

Research Administration Advisory Council (RAAC)

Committee-at-Large

Tuesday, June 15, 2021, 3:00 – 4:30 pm

Zoom Meeting

MINUTES

Attendees:

Andrea Anderson – ORSP	Jennifer Huntington – Ross School	Carolyn Pappas – ITS
Kristie Beckon – Sponsored Programs	Teresa Herrick – SEAS	April Pepperdine – UMOR
Julia Behnfeldt – UMOR	Laura Kaminski – Ford School	Susan Powell – Engineering
Beth Brant – Medical School	Karen Kirchner – Nursing	Craig Reynolds – ORSP
Cheri Brooks – ISR	Patrick Lagua – Dentistry	Jane Sierra – Medical School
Linda Chadwick – ORSP	Jennifer Linzmeier – Dentistry	Danielle Smith – LSI
Constance Colthorp – ORSP	Mindy LaRocca – Public Health	Ken Sylvester – U-M Flint
Cindy Dames – ORSP	Cathy Liebowitz – ISR	Debbie Talley – Sponsored Programs
Lori Deromedi – UMOR	Charlie Mattison – ISR	Michelle Terrell – SMTD
Kathy Devereux – UMOR	Jan Mitchell – Pharmacy	Anne Thomson – LSA
Nell Dority – BEC	David Mulder – ORSP	Pat Turnbull – U-M Dearborn
Cathy Handyside – ITS	Becky O'Brien – Information	Rick Wintergerst – Engineering
Stephanie Hensel – Education		

1. **Welcome** (*Craig Reynolds*)

Craig called the meeting to order at 3:00 p.m. This is the last meeting for Fiscal Year 2021.

2. **Information: PEERS RCRS Dashboard** (*Julia Behnfeldt*) **Attachment #1**

Julia Behnfeldt from UMOR Ethics and Compliance joined the meeting today and provided an update on the PEERS RCRS Dashboard.

- Everyone should have access to the dashboard. Contact Julia (jbehnfel@umich.edu) if you don't have access.

The new online PEERS-RCRS Training course was released and includes all RCRS components and meets applicable federal agency requirements. All faculty, staff, and students who are engaged in research and scholarship are required to complete the course based on applicable job codes.

- The deadline to complete the course is June 30, 2021.
- Noncompliance with the RCRS training requirement will result in a hold of a pending sponsored project award or award modification until the individual completes the course. Individuals will get automated emails to complete the course.

A Tableau dashboard was created to monitor the completion of the online course. Login to Tableau and select "UM-UHR" and search "RCRS training data." There are two views: Summary Data and Detailed list.

Summary Data:

A glance at how we are doing as an institution with breakdown by faculty and staff. Currently updated at the end of the month but moving to a weekly update. You can download the report by unit.

- The Summary shows who has completed or is due to complete the course. You can filter by school and colleges. You can also see how many have taken the course or overdue.

Detailed List view:

You can search and download reports by units, department, specific person's name to see who has completed the course.

- You can also check an individual's PEERRS certifications at <http://my.research.umich.edu/peerrs/>

RCRS Issues:

- The system works by HR job title.
- Individuals may have a title for research but not handling that specific job. Contact UMOR and they will help with the problem.
- Individuals identified may no longer be employed by U-M, or not engaged in research or scholarship.
 - Units can provide lists containing the names/uniquenames to UMOR.RCRS@umich.edu for removal. Removals may take a few days to reflect in the dashboard.
 - Individuals can also opt out via the online attestation form.
 - PEERRS webpage will also have the certification data and be refreshed automatically.

Q: Is MyLink data out of date due to pulling data late?

A: Not sure. They did a big cleanup and removed 2,000 people. Trying to clean up on a large scale.

Q: What is the Email address to get access to Tableau?

A: You should have access if in RAAC. If anyone else needs access, email RCRS.

Q: Is it possible to get a list of the job codes that were used to determine eligibility?

A: I will have to check.

Q: When you download the data, is the username of an individual one of the fields. Is there any thought given to a daily update to data?

A: Yes, the username is included. The best we can do for the update is a 24 hr. delay. MyLink update is up to the minute so you can check there.

3. **Information:** July 1, 2021, M-Inform Changes Related to NIH NOT-OD-21-073 (April Pepperdine)

Attachment #2

Updates to M-Inform happen annually in July, as needed, to comply with changing federal regulations and U-M policy changes. Changes to M-Inform will be rolled out on July 1, 2021, due to NIH and broader requirements.

