

Research Administrators' Network Meeting

AGENDA

February 27, 2024

10:00 to 11:45 am

Zoom Webinar

Welcome & Introductions

Cathy Liebowitz, RAAC Communications Subcommittee

Heather Kraus, Director of Research Administration, LSA, Guest Emcee

Anne Thomson, Director of Research and Compliance, LSA, Guest Emcee

Malign Foreign Talent Recruitment Program Policy

Lisa Nichols, Executive Director, Research Security

RAAC Process Subcommittee Overview

Anne Thomson, Director of Research and Compliance, LSA

Data Use Agreements

Gabrielle Hammoud, Project Representative, ORSP

Michele Quick, Project Representative, ORSP

Updates

Office of Research & Sponsored Projects - Andrea Anderson, Exec. Director, ORSP

Sponsored Programs - Debbie Talley, AVP Finance – Sponsored Programs

RAAC – Chris DeVries, RAAC Project Manager

Closing Remarks

RAN schedule for the rest of this Calendar Year:

<http://orsp.umich.edu/ran>

Ideas for a future meeting?

Contact ran-plans@umich.edu

Brought to you by the Research Administration Advisory Council (RAAC) Communications Subcommittee.



Welcome to RAN!

February 27, 2024

Research Administrators' Network (RAN) Meeting

Welcome!

RAAC Communications Subcommittee

- Christy Bohensky (ORSP)
- Jodi Caviani (Social Work)
- Constance Colthorp (ORSP/Spon Progs)
- Kara Cristian (LSA)
- Cindy Dames (ORSP)
- Becky Youmans DeMoss (Med School)
- Lori Deromedi (UMOR)
- Kathy Devereux (UMOR)
- Chris DeVries (RAAC)
- Sam Gibbons (Med School)
- Amy Franklin (ITS)
- Jim Jarvis (Med School)
- Prentiss Laich (Spon Progs)
- Cathy Liebowitz (ISR)
- Amy Lingle (Engineering)
- Sarena Nuttall (Engineering)
- Becky O'Brien (UMSI)
- Thomas Paluchniak (ORSP)
- Ashley Tyler (Spon Progs/OCA)

Meeting Notes & Details

- This event is being recorded. The presentation and slides will be posted to the RAN webpage.
- Zoom webinar - watch mode. Chat is disabled.
- You can submit questions via the Q&A function.
- Live captioning is turned on (you can disable this using your settings).
- 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

- **Community Kudos**
- **Presentations:**
 - Malign Foreign Talent Recruitment Program Policy
 - RAAC Process Overview
 - Data Use Agreements
- **Updates:**
 - ORSP, Sponsored Programs, and RAAC
- **Quick Polls**

RA Community Kudos

Thanks to all who responded to our request for **Community Kudos**! If your name is listed below, we received specific feedback about your work, and we will include them in the meeting slides.

- Darla Briggs
- Cheri Brooks
- Teresa Herrick
- Cathy Howell
- Karen Jean-Philippe
- DeLynne Lahtinen
- Amy Lingle
- Nancy Oeffner
- Lauren Orleman
- Darleen Poisson
- Chris Shingledecker
- Alison Snow
- Anne Thomson
- Lauren Tingwall
- LSA Research Office
- Navigate Team
- RAAC Training Committee

Quick Poll – Team Communication Platforms

This poll is anonymous.

We would like to understand the methods that you and your team use to maintain daily or on-demand communications with each other. Please select all that apply.

- Google Chat
- Microsoft Teams
- Slack
- StackOverflow
- Other

Our Emcees - Heather Kraus, MBA, CRA

- Director for Research Administration within LSA Finance with 21+ years in the field
- Active member of SRAI, and co-chair of the 2024 annual meeting in Chicago this Fall
- Recipient of the Hartford-Nicholsen Award in 2021, recognizing leadership and contributions to SRAI



Heather Kraus - Outside of Work

Heather finds joy in spending time with her family, exploring new destinations, and cake baking and decorating. She adores her 4 grandchildren.



Our Emcees - Anne Thomson, J.D., CRA

- Director for Research Administration within LSA Finance with 11+ years in the field
- RAAC Process Subcommittee Chair
- Experience in international tax, business law and political science
- Passionate about research administration



Anne Thomson - Outside of Work

Anne loves to travel with her three kids, and enjoys hiking, skiing and reading.





Guest Emcee Remarks

February 27, 2024

RAN Meeting

Heather Kraus / Director of Research Administration, LSA

Anne Thomson / Director of Research and Compliance, LSA

Spring Cleaning for Research Administrators



Evaluate Current Processes

- Map Current Processes:
 - Document existing processes in research administration
 - Identify tasks, roles, decision points, handoffs
- Gather Feedback:
 - Solicit feedback from stakeholders
 - Utilize surveys, interviews, focus groups, or workshops
 - Understand perspectives, pain points, and suggestions
- Analyze Data and Metrics:
 - Collect data on turnaround times, error rates, resource utilization, compliance metrics
 - Analyze for inefficiencies or non-compliance
 - Prioritize top items for impact
- Benchmark Against Best Practices:
 - Research best practices and standards
 - Compare current processes with benchmarks
 - Identify areas for improvement and innovation opportunities
- Identify Bottlenecks and Gaps:
 - Identify bottlenecks, redundancies, or gaps
 - Streamline workflows, automate tasks, eliminate unnecessary steps





Malign Foreign Talent Recruitment Program Policy

February 27, 2024

RAN Meeting

Lisa Nichols / Executive Director, Research Security

Statute and Policy Prohibiting Participation in Malign Foreign Talent Recruitment Programs

Lisa Nichols, Executive Director, Research Security
Research Administrators' Network Meeting
February 27, 2024

International Collaboration at the University of Michigan

- International engagement is a foundational element of successful research and creative practice.
- U-M is committed to supporting and safeguarding international engagement with integrity, transparency, and trust.
- Partnering with individuals and entities outside the university allows researchers to push the frontiers of knowledge and discovery.

International Collaboration and Agency Statements of

Non-Discrimination (NSF) – Benefits of International Collaboration

“NSF welcomes and encourages international collaboration and views it as essential to pursuing the frontiers of science. The agency has a long history of successful, open research collaborations with nations around the world and strongly maintains that scientific research benefits immensely from international cooperation.”

Department of Defense – Countering Unwanted Foreign Influence

“International collaboration is an important mechanism for participating in the global scientific commons and promoting progress in fundamental research.”

“The Department will not discriminate on the basis of race or national origin.” [FDP Sept. 2023 Meeting]

National Security Presidential Memorandum (NSPM)-33 Implementation Guidance

“...it is essential that the policies and consequences must be applied without discrimination in any way, including with respect to national origin or identity.”

CHIPS and Science Act Section 10637 Nondiscrimination

In carrying out requirements under this subtitle [Research Security], each Federal research agency shall ensure that policies and activities developed and implemented...are carried out in a manner that does not target, stigmatize, or discriminate against individuals on the basis of race, ethnicity, or national origin, consistent with title VI, Civil Rights Act of 1964



CHIPS and Science Act: Malign Foreign Talent Recruitment Programs

- The CHIPS and Science Act of August 9, 2022, requires federal research funding agencies to establish a policy requiring:
 - Certification by senior/key personnel at proposal, and annually for the duration of the award, that they are not a party to a *malign* foreign talent recruitment program (FTRP)
 - Senior/key personnel to disclose participation in FTRP contracts, agreements or other arrangements
 - Certification by the institution [U-M] that such individuals have been made aware of the requirement.
- Agencies are required to have these policies in place by August 9, 2024.

