

# Research Administrators' Network Meeting

September 23, 2014

2:00 - 4:00 pm

Michigan League Ballroom

## Agenda

**Welcome & Introductions:** Pat Turnbull [2:00-2:05]

**Updates** [2:05-2:45]

- Office of Research & Sponsored Projects (ORSP): Craig Reynolds [2:05-2:15]
- Sponsored Programs Office (SPO): Debbie Talley [2:15-2:25]
- Research Administrators-Schools & Colleges (RASC): Cathy Seay-Ostrowski, Becky O'Brien [2:25-2:35]
- Information Technology Services (ITS): Cathy Handyside [2:35-2:45]

**Special Announcements** [2:50-3:00]

- RAAC Training Subcommittee, Research Administration Mentoring Program (RAMP↑): Lea Tune

**Featured Presentation** [3:00-3:20]

- Procurement Services, "Small Business Plans and Goal Achievement:"  
Michael Counts and Lynda Lyall

**Networking Activity** [3:20-3:55]

- Communications Best Practices

**Closing remarks** [3:55-4:00]

- 
- ❖ Please [register online](#) today.
  - ❖ RAN schedule for the rest of this Academic Year: <http://orsp.umich.edu/ran/>
  - ❖ Ideas for a future meeting? Contact [ran-plans@umich.edu](mailto:ran-plans@umich.edu)

*Sent on behalf of the Research Administration Advisory Council (RAAC) Communications Subcommittee*



# **Research Administrators' Network (RAN) Meeting September 23, 2014**

## **Welcome!**

Produced by the Research Administration Advisory Council (RAAC)  
Communications Subcommittee

# **Office of Research and Sponsored Projects (ORSP) Update**

**Craig Reynolds,  
Associate Director, ORSP**

Research Administrators Network  
September 23, 2014

# Organizational Changes

- Private Sponsors Team
  - Combines Non-Profit and Industry Teams
  - Maize Group serves health sciences
  - Blue Group serves engineering, natural sciences, social sciences, arts and humanities
- Government Team
  - Federal Team, plus State, local and foreign governments



# Staff Changes

- Hellos 😊
  - Amy Holihan, Asst. PR, Government Team
- Goodbyes 😞
  - Alex Thebaud
  - Gayle Jackson
  - Christine Urwin
- Promotions 😊
  - Tracey Larkin, Asst. PR, Government Team
  - Julie Olivero, Asst. PR, Private Sponsors Team



# Two NIH-specific Items

- Individual Development Plans
- Genomic Data Sharing Policy

# A Few Reminders

- Late proposals need a “heads up” call
- Faculty do not have authority to negotiate and sign awards
- Lagging spend rates threaten federal funding (e.g., NASA, NSF, ARO, AFOSR)



# What's Happening with the Uniform Guidance (2 CFR 200)?

- Effective December 26, 2014
- A-21 cost principles have not changed
- Administrative and clerical staff salaries
- Computing devices
- Participant support costs
- Subrecipient F&A rates
- Procurement rules delayed until July 1, 2016
- More to come as agencies implement the U.G.!



# **Sponsored Programs Update**

Debbie Talley, Interim Director of  
Sponsored Programs

Research Administrators Network  
September 23, 2014

# Sponsored Program Updates

- Budget reallocation (aka form 7471)
- Workload redistribution in customer service
- Research by the numbers
- Staffing