Training Page:

- Improved instructions on what to disclose and what not to disclose
- Highlighting on attestation

New Screening questions:

- Organization COI (OCI)
- Active or pending NIH funding questions (for new document uploader requirement)

Reporting Outside Activities:

- Additional sub-questions and updates for clarification of information needed.

Require changes to comply with Federal regulations:

- Federal Acquisition Regulation (FAR) Subpart 9.5
- Uniform Guidance 200.318c(2)

A new question was added to ensure the university can identify, appropriately manage, and report an OCI.

- If answered yes, you will need to list the agency, the program you consulted or advised on, and describe the service you provided. If happened in the past 12 months, this must be disclosed as an individual outside activity:
 - New website:
(<https://research-compliance.umich.edu/conflict-interest/organizational-conflict-interest-oci>) provides background information and a template for use when an OCI Avoidance Plan is required for a federal award

A new screening question in M-Inform for NIH Funding. Required changes to comply with federal regulations for supporting documentation and U-M policies.

- NIH NOT-OD-21-110 - goes into effect January 25, 2022 (may be asked for supporting documentation starting May 25, 2021), for Other Support submissions that include foreign activities and resources, Recipients are required to submit copies of contracts, grants, or any other agreements specific to senior/key personnel foreign appointments and/or employment with a foreign institution as supporting documentation.

A new question if they have disclosed any outside activities, relationships, or interests with NIH during the current fiscal year.

- If answered yes, the researcher will be required to upload all supporting documentation.
 - Upload all contracts, grants, appointment/acknowledgment letters, statements of work, and any other agreements related to your outside activities with this foreign entity.

For each outside activity, relationship, or interest the available detail options have changed:

- Appointments
 - Ability to check specific appointment types.
- Conducting research outside U-M
 - Change to included paid or unpaid research
 - Added a sub-question: "Provide the name of the entity sponsoring the research"
- In-kind resources outside the U-M role
 - New selection with a description box.
- Intellectual property
 - Updated the selection to include open-source software licenses
 - Added a sub-question: "Are you using this intellectual property in your U-M research?"
 - As part of this change, IP has been removed from question #10
- Consultant

- Added a sub-question: “Does this consulting activity involve the design, conduct, or reporting of research?”

Communications

- June 9 - Presentation to Research Associate Deans (RADs)
- June 10 - Announcement in VPR Update
- June 10 - Standard email to COI Unit Contracts and RADs that highlights all the changes to M-Inform for the FY22 disclosure Cycle
- June 14 - Targeted email to individuals with active NIH awards and submitted PAFs (direct or prime funding) that have previously disclosed a foreign outside activity to inform them of the new document requirement
- July 1 - Standard email to disclosers to inform them that their annual disclosure is available and highlights changes that are “new this year”

Resources

- Web: <https://research-compliance.umich.edu/conflict-interest/whats-new-fy22>
- Email: COI.Support@umich.edu

Q: *Unpaid research has to be disclosed if unpaid - is there a timeframe?*

A: Only external research. If internal, it doesn't have to be disclosed. Only in the last 12 months.

Q: *There will be a lot of people who don't know how to fill out the questions, is there assistance?*

A: Yes, there is a resource on the website and have the office hours (via zoom) listed or email COI-Support@umich.edu.

4. **Presentation:** RAAC Communications Subcommittee Update (*Cathy Liebowitz*) **Attachment #3**

Membership:

- We have added three new members since the last update: Jodi Caviani (Social Work), Kathy Devereux (UMOR), and Ashley Tyler (OCA).
- Eric Ward had to step down from the committee due to workload.

Accomplishments:

RAN Meetings:

- February 25, 2021 - 298 attendees with the focus on DEI
- May 19, 2021 - 333 attendees; focus on Effort, NIH Biosketch & Other Support changes, DEI UROP survey results
- October 28, 2021 - initial planning underway; joint meeting with UMOR for Staff Recognition Awards and plan to hold it back at the League.
- Virtual meetings seem to be popular for attendees.

In Progress:

- RAN Meeting Planning - October 28, 2021
- Additional communications input opportunities
- Webpage review - review and updates ongoing
- Collaborate with RAAC-DEI workgroup.

Q: *What has been the substance of conversations on the Forum?*

A: Job postings have been a lot of traffic, reposting important information from RAP and RAPids, and some questions for networking. A little of everything.

