Research Administrators’ Network Meeting

AGENDA
February 26, 2019
2:00-4:00 p.m.
Michigan League Ballroom
Webcast - http://orsp.umich.edu/ran-meeting-live-stream

Welcome & Introductions [2:00-2:10]
Becky O’Brien, RAAC Communications Subcommittee Chair
Craig Reynolds, Guest Emcee

Invention Reports [2:10-2:30]
Jodie Richardson, Manager, Business Process Optimization, Office of Technology Transfer

RAAC Overview and Update [2:30-2:45]
Chris DeVries, Project Manager, Research Administration Advisory Council (RAAC)

Open Networking [2:45-3:00]

Updates [3:00-3:55]

Sponsored Programs - Bryan VanSickle, Director, Sponsored Programs [3:00-3:10]
Office of Research & Sponsored Projects - Craig Reynolds, Executive Director, ORSP [3:10-3:20]
ORSP Deadline Policy - Craig Reynolds, Executive Director, ORSP [3:20-3:35]
Navigate - David Mulder, Training Manager [3:45-3:55]

Closing Remarks [3:55-4:00]

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.
Research Administrators’ Network

Welcome!

February 26, 2019
Guest Emcee

Research Administrators’ Network

Craig Reynolds, Executive Director, ORSP
February 26, 2019
A Two (or One, or Three, or Four, or Maybe Five) Step Program for Being Happy

Research Administrators’ Network

Craig Reynolds, Executive Director, ORSP
February 26, 2019
Today’s Learning Objective

1. You will learn how to be happy!
*How to Be Happy in Five Easy Steps!

1. Recognize happiness is a choice.

2. Choose to be happy.

3. Make a list of whatever tends to increase your happiness.

4. Do the things on your list more often.

EXTRA SECRET BONUS TIP #5. Ignore other people’s lists.

Et voila. You’ll suddenly find you’re happy!

*YMMV. What do I know, anyway?
Craig’s List (Don’t Forget Step #5!)

1. Spend time with people who make me laugh
2. Vacation on Beaver Island
3. Listen to music and play music with friends
4. Do good work in ORSP
5. Acknowledge and be thankful for my privilege
6. Remember life is short and absurd
7. Keep things in perspective
8. Be kind
9. Assume others have the best intentions
10. Forgive and forget easily
11. Take some time every day to be grateful
12. Look for what’s positive and what’s funny
13. Have low expectations

Activities

Attitudes
Summary: The Three Steps to Achieve Happiness

1. Choose to be happy
2. Make a list of what makes you happy
3. Do what makes you happy

**BONUS TIP #1:** Ignore any self-help advice billed as “The X Steps to Achieve Y.”

**BONUS TIP #2:** Ignore life advice that is painted on a sign (and stop telling me what to do!)
GOOD LUCK!

(and be happy!)
U-M Tech Transfer
Reporting & Compliance

Research Administrators Network

Jodie Richardson, Manager, Business Process Optimization, OTT
February 26, 2019
WHAT MAKES ME HAPPY?
Tech Transfer

Why We Exist
• Responsible for commercialization of discoveries based on U-M research and intellectual property

Who We Are
• Licensing, Venture, Legal, Marketing and Business Operations Professionals

What We Do
• Assist U-M researchers with protection of their discoveries
• Prepare technologies (IP) for the marketplace
• Market and license technologies to companies
• Help to develop and launch new U-M startups
IT’S OUR JOB TO MAKE SURE THAT EVERY U-M RESEARCH DISCOVERY HAS AN OPPORTUNITY TO CHANGE THE WORLD
Disclosing to Tech Transfer – Why?

- University policy
  - Board of Regents By-Laws
  - Tech Transfer Policy

- Required under terms of most funding agreement(s)

- Assessment of protection, market & commercial potential

- Possible protection of IP prior to publication or sharing

- Look for opportunities for societal impact through discovery
Disclosing to Tech Transfer – When?

Early and Often!

- Before any publication or other public disclosure
- Before discussions with any party outside of U-M
- In some cases, before submission of a funding proposal
- Before material is released, shared or made available to others
Disclosing to Tech Transfer – How?

