Research Administration Advisory Council (RAAC)
Committee-at-Large

Tuesday, September 17, 2019, 3:00 – 4:30 pm
1680 School of Public Health I
1415 Washington Heights
MINUTES

Attendees:

Kristie Beckon – Sponsored Programs	**Teresa Herrick** – SEAS	**Craig Reynolds** – ORSP
Beth Brant – Medical School	**Jennifer Huntington** – Business	**Jane Sierra** – Medical School
Cheri Brooks – ISR	**Melissa Karby** – Dentistry	**Nicole Sleight** – SSC
Cindy Dames – ORSP	**Karen Kirchner** – Nursing	**Danielle Smith** – LSI
Lori Deromedi – UMOR	**Heather Kraus** – LSA	**Yvonne Sturt** – ORSP
Kathy Devereux – UMOR	**Pat Lagua** – Dentistry	**Debbie Talley** – Sponsored Programs
Chris DeVries – RAAC	**Mindy LaRocca** – SPH	**Michelle Terrell** – SMTD
Cathy Handyside – ITS	**Charlie Mattison** – ISR	**Traci Trimmer** – SSC
Linda Forsyth – Engineering	**Becky O'Brien** – Information	**Pat Turnbull** – Dearborn
Stephanie Hensel – Education	**Lisa Parker** – IRWG	**Bryan VanSickle** – Sponsored Programs

1. **Introductions of Members and Guests** (*Craig Reynolds*)

Craig called the meeting to order at 3:00 p.m. and welcomed back everyone to the new academic year. The group went around the room for introductions.

2. **Presentation:** RAAC Process Subcommittee Update (*Melissa Karby*) Attachment #1

Melissa Karby gave the update for the RAAC Process subcommittee.

Membership:

Robyn Bollman replaced Corey Turner from Engineering, and Danielle Smith from LSI has stepped down.

Roles & Responsibilities:
- Phases I - V - completed. All documents are up on the ORSP website.
- Phase VI - in progress. Includes all things dealing with compliance.

Business Cases Submitted to ITS:

Business Case 1 - Office of Contract Administration
- Concurrence Receipts sent routed / approved through electronic workflow - Work group formed. Needed Duo two-factor security implemented first, and now working with Pete Gerard and his team.
- Wire transfer information stored in Wolverine Access - completed.

Business Case 2 - M-Reports
- Cents in M-Reports (including toggle) - complete. RAPid went out today.
  - A new toggle in M-Reports that allows the end-user to choose whether or not cents show in reports. It is live on the following reports:
    - Summary of projects
    - P/G Budget Status/Activity
    - Spon Parent Summary
    - P/G Billing Details
    - P/G Fin Aid/Stu Fin
    - P/G Payroll Details
    - P/G Voucher Details
    - Award ID Summary
- Retain correct formatting of exported M-Reports - in progress.
- Consolidated view of portfolio on PI, Unit, or School level in M-Reports - in progress.
- Develop visualizations in M-Reports - In progress.

Business Case 3
- Electronic 7471 - Phase II - in progress (beginning stages). Automation for projects/sub-projects.

Business Case 4 - not started, but submitted to ITS
- Add purchasing commitments to all funds in M-Reports.
- Add imputed indirect costs on cost-share Project/Grants in M-Reports.
- Allow for drilling down on account code rollup amounts in M-Reports.

Business Case 5 - not started, but submitted to ITS.
- Budget allocation/reallocation tool enhancements.

Internal Awards - Co-leads: Victoria Devulder (Pharmacy) and Steve Beach (LSA)
- The group will be looking into using eRPM to track internal award submissions for units.
- The project will begin after a leadership change.

Post-Award Change Request (PACR) Form - Co-leads: Karen Alammedine and Beth Brant (Kate Strzempek assisting)
- A workgroup is being created to address the many business process enhancements that both ORSP and campus community would like to see incorporated into the electronic PACR.

OCA Concurrence Receipts Workflow
- A newly formed workgroup will work through the programming needed to fully automate OCA Concurrence Receipts in M-Pathways. Group consists of campus, OCA (lead), ITS, SP, and the SSC.

