Research Administrators' Network Meeting

AGENDA
May 20, 2016
2:00-3:30 p.m.
Michigan League Ballroom
Webcast - http://univofmichigan.adobeconnect.com/raac/

Welcome & Introductions [2:00-2:10]
Pat Turnbull, Outgoing RAAC Communications Subcommittee Chair
Becky O'Brien, Incoming RAAC Communications Subcommittee Chair
Cathy Seay-Ostrowski, BME Department Administrator, Guest Emcee

Updates [2:10-2:40]
Office of Research & Sponsored Projects, *Daryl Weinert*, Associate Vice President for Research, Business Operations, UMOR [2:10-2:20]
Sponsored Programs, *Debbie Talley*, Director, Sponsored Programs [2:20-2:30]
ITS, *Cathy Handyside*, Product Manager, ITS [2:30-2:40]

Professional Development Spotlight [2:40-2:50]
Jill Jividen, Senior Manager, Office of Research, Medical School
Mini Research Development Conference hosted by U-M Research Development Group,

3rd Cohort - Research Administration Mentoring Program (RAMP↑)

September 2016 - June 2017

Conquering Common Mistakes and Expediting RPPRs [2:50-3:00]
Terri Maxwell, Senior Project Representative, ORSP

Special Event / Featured Presentation [3:00-3:25]
Jack Hu, Vice President for Research

Closing remarks [3:25-3:30]

2016 U-M Office of Research Staff Recognition Awards
Ceremony & Reception immediately following 3:30 – 5:00 p.m.
Michigan League, 2nd Floor, Vandenberg Room
Congratulations to Amanda Coulter, Kerri-Anne Cross, Ben Secunda, and Pat Turnbull!

RAN schedule for the rest of this Academic 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.

LAYING THE GROUNDWORK FOR FACULTY SUCCESS

Research Development at U-M

This half-day conference is for anyone in research administration and leadership interested in learning more about Research Development—what it is and examples of it happening on campus, from mentorship programs to proposal development.

TUESDAY, JUNE 14
8:00AM-12:00PM
Forum Hall, Palmer Commons
RSVP for this FREE event!
research.med.umich.edu/events

Co-hosted by:
Medical School Office of Research
MICHR
College of Engineering
Foundation Relations
Institute for Social Research
LSA
U-M Library
School of Information
MCIRCC
IHPI

UNIVERSITY OF MICHIGAN

Research Administrators' Network

Welcome!

May 20, 2016

Makeup of the
Research Administration
Advisory Council (RAAC)

Volunteer membership of RAAC is 102 strong!

RAAC EXECUTIVE COMMITTEE
Establish the framework and set the tone for the overall RAAC

RAAC FACULTY ADVISORY COUNCIL
Provide a faculty voice on issues affecting research administration and support efforts to reduce faculty burden

RAAC COMMUNICATIONS SUBCOMMITTEE

Foster communications to and among the research administration community

RAAC METRICS SUBCOMMITTEE

Identify and track metrics that inform strategic and tactical decisions about research administration

RAAC PROCESS SUBCOMMITTEE

Identify and promote changes to research administration processes and serve as a resource to central offices

RAAC TRAINING SUBCOMMITTEE

Assess current training programs, identify gaps, and suggest training to be developed in research administration

RESEARCH ADMINISTRATION ADVISORY COUNCIL (COMMITTEE-AT-LARGE)
Two members from each School / College / Institute / Central Offices that work with research administration

Sponsored by the
Vice President for Research and the
Executive Vice President and Chief Financial Officer

ORSP Update
Research Administrators' Network

Daryl Weinert, Assoc. Vice President for Research - Business Operations
May 20, 2016

Personnel Update

New Assistant Director:
    Yvonne Sturt

New Administrative Assistants:
    Ashley Tillotson

    Lesley Hart

New Position Postings:
    RAAC Project Manager
    ORSP/Sponsored Programs Training Manager

Grants and Contracts News

Fair Labor Standards Act (FLSA) Overtime Rules
Changes coming December 1, 2016

IT Security Requirements
Curt Smitka single point-of-contact

Federal-wide Research Terms and Conditions
Still pending

Sponsored Programs Update
Research Administrators' Network

Debbie Talley, Director of Sponsored Programs
May 20, 2016

Uniform Guidance

COGR encouraging Procurement Changes for UG

Council on Government Relations (COGR) is working with Office of Management and Budget (OMB) to encourage a change to the Uniform Guidance (UG) regarding Procurement