The University of Michigan is one of the world’s leading research universities with faculty known for discovery and innovation. Our job at U-M Tech Transfer is to join forces with you to find market applications for your ideas and to help bring these ideas to life.

Get Started. Call us at 734.763.0614

SUBMIT YOUR INVENTION
Disclosing to Tech Transfer – How?

Disclosure should include:

- Sufficient description
- All contributors should be listed (including non-UM)
- All funding & grant information, including federal, industry, foundation, internal UM support (dept./startup/etc.)
- Public disclosure details, and copies of materials
- Responses to supplemental questions
Federal Compliance

- Prior to the Bayh-Dole Act (the “Act”) of 1980, all work done under federal research & development funds belonged to the government.
- The Act allows us to retain ownership, pursue patent protection, and commercialize the discoveries that are made with federal support.
- The Act applies to almost all federal funding agreements, including grants, contracts & cooperative agreements.
- U-M employees working under a federal funding award agree to abide by the terms of the Act (prompt disclosure & assignment of inventions, etc.).
Government/Agency Concerns

- Lack of knowledge of Bayh-Dole regulations by Grantees, including faculty, staff, researchers, etc.
- Non-reporting and under reporting of discoveries, patents & commercialization
- Commingling of funds (mixing federal & non-federal funds, using awarded funds for work outside the scope of approved project, etc.)
- Incorrect funding included in published acknowledgement statements
- Improper assignments (improper chain of assignments from PI to institution, assignments made to 3rd parties or back to inventors without required prior approval of funding agency)
- U.S. manufacturing non-compliance (requirement being ignored in licenses, waivers for prior approval not submitted, etc.)
Federal Compliance

Risks of Non-Compliance

- Loss of federal funding for a project, a particular PI or group, or the entire university
- Loss of the university’s rights to inventions and IP
- Reduction in funding appropriations for agencies if they do not ensure grantee compliance
- Additional oversight and compliance obligations
- Possible litigation by licensees over false representations
- More “ammunition” for critics pushing for march-in, outside control of licensing terms, or taxation of academic licensing revenue
Non-Federal Compliance

- Many non-federal funding awards/agreements include similar, and at times more restrictive, terms regarding reporting, compliance, IP rights, royalty payments, etc.
  - Industry Sponsored Research
  - Foundation Funding
- Often these awards will include provisions that do not allow additional funding from other sources to be used on the project.
- Efforts should be made to avoid use of federal and non-federal funding sources on a project, even when a specific provision is not included.
- Many will require review & approval by the sponsor prior to any publications or other public disclosures related to the project.
ANY QUESTIONS?
Research Administration Advisory Council (RAAC) Overview and Update

Research Administrators’ Network

Chris DeVries, Project Manager, RAAC
February 26, 2019
Welcome!

Agenda:

- Overview of the RAAC
- RAAC Structure
- RAAC Accomplishments
- Looking Forward
- Get Involved

Objective:

- Inform you of the purpose and structure of the RAAC, clarify misconceptions about the RAAC, and leave you with a desire to get involved.
A committee is a group that keeps minutes and loses hours.

Milton Berle
If you want to kill any idea in the world, get a committee working on it.

Charles Kettering
Overview of the RAAC

History:

- Memorandum from VPR Stephen Forrest authorizing the RAAC in March 2012.
- First meeting of the RAAC (what is now the Committee-at-Large) in September 2012.
- RAAC subcommittees began meeting in January 2013.
- First RAAC Project Manager hired in August 2013.
- Created RAAC By-Laws in July 2014.
- Initiated the RAAC Faculty Advisory Council in March 2015.
Overview of the RAAC

Purpose / Goals:
(per Stephen Forrest memorandum, March 7, 2012)

- Provide monthly meetings for senior research administrators and “support professionals.”*
- Integrate then-existing eGovernance Team and Sponsored Programs Advisory Team (SPA).
- Allocate two official representatives from each academic unit to RAAC; more as work dictates.