CHIPS and Science Act: Malign Foreign Talent Recruitment Programs

- The Act also directs the White House to develop guidelines for research funding agencies that:
 - Prohibit R&D awards from being made to senior/key personnel participating in *malign* FTRPs
 - Requires recipient institutions to prohibit these individuals from working on projects supported by R&D awards.
- In June 2023, DoD released [*Countering Unwanted Foreign Influence in DoD funded Research at Institutions of Higher Education*](#)
 - Includes a *Policy on Risk-based Security Reviews of Fundamental Research and Decision Matrix*. Per the matrix:
 - In keeping with CHIPS Act requirements, DoD recommends mitigation measures where, for the period after August 9, 2022, the policy of the institution does not prohibit participation in a malign FTRP
 - **DoD prohibits department funding after August 9, 2024, if the proposing institution does not have a malign FTRP policy/prohibition in place**
 - U-M policy/prohibition rolled out in early January 2024: Definition, fed reqs, U-M policy



Factors for Assessing a Covered Individual's Associations, Affiliations, Collaborations, Funding, and the Policies of the Proposing Institution that Employs the Covered Individual

	Factor 1: Foreign Talent Recruitment Programs	Factor 2: Funding Sources	Factor 3: Patents	Factor 4: Entity Lists
Prohibited factors	<p>For the Period after 9 Aug 2024</p> <p>Indicators of participation in a malign foreign talent recruitment program (MFTRP) meeting any of the criteria in Sec. 10638(4)(A)(i)-(ix) of the CHIPS and Science Act of 2022.</p> <p>Policy of Proposing Institution employing the covered individual does not prohibit participation in a MFTRP.</p>			
Factors discouraged by DoD policy, mitigation measures required, rejection of proposal required if no mitigation possible	<p>For the period after 9 Aug 2022¹:</p> <p>Indicator(s)² of participation³ in a foreign talent recruitment program (FTRP) meeting any of the criteria in Sec. 10638(4)(A)(i)-(ix) of the CHIPS and Science Act of 2022.</p>	<p>Indicator(s) that the covered individual is currently receiving funding from a Foreign Country of Concern (FCOC) or a FCOC-connected entity.</p>	<p>Patent application(s) or patent(s) not disclosed in proposal, that resulted from research funded by the U.S. Government (USG), that were filed in an FCOC prior to filing in the U.S. or filed on behalf of an FCOC-connected entity.</p>	<p>For the period after 9 Aug 2022:</p> <p>Indicator(s) of association with an entity on U.S. Bureau of Industry and Security (BIS) Entity List,⁴ the Annex of Executive Order (EO) 14033,⁵ or superseding EOs, Sec. 1260H of the National Defense Authorization Act (NDAA) for FY 2021,⁶ or Sec. 1286 of the NDAA for FY 2022,⁷ as amended.</p> <p>For the period after 10 Oct 2019⁶:</p> <p>Indicator(s) of affiliation with an entity on: U.S. BIS Entity List, the Annex of EO 14033 superseding EOs, Sec. 1260H of the NDAA for FY 2021, or Sec. 1286 of the NDAA for FY 2022 as amended.</p>
Mitigation measures recommended	<p>For the period between 10 Oct 2019⁸ and 9 Aug 2022:</p> <p>Indicator(s) of participation in an FTRP meeting any of the criteria in Sec. 10638(4)(A)(i)-(ix) of the CHIPS and Science Act of 2022.</p>	<p>For the period between 10 Oct 2019 and 9 Aug 2022:</p> <p>Indicator(s) that the covered individual</p>	<p>Patent application(s) or patent(s) disclosed in proposal, resulting from research funded by the USG, that</p>	<p>For the period between 10 Oct 2019 and 9 Aug 2022:</p> <p>Indicator(s) of association with an entity on U.S. BIS Entity List, the Annex of EO 14033 superseding EOs, Sec. 1260H of the NDAA for FY 2021, or Sec. 1286 of the NDAA for FY 2022 as amended.</p>

U-M Policy/Prohibition on Malign FTRPs

“In accordance with federal requirements, the University of Michigan [U-M] prohibits participation in malign foreign talent recruitment programs. In addition, U-M requires that researchers comply with all sponsor policies and certifications regarding foreign talent recruitment programs as they are developed and implemented, and that disclosures are true, complete and accurate to the best of the faculty member's knowledge. False, fictitious, or fraudulent statements or claims (including intentional omissions) in violation of this policy may result in criminal, civil, administrative or University penalties.”



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CHIPS and Science Act: Malign Foreign Talent Recruitment Program

Definition

Malign foreign talent recruitment program (MFTRP) - CHIPS and Science Act Prohibition (Sec. 10632)

- Requires Federal research agencies to establish policies to prohibit awards to individuals party to a “malign foreign talent recruitment program,” subject to certain existing laws. Defined as:
“any program, position, or activity that includes compensation in the form of cash or certain in-kind compensations in exchange for:
 1. engaging in the **unauthorized transfer of U.S. intellectual property**, *materials, data products, or other nonpublic information to the government of a foreign country or foreign entity*;
 2. required to recruit trainees or researchers to enroll in a program, position, or activity;
 3. **establishing a lab or company, accepting a faculty position; or undertaking any other employment or appointment in a foreign country or with a foreign entity if activities are in violation of the standard terms and conditions** of a federal research and development award;
 4. being unable to terminate the foreign talent recruitment program contract or agreement except in extraordinary circumstances;



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CHIPS and Science Act: Malign Foreign Talent Recruitment Program

Definition

Malign foreign talent recruitment program - CHIPS and Science Act Prohibition (Sec. 10632)

5. **limited in the capacity to carry out a research and development award or required to engage in work that would result in substantial overlap or duplication of federally funded work;**
 6. being required **to apply for and successfully receive** funding from the sponsoring government's funding agencies with the sponsoring foreign organization as the recipient;
 7. being required **to omit acknowledgement of the [U.S.] recipient institution** with which the individual is affiliated, or the federal research agency sponsoring the research and development award, contrary to the institutional policies or standard terms and conditions of the federal research and development award;
 8. being **required to not disclose** to the federal research agency or employing institution the participation of such individual in such program, position, or activity;
 9. **having a [undisclosed] conflict of interest or conflict of commitment** contrary to the standard terms and conditions of the federal research and development award.”
- **Participation banned for federal funding recipients**
 - **Annual certification that personnel on federal awards are not party to a MFTRP coming soon**



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CHIPS and Science Act: Malign Foreign Talent Recruitment Program

Definition

(c) a program that is sponsored by—

(i) a foreign country of concern or an entity based in a foreign country of concern, whether or not directly sponsored by the foreign country of concern; [Per the Act, foreign country of concern “means the People’s Republic of China, the Democratic People’s Republic of Korea, the Russian Federation, the Islamic Republic of Iran, or any other country determined to be a country of concern by the Department of State.]

(ii) an academic institution on the list developed under section 1286(c)(8) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (10 U.S.C. 2358 note; Public Law 115-232); or

(iii) a foreign talent recruitment program on the list developed under section 1286(c)(9) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (10 U.S.C. 2358 note; Public Law 115-232).”

[Lists referenced in items B. (ii) and (iii) are available in Part 3 of the Department of Defense (DoD) document [Countering Unwanted Foreign Influence in Department-funded Research at Institutions of Higher Education](#)]



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Common Disclosure Forms and Malign FTRP Certification

New common disclosure forms intended for federal-wide use were published in November 2023:

- Current and Pending (Other) Support
- Biographical Sketch

The forms include the following certification to be completed and signed by each senior/key person:

- I certify that the **information provided is current, accurate, and complete.**
- C&P support: This includes, but is not limited to, information related to current, pending, and other support.
- Biosketch: This includes but is not limited to, information related to domestic and foreign appointments and positions.
- I also certify that at the time of submission, I am **not a party in a malign FTRP.**

CHIPS and Science Act Malign FTRP Certification Requirements

Certification by senior personnel at proposal and annually for the duration of the award:

- Certification via disclosure forms in SciENCv or as part of the proposal package/progress report
- Malign FTRP definition is hyperlinked in the new forms/certifications.
 - No changes to eRPM appear to be necessary
- Senior personnel to disclose participation in FTRP contracts, agreements, or other arrangements
 - Annual disclosure (or ≤ 30 days if change) of outside activities and participation in FTRPs in M-Inform
 - Disclosure in current and pending support forms

Certification by the institution that senior personnel have been made aware of the requirement

- U-M MFTRP Policy and communications plan
- As an extra precaution, a statement will be added to the disclosure attestations in M-Inform, e.g.,:
 - I understand that I may not participate in a malign foreign talent recruitment program per federal and U-M policy. [Hyperlink to U-M policy; existing check box for attestation to this and other statements]



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U-M Policy/Prohibition on Malign FTRPs – Communications Plan

- Roll-out
 - Discussions with senior leadership, associate deans and other internal stakeholder groups occurred prior to policy release
 - U-M MFTRP policy posted on the OVPR International Engagement website – website refresh
 - Communicated the policy broadly via the *VPR Update* in mid-January
 - Ongoing discussions and communications
 - Email inquiries directed to InternationalResearchGuidance@umich.edu (Research Integrity and Compliance, Research Security/International Engagement)

Questions

Faculty, staff and students who have questions about the policy or international research activities are encouraged to contact the U-M Research Security Team at InternationalResearchGuidance@umich.edu or you can reach me at lisanic@umich.edu.