Potential increase of the micro-purchase threshold from $3,500 to $10,000

Possible extension of the implementation date to 7/1/18

Personnel Update

New Positions

Five new reporting accountants started May 2nd

Staff Moves

Kathy Austin

OCA Senior Contract Administrator has accepted a position in EECS beginning June 1st

Susan Clair

OCA Accountant retired April 30th
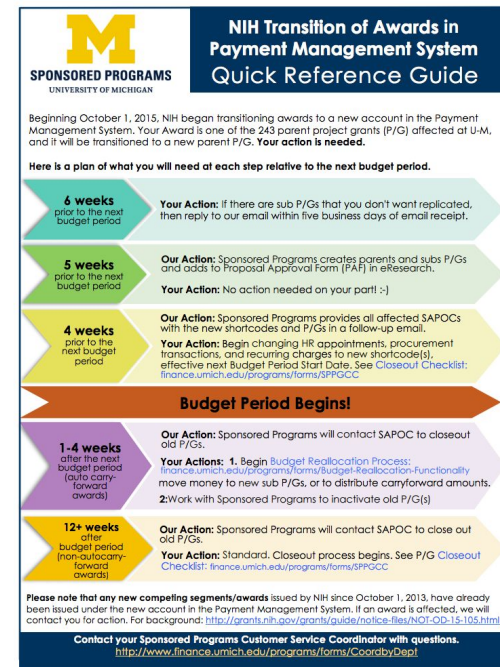
Transition to NIH Subaccounts - Update

By the numbers...

140   awards transitioned

407   total project grants (parent and subs)

101   FFRs* prepared and submitted

* Federal Financial Reports

Audits Update

NSF audit

Submitted responses to last round of questions

Waiting…

Navigate: Fundamentals Course

Course to be offered this Fall 2016

Participant application with Supervisor approval

Look for more information coming soon

NAVIGATE FUNDAMENTALS
NAVIGATING RESEARCH ADMINISTRATION AT THE UNIVERSITY OF MICHIGAN

ITS Update
Research Administrators' Network

Cathy Handyside, Product Manager - eRPM & M-Inform
May 20, 2016

Topics

- SF424 (Grants.gov) Updates in eRPM

- Update on System Performance

- Preparing for the June/July Submission Deadlines

SF424 (Grants.gov) Updates in eRPM

NIH FORMS-D

- NIH Transition starting with proposal deadlines on 5/25/16 and beyond
- NIH will post new announcements (FOAs) at least 60 days in advance
  - Check Grants.gov for the most current announcement

SF424 (Grants.gov) Updates in eRPM

- **Phase 1 - April 4, 2016 - Complete**
  - New/Updated NIH FORMS-D available for download.
- **Phase 2 - May 2, 2016 - Completed**
  - FORMS-D NIH Validations added to eRPM.
    - Incomplete NIH validations on two forms:
      - PHS 398 Cover Page Supplement
      - PHS 398 Research Training Program Plan
    - ITS working with vendor to update missing validations
      - *Check eRPM "What's New" for latest validation Information*
  - Added PHS Fellowship Supplemental Form V3.0
    - NIH announced new version (V3.1) planned for near future.

Update on System Performance

- **Grants.gov SF424 Corrupted Document Issue**
  - No new occurrence since March
- **System Slowness**
  - No new occurrence since March
  - On-going investigation
    - Performance enhancement to PAF Summary implemented in April

Preparing for the June/July Submission Deadlines

- **NIH Deadlines - June/July**
  - Anticipate 40-50 submissions per day
- **What ITS has done to prepare**
  - Implemented system correction for corrupted document issue
    - If the system cannot complete a transaction within two minutes, you will receive an error message.
  - PAF Summary Tuning
    - No change to what you see
    - Change to the way the info is pulled
    - Helps address the underlying memory management issue