Budget Template Suite
- RAAC Process work completed.
- RAAC Training and Communications working through the next steps.

Ongoing Work
- U-M Deadline Policy - reviewing PAF changes and anything needed from the Deadline Group.
- Process-related questions/issues that may arise out of the Deadline Policy Working Group.

Future Projects
- Group brainstorming the next projects to work on by revisiting the RAAC Process survey from 2016.
  - Priority has been assigned to most of the items that are still relevant.

3. **ORSP Update** (*Craig Reynolds*)

Managing Internal Awards
- The federal agencies are moving closer to what is to be included for internal funding and non-monetary assets.

Updates
- RAPid went out about NSF proposed requirements to use Science Experts Network Curriculum Vitae (SciENcv) for biosketches. It will go into effect January 2020. Not concerned about the format but that we use SciENcv to submit and the platform will require a digital identifier for biosketch.

Foreign Influence
- NIH is the most active - notice went out from the Director of what is needed to be included in proposals. Complete redefinition of support.
  - Foreign affiliations and participation in Foreign Government.
- NSF and DOE are following suit. Both issued policies that prohibit their employees from participating in foreign talent recruitment programs.
- Section 517 requires universities to submit foreign participation.
  - University of Kansas - investigator was indicted on three counts of fraud not disclosing foreign participation.
  - An investigator at Nationwide Children's Hospital in Columbus for espionage of trade secrets.
- A lot of uncertainty and further guidance will come out soon. We will send out communications when we receive them.

Business Process Changes:
- The RAAC Executive Committee agreed that when ORSP receives a UFA or PAF, specifically for an agreement to be negotiated, and if PI has not electronically signed the agreement in eRPM, the Project Representative will send back and ask PI to sign. We don't want to spend time if we are not certain PI is not on board.

Miscellaneous:
- Research Administrators Day is September 25, 2019.
- Updates to the PAF for implementation of the Deadline Policy. Some clarity issues on whether it is a proposal to submit or award negotiated.

- RAN meeting coming up on October 15, 2019.
- ORSP activity overview (Deadline Policy necessary to free up some time for the other activity).
  - Total activity for the Project Representatives in FY19 was 19,229 (not including comments). Our submission activity is 7,436 (less than half of our total activity). There is a lot (70%) of activity of non-financial management information.
- Have received six signed offer letters for new Project Representatives coming in October 2019.
- Thanks to Kellie Buss there is a new Subrecipient Statement of Collaborative Intent form. Will be the form of record starting January 6, 2020.

Deadline Policy: effective January 6, 2020   Attachment #2
- Proposal **must be finalized** and PAF **needs to be approved** before ORSP will begin its review.
- Level of service is based on when proposal is submitted (i.e., finalized and approved):
  - Full review - > 32 business hours.
  - Limited review > 15 business hours (by 9 a.m. the day before proposal is due). Check for compliance with U-M requirements and submit the proposal.
- Proposal arriving < 15 business hours are "at risk" and might not get submitted. Only check for compliance with U-M requirements.
- ORSP will no longer submit proposals that are not reviewed.
- The proposal can be returned to the project team by ORSP because it is incomplete (e.g., missing biosketch) and the proposal will need to be re-finalized. The clock is restarted.
- If finalized, but changes are needed, ORSP will return but clock stays the same.
- Policy only applies to a Submission Deadline Date (not Target Date).
- A new state called Deadline Missed. If Submission Deadline missed, proposal will sit for 30 days and project team can update and submit later. After 30 days will go into Cancelled state.
- Suspend Approval activity (in administrative home) will now prevent submission (that has submission deadline).

Expanded Signature Authority
- ORSP has signature authority for contracts up to $250K.

4.   **ITS Update** (*Cathy Handyside*)

- PAF changes made in July.
- Small system update happened a week ago to support ORSP's expanded signature authority.
- Made small updates for Grants.gov.
- No other system changes are going to happen until January 6, 2020.
  - Will go over what system behavior will look like, new emails, etc.