White House Office of Science and Technology Policy Definition of Foreign Talent Recruitment Program (not malign)

Published on February 14, 2024, in response to a CHIPS and Science Act requirement:

“Any program, position, or activity that includes compensation in the form of cash, in-kind compensation, including research funding, promised future compensation, complimentary foreign travel, things of non de minimis value, honorific titles, career advancement opportunities, or other types of remuneration or consideration directly provided by a foreign country at any level (national, provincial, or local) or their designee, or an entity based in, funded by, or affiliated with a foreign country, whether or not directly sponsored by the foreign country, to an individual, whether directly or indirectly stated in the arrangement, contract, or other documentation at issue.”

White House Office of Science and Technology Policy Definition of Foreign Talent Recruitment Program (not malign)

...does **not** include the following...so long as the activity is not funded, organized, or managed by an academic institution or a foreign talent recruitment program on the lists developed under paragraphs (8) and (9) of Section 1286(c) of the FY19 NDAA:

- Making scholarly presentations and publishing written materials regarding scientific information not otherwise controlled under current law;
- Participating in international conferences or other exchanges, research projects or programs that involve open and reciprocal exchange of scientific information, and...aimed at advancing international scientific understanding and not otherwise controlled under current law;
- Advising a foreign student enrolled at an IHE or writing a recommendation for such a student, at such student's request; and

White House Office of Science and Technology Policy Definition of Foreign Talent Recruitment Program (not malign)

...does **not** include the following...so long as the activity is not funded, organized, or managed by an academic institution or a foreign talent recruitment program on the lists developed under paragraphs (8) and (9) of Section 1286(c) of the FY19 NDAA:

- Engaging in the following international activities:
 - a. Activities that are partly sponsored or otherwise supported by the U.S. such as serving as a government appointee to the board of a joint scientific fund (e.g., the U.S.- Israel Binational Industrial Research and Development Foundation); providing advice to or otherwise participating in international technical organizations, multilateral scientific organizations, and standards setting bodies (e.g., the International Telecommunications Union, Intergovernmental Panel on Climate Change, etc.); participating in a Fulbright Commission program funded in whole or in part by a host country government; or other routine international scientific exchanges and interactions such as providing invited lectures or participating in international peer review panels.
 - b. Involvement in national or international academies or prof. societies that produce publications in the open scientific literature that are not in conflict with the interests of the federal research agency (e.g., membership in Pontifical Academy of Sciences; The Royal Society)
 - c. Taking a sabbatical, serving as a visiting scholar, or engaging in continuing education activities such as receiving a doctorate or professional certification at an institution of higher education (e.g., the University of Oxford, McGill University) that are not in conflict with the interests of the federal research agency.
 - d. Receiving awards for R&D which serve to enhance the prestige of the federal research agency (e.g., the Nobel Prize).
 - e. Other international activities determined appropriate by the federal research agency head or designee.



Guest Emcee Remarks

February 27, 2024

RAN Meeting

Heather Kraus / Director of Research Administration, LSA

Anne Thomson / Director of Research and Compliance, LSA

Declutter Digital Space

- Organize Files and Folders:
 - Create a logical folder structure
 - Use descriptive names
 - Categorize files based on topics, projects, or functions
- Delete Unnecessary Files:
 - Review and delete outdated, duplicate, or unnecessary files
 - Be selective and regularly purge unneeded files
- Manage Email Inbox:
 - Utilize folders, labels, and filters
 - Categorize and prioritize emails
 - Archive or delete old emails to prevent clutter



Declutter Physical Space

- Sort and Organize:
 - Declutter your space
 - Decide what to keep, recycle, or discard within each category
- Establish a Filing System:
 - Utilize labels, folders, and file cabinets
- Make Decluttering a Habit:
 - Schedule regular time for tidying up (weekly or monthly)
 - Promptly dispose of unnecessary items





RAAC Process Subcommittee Overview

February 27, 2024

RAN Meeting

Anne Thomson / Director of Research and Compliance, LSA

RAAC Process Charge

The RAAC Process Subcommittee seeks to **identify and promote changes to research administration processes** to benefit the Research Administration community, including pre- and post-award and related compliance. The subcommittee will also serve as a resource to central offices on initiatives that **need limited input or intermediate feedback**.



RAAC Process Membership

- Karen Alameddine (ORSP)
- Kerri Cross (ISR)
- Brooke Dougherty Reyes (Medical School)
- Maryclaire Ellis (Ford School)
- Teresa Herrick (SEAS)
- Tonia Jackson (ORSP)
- Joe Johnson (ORSP)
- Melissa Karby (OVPR)
- Lynn Kujawa (Engineering)
- Dean Michalak (Sponsored Programs)
- Heather Offhaus (Medical School)
- Carolyn Pappas (ITS)
- Anne Thomson (LSA)
- Bryan VanSickle (Sponsored Programs)
- Rick Wintergerst (Engineering)

RAAC Process Accomplishments

(selected)

- Award Management
- Award Change Request
- Roles & Responsibilities
Documentation
- Subrecipient Invoice Processing
- eResearch Proposal Management
(eRPM) enhancements

Award Management System

- RAAC Process played a key role in the implementation of the Award Management system in 2018.
- The system streamlines the award process, and provides greater flexibility and visibility between the PAF and Award.

The screenshot displays the 'eRESEARCH | PROPOSAL MANAGEMENT' system interface. The top navigation bar includes a logo, the text 'INFORMATION AND TECHNOLOGY SERVICES UNIVERSITY OF MICHIGAN', and a user profile 'Hello, John Smith'. Below this is a secondary navigation bar with tabs: 'Path >>', 'My Home', 'All Awards', 'Search', 'All PAFs', 'All UFAs', and 'All SUBKs'. The main content area is divided into several sections:

- Announcements:** A yellow box containing a message about a system update on November 15th, 2021, regarding Award Change Request (ACR) Enhancements.
- Roles:** A section with buttons for 'Create New PAF', 'Create New UFA', 'Create New CTRF', and 'Create New User'.
- Support Links:** A section with links for 'Blue Pages', 'Request Admin/Personal Change', 'eRPM Tips', 'Need Training?', 'Share Feedback', and 'M-Info'.
- Award Record(s) Not Yet Signed by All Investigators:** A table with columns: ID, Name, Date Modified, State, PI, Dept, Sponsor, and PR. It shows one record for 'AWD017180' with a status of 'Awaiting PI Signature'.
- Award Document(s) Awaiting PI Signature:** A table with the same columns as the previous one, also showing one record for 'AWD017180' with a status of 'Awaiting PI Signature'.
- Modifications Awaiting PI Signature:** A section with a search bar and a message 'No data to display'.
- Awards on Hold:** A section with a search bar and a message 'No data to display'.

Each table includes a search bar, a filter dropdown, and a 'Clear All' link. The tables also show pagination information, such as '1 items' and 'page 1 of 1'.

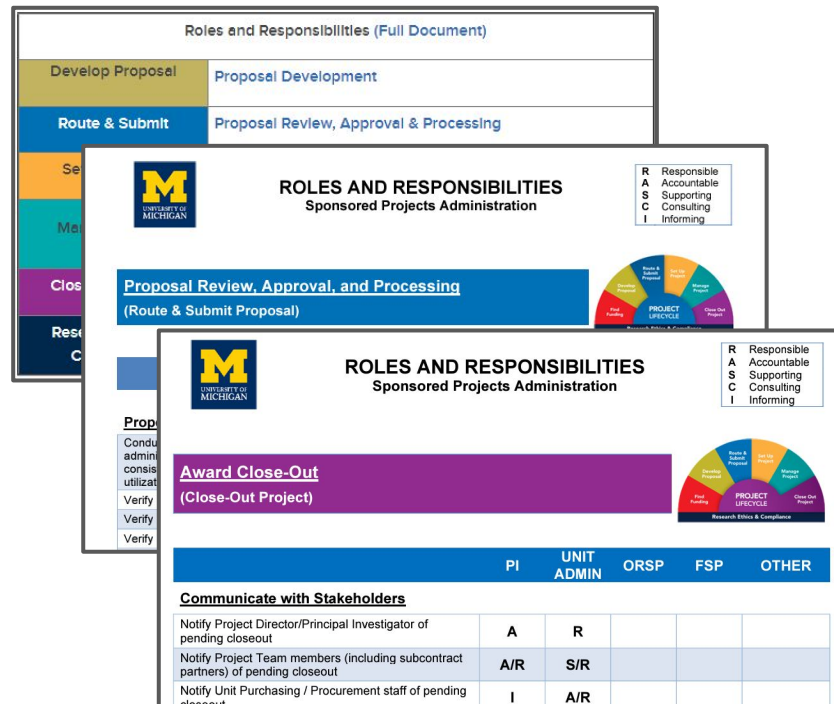
Award Change Request (ACR)

- Together with ITS, RAAC Process led the implementation of ACRs in the eRPM system.
- In addition to system design, the subcommittee provided clear guidance related to the ACR types and routing processes.