Preparing for the June/July Submission Deadlines

- **RA Tips for Success**
  - Flatten PDF Files
    - *Common examples: Documents with inserted images*
    - Flattening reduces chances of corrupted documents
    - Improves processing for eRPM and sponsor systems, such as Grants.Gov
    - ITS created new job aid for how to flatten a PDF
      - Very easy, only seconds to complete
  - Avoid opening a new window/tab to retry an activity

Preparing for the June/July Submission Deadlines

- **RA Tips for Success - Grants.gov**
  - Run the "Copy PAF Info to Grants-gov Forms" activity
    - Required to populate standard U-M and PAF info in the Grants.gov SF424 forms
  - Avoid running "Hide/Show Errors" on blank SF424 forms
  - Complete your PAF before Grants.gov forms
  - Complete Grants.gov forms as early as possible

Preparing for the June/July Submission Deadlines

- **During the deadline period**:
  - ITS will be monitoring system performance closely
  - If slowness is detected:
    - ITS will post system alert indicating plan for system maintenance activity
    - Maintenance usually takes 10-15 minutes to complete
  - If you experience slowness (transactions taking longer than 30 seconds):
    - Wait 5-10 minutes to see if transaction time improves
    - If not, contact the ITS Service Center

Research Development: Laying the Groundwork for Faculty Success

Jill Jividen, PhD
Senior Manager,
Research Development Support
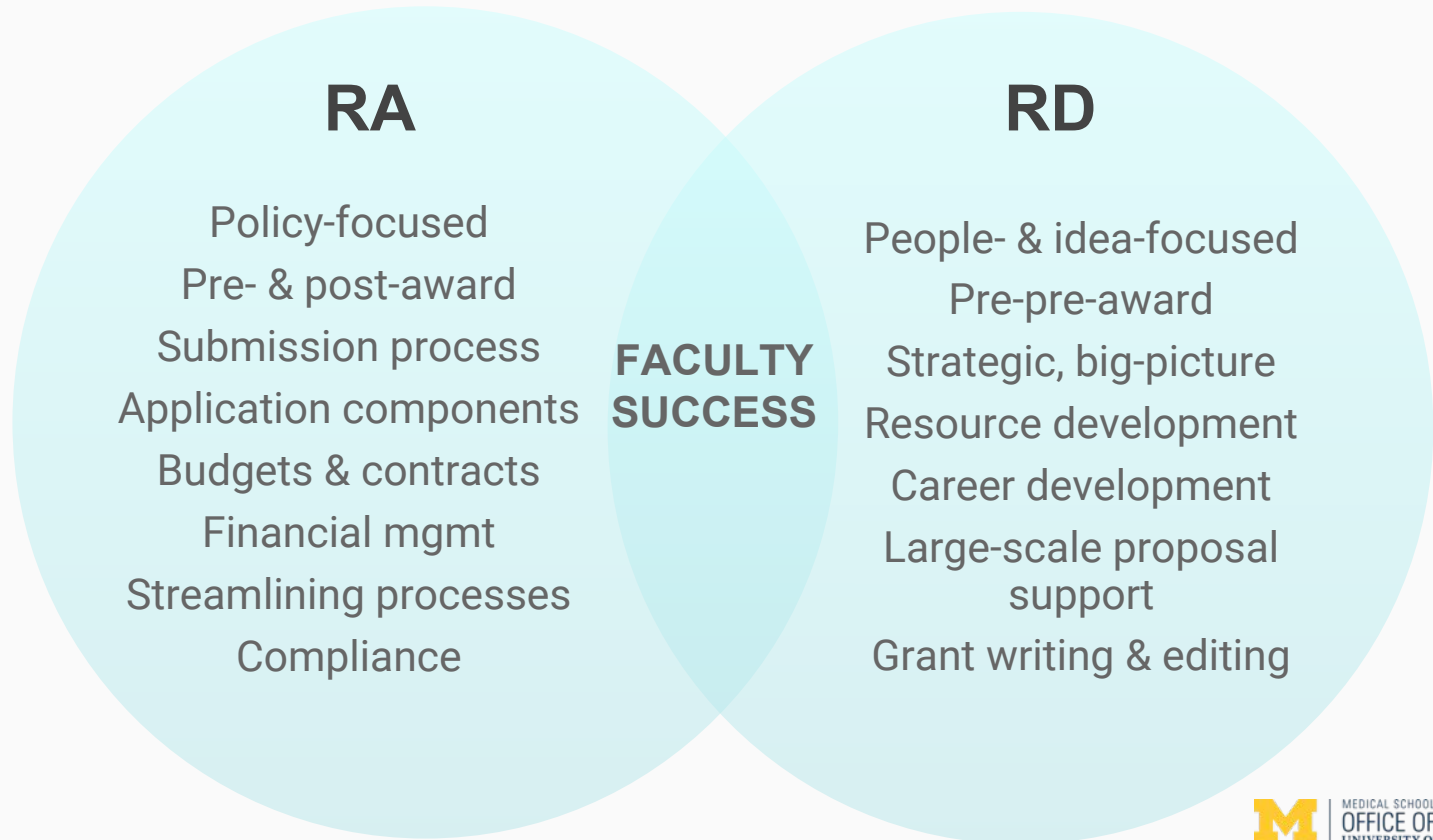
May 20, 2016
Research Administrators' Network