Q: Is there any school level data on submissions?
A: Not now, but will have once changes in the system are made. Need unit review complete but also needs Final that is not there right now.

- The function to pull back image in Grants.gov. is not working in a production environment. Investigating with vendor and hopefully will get it fixed by January 6, 2020.

5.   **Sponsored Programs Update** (*Debbie Talley*)

- This is the busiest time of the year from a reporting standpoint.

- ○ There are currently 2,300 reports that are due now to December 24, 2019 with 370 reports due by the end of this month. Please help by returning reports to Sponsored Programs ASAP
- Staff are relatively new (<6 months of experience). Five (5) new accountants started Monday.
- Our top priority is getting the sponsored reports out. Subcontracts, project grant, or budget reallocation may be postponed until the reports are completed.
- It is helpful the R&D single audit was not required this year.

6. **Closing and Future Meetings** (*Craig Reynolds*)
   - ○ Chris DeVries will send solicitation for 2020 meeting locations.

The next meeting is October 22, 2019 - Judy Carillo presents on RAAC Training subcommittee.

Meeting adjourned at 4:05 p.m.

RAAC Committee-At-Large Meeting Dates
- Tuesday, October 22, 2019, 3:00 – 4:30 pm @ NCRC – BEC hosting (*Judy Carrillo*, RAAC Training Subcommittee)
- Tuesday, November 19, 2019, 3:00 – 4:30 pm @ North Quad (*Becky O'Brien*, RAAC Communications Subcommittee)
- *No December meeting*

Executive Committee Meetings
Wolverine Tower, Conference Room 1025 (unless noted)
- Tuesday, October 8, 2019, 3:30 – 5:00 pm
- Tuesday, November 12, 2019, 3:30 – 5:00 pm
- Thursday, November 21, 2019, **3:00 – 4:30 pm** (*joint meeting with the RAAC Faculty Advisory Council)*
   - o 2001 LSA Building
- Tuesday, December 10, 2019, 3:30 – 5:00 pm

RAAC Process Update

RAAC Committee-at-Large Meeting

Melissa Karby, Director of Research Administration, School of Dentistry
September 17, 2019

RAAC Process Members

Alameddine, Karen – ORSP	Karby, Melissa – Dentistry
Brant, Beth – Medical School	Nielsen, Tony – ORSP
Bollman, Robyn – Engineering	Offhaus, Heather – Medical School
Cross, Kerri – ISR	Pappas, Carolyn – ITS
DeVries, Chris – ORSP / Sponsored Programs	Thomson, Anne – LSA
Devulder, Victoria – Pharmacy	Turnbull, Pat – Dearborn
Forsyth, Linda – Engineering	VanSickle, Bryan – Sponsored Programs
Herrick, Teresa – SEAS	

New members since last RAAC CAL update in March 2019.
Danielle Smith from LSI and Corey Turner from Engineering stepped down.

Project Updates – Roles & Responsibilities

Phase	Topic(s)	Status
I	• Proposal Development • Proposal Review, Approval, and Processing	**Completed**
II	• Award Negotiation / Acceptance	**Completed**
III	• Financial Management of Awards	**Completed**
IV	• Non-Financial Management of Awards	**Completed**
V	• Award Close-out	**Completed**
VI	• Protocol Review, Approval, and Monitoring	**In Progress**

Documentation produced from all completed phases is available on the ORSP website.