Roles & Responsibilities

- Completed in 2022, the set of Roles & Responsibilities documents outline “who does what” during each phase of the research project lifecycle.
- Uses a model outlining who is responsible, accountable, supporting, consulting, or informing, based upon a specific task.



Subrecipient Invoice Processing

- In November 2020, a new workflow was implemented in M-Pathways, allowing for electronic routing and approval for invoices from subrecipients on sponsored projects.
- This enhancement was suggested in a RAAC Process survey and the subcommittee developed a business case that started the project and implementation.



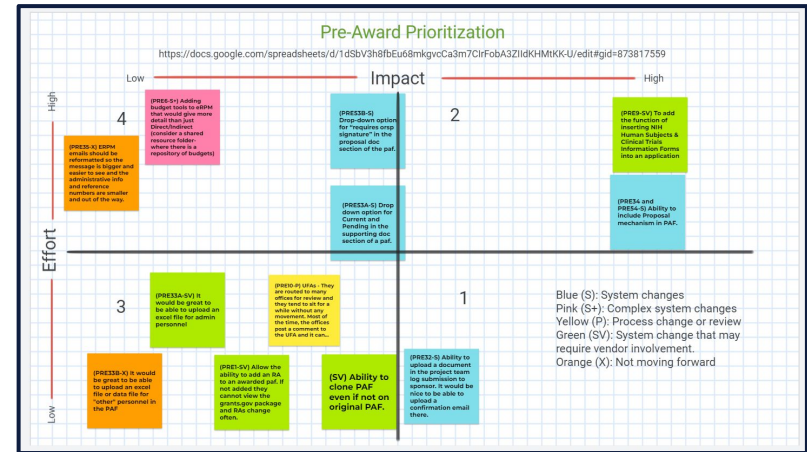
eRPM Enhancements

- The RAAC Process Subcommittee provides guidance and recommendations that help make the eRPM system more efficient.
- By working with ITS, RAAC Process is able to effectively use survey results and feedback to prioritize enhancements and improvements to eRPM.

2022 RAAC Survey Update – RAAC Process



- We appreciate your feedback for those who completed the RAAC survey - for Process alone, we received suggestions for 64 items for pre-award and 82 post-award suggestions.
- Completed items:
 - Established a sponsor due date field for ORSP Action Requests.
 - Created a document uploader field for when project team logs submission to sponsor.
 - Provided ability to clone PAFs even where RA was not listed on PAF.



RAAC Process Future Initiatives



- Provide feedback and support for unit-facing system and business process changes related to the ORSP realignment.
- Continue to review and determine feasibility of suggested system changes suggested in the 2022 RAAC survey.
 - Currently reviewing subk eRPM messages for clarity, and considering other complementary process updates in consultation with stakeholders
 - Establish additional drop downs for document uploaders in proposal documents
- Serve as a constituent group to support and assist in creating a membership process for the RAAC.

Thank you!



Guest Emcee Remarks

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Anne Thomson / Director of Research and Compliance, LSA

Assess Training Needs

- Conduct Skills Gap Analysis:
 - Evaluate current skills against desired competencies
- Gather Feedback:
 - Seek input from supervisors, team members, and stakeholders
 - Discuss challenges
- Prioritize Training Topics:
 - Determine importance to job performance
 - Assess urgency of training needs
 - Consider availability of resources when prioritizing
- Professional development opportunities
 - SRAI, NCURA, NORDP
 - CRA, CFRA, CPRA
 - RAMP





Data Use Agreements

February 27, 2024

Research Administrators' Network (RAN) Meeting

Michele Quick / Project Representative, ORSP

Gabrielle Hammoud / Project Representative, ORSP

What is a Data Use Agreement?

- A data use agreement is a contract that is used to define the terms and conditions upon which data is transferred or shared between organizations.
- Sometimes called a data transfer agreement (DTA) or data transfer and use agreement (DTUA) and is typically categorized as an Unfunded Agreement (UFA) at U-M.

When is a Data Use Agreement Needed?

- When data is leaving U-M.
- When a contracting party is sending data to U-M and requires one.
- Repository - data collected from multiple researchers, sometimes multiple sites, combined and stored for sharing with other researchers.
- Consortium - data collected from multiple sites to be shared only with members of the consortium.
- Multi-site (*Is U-M the Control Center?*)
 - Similar to a consortium, however, this is when there are multiple sites collecting similar data points for a shared purpose.

Why do you need a DUA?

- Health Insurance Portability and Accountability Act (HIPAA)
- Family Educational Rights and Privacy Act (FERPA)
- General Data Protection Regulation (GDPR) for contracting with European countries (EU Zone)
- Some State Privacy laws
- Institutional policies and practices

What does “UFA Type” tell us?



UFA Category: Data Use Agreement
UFA Type: Incoming DUA

When an external entity is sharing data with us and we are the receiving party the UFA will be “Incoming”

UFA Category: Data Use Agreement
UFA Type: Outgoing DUA

- When U-M data is being shared with an external entity
- When there is a reciprocal transfer between U-M and the external entity

These should both be categorized as “Outgoing”

What information does ORSP need?

- **Project Title**
 - Enter a descriptive title that we can use in the agreement. Example: “Understanding risk factors for poor outcomes in XXX”
- Target Agreement Execution Reason
- External PI and External Entity Contact Person for negotiations
- Routing and Processing Instructions
 - Any additional information that ORSP should be made aware of - e.g. This is a multi-site project and there will be more UFAs; See attached email correspondence, etc.

Data and Project Descriptions

Data Description

- **Include source for data**
- Type of data (de-identified; LDS; etc.)
- Was data collected for a research study?
- Data variables

Project Description - How will the data be used?

- Analysis
- The purpose of the study
- Will it be combined with other data
- Publications
- Multi-site project
- Longitudinal study
- Secondary research

Editing: 24-UFA00006

Data Use Details

[Project Administrative Home: *](#)
[This is the U-M Department responsible for the UFA. Defaults to the selected appointment for the Contact PI ?](#)

G. Ford Sc Pub Pol ... ✕

Please describe the data being transferred: * [?](#)

Please describe the activity for which the data are being used or upload a document below: * [?](#)

Warning: Do not upload any export controlled information or data to this UFA.

+ Add

Document	Version	Type	Last Modified
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For what period is access to/use of data required

Start Date: * 📅

End Date: 📅

Ongoing/No End Date: ☐

Is there a cost or fee for this data? * [?](#)

☐ Yes ☐ No [Clear](#)

Some Special Circumstances



Are we sharing data with a for-profit company or foundation?

Requires review by the [U-M Medical School Human Data & Biospecimen Release Committee](#).

- Link to Process Information: [Data & Biospecimen Sharing](#)

Does the data being shared contain Human Subject Identifiers?

If we are sharing PHI, any patient identifiers, or electronic medical record (EMR) data, the UFA will need to be reviewed by UMHS Compliance. Make sure that the UFA is consistent with this information.

Special Circumstances (Continued)

Is there a fee for the data?

If the external entity is charging a fee, we need to know the source of the funds that will be used for payment. If U-M will be collecting a fee for the data, then this needs to be routed as a **PAF**.

Is the External Entity in a foreign country?

If the external entity is in a foreign country there may be reference to regulations that may not be applicable. Negotiation for these agreements will be more complex and can take longer.

The agreement may contain General Data Protection Regulation (GDPR) terms if the foreign country is in the EU Zone

What can hold up the negotiation process?

- UFA does not contain complete information.
- Need clearance from the Medical School Human Data & Biospecimen Release Committee.
- The agreement contains terms and conditions about intellectual property.
- The HUM is not in an approved state.
- The agreement contains General Data Protection Regulation ([GDPR](#)) terms.
- There are terms and conditions in the agreement that U-M cannot accept.

[Agreement Acceptance Request \(AAR\)](#)

What are the ways to communicate with the DUA Team?