What is Research Development?

Strategic. Proactive. Catalytic. Capacity-building.

- Designing & improving resources to help faculty be successful in their research funding (& careers)
    - e.g., workshops, programs, websites, events, guides
- Understanding faculty research plans, needs & goals, with ability to articulate ideas to third parties and find new funding opportunities
- Developing ideas & initiatives
- Fostering relationships w/ sponsors; helping faculty contact sponsors and program officers
- Large-scale proposal coordination & management
- Grant writing/review, technical writing, editing assistance
- Facilitate collaborations, networking opportunities

Research Administration & Research Development

RA

Policy-focused
Pre- & post-award
Submission process
Application components
Budgets & contracts
Financial mgmt
Streamlining processes
Compliance

FACULTY SUCCESS

RD

People- & idea-focused
Pre-pre-award
Strategic, big-picture
Resource development
Career development
Large-scale proposal support
Grant writing & editing

Research Development at UM

- Bi-monthly group meetings

- 10+ schools/units represented

- Discussions of strategic initiatives, interdisciplinary collaboration, resource sharing, successful practices, brainstorming solutions

Research Development at UM: Laying The Groundwork for Faculty Success

Tuesday, June 14, 2016
8 am - noon
Palmer Commons Forum Hall
research.med.umich.edu/events

FREE half-day conference

8-8:30 am	Registration, breakfast, networking
8:30 am	What is Research Development?
9:00 am	Models for Mentoring
9:45 am	Faculty Perspective/Impact
10:15 am	Proposal Review Strategies
10:55 am	Multidisciplinary Collaboration

Research Development at UM: Laying The Groundwork for Faculty Success

Tuesday, June 14, 2016
8 am - noon
Palmer Commons Forum Hall
research.med.umich.edu/events

Questions? Contact:

Jill Jividen at jjgoff@umich.edu
or umresearchdev@umich.edu

Workshop co-sponsored by:
UMMS Office of Research, MICHR, College of Engineering, Foundation Relations, UMSI
With co-hosts:
LSA, ISR, IHPI, MCIRCC, UM Library

MEDICAL SCHOOL
OFFICE OF RESEARCH
UNIVERSITY OF MICHIGAN

Research Administration Mentoring Program (RAMP↑)

Upcoming Milestones for the 3rd Cohort

June/July 2016	Begin Communications About RAMP
June/July 2016	Applications made Available
August 2016	Advisory Committee Meets to Match New Mentees & Mentors
September 2016	Orientation Meeting Held
October 2016	Mentee/Mentor Meetings Begin

NIH/AHRQ Research Performance Progress Reporting (RPPR)
Conquering Common Mistakes

Terri Maxwell, Senior Project Representative

May 20, 2016
Research Administrators' Network

Who Should Submit A RPPR?

Only the Principal Investigator (or their delegate) can initiate the RPPR. For Multiple Principal Investigator projects, the Contact Principal Investigator (or their delegate) can initiate the RPPR.

Institutional Signing Officials (ORSP Project Representatives) must submit the RPPR.

https://era.nih.gov/erahelp/commons/default.htm#cshid=1032

http://orsp.umich.edu/orsp-staff

When Should I Submit A RPPR?

A RPPR is required annually and is due to the sponsor 45 - 60 days prior to the budget start date.