Key Goal: “Promote greater awareness and shared ownership of both strategic research initiatives and administrative infrastructure.”

*i.e., All of you!*
Overview of the RAAC

Goals Realized:

- Regular monthly meetings of RAAC committees and subcommittees.
- Collaboration with many groups on campus that are vital to research administration.
- All academic units and a multitude of central offices have representation on the RAAC.

Key Goal: “Promote greater awareness and shared ownership of both strategic research initiatives and administrative infrastructure.”

BUT: We should never stop finding ways to improve!
Volunteer membership on RAAC is 101 strong!

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

**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 improvements 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

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

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

Sponsored by the University of Michigan
Vice President for Research and the Executive Vice President and Chief Financial Officer
RAAC Accomplishments

Accomplishments:
(selected – 2013–2019)

RAAC Communications
- RAN Meetings (3x year)
- RAP/RAPid design and feedback
- NIH FORMS-E worksheet

RAAC Process
- Electronic 7471
- Roles and Responsibilities
- Closeout Checklist

RAAC Metrics
- Metrics visualizations in Tableau
- Current/Pending Support tool
- ORSP customer survey

RAAC Training
- Navigate: Fundamentals
- RAMP↑
- Lunch & Learn
Looking Forward

My Vision:
(in conjunction with the RAAC committees and subcommittees)

- Facilitate involvement from all unit levels that results in truly broad representation.
- Analyze Navigate participation data and metrics to identify potential RAAC members.
- Document membership onboarding, review, and offboarding procedures.
- Review By-Laws for needed updates with an eye toward long-term success of the RAAC.
- Continue to deliver the highest level of service to all research administrators.
Get Involved

How to get involved with RAAC:

- Visit the RAAC web page on the ORSP site:
  - View the committee rosters, by-laws, and minutes.
- Talk to the RAAC participants you know about their experience.
- Contact the RAAC Project Manager to discuss how you can get involved.
- Attend a Navigate course to increase your knowledge and build your network.
Thank you for your time and attention!

I’m happy to chat with you during the networking break or after today’s meeting.

Or, contact me anytime at cdevrie@umich.edu to discuss your interest in RAAC.
NCURA Update

National Council of University Research Administrators:

- NCURA Region IV (Midwest) **Spring Meeting** – April 28–May 1, 2019 in Columbus, OH.
  - Registration now available!

  ncuraregioniv.com/conferences.html
National Council of University Research Administrators:

- Applications for the Region IV (Midwest) Mentoring Our Own program in leadership development in research administration are due March 19, 2019.

ncuraregioniv.com/mentoring-our-own.html
NCURA Update

National Council of University Research Administrators:

- NCURA National Meeting – August 4–7, 2019, Washington, DC
  - Registration opens in April 2019!

[link](www.ncura.edu/Education/MeetingsConferences.aspx)
SRAI Update

SAVE THE DATE

2019 ANNUAL MEETING

OCTOBER 19 - 23
HILTON SAN FRANCISCO

SRAANNUALMEETING.ORG/2019

www.sraannualmeeting.org/2019/
SRAI Update

SRA MICHIGAN CHAPTER 2019 MEETING
MACKINAC ISLAND, MICHIGAN
GRAND HOTEL
JUNE 10-11, 2019

Contact Us!
msragroup@gmail.com

www.srainternational.org/meeting/chapter/2019-michigan-chapter-meeting
SRAI Update

Announcements!

- Michigan Chapter Conference, Mackinac Island, June 10-June 11
  - Hotel block is open – check our website!
  - General conference program available; full conference program coming soon
  - Registration opens in a few weeks – look for our emails and check our website!