- **Post a Comment for the Entire Project** (PI, Project Team, and Central Offices)
 - When posting comments in eRPM, be sure to add email addresses for those you want to see your comment and have to take action.
- **Email** - to get emails automatically entered into the UFA:
 - Send the email to erpadmin-prod@umich.edu, and
 - Put the UFA ID in brackets in the Subject line: [23-UFA00444]
- **Scheduled Phone Call / Zoom Meeting:**
 - Email your ORSP Project Representative in advance to schedule a phone call or Zoom meeting.

Some helpful resources

- **Reference sheet:** [eResearch Quick Reference Card: Unfunded Agreements \(UFAs\) - PI/Project Team](#)
- **Link to website:** [Data Sharing and Use Agreements](#)
- 2019 *Navigate: Lunch & Learn* presentation: [Demystifying Data Use Agreements](#).
- October, 2023 *Navigate: Lunch & Learn* presentation: [Navigate Webinars Past Sessions](#) “Working with ORSP to Process Data Use Agreements (DUA)”



Guest Emcee Remarks

February 27, 2024

RAN Meeting

Heather Kraus / Director of Research Administration, LSA

Anne Thomson / Director of Research and Compliance, LSA

Financial and HR Planning

With the entrance of spring, means year end is not far behind . . .

- Conduct a thorough review of financial records related to research projects.
- Review budgets, expenses, reimbursements, and financial transactions.
- Identify any discrepancies or irregularities and take necessary corrective actions.
- Update forecasts, and plan ahead for summer effort and appointments



Thank You!!





ORSP Update



February 27, 2024

Research Administrators' Network (RAN) Meeting

Andrea Anderson / Executive Director, Sponsored Projects

Sponsor & Agency Updates

- NIH Webinar on 2024 Grants Policy Updates
- NIH: Consequences of late Closeout and Reporting Requirements
- New DHHS Salary Cap
- Improved Look for eRA Commons Coming Soon
- Updates to the NSF PAPPG (NSF 24-1)



FEATURED RESEARCHER – Chidiebere Ibe

Chidiebere Ibe hopes to change the field of medical illustration, which is predominately white and male.



Image credits: Chidiebere Ibe

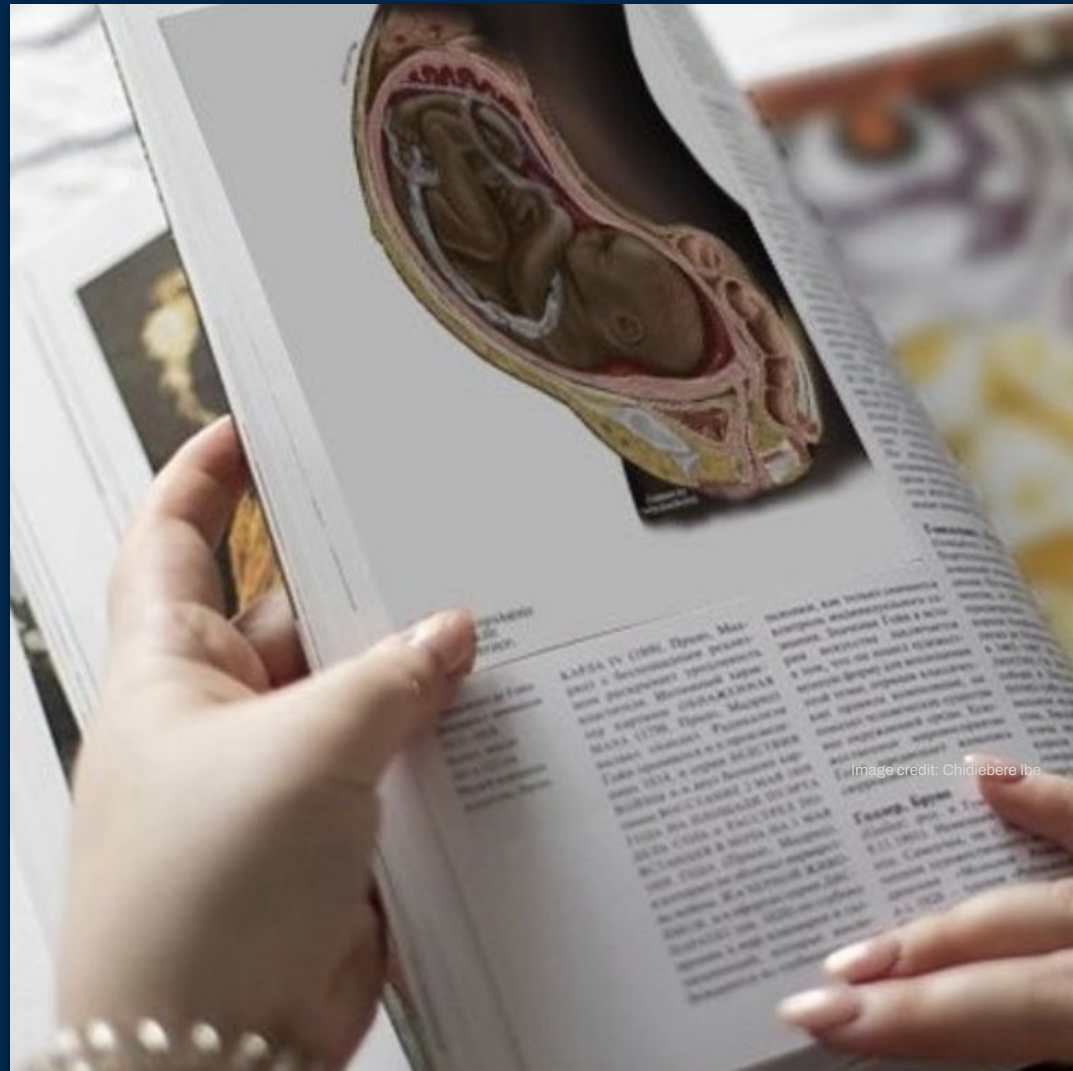


Image credit: Chidiebere Ibe

NIH Updates & Reminders



- NIH recently held a [Grants Policy Updates Webinar](#).
- NIH is strengthening enforcement of their closeout requirements
 - Issued [NOT-OD-24-055](#) on January 23rd, reiterating NIH's commitment to reducing grant closeout delays and strictly enforcing its closeout policies
 - a. NIH will initiate unilateral closeout if a recipient does not provide timely, accurate closeout reports
 - b. All final reports are due within 120 days of the project end date and become overdue the next day
- The eRA Commons modules and screens will have an improved visual appearance in the coming months.

NIH Updates & Reminders



Marking Changes in Resubmission Application - [NOT-OD-24-061](#)

- Effective May 25, markup changes in document no longer permitted
- Use outline in Introduction instead.

Salary Cap Increase - [NOT-OD-24-057](#)

- The Office of Personnel Management recently released new salary levels for the Executive Pay Scale. Effective January 1, 2024, the salary limitation for Executive Level II is \$221,900.
- For active awards, if adequate funds are available, and if the salary cap increase is consistent with the institutional base salary, recipients may rebudget funds to accommodate the current Executive Level II salary level.

NIH Updates & Reminders



New NIH single audit award term included on NoAs - December 2023

DHHS OIG Report found issues with NIH single audit findings

- NIH concurred with OIG recommendations
- NIH now includes the following in Notices of Award (NoAs):
 - Informational Term – Ongoing review of findings in prior single audit report(s): NIH is conducting a retrospective review of the Regents of the University of Michigan’s most recent single audit report based on our identification of findings reported in prior single audits. Based on the outcome of this retrospective review, NIH may unilaterally take administrative action to safeguard NIH funds in accordance with the NIH Grants Policy Statement, Section 8.5.1 “Specific or Special Award Conditions- Modification of the Terms of Award.”

NSF: PAPPG Update Published

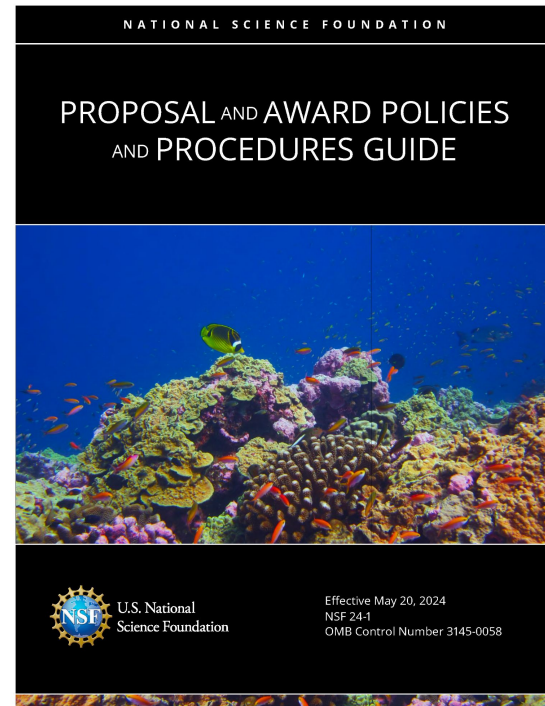


New NSF Proposal and Award Policies and Procedures Guide - [PAPPG \(NSF 24-1\)](#).