ORSP requests the RPPR be routed through eRA Commons, along with the associated forms in eResearch, one week prior to the sponsor deadline.

https://public.era.nih.gov/chl/public/search/progressReportByIpf.era

How Do I Submit In eResearch

Log in to eResearch, identify the appropriate PAF, and run the Project Team Request RPPR Review Activity.

Include a completed PHS Key Personnel Annual Reporting: Financial Conflict of Interest Form.

If applicable, also include a Multiple Principal Investigator Statement. Note: The Multiple Principal Investigator Statement is not required for the Contact Principal Investigator.

www.umich.edu/~eresinfo/erpm/docs/PM_PT_RPPRReview_SS.pdf

How Do I Submit In eRA Commons?

Go to the eRA Commons website and complete your RPPR, then:

1. Run a "Check for Errors" before routing to ORSP
   - ORSP cannot submit your RPPR unless all errors are resolved

2. Route your RPPR to the ORSP Project Representative assigned to your PAF after these forms have been uploaded in eResearch: 1) PHS Key Personnel Annual Reporting: Financial Conflict of Interest Form and 2) The Multiple Principal Investigator Statement (if applicable)
   - Only the Principal Investigator can route the RPPR in eRA Commons

https://commons.era.nih.gov/

What Are The Components Of A RPPR?

- Cover Page
- Accomplishments
- Products
- Participants
- Impact
- Changes
- Budgetary Information

Common Mistake: Cover Page

On the cover page, designate your ORSP Project Representative as the Signing Official and the Administrative Official.

A.2 Signing Official Information

Name: LARKIN, TRACEY

E-mail: larkint@umich.edu

Phone: 734-764-7237

A.3 Administrative Official Information

Name: LARKIN, TRACEY

E-mail: larkint@umich.edu

Phone: 734-764-7237

Common Mistake: Accomplishments

For question B.2, the Principal Investigator must include "the approaches taken to ensure robust and unbiased results"

B.2 What was accomplished under these goals?

For this reporting period describe: 1) major activities; 2) specific objectives; 3) significant results, including major findings, developments, or conclusions (both positive and negative); and 4) key outcomes or other achievements. Include a discussion of stated goals not met. As the project progresses, the emphasis in reporting in this section should shift from reporting activities to reporting accomplishments.

✏ Goals are equivalent to specific aims. In the response, emphasize the significance of the findings to the scientific field. Include the approaches taken to ensure robust and unbiased results. For most NIH awards the response should not exceed 2 pages.

For question B.6, the Principal Investigator must discuss "efforts to ensure that the approach is scientifically rigorous and results are robust and unbiased"

B.6 What do you plan to do during the next reporting period to accomplish the goals?

Describe briefly what you plan to do during the next reporting period to accomplish the goals and objectives.

✏ Discuss efforts to ensure that the approach is scientifically rigorous and results are robust and unbiased. Remember that significant changes in objectives and scope require prior approval of the agency (e.g., NIH Grants Policy Statement, 8.1.2.).

✏ Include any important modifications to the original plans. Provide a scientific justification for any changes involving research with human subjects or vertebrate animals. A detailed description of such changes must be provided under Changes.

www.grants.nih.gov/grants/guide/notice-
files/NOT-OD-16-031.html

Common Mistake: Accomplishments (Cont'd)

For question B.3, the Principal Investigator must report on any associated supplement on the parent RPPR.

B.3 Competitive Revisions/Administrative Supplements

For this reporting period, is there one or more Revision/Supplement associated with this award for which reporting is required? ○ Yes ● No

If yes, identify the Revision(s)/Supplement(s) by grant number (e.g., 3R01CA098765-01S1) or title and describe the specific aims and accomplishments for each Revision/Supplement funded during this reporting period. Include any supplements to promote diversity or re-entry, or other similar supplements to support addition of an individual or a discrete project.

Revision/Supplement #

For question B.4, the Principal Investigator must report on training and professional development opportunities.

B.4 What opportunities for training and professional development has the project provided?

If the research is not intended to provide training and professional development opportunities or there is nothing significant to report during this reporting period, state "Nothing to Report."