**Research Administration Schools Committee**

# Research Administration Schools Committee (RASC) Website

RASC UPDATE

# RASC

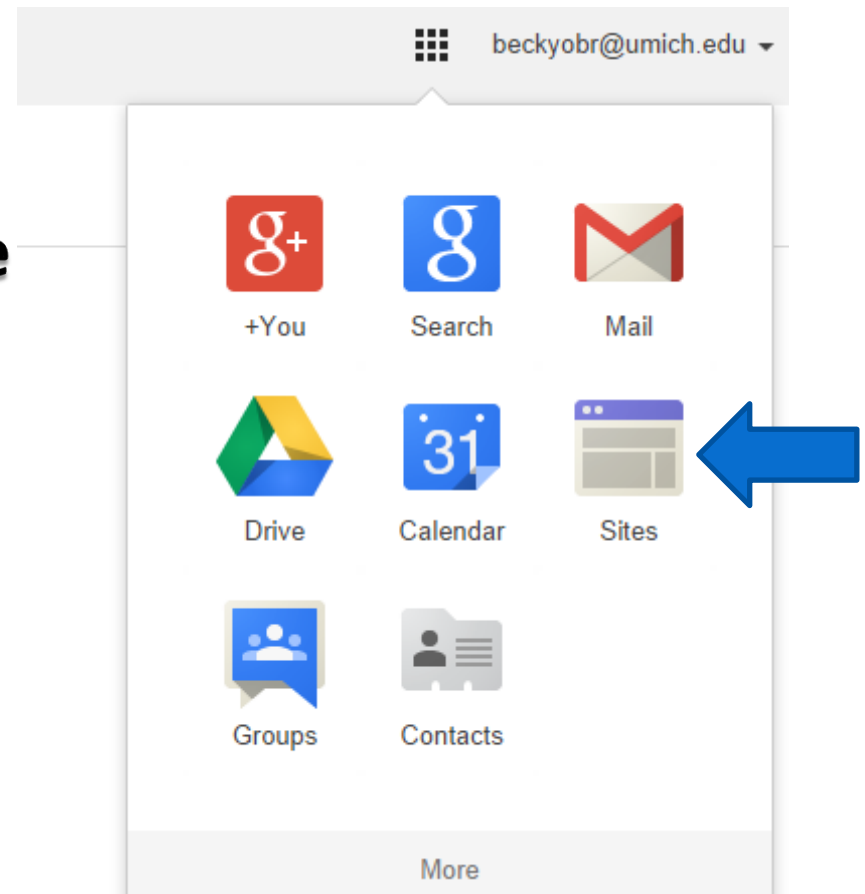
**M** Research Administration  
Schools Committee  
UNIVERSITY OF MICHIGAN

## Research Administration Schools Committee

**For RAs already using Google for  
email/calendar/etc.**

**When you are already signed  
into Google:**

- Click on the rectangle in the upper right
- In open window, click on "Sites"
- Click on RASC in list of Sites you have access to



# RASC

**M** Research Administration  
Schools Committee  
UNIVERSITY OF MICHIGAN

## Research Administration Schools Committee

### For RAs not using Google

- Go to the URL below
- Click “Sign in through University of Michigan”
- Will take you to normal UM login screen
- Log in with username & Kerberos password



Sign in to continue to Google Sites



Sign in through University of Michigan

[Sign in with a different account](#)

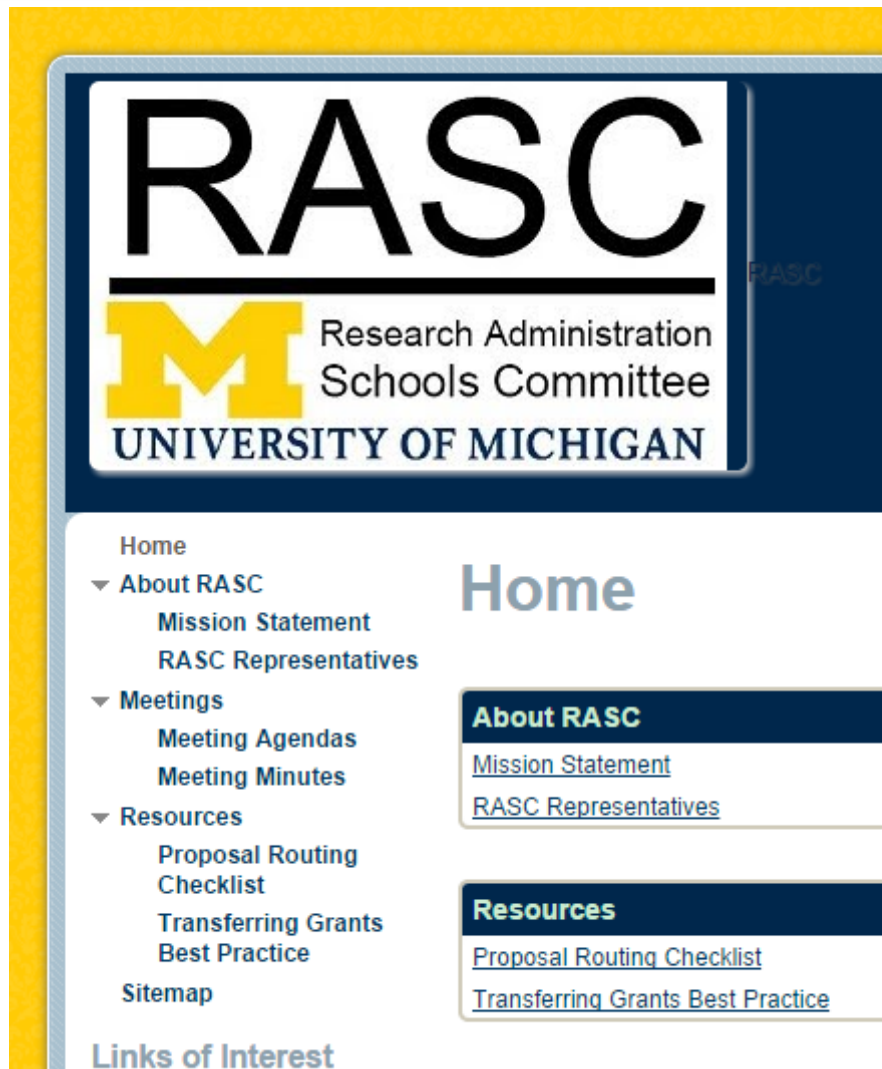
<https://sites.google.com/a/umich.edu/rasc/>