- Effective: Monday, May 20, 2024
- NSF Webinar: Tuesday, March 12, from 2 to 3 p.m..

A few key callouts

- When to Submit Proposals, has been modified to clarify that the 5 p.m. submitter's local time is tied to the organization, and not the location of the PI.
- Biosketches - implements common form and removes page limitation

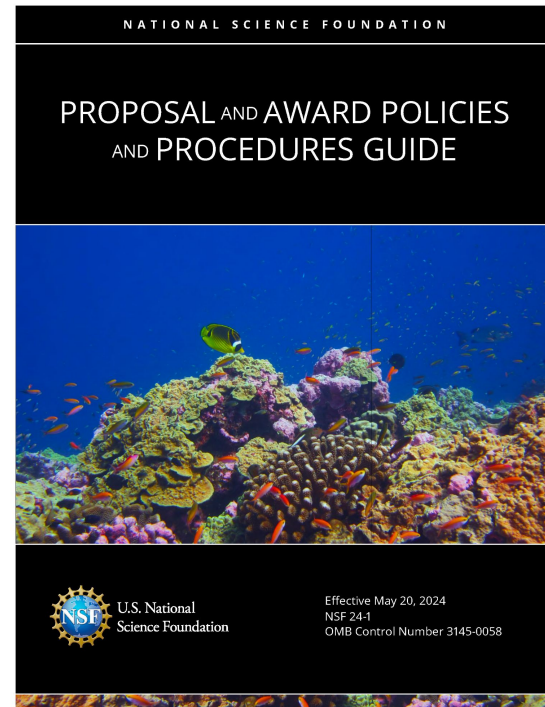


NSF: PAPPG Update Published



Implements several CHIPS and Science Act requirements:

- Individuals who are a party to a Malign Foreign Talent Recruitment Program are not eligible to serve as a senior/key person on an NSF proposal.
- NSF Disclosure Requirements has been modified to incorporate annual reporting.
- Addresses the CHIPS organizational certification requirement regarding malign foreign talent recruitment programs.



On the Home Front

- Research Faculty & Staff Awards
- ORSP Realignment





Call for Nominations

Research Faculty & Research Staff Awards

The Office of the Vice President for Research established the annual Research Awards to recognize excellence among research faculty and staff. Please take a moment and consider nominating your most outstanding and talented colleagues.

Due February 28

ORSP REALIGNMENT

ORSP will scale our structure and functions to align with the university's expanding research portfolio and the complexity of the work.

We will **modernize**, **enhance**, and **elevate** our operations for a responsive, compliant, best-in-class office of research and sponsored projects in an evolving research enterprise.



RESEARCH AND SPONSORED PROJECTS
UNIVERSITY OF MICHIGAN



MODERNIZATION WILL ADDRESS



Redesigning our workflow and business processes will streamline business functions to align with current and anticipated needs and growth.



Defining Organizational Model Success

Goal	Create a more effective organization that is scalable, differentiates roles to develop domain expertise, establishes practices that support more timely outcomes while maintaining compliance, and meets service level agreements					
	Roles	Growth & Retention	Customer Service	Training	Efficiency	Oversight & Monitoring
Elements of a Well-Defined Model	<ul style="list-style-type: none"> ✓ Well-defined roles and responsibilities that limit handoffs ✓ Defined accountability supported by performance measurements 	<ul style="list-style-type: none"> ✓ Clear path for career growth; natural progression of responsibilities ✓ Ensure market appropriate, equitable pay for staff within ORSP ✓ Improved culture and job satisfaction ✓ Scalable organizational design as we grow 	<ul style="list-style-type: none"> ✓ On average, service level expectations are met ✓ Pls are satisfied with the level of service ✓ Generalized knowledge and focused portfolios provide better opportunities for coverage 	<ul style="list-style-type: none"> ✓ Structured and formal training during on- boarding and throughout one's career ✓ Ability to onboard new staff quickly and effectively ✓ 	<ul style="list-style-type: none"> ✓ Streamlined processes and reduction of handoffs and touchpoints ✓ Effective delegation ✓ Eliminate unnecessary layers of management 	<ul style="list-style-type: none"> ✓ Balances process control ✓ Effective communication channels ✓ Clear paths of escalation ✓ Reduce unqualified delays ✓ Ability to measure our performance to make proactive adjustments

TRANSITION PLAN

There will be a period of adjustment as we implement these changes.

We will rollout over 13 months, in a phased approach, adhering to the detailed and multi-faceted project plan.



MODERNIZE

We will implement a redesigned structure in which the lifecycle for a transaction is managed within each distinct business line.

- **Pre-Award Team:** Proposal Review, Approval, Submission, & Post Submission Actions
- **Contracts & Agreements Team:** Contract, Award Review, Negotiation, Acceptance
- **Award Team:** Award/Project Management (non-financial post-award: award acceptance, modifications, technical/progress reports, close-outs, sponsor interactions/communications/ approvals)
- **Coordinator Team:** Triage incoming workstreams, initiate actions in eRPM, data input and data management in eRPM and other systems.



All business lines ensure and safeguard compliance.



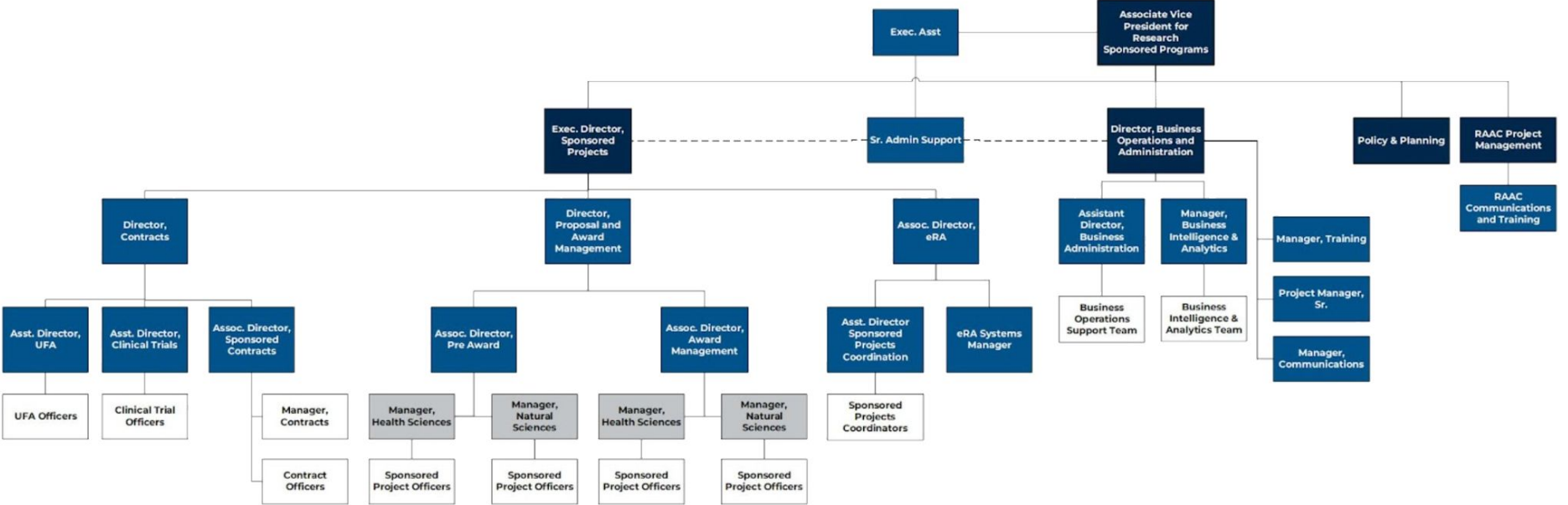
RESEARCH AND SPONSORED PROJECTS
UNIVERSITY OF MICHIGAN

ORSP Realignment Roadmap

	FY24 Q2	FY24 Q3	FY24 Q4	FY25 Q1	FY25 Q2	FY25 Q3
Pre Award Team		Leadership hired	Fully staffed	Launched		
Post Award Team			Leadership hired	Fully staffed	Launched	
Contracts Team			Leadership hired	Fully staffed	Launched	
Coordinators Team		Leadership hired		Fully staffed	Launched	
CLM System		Select & Implement System		Launch system	Integrate with eRPM	
Ops Support		Develop Training		Facilitate Training		
eResearch		Build out & Launch system enhancements				