5. **ORSP Update** (*Andrea Anderson*)

We are currently hiring. We have two open positions on the Government team. Kathy DeWitt and Colleen Vogler are going to retire at the end of the year. We also have two positions on the DUA team and are hiring a replacement for Kathy's position now for her to train while still working.

Planning our return to campus with a hybrid model. Looking at "softphones" to reach people on computers.

The deliverables project is expanding out to all campuses. Entering deliverables for all campuses in August.

Kathy Devereux mentioned beginning 7/1/2021 there will be a new UMOR Cost Share request application in InfoReady. The current application for FY21 will be removed and a new form will be taking its place (this will happen every FY). If you start an application in the current form, it will not be available after 6/30/2021. If you foresee any problems, please let Kathy Devereux know and we can find a workaround.

6. **ITS Update** (*Carolyn Pappas*)

- Working on the automated Award Change Request to be released sometime this Fall.
- SF424 release sometime after July (after NIH deadlines).

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

The single audit has been finalized and submitted. There was one finding on equipment and a no-cost question. We are starting the new fiscal year audit. The goal is to not have a delay, and relief funds will likely be an issue.

The NSF audit is also complete with no findings. The purpose of the audit was how the university handled pandemic relief and UMOR guidance on the website.

Q: *Do you have a sense of when the new single audit report will be available online?*

A: Not sure but usually takes a couple of days, but will get that out.

Year-end: Cheryl Soper sent out dates for financials that need to be done.

Finance is not far along on going back to campus. Most will continue to work remotely or hybrid.

Q: *Did we send out a communication to campus on the new User ID (UEI) in replacement of DUNs?*

A: We have it in a RAP but if urgent can send it out in a RAPid.

Carolyn mentioned they just had a ticket on UEI number so some sponsors (DoD) are using them now. In the July update, the new form is used that requires the UEI number. It does not go into effect with NIH until January 2022.

8. **Closing and Future Meetings** (*Craig Reynolds*)

Hope everyone has a wonderful summer. We will reconvene on September 21, 2021, with a RAAC Metrics Subcommittee update from Jennifer Huntington.

RAAC Committee-At-Large Meeting Dates

- *No July 2021 meeting*
- *No August 2021 meeting*
- Tuesday, September 21, 2021 - 3:00-4:30 p.m. (*Jennifer Huntington, RAAC Metrics Subcommittee*)

Executive Committee Meetings (*all meetings 3:30-5:00 p.m., unless otherwise noted*)

- Tuesday, July 13, 2021
- *No August 2021 meeting*
- Tuesday, September 14, 2021

U-M Responsible Conduct of Research and Scholarship (RCRS)



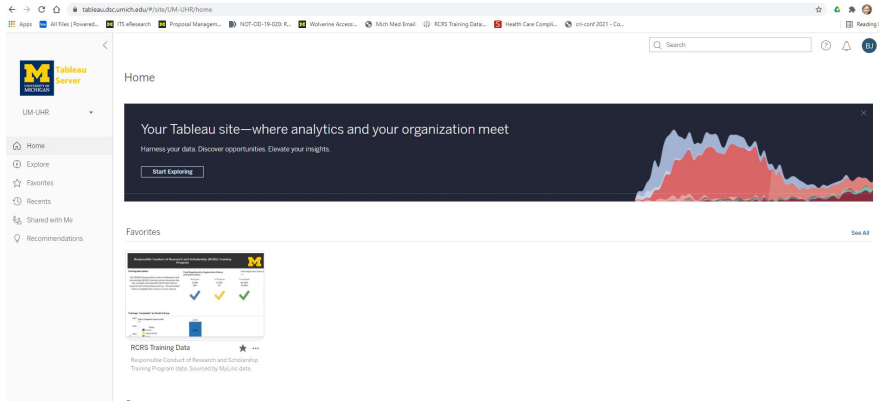
U-M RCRS Updates

UMOR/OVPR has enhanced RCRS training and tracking as of August 1, 2020:

- Completion and release of a new online PEERRS-RCRS Training course that encompasses all RCRS components and meets applicable federal agency requirements (course released June 8, 2020).
- Expansion of requirement to complete this course to *all* individuals engaged in research and scholarship (faculty, postdocs/fellows, students, and staff). Identification is based on applicable job codes. Deadline to complete this training is **06/30/2021**. An individual's noncompliance with the RCRS training requirement will result in a hold of a pending sponsored project award or award modification until the individual completes the course.
- **Creation of a Tableau dashboard to monitor completion of the online course**
- Establishment of a new tracking mechanism to monitor the completion of instructor-led RCRS training (required for all Rackham Ph.D. students and certain NIH trainees)

