acceptance Request (AAR)-details in ORSP’s presentation
  - Add 3 new Terms Requiring Review
- UFA -
  - New Question
  - Updates to the Admin home selection and text
PAF - Finalize for Submission to Sponsor

- Moved Finalized Question to bottom
- Increased Font Size
- Wrapped sub-question
- Added a warning if leave the page without finalizing.
Warning Appears if you try to leave page without marking “yes” to finalize question.
Awards with Multiple PI’s

Clarified use of ORSP’s Multi-Principal Investigator flag.

Only for Awards where sponsor needs PIs listed on project to approve changes to the agreement.
UFA - Outgoing Material Transfer Agreements

- Outgoing Material Details page -
  - Clarified Existing question to include data, equipment, or software
  - Added new question about shipping export controlled materials

**Is material, data, equipment, or software leaving the country?**
- Yes
- No

**Are you shipping export controlled materials, data, equipment, or software (even within the U.S.)?**
- Yes
- No
- Unsure
Closing Remarks

May 19, 2021
Research Administrators’ Network (RAN) Meeting
Navigate & professional development

**Navigate** - Explore the website [https://orsp.umich.edu/training-workshops](https://orsp.umich.edu/training-workshops)

**NCURA** - Offering monthly virtual learning & networking sessions - next on June 29, with U-M’s Sue Kelch presenting. The 63rd Annual Meeting will be held in a hybrid format, both in-person and virtual, August 30-September 2 in Washington, DC. Registration open soon. More on the website: [https://www.ncura.edu/](https://www.ncura.edu/)


**SRAI** - Michigan SRA seeks input for future "Chapter Chat" sessions - **survey closes TODAY**! The Annual SRAI meeting is in-person in New Orleans, October 23-27. Registration is open! Visit [https://www.srainternational.org/home](https://www.srainternational.org/home)
Quick poll – RAN meeting planning

- This poll is anonymous. Please select one response for each question.
- Please tell us whether you found today’s meeting content relevant and useful to your role as an RA.
- What do you expect your mode of work to be in Fall 2021?
- If we offered in-person RAN in October, do you think you would attend?
Thank you for attending RAN

Thank you to our Emcee, presenters, RAAC Communications Subcommittee, and most of all to you for joining us today.

Keep the community strong on the Research Administrators’ Forum.

Have ideas bubbling? Send feedback to ran-plans@umich.edu

Save the Date! The last RAN of 2021 will be Thursday October 28th.