ORSP FUTURE STATE ORGANIZATIONAL CHART

Modernize | Elevate | Enhance



WELCOME TO THE TEAM

Andy Satkowiak
Director, Operations and Administration



Tonia Jackson
Associate Director, eRA Systems



Lia Floreno
Training Manager



INTERVIEWING/ ACTIVE RECRUITMENT

Title (U-M Job ID)

Project Senior Manager (240922)

Director, Contracts (244633)

Director, Proposals & Award Mgt (244644)

Asst Director, Operations & Administration (245348)

Sr. Administrative Assistant (245478)

Manager, Pre Award (245527)

Approved Sponsored Projects Job Series

NEW

Working / Posting Job Title	Job Code	ORSP Team(s)
Sponsored Project Coordinator	103976	Electronic Research Administration (eRA)
Lead Sponsored Project Coordinator	103977	Electronic Research Administration (eRA)
Associate Sponsored Projects Officer	103978	Pre-Award / Award Management
Sponsored Projects Officer	103979	Pre-Award / Award Management
Contract Officer	103980	Contracts
Sr. Sponsored Projects Officer	103981	Pre-Award / Award Management
Asst. Dir, Sponsored Projects Coordination	103982	Electronic Research Administration (eRA)
Sponsored Project Officer Lead	103983	Pre-Award / Award Management
Senior Contract Officer	103984	Contracts
Manager Sponsored Projects	103985	Pre-Award / Award Management
Contracts Manager	103986	Contracts
Assistant / Associate Director, Sponsored Projects / Contracts	103974	Pre-Award / Award Mgmt. / Contracts
Director Contracts / Proposals and Award Management	103973	Proposal & Award Mgmt. / Contracts
Executive Director Sponsored Projects	103975	Sponsored Projects





Sponsored Programs Update

February 27, 2024

Research Administrators' Network (RAN) Meeting

Debbie Talley / Assistant Vice President for Finance –
Sponsored Programs

Reports and
More Reports!

Thank
YOU!



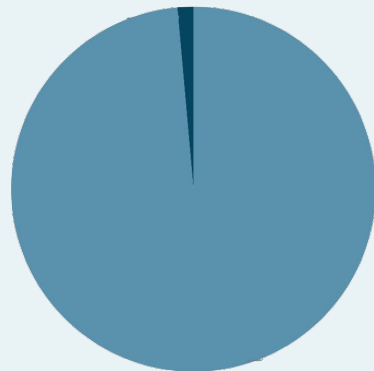
Peak Season Statistics

95%

of Reports Completed!

Reports to Complete Goal: 2,023

Reports Completed: 1,922



Spring
Cleaning!

Teamwork
makes the

DREAMWORK!



Closeouts - we need your help

Current Active: 1,500

Current Late: 490

*Partnership and collaboration go a long way.
There is almost nothing we can't accomplish together!*

Audit update

- Uniform Guidance



Procurement Bid Threshold

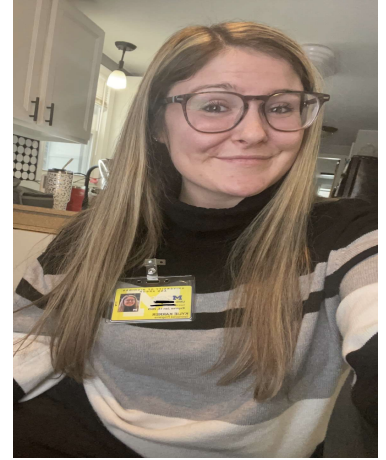
- The new threshold will go into effect early 2024
- Watch for updates from Procurement

NIH Updated Grants Policy Guidance for Foreign Subawards

- New NIH grants policy effective January 1, 2024.
- Requires foreign subrecipients provide **access** to copies of all documentation that supports the research in the Research Performance Progress Report to the prime recipient **no less than once per year**.
- PIs with new and existing NIH foreign subs will need to provide an **attestation** to OCA in conjunction with RPPR submission that access was provided.

Personnel Updates

- New Reporting area staff
 - Richard Feagin
 - Kylie Karrer
 - Nat Witalec
- Staff promotion
 - Lesly Sanchez & Karyn Schwartz - promoted to Reporting Supervisor
 - Mia Bennardi - promoted to Reporting Operations Manager



Thank you!



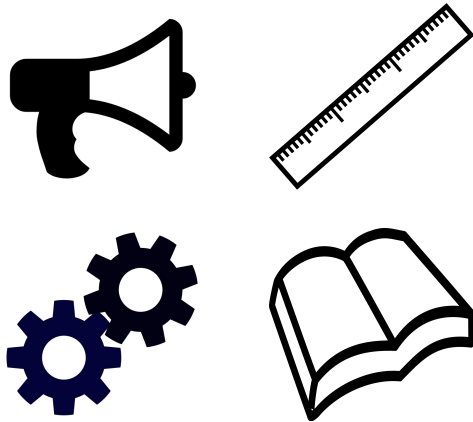
RAAC Update

February 27, 2024

RAN Meeting

Chris DeVries / RAAC Project Manager

RAAC Chairs Update



- As of February 1, 2024 we welcomed **Melissa Milligan** (LSA) to the **RAAC Metrics Subcommittee Chair** role.
- Beginning March 1, 2024 **Becky Youmans Demoss** (Medical School) will take over the **RAAC Communications Subcommittee Chair** role.
- Let's welcome them to their roles!

A huge thank you!

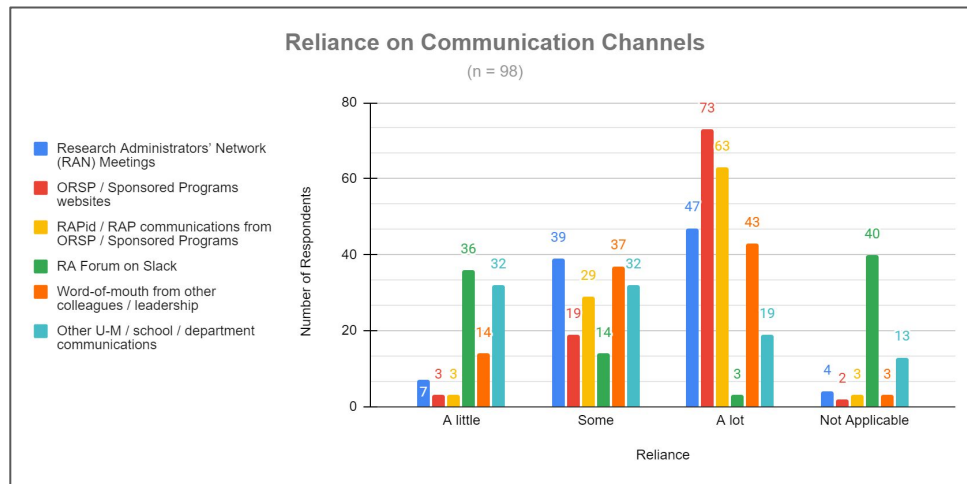


- We owe a huge thank you to **Cathy Liebowitz** (ISR) for her service as the **RAAC Communications Subcommittee Chair!**
- Cathy began this role on the cusp of the COVID-19 pandemic and has led the subcommittee to accomplish great things.
 - Virtual RAN Meetings
 - Virtual Networking Sessions
 - Expansion of the RA Forum on Slack