RCRS Tableau Dashboard

- Generic login: <https://its.umich.edu/enterprise/analytics/tableau>
- Select “UM-UHR”, search “RCRS training data”

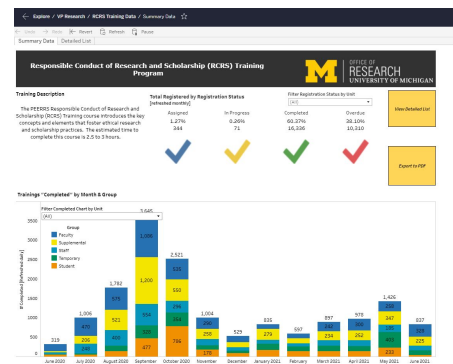


RCRS Tableau Dashboard

- Two views: “Summary Data” or “Detailed List”
- Currently refreshed monthly (on the 28th). Next refresh is 6/16. May be moving to weekly
- Can download reports per unit

*Assigned = those assigned to the course in the last 30 days who have not completed the course

Can also check individuals PEERRS certifications here:
<http://my.research.umich.edu/peerrs/>



RCRS Issues

- Some individuals identified may no longer be employed by U-M or not engaged in research or scholarship.
- Units can provide lists containing names/uniquenames to UMOR.RCRS@umich.edu for removal.
- Individuals can also opt out via online attestation form.

UNIVERSITY OF MICHIGAN

M-Inform Changes for FY22 Beginning July 1st



M-Inform Changes

U-M updates M-Inform annually in July, as needed, to comply with changing federal regulations and U-M policy changes. FY22 changes to M-Inform to be rolled out 7/1/21:

Training Page:

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- Organizational COI (OCI)
- Active or pending NIH funding questions (for new document uploader requirement)

Reporting Outside Activities:

- Additional sub-questions and updates for clarification of information needed



New Screening Question in M-Inform - Organizational Conflict of Interest

Required changes to comply with federal regulations:

- [Federal Acquisition Regulation \(FAR\) Subpart 9.5](#)
- [Uniform Guidance 200.318c\(2\)](#)

New question added to ensure that the University can identify, appropriately manage, and report an OCI:

- To maintain compliance with federal regulations, excluding service on proposal review panels, in the past five years, have you provided consulting or advisory services to any U.S. federal agency where you had access to confidential or proprietary technical information? Yes No
 - (If yes) Please list the agency, the program you consulted or advised on, and describe the service you provided (note: if this happened within the past 12 months, this must be disclosed as an individual outside activity below):

New website (<https://research-compliance.umich.edu/conflict-interest/organizational-conflict-interest-oci>) provides background information and a template for use when an OCI Avoidance Plan is required for a federal award



New Screening Question in M-Inform - National Institutes of Health (NIH) Funding

Required changes to comply with federal regulations for supporting documentation and U-M policies:

- [NIH NOT-OD-21-110](#) (includes NOT-OD-21-073, NOT-OD-21-122)
 - “For Other Support submissions that include foreign activities and resources, recipients are required to submit copies of contracts, grants or any other agreement specific to senior/key personnel foreign appointments and/or employment with a foreign institution as supporting documentation.”
 - Required on or after January 25, 2022, however, NIH has indicated that applicants may be asked for supporting documentation starting May 25, 2021 ([NIH Nexus Newsletter](#))

New question about discloser’s NIH funding if they have disclosed any outside activities, relationships, or interests:

- Do you have any active National Institutes of Health (NIH) awards (direct or prime funding) OR have you submitted or do you plan to submit a proposal for NIH funding for your U-M research during the current fiscal year (July 1 - June 30)? Yes No



New Supporting Documentation Requirement in M-Inform

U-M researchers who have active or pending NIH funding who disclose an outside activity, relationship, or interest with a **foreign entity** (currently 513) will be required to **upload supporting documentation**:

- Upload all contracts, grants, appointment/acknowledgement letters, statements of work, and any other agreements related to your outside activities with this foreign entity (original and English translations).
 - Document uploader

Examples of applicable documentation include, but are not limited to:

- Contracts
- Appointment/acknowledgement letters
- Statements of work
- Emails that confirm expectations or deliverables
 - Note: Disclosers are **not** expected to upload all email correspondence between parties
- Any other agreements with the foreign entity
- Grants, contracts or other sources of support that have been received as a result of the outside activity and that have not been reported through usual U-M processes



Additional Detail Descriptors and Sub-Questions

For each outside activity, relationship, or interest, the available detail options have changed:

- Appointments
 - Ability to check specific appointment types
- Conducting research outside U-M
 - Changed to include paid or unpaid research
 - Added a sub-question: "Provide the name of the entity sponsoring the research"
- In-kind resources outside of U-M role
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Resources

WEB

<https://research-compliance.umich.edu/conflict-interest/whats-new-fy22>

EMAIL

COI.Support@umich.edu



Research Administration Advisory Council Communications Subcommittee

Update to RAAC Committee At-Large
June 15, 2021



Communication Subcommittee Charge



The RAAC Communications Subcommittee seeks to:

- **Identify and assess the communication methods** currently used at U-M for research administration
- Once identified, **work to develop improved systems** that support robust, consistent and effective communications within the research administration community
- **Recommend best practices** by topic, purpose, and/or method
- **Facilitate and foster communications to and among research administrators by conducting the quarterly** Research Administrators Network (RAN) meetings

Communication Subcommittee Members



- **Jodi Caviani**, Social Work
- Constance Colthorp, ORSP & Sponsored Programs
- Cindy Dames, ORSP
- Lori Deromedi, UMOR Compliance
- **Kathy Devereux**, UMOR
- Chris DeVries, ORSP & Sponsored Programs
- Dan Green, LSA
- Cathy Liebowitz (Chair), ISR
- Amy Lingle, Engineering
- Daniela Marchelletta, ORSP
- Sarena Nuttal, Medical School
- Becky O'Brien, SI
- Sally Sivrais, Medical School
- **Ashley Tyler**, Sponsored Programs

New members since last update in Feb 2021

Members Needed:

Replacement for Eric Ward, ORSP

Accomplishments since February



RAN Meetings

- February 25, 2021 - 298 attendees; focus DEI
- May 19, 2021 - 333 attendees; focus Effort, NIH Biosketch & Other Support changes, DEI UROP survey results

RAN Planning

- October 28, 2021 - initial planning underway; joint meeting with UMOR for Staff Recognition Awards

Research Administrators' Forum

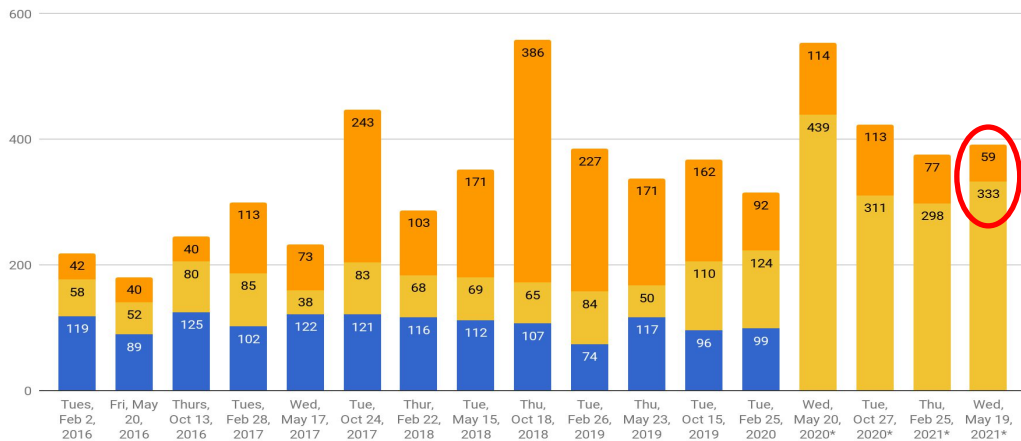
- As of June 15, 257 members





RAN Meetings: The Numbers

Total RAN Attendees per Meeting: In Person (Blue), Remote (Gold), YouTube (Orange)



In Progress:



- RAN Meeting Planning -
 - October 28, 2021, currently joint with UMOR
- Additional Communications Input Opportunities -
 - We are open for business
 - We are working on proactively planning and developing content for communication across multiple channels
- Web page review, consistency checking, and feedback - ongoing
- Collaborate with RAAC-DEI Workgroup

Downloading Success
Please Wait...



Questions?