**Hint: For those not using Google, if you find yourself at a Google Login screen. Use your umich email minus “.med”**

# RASC

**M** Research Administration  
Schools Committee  
UNIVERSITY OF MICHIGAN

## Research Administration Schools Committee



On the website find:

- Your rep
- What we're up to
- Resources
- Links

RASC UPDATE

# Transfer of Grants

- UM – a decentralized university structure where several different paradigms exist to guide changes
- Sponsored projects are made to institutions, not principal investigators
- Key to liaise communications between a variety of stakeholders
  - Principal investigator
  - Administrative home unit(s) – Departments, schools, colleges, centers, institutes
  - Outgoing and destination institutional offices

# Transfer or Other Option?

- Sometimes the grant or sponsored project is authorized for transfer
- Sometimes it is expedient or appropriate to move project responsibility to another principal investigator
- Sometimes a new principal investigator can be named, and then a subcontract issued to the original investigator at the new institution

***Determining the best option is easier for leaders when key project information is collected to inform effective decision-making on these issues.***



# Steps in the Process

- Inventory active projects
- Secure institutional agreement(s) to transfer
- Secure sponsor agreement to transfer
- Acquisition and preparation of forms, communications
- Financial analysis, project status evaluation
- Submission of formal transfer requests

# Additional Considerations

- Identification, ownership, and disposition of existing equipment
- Research space setup or decommissioning
- Staffing and HR issues related to the transfer
- Informing Collaborators

# Where Is this Info?

- On the new Research Administration Schools Committee (RASC) Google Site:

<https://sites.google.com/a/umich.edu/rasc/>

- Can be provided by us upon request:

[RASchoolsCommittee@umich.edu](mailto:RASchoolsCommittee@umich.edu)

# ITS Update

- Information Technology Services
  - Cathy Handyside, Product Manager, eResearch

# Research Administrators Mentoring Program (RAMP ↑ )

***“will provide positive role models and will support and enhance retention of aspiring employees, increase productivity and networking opportunities for growth”***

- Pilot was launched for the University on August 28, 2014
- Developed by RAAC Training Subcommittee Mentoring Task Team
  - Recommended at former RAN meeting
  - Suggested in many survey responses from the RA survey distributed about a year ago



# **RAMP ↑**

## **Mentoring Program Task Team**

Lea Tune (Chair), Sponsored Programs

Amanda Coulter, ORSP, Sponsored Programs

Heather Hazzard, SNRE

Mindy LaRocca, Mechanical Engineering

Sharyn Sivyier, ORSP

Yvonne Sturt, ORSP/Sponsored Programs

Lisa Rabaut, ORSP

This team has evolved to the Mentoring Program Advisory Committee,  
who will be reviewing the first round of applicants and making  
selections for the pilot.



# RAMP ↑

## Features and Benefits

### For the Mentee:

- Career development
- Gain knowledge
- Build networks

### For the Mentor:

- Share knowledge
- Give back to research profession
- Broaden professional network



# RAMP ↑

## Requirements for Participation

### Mentor

- Should have at least 5 years of demonstrated career success in the field of research administration
- Supervisor/leadership approval to participate is required
- Willingness to commit a minimum of 1 hour/month for 9 months
- Resume must be included in the application

### Mentee

- Targeted at 6 months to 12 months of experience on the job in a research administrative role
- Supervisor/leadership approval to participate is required
- Willingness to commit a minimum of 1 hour/month for 9 months
- Resume must be included in the application





# Research Administrators Mentoring Program (RAMP ↑ )

- Received 15 applications
- RAMP↑ Pilot will include 20 mentors, 20 mentees
- 9 month duration beginning October/November
- Two orientation sessions:
  - October 22
  - November 12
- Training for mentors, guidelines for both partners
- Evaluations at 4 month and 9 month intervals



# RAMP ↑ DEADLINE Approaching!

- Applications are being accepted through September 30, 2014
- Applications found on ORSP website:  
<http://orsp.umich.edu/training/>
- Please submit application and resume to:  
[raac.mentorprogram@umich.edu](mailto:raac.mentorprogram@umich.edu)



# Research Administrators Mentoring Program (RAMP ↑ )

Questions?