- Want to get involved with the Michigan Chapter of SRAI?
  - Ruth Halsey, President, halseyr@umich.edu
  - Melissa Karby, President-Elect, mkarby@umich.edu
  - Cathy Seay-Ostrowski, Immediate Past-President, cathyso@umich.edu
  - Pat Turnbull, Secretary, pawatson@umich.edu
  - Nicholas Prieur, Treasurer, nprieur@umich.edu

Contact Us!
msragroup@gmail.com
NORDP Update

National Organization of Research Development Professionals:

- 11th Annual Research Development Conference – April 29–May 1, 2019, Providence, RI
  - Early bird registration ends March 15, 2019; regular registration ends April 28, 2019.

www.nordp.org/conferences
National Organization of Research Development Professionals:

- 2019 NORDP Great Lakes Regional Meeting – October 21, 2019, Ann Arbor, MI
  - There will be a registration fee, but you do not need to be a NORDP member to attend.
Break – Open Networking
Sponsored Programs Update
Research Administrators’ Network

Bryan VanSickle, Financial Senior Manager, Finance-Sponsored Programs
February 26, 2019
New online resources

elearning courses available to assist with FSRs

- FSR Overview
- Cost Share
- Cost of All Kinds
New jobs aids

- Scrapping equipment
- Transferring/moving equipment
- Others
Staff updates

Contract Administration

Reporting

Customer Service
Staff Updates

**ORSP**
- Currently hiring to refill an Asst. Project Rep. position
- Project Rep. Beth Wenner moving to Clinical Trials in April

**UMOR**
- Assoc. VP-Business Operations position eliminated
- See Jan. 25 edition of UMOR News for org chart changes
● ORSP is considered to be a non-critical service.
● ORSP is closed whenever the University is closed.
● ORSP business will not be conducted during a closure.
● ORSP recommends:
  ○ Plan ahead
  ○ Confirm sponsor’s late submission policy
  ○ Request an extension from sponsor, if possible
Concerns about Foreign Support and Participation

- Report all research support a PI receives, including support from a foreign entity. It does not matter who is the legal recipient of the foreign support.

- Report whenever a significant part of the project will be performed outside the U.S., regardless of who is doing the work or who is funding the work. (NIH calls this a “foreign component.”)
Agency Updates: NIH

- New Parent Program Announcements for “Basic Experimental Studies Involving Humans” (NOT-19-024)
- Training applications must include letter verifying U-M has policies, procedures and oversight to prevent harassment and other discriminatory practices (see ORSP website).
- “Inclusion Across the Lifespan Policy” in effect now
Agency Updates: DOE Talent Policy Notice

- New policy seeks to cease influence of foreign government-supported talent recruitment programs.
- DOE grant/contract personnel prohibited from participating in the programs of countries determined to be sensitive.
- DOE grant/contract personnel must fully disclose and, as necessary, terminate affiliations with these programs.
Agency Updates: NSF

- **Post-shutdown Webpage**
  - Implementation of *Proposal and Award Policies and Procedures Guide (NSF 19-1)* and *Grant General Conditions (GC-1)* delayed to Feb. 25, 2019
  - Deadlines extended for certain program descriptions, announcements, solicitations and “Dear Colleague Letters” listed on post-shutdown website.
Animal Research on the PAF

● Project Teams may select:
  ○ Only U-M vertebrate animal work, or
  ○ Only external entity vertebrate animal work, or
  ○ Both U-M vertebrate animal work AND external entity vertebrate animal work

● Questions now aligned with related AWD record
Linking Awards: Award Relationships

- Establishes link between $\geq 2$ AWDs that provides a visual clue of a sponsor-initiated relationship:
  - AWDs share one FAIN; OR
  - AWDs share one PAF and AWDs are
    - Non-federal AWDs, or
    - Federal contract AWDs with no FAIN; OR
  - AWDs share a single project as recognized by the sponsor, and each AWD is clearly identified as a component of that project.

- Linked Awards will display on AWD Related Records tab
Linking Awards: Restricted Award Relationships

- Establishes link between Parent AWD and Subproject PAFs that allows for Subprojects to be awarded as independent AWD records.

- Applies to a small number of projects (e.g., holding accounts, masters-with-money, federal projects with non-federal sub-project/grants).

- Only ORSP PRs can run Set Subproject Relationship activity.

- The PRA and Dean-level RA will be involved in the creation of each Parent AWD.