Describe opportunities for training and professional development provided to anyone who worked on the project or anyone who was involved in the activities supported by the project. "Training" activities are those in which individuals with advanced professional skills and experience assist others in attaining greater proficiency. Training activities may include, for example, courses or one-on-one work with a mentor. "Professional development" activities result in increased knowledge or skill in one's area of expertise and may include workshops, conferences, seminars, study groups, and individual study. Include participation in conferences, workshops, and seminars not listed under major activities.

Common Mistake: Products

For question C.1, any publications missing the PMCID# or NIHMSIDs will delay funding. We encourage your Principal Investigator to correct all PMCID# errors prior to submitting. Contact the UM library staff for assistance obtaining an NIHMSID.

> C.1 Publications
>
> Are there publications or manuscripts accepted for publication in a journal or other publication (e.g., book, one-time publication and monograph) during the reporting period resulting directly from this award? ○ Yes ● No

There are three acceptable designations: 1) In Compliance, 2) PMC-Journal in Process, and 3) In Process at NIHMS.

nihms-library-support@umich.edu

www.publicaccess.nih.gov

Common Mistake: Products (Cont'd)

For question C.4, the Principal Investigator must report on invention(s) that were a result of research conducted during this reporting period. The invention(s) must be disclosed to the Office of Technology Transfer (OTT), and reported in iEdison by OTT, prior to submission of the RPPR.

C.4 Inventions, patent applications, and/or licenses

Have inventions, patent applications and/or licenses resulted from the award during this reporting period? ○ Yes ● No

If yes, has this information been previously provided to the PHS or to the official responsible for patent matters at the grantee organization? ○ Yes ○ No

Reporting of inventions through iEdison is strongly encouraged.

www.techtransfer.umich.edu

Common Mistake: Participants

For question D.1, report on all NIH/AHRQ-identified Key Personnel (regardless of amount of effort) and anyone else who worked on the project for at least 1 Calendar Month. Effort must be rounded to the nearest whole person month. eRA Commons user names must be included for all students and post-doctoral fellows.

D.1 What individuals have worked on the project?

Provide or update the following information for: (1) program director(s)/principal investigator(s) (PDs/PIs); and (2) each person who has worked at least one person month per year on the project during the reporting period, regardless of the source of compensation (a person month equals approximately 160 hours or 8.3% of annualized effort).

Provide the name and identify the role the person played in the project. Indicate the nearest whole person month (Calendar, Academic, Summer) that the individual worked on the project. Show the most senior role in which the person has worked on the project for any significant length of time. For example, If an undergraduate student graduates, enters graduate school, and continues to work on the project, show that person as a graduate student.

Check the "PAN Notes" in eResearch to ensure your Principal Investigator and any other NIH/AHRQ-identified key personnel have devoted the required minimum effort. Reductions in effort greater than or equal to 25% require prior sponsor approval and should be requested on an ORSP Post Award Change Request form.

www.research.umich.edu/nih-era-commons-registration

Common Mistake: Participants (Cont'd)

For question D.2.c, if there were changes in the active other support of senior/key personnel, upload an Other Support document that includes only current support (not pending). The Other Support document must clearly identify the changes in support.

D.2.c Changes in Other Support ?

Has there been a change in the active other support of senior/key personnel since the last reporting period? ● Yes ○ No

For question E.4, make sure all foreign involvement is disclosed.

E.4 What dollar amount of the award's budget is being spent in foreign country(ies)?

For domestic awardees provide the dollar amount obligated to first-tier subawards to foreign entities for this reporting period. For foreign awardees provide the dollar amount of the award, excluding all first-tier subawards to U.S. entities, for this reporting period. Dollars provided should reflect total costs.

If more than one foreign country, identify the distribution between the foreign countries.

Common Mistake: Changes

In section F.3, unless there was a change in the Scope of Work, the human subjects, vertebrate animals, biohazards and/or select agents sections should indicate "No Change."

F.3 Significant changes to Human Subjects, Vertebrate Animals, Biohazards, and/or Select Agents

Describe significant deviations, unexpected outcomes, or changes in approved protocols for human subjects, vertebrate animals, biohazards, and/or select agents during this reporting period.

Remember that significant changes in objectives and scope require prior approval of the agency (e.g., NIH Grants Policy Statement, 8.1.2.). If there are changes in any of the following areas check the appropriate box and provide a description of the changes.