# Small Business Plans and Goal Achievement

Michael Counts, Strategic Sourcing Manager

Lynda Lyall, Procurement Solutions Manager

Amanda Hoeft, Procurement Solutions Administrator (Research Liaison)

Research Administrators Network Meeting

September 23, 2014

# Today's Discussion

- Overview of the Small Business Subcontracting Plan
- Federal Review
- Improving Goal Achievement
- Resources

# Overview

- A Small Business Subcontracting Plan is required for federal contracts that exceed \$650,000 over the entire course of the contract.
- The federal sponsor awarding the contract requires that certain percentages of the direct cost expenditures be spent with suppliers in the following business categories.

# Reporting Categories

- Small Business (SMB or SBE)
- Woman-Owned Small Business (WOSB)
- Small Disadvantaged Business (SDB)
- Historically Underutilized Business Zone (HUBZone)
- Historically Black Colleges and Universities and Minority Institutions
- Veteran-Owned Small Business (VOB)
- Service-disabled Veteran-Owned Small Business (SDVOB)

**Note:** SDB, WBE, HUBZone, VOSB, and SDVOSB goals are subsets of SMB and are counted and reported in multiple categories, as appropriate.

# Federal Prime Contract

## General Goals

- For the small business categories, federal sponsors generally require the following minimum percentages of the available direct costs:
  - SMB/SBE 23%
  - SDB 5%
  - HUBZone 3%
  - WOSB 5%
  - VOB 3%
  - SDVOB 3%
- SDB, WOSB, HUBZone, SDVOSB and VOSB goals are subsets of SMB and are counted and reported in multiple categories.



# The Importance of Meeting the Small Business Goals

- It is critical that the small business subcontracting goals are met.
- If the contractor (University of Michigan) fails to make good faith efforts to comply with the subcontracting goals, the sponsor may impose penalties, including partial or total reimbursement of funds.

# The Importance of Meeting the Small Business Goals

- Failure to meet the subcontracting goals may also negatively affect future funding prospects for other University of Michigan applicants.

# Federal Review

- Every 3 years (or as needed) the federal government Office of Naval Research (ONR) reviews the University's procurement system, policies and procedures.
- This “audit” is called a Contractor Purchasing System Review, or CPSR.
- The CPSR evaluates the efficiency and effectiveness with which the University spends federal funds and complies with federal policies when subcontracting to suppliers or other institutions.

*Source:*

[http://www.onr.navy.mil/Contracts-Grants/  
manage-grant/purchasing-system-review.aspx](http://www.onr.navy.mil/Contracts-Grants/manage-grant/purchasing-system-review.aspx)

# 2008 CPSR

- The ONR conducted a CPSR at the University of Michigan in June 2008.
- Among their findings:
  - We must improve adherence to policies and procedures to ensure small business goals are being met.
  - We must develop realistic and challenging goals in our small business subcontracting plans.
  - We must support the maximum utilization of small businesses.

# Improving Goal Achievement

- If you are the person responsible for managing the contract on behalf of the PI, you should be diligent in fulfilling some key requirements to ensure compliance.

# Improving Goal Achievement

(continued)

- Review the draft small business plan thoroughly with the PI before approving it to be sure the goals can be met.
- Be sure staff in your department who are responsible for ordering products and services are aware of the small business goals and the small business suppliers to be used for purchases related to the contract.
  - For example, staff may customarily order lab supplies from Fisher Scientific, but for this contract, they should order through a specified small business vendor *(regardless if the price is a bit higher)*.

# Improving Goal Achievement

(continued)

- Review the quarterly small business spend reports sent to you by Procurement Services to monitor your progress in meeting the small business goals.
- Adjust your spending pattern accordingly.
- If goals are not being met, the semi-annual report to the sponsor must include a reason for non-achievement of goals and the steps being taken to meet the goals before the end of the contract.