- All PAFs linked to Parent AWD will have the same AWD ID as the Parent, plus a suffix of “-SUB”+ three digits (e.g., AWD000022-SUB008).

- Linked Awards will display on Related Records tab of Parent AWD and each AWD-SUB.

Deliverables Pilot

- Reminder: Deliverables already exist in AWD record
- Deliverables enhanced to support central office entry of final closeout documents for Property Control, Office of Technology Transfer, and Procurement

- *Project Teams should not assign deliverables to these offices*

- *Project Teams should only select themselves as the Responsible Party*
Senior/Key Personnel on AWD

- ORSP will manage Senior/Key Personnel on AWD record
- Project Teams will manage all other personnel on AWD
  - Use Request Action/Modification with PAC-R Form to request changes to Senior/Key Personnel
  - Use Request Action/Modification alone for changes to all other personnel
Conversion of PAF Personnel to AWD

- Once a PAF converts to the state of Awarded, it is for the most part “locked down”
- PAF administrative personnel are not updated once the AWD has been set up
- AWD personnel may differ from PAF, e.g.:
  - ORSP Project Rep on PAF ≠ ORSP Project Rep on AWD
  - Contact PI on PAF ≠ Contact PI on AWD
- Always refer to AWD data as it is the most recent/accurate
Internal Deadline Policy Update

Research Administrators’ Network

Craig Reynolds, Executive Director, ORSP
February 26, 2019
### Service Standards by Business Days Prior to Deadline

<table>
<thead>
<tr>
<th>Service Provided</th>
<th>Finalize $\geq 4$ Business Days</th>
<th>Finalize $\geq 2$ Business Days *</th>
<th>Finalize $&lt; 2$ Business Days **</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proposal Checked Against U-M Requirements</td>
<td>✔</td>
<td>✔</td>
<td>✔</td>
</tr>
<tr>
<td>Proposal Submitted by Deadline</td>
<td>✔</td>
<td>✔</td>
<td></td>
</tr>
<tr>
<td>Proposal Successfully Received by Sponsor</td>
<td>✔</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Proposal Checked Against Sponsor Guidelines</td>
<td>✔</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Terms Reviewed to Ensure UM Can Accept Award</td>
<td>✔</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

* Given limited review, ORSP cannot guarantee proposals will not be administratively returned without review or declined for funding on technical grounds.

** These proposals are considered “at risk.” They may or may not be submitted and will not be given priority over more timely proposals for the same deadline.
Phase I: **PAF Changes** (June 2019 at the earliest)

- Preview Policy
- Preview School/College/Institute/Unit Policy Requirements
- Rollout PAF Redesign
- ORSP Request Changes - Required v. Recommended
- Email notices sent upon submission about new policy
- eRPM requirements gathering, programming and testing
- Workflow User Acceptance Testing
Internal Deadline Policy Implementation Plan

Phase II: **Policy & Workflow Go-Live** *(Date TBD)*

- Communication and training (prior to Go-Live)
- New State Functionality: “Awaiting Final Proposal”
- New State: “Sponsor Deadline Missed”
- New Project Team Activity: “Update Sponsor Deadline”
- Email Notices Sent to PI’s/Project Team Members
Phase III: **Policy and Workflow Refinement**

- Analyze data on implementation and policy effects
- Refine policy and procedures as necessary
- Work with RADs and VPR Hu on “chronic ‘at risk’ submitters”
- Advise VPR Hu on potential waiver requirement
  - How many proposals are still arriving late (currently 25% after lunch on deadline day; 47% less than 2 days)?
  - How many “at risk” proposals are too many, i.e., what is an acceptable number of proposals to not get submitted?
ITS Update

Research Administrators’ Network

Carolyn Pappas, eResearch Administration Systems
February 26, 2019
Upcoming System Updates

- eRPM - February 25, 2019
- SF424 (Grants.gov) - March 23, 2019
February Update

● Award Enhancements - Quick Wins
  ○ All Awards - Added All Mods and All ACRs listers
  ○ Added more information to Award Modification Workspace
  ○ Added Award Change Request (ACR) Workspace message
  ○ Changed Label on Post A Comment on PAF & Award
  ○ Fixed issue preventing PIs and Award Editors from receiving Award Acceptance Request (AAR) Notifications