Changes in Scope of Work require prior sponsor approval and should be requested on an ORSP Post Award Change Request form.

www.orsp.umich.edu/post-award-change-request-form

Common Mistake: Special Reporting Requirements

In section G.4, refer to the summary statement attached to the final proposal file in eResearch to appropriately respond to human subjects use questions.

G.4 Human Subjects

G.4.a Does the project involve human subjects? ❓　　　● Yes ○ No

Is the research exempt from Federal regulations? ❓　　　○ Yes ● No
　If yes, check appropriate exemption number(s).　　☐ E1 ☐ E2 ☐ E3 ☐ E4 ☐ E5 ☐ E6

Does this project involve a clinical trial? ❓　　　○ Yes ● No

　If yes, is this an NIH-defined Phase III Clinical Trial? ❓　　　○ Yes ○ No

PI:	Title:
Received: 09/29/2015	FOA:
Competition ID: FORMS-C	FOA Title:
	Dual:
IPF:	Organization:
Former Number:	Department:
IRG/SRG:	AIDS: N
Subtotal Direct Costs (excludes consortium F&A)	Animals: N Humans: N

Proposal Documents

File	Initial Upload
📄 16-PAF01283_Final Commons Proposal_29Sept2015.pdf	9/29/2015 9:16 AM

Common Mistake: Special Reporting Requirements (Cont'd)

In section G.8, Regents of the University of Michigan should be delegated as the primary performance site and need only be listed once. The Congressional District should be MI-012.

Organization Names	DUNS	Congressional District	Address	Action
Primary: Regents of the University of Michigan	073133571-0000	MI-012	3003 S. State St, Ann Arbor MI, 481091274,UNITED STATES	Edit Delete
REGENTS OF THE UNIVERSITY OF MICHIGAN - ANN ARBOR	073133571-0000		3003 SOUTH STATE STREET 1st Floor Wolverine Tower, ANN ARBOR MI, 481091276,UNITED STATES	Edit Delete
Regents of the University of Michigan	073133571-0000	MI-012	3003 S. State St, Ann Arbor MI, 481091274,UNITED STATES	Edit Delete

Common Mistake: Special Reporting Requirements (Cont'd)

In section G.10b, a strong justification for an unobligated balance greater than 25% of the current year's total budget must be provided. Note that the estimated unobligated balance must also be included.

G.10 Estimated Unobligated Balance

G.10.a Is it anticipated that an estimated unobligated balance (including prior year carryover) will be greater than 25% of the current year's total approved budget? ○ Yes ● No

AHRQ Special Instructions

The "total approved budget" equals the current fiscal year award authorization plus any approved carryover of funds from a prior year(s). The numerator equals the total amount available for carryover and the denominator equals the current year's total approved budget.

If yes, provide the estimated unobligated balance. `0`

G.10.b Provide an explanation for unobligated balance below (Limit is 700 characters or approximately 1/4 of a page.)

Total remaining allowed limit is **700** characters.

Summary of Common Mistakes

- Run the "Check for Errors" before routing to ORSP
- Attach the PHS Key Personnel Annual Reporting form and, if necessary, the MPI statement to the PAF
- The Signing Official and the Administrative Official should be your ORSP PR
- Accomplishments must address rigor and transparency
- Missing PMCID #s or NIHMSIDs will delay funding
- Inventions must be disclosed for this reporting period
- Effort must be reported on for all NIH/AHRQ-identified key personnel and for anyone else who worked on the project at least one Calendar Month
- Only "Current Support" should be included on Other Support documents
- Michigan should be delegated as the Primary Performance site and listed only once
- A strong justification should be included for any unobligated balance greater than 25%

Resources

- https://commons.era.nih.gov/
- https://era.nih.gov/commons/user_guide.cfm
- www.umich.edu/~eresinfo/erpm/docs/PM_PT_RPPRReview_SS.pdf
- www.grants.nih.gov/grants/guide/notice-files/NOT-OD-16-031.html
- www.publicaccess.nih.gov
- www.techtransfer.umich.edu
- www.research.umich.edu/nih-era-commons-registration
- www.orsp.umich.edu/post-award-change-request-form