# Improving Goal Achievement

(continued)

- When submitting an ePro requisition, inform the Procurement Agent handling the transaction that the purchase is associated with a small business plan.
- The Procurement Agent will follow the required procurement policies and procedures as they work with the identified supplier.



# Resources

- Procurement Services Research Liaison  
[research\\_liaison@umich.edu](mailto:research_liaison@umich.edu)  
734.764.8212
- Information on Small Business Plans:  
[http://www.finance.umich.edu/procurement/  
howtobuy/policies/fed-small-business](http://www.finance.umich.edu/procurement/howtobuy/policies/fed-small-business)

# Resources

- Small Business Vendor Databases & Registries:

[www.sam.gov](http://www.sam.gov)

<http://sba8a.com>

<http://www.sba.gov/content/hubzone-maps>

<http://cfpub.epa.gov/sbvps/>

<http://www.vip.vetbiz.gov>

**M-Pathways Vendor Database**

Thank You

# **Networking Activity**

Communications Best Practices

September 23, 2014



# Best Practices for Communication

- Help sheet on the fundamentals of communication

<http://orsp.umich.edu/training/communications-best-practices.pdf>

- *"In a world of constant change, the fundamentals are more important than ever." - Jim Collins*



Research Administration Advisory Council (RAAC)  
Communications Subcommittee

## BEST PRACTICES FOR COMMUNICATION

Effective communication is at the heart of every organization. In today's world, we send, receive, and process numerous messages every day. As we work to quickly respond to all the requests, we sometimes forget to be cognizant of how we are communicating.

In our U-M research administration community, communication happens over email, via phone, and within our eResearch Proposal Management (eRPM) system. It can be within or between units and central offices.

We recommend following these best practices for things we do every day. These were collectively compiled by representatives from units, from the Office of Research and Sponsored Programs, and from Sponsored Programs.

*Remember that people who communicate effectively experience fewer misunderstandings and create less friction, which saves time and reduces mistakes.*

### ✍ Tips

- Be a good listener.
- Always watch tone in voice and writing.
- Set a communication reply goal. If you know you cannot respond within that goal, just let the asker know you will follow up and estimate when.
- Draft questions in the active voice for clarity.
- Minimize redundant communications (e.g., an e-mail to indicate that something has been posted in eRPM).

**? UTILIZE THE 5 Ws.**  
Include info on:  
**Who? What? When? Where? Why?**

**👍 UTILIZE THE 5 Cs.**  
**Be Clear, Concise, Complete, Correct, and Courteous.**

*Thanks to:*  
Anthony Nielsen, Elizabeth Troiano, Amanda Coulter, RAAC Process Committee, Heather Offhaus, Craig Reynolds, RAAC Communications Committee, Lisa Klabeth, Heidi Madias, Leslie Cravie, Yvonne Sturt, Cathy Handyside, Constance Colthrop, Yvonne Sturt and Pat Turnbull for their contributions to this.

**"In a world of constant change, the fundamentals are more important than ever." - Jim Collins**

# Key Tips and Takeaways

- Yes, Project Team Request ORSP Action is here, and you are encouraged to use it for Post Award changes.
- Do revisit your email signature today. Does it have your phone number, full name, email address?
- Word to the Wise: Know when to forego email pick up the phone.
- If we all start doing this tomorrow, we will *all* save time.



# Let's Get Started!

- Communication Scenarios
- Share examples or challenges with each other.
- Consider sharing with the group!



## Research Administrators Network (RAN)

Communications Best Practices Networking Activity – September 23, 2014

Please discuss these questions at your table. Feel free to give examples of similar communication challenges you have faced. You will be invited to share an answer/example with the entire RAN audience at the end of the activity.

### Networking Activity

- ❖ The Sponsor sends the PI the Award documents, and requests that they be notified when ORSP receives them. Which communication best practices would be needed?
- |
- ❖ Which Best Practices guideline(s) are not being used when a question is answered via Post-a-Comment by only stating, "See Sponsor guidelines."
- ❖ I have a same day submission that I am routing in eResearch. Which communication tools should be used in this situation?
- ❖ How would you improve the following email:  
  
I have attached the email from the sponsor indicating that funding has been approved. Please call me if you need anything else.  
  
Thank you,  
(NO SIGNATURE BLOCK)
- ❖ What is a situation in which the phone would not be the best communication tool to use? And/or when is email not the best communication tool to use?



# **Research Administrators' Network (RAN) Meeting September 23, 2014**

## **Thank you!**

Produced by the Research Administration Advisory Council (RAAC)  
Communications Subcommittee