● Update to PI Sign activity on PAF, Award, and Sub-Contracts
Award Enhancements - Quick Wins

- All Awards - Added all ACRs in Progress and Mods in Progress listers
Award Enhancements - Quick Wins

- Added more information to Award Modification Workspace
  - Principal Investigator(s), Primary Post-Award Contact, Administrative Home, Project Representative, Project/Grant Coordinator
Award Enhancements - Quick Wins

- **Award Change Request Pending** workspace message displays if there is an ACR in progress
Award Enhancements - Quick Wins

- Changed Email Recipient checkbox on **Post a Comment** activity on PAFs, Awards, and Modifications
  
  - Office of Contract Administration (**Outgoing Subcontracts Only**)
eRPM Tip for working with tabs

- Allow **More...** button links to open in a new tab/window
  - If all the workspace tabs are not expanded, and you see the More... tab, then try this tip to open the tabs instead of right-clicking
    - Press Ctrl then click on a PC
    - Press Command then click on a Mac
Update to PI Sign Activity

- Updates to PI Sign activities on PAF, AWD, UFA, and SUBK (COI)

**Conflict of Interest Statement**

Do you (or your family members) or any of the key investigators (or their family members) have an interest or relationship* with a non-UM entity, where the non-UM entity is

- Sponsoring this project;
- supplying products purchased with this funding;
- Providing a product used in this project (e.g., an app, device, drug, compound, software, survey, evaluation);
- Holding an option/license to intellectual property used in this project (e.g., a device, drug, compound, software, survey, evaluation) that you or any of the U-M investigators developed;
- Receiving a subcontract for work on this project?

*Examples of relevant interests or relationships with a non-UM entity include owning stock in, receiving income from, consulting with, serving as an officer/director/advisor to or having some other related financial/leadership interest or relationship with that entity.

**Note:** This is a required question. It needs to be answered even if you completed a disclosure in the university’s Disclosure System.

- [ ] Yes  
  - [ ] No  
  - Clear

If the button above is checked "Yes", each conflicted investigator must file a disclosure in M-Inform, as must any investigator required to do so by the sponsor. U-M will not award this project until all disclosures have been submitted, reviewed, and managed as appropriate.

Provide the name of the investigator, name of the outside entity or entities, and a brief description of the interest/relationship(s):
Navigate Update

Navigate Professional Development Program

Upcoming Classes:

- Spring *Fundamentals* cohort filled, begins March 5
- Lunch & Learn: *Intro to BusinessObjects for RAs*, February 28 (full)
  - Repeat Session April 19 (tentative)
- *Advanced Budgeting: Task-Based Budgets*, April 5 & 12
- *Advanced Budgeting: Internal Proposals with Cost Share*, April 16 & 30
- Budgeting Basics, May 2 & 20
- *Uniform Guidance Cost Principles*, Spring (TBD)

For more info, visit [orsp.umich.edu/navigate](http://orsp.umich.edu/navigate) or email [navigate-research@umich.edu](mailto:navigate-research@umich.edu).
Navigate Update

Navigate Professional Development Program

- Lunch & Learn: Unfunded Agreements (UFAs) and/or Data Use Agreements (DUAs), Mid-June

- E-ssentials eLearning Modules:
  - Proposal Prep & Submission and Understanding Effort released February 11.
  - Stay tuned for: Financial Monitoring, Personnel Appointments, and Effort Certification, coming soon!
Navigate Update

For Additional Information:

● Email: navigate-research@umich.edu

● Go to: orsp.umich.edu/navigate
Closing Remarks

● Thanks to the RAAC Communications Subcommittee!

● Ideas for a future meeting? ran-plans@umich.edu

● Next RAN meeting:
  ○ May 23, 2019
  ○ 2:00 – 3:30 pm*
  ○ Michigan League Ballroom

*Followed by the UMOR Staff Recognition Awards