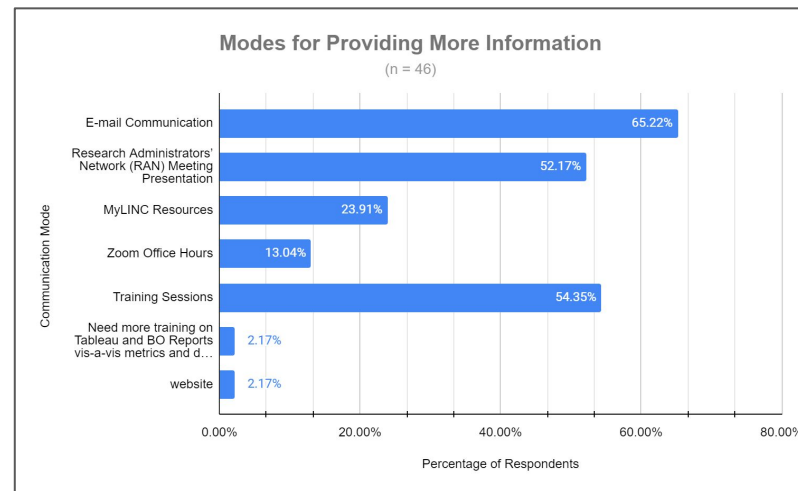
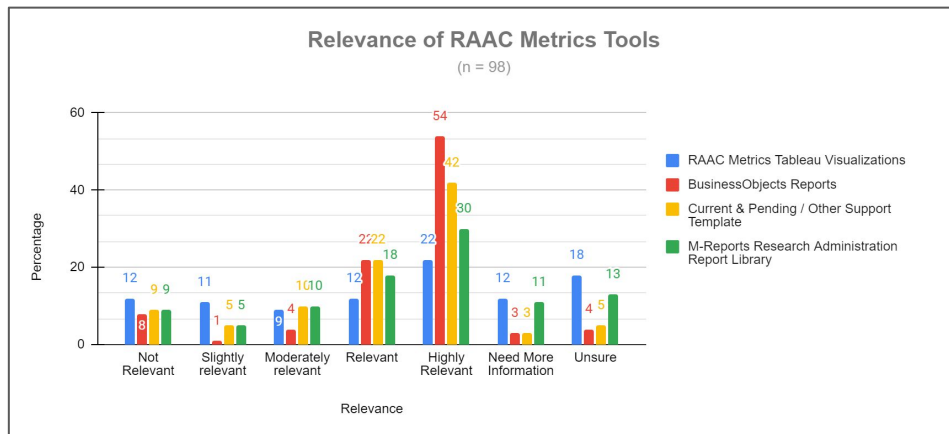
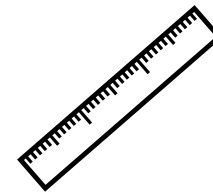
2022 RAAC Survey Update – RAAC Communications



- Work group formed to review ORSP web pages and make layout changes to make information more clear and accessible.
- Amplifying important messages and information on the RA Forum on Slack to boost visibility.

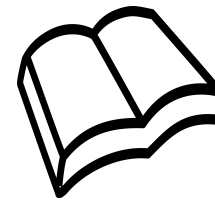


2022 RAAC Survey Update – RAAC Metrics

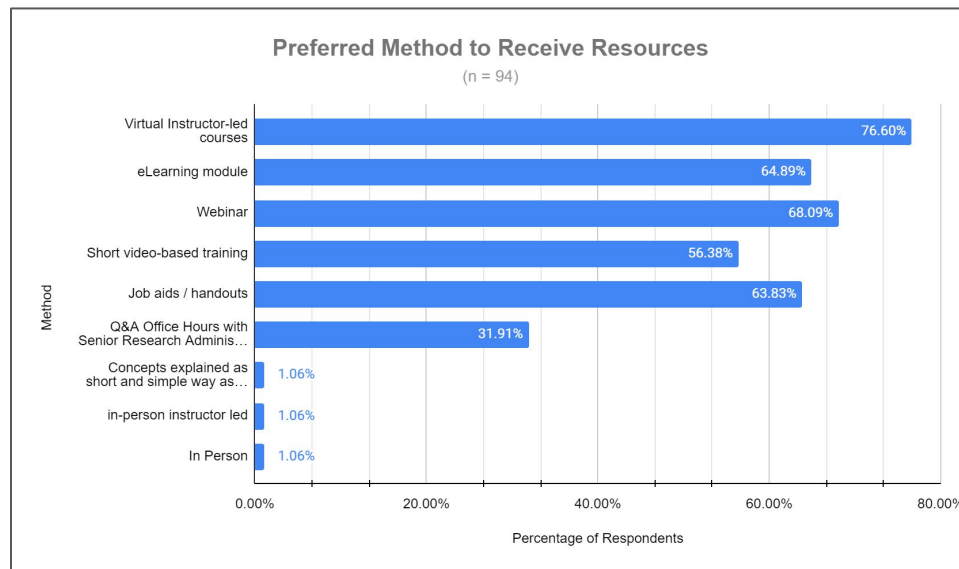


- Presented information about data and metrics resources for research administrators at the [May 17, 2023 RAN Meeting](#).
- Looking to partner with RAAC Training to deliver more courses related to metrics.

2022 RAAC Survey Update – RAAC Training



- Combined with a poll at the October 23, 2023 RAN Meeting, RAAC Training is currently exploring new webinars, eLearning modules, and job aides.
- Topics being explored include voucher types, working with faculty, and research administrator onboarding.



RAAC DEI Workgroup



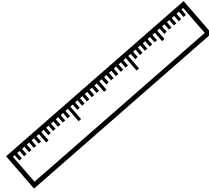
- In response to the 2022 RAAC Survey, the workgroup has been working to share **inclusive hiring practices** more broadly.
- We have a [brief survey](#) to gauge interest in attending a UHR Talent Acquisition Bootcamp.
 - Discover **inclusive hiring strategies** and ways to **mitigate bias**; learn about job marketplace realities; gain **tools and practices**, including behavior-based interviewing and its benefits.

RAAC DEI Workgroup



- The [survey](#) is anonymous and is only being used for planning for bootcamp sessions related to research administration roles.
- We will be sending the survey via other communication channels as well and please share it as appropriate.

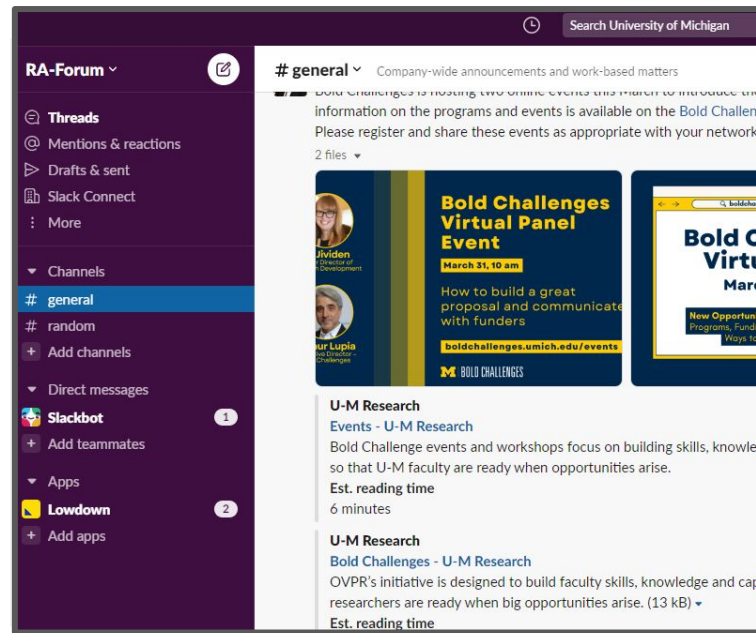
M-Reports Upgrade Project



- ITS implemented minor changes to the [M-Reports look and feel](#) on January 18, 2024.
- The second phase will demonstrate proof-of-concept designs of reports and will include opportunities to engage and provide feedback.
 - The exact timing of the second phase is TBD; we will be sharing information with the RAAC M-Reports Modernization Workgroup as it becomes available.

Don't forget to join us on Slack!

- We continue to grow the RA Forum on Slack.
- Announcements, job postings, sharing resources and best practices, getting to know other RAs, and more!
- um-orsp-ra-forum.slack.com



Screenshot of a post from the RA Forum on Slack.

Thank you!

Quick Poll – Meeting Relevance & Time

This poll is anonymous and is comprised of two parts. We'd like to know:

Please let us know what time of day you generally prefer to have RAN Meetings via Zoom Webinar. Please select all that apply.

- Morning (10:00 am to 12:00 pm)
- Mid-day (12:00 to 2:00 pm)
- Afternoon (2:00 to 4:00 pm)

Please tell us how relevant you found today's meeting content to your work, on a 5-point scale:

- 1 – Not Relevant
- 2 – Slightly Relevant
- 3 – Moderately Relevant
- 4 – Relevant
- 5 – Highly Relevant

Thank You for Attending RAN!

Thank you to our guest emcees and presenters, the RAAC Training subcommittee, the RAAC Communications subcommittee, and to you for joining us today.

Stay connected on the Research Administrators' Forum on Slack, and Virtual Networking sessions.

RAN 2024! Next RAN meeting will be in May - details to come

“Excellence is a continuous process and not an accident.”

– A.P.J. Abdul Kalam