Project Updates

Business Cases Submitted to ITS:

Business Case	Enhancement(s)	Status
1	• Concurrence Receipts sent routed / approved through electronic workflow	**Work Group Formed**
1	• Wire transfer information stored in Wolverine Access	**Completed**
2	• Cents in M-Reports (including toggle) • Retain correct formatting of exported M-Reports • Consolidated view of portfolio on PI, Unit, or School level in M-Reports	**Cents in M-Reports Complete** **The rest In Progress**
2	• Develop visualizations in M-Reports	**In Progress**
3	• Electronic 7471 – Phase II	**In Progress-Beginning Stages**
4	• Add purchasing commitments to all funds in M-Reports • Add imputed indirect costs on cost-share Project/Grants in M-Reports • Allow for drilling down on account code rollup amounts in M-Reports	**Not Started**
5	• Budget allocation / reallocation tool enhancements	**Not Started**

Project Updates - Cents in M-Reports

- New toggle in M-Reports that will allow the end user to choose whether or not cents show in reports. The functionality is live now and available on the following reports
  - Summary of Projects
  - P/G Budget Status/Activity
  - Spon Parent Summary
  - P/G Billing Details
  - P/G Fin Aid/Stu Fin
  - P/G Payroll Details
  - P/G Voucher Details
  - Award ID Summary

- A RAPid announcing this to the research community will come out soon.
  - There is a notice on the announcements page in M-Reports from ITS

Project Updates

Internal Awards

- Victoria Devulder (Pharmacy) and Steve Beach (LSA) will co-lead the project. The project will begin in earnest after a leadership change, and the goal is to determine the requirements necessary for using eResearch Proposal Management to track internal award submissions for units.

Post-Award Change Request (PAC-R) Form

- A work group is being created to address the many business process enhancements that both ORSP and the Campus Community would like to see incorporated into the electronic PAC-R. Co-Leads have been identified and an initial project scoping meeting will be set up very soon.

Project Updates

<u>OCA Concurrence Receipts Workflow</u>

- A newly formed workgroup will begin working through the programming needed to fully automate OCA Concurrence Receipts in M-Pathways. This is group has reps from campus, OCA, ITS, Sponsored Programs and the SSC. This initiative is being led by OCA. While being led by OCA this automation was in our OCA Task Force business case that was submitted to ITS.

<u>Budget Template Suite</u>

- RAAC Process work completed
- RAAC Training and Communications working through next steps

Ongoing Work

<u>U-M Deadline Policy</u>
- Process-related questions/issues that may arise out of the Deadline Policy Working Group.

<u>Future Projects</u>
- The group began brainstorming the next projects to work on by revisiting the RAAC Process survey from 2016.
  - We have assigned priority to most of the items that are still relevant, and will work on the selected projects as time permits.

Questions/Comments

- **As always we welcome your feedback!**

The New U-M Internal Deadline Policy

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New U-M Internal Deadline Policy

- What you need to know
  - Policy goes into effect January 6, 2020
  - Proposal must be finalized and PAF approved before they can get to ORSP for review
  - Level of service based on how far ahead of submission deadline the approved PAF and final proposal arrive
    - Full review for proposals arriving $\geqq$ 32 business hours
    - Limited review for proposals arriving $\geqq$ 15 business hours
  - Proposals arriving < 15 business hours are "at risk" and might not get submitted

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New U-M Internal Deadline Policy

Service Level Standard	≧ 32 Business Hrs *(Full Review)*	≧ 15 Business Hrs *(Limited Review)*	< 15 Business Hrs *("At Risk")*
Proposal Checked for Compliance with U-M Requirements	✓	✓	✓
Proposal Submitted by Sponsor Deadline	✓	✓	
Proposal Checked for Compliance with Sponsor Guidelines	✓		
Terms & Conditions Binding Upon Award Reviewed for Acceptability	✓		
Proposal Successfully Received by Sponsor	✓		

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New U-M Internal Deadline Policy

Three potential outcomes of ORSP review

1. No problems! Proposal is submitted as-is
2. Proposal is returned as "Incomplete" and finalized status is removed
3. Proposal is returned for "Changes"
   a. Required Changes, based on ORSP Limited Review Checklist
   b. Recommended Changes, optional and based on ORSP Full Review Checklist

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What else about the policy?

- Target Date vs. Submission Deadline Date
- New temporary state of "Deadline Missed"
  - 30 day window to update the submission deadline date
- "Suspend Approval" activity will prevent submission
- Decision whether to require a waiver for submission of an "at risk" proposal delayed until at least July 1, 2020

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Idealized PAF workflow

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