Award Acceptance Process

Governance Team Project Update

December 13, 2011
Award Acceptance

• DRDA will obtain re-approval for All Departments/Units and Dean’s offices listed on the PAF prior to issuing a PAN for all awards where the award information represents a material change from what was proposed.

• This “re”-approval will be provided using the “Post a Comment to the Entire Project” activity so that all participating units have opportunity to review and re-affirm their participation.
Why Should We Do This?

To provide a record of each unit’s willingness to participate under the new terms and conditions or other changes reflected in the award.
Award Acceptance & Routing

- Approvals are required when a sponsor’s draft Award Document differs from U-M’s proposal for the:
  - Indirect Cost rate
  - UM Cost Sharing, or
  - Total project’s Budget Amount (≥ 20%)

For these differences only, approvals will be recorded using the “Post a Comment for the Entire Project” Activity in eRPM.
Earlier E-Governance Recommendations

• Presented in March 2011 to Research Associate Deans (RADs) as a component of a recommendation for a complete automated Awards Acceptance process and system.
• Earlier request was a new feature to be added in addition to the Revised PAF change
• Decision was made that this was not feasible after RADs endorsement
• DRDA has since felt a need to include recorded input from other units prior to accepting award.
Using “Post-a-Comment”

• Essentially a system work-around which will not overwrite PAF information from the time of proposal submission.

• E-Governance Team supports this process to enable all-participant review.

• Automated process would be preferable in the future as recommended to the RADs and as part of a larger Project Award system integrated with E-RPM.
Proposed Business Process

• DRAFT award is received from a sponsor which reflects amounts, tasks, or information that differs from submitted proposal
• DRDA PR identifies that the DRAFT award includes material changes
• The DRDA PR uses “Post a Comment to the Entire Project” using the following sample template language:

ACTION REQUIRED: DRDA has received an award that changes the total budget amount by more than 20% of the originally PAF’d amount of $_____. Principal Investigator, Department, and Dean’s Office, please post approval for the new award in the amount of $_____. Once DRDA receives approvals, DRDA will issue the PAN. Thank you.”
Business Process (cont’d)

• The Administrative Home will assume the responsibility of approving last to monitor and ensure that all participating units have had opportunity to review the revised amounts, terms and conditions, and other material changes.

• Upon approval by all participating units and the Administrative Home unit, DRDA will issue a PAN.

• The Administrative Home unit will “Post a Comment to the Entire Project” notifying all stakeholders that all signatures are complete.
What If Expedited Approval is Needed?

• In rare cases, the Administrative Home unit and/or the sponsoring agency require immediate acceptance of the terms of the award.

• In these cases, DRDA will use “Post a Comment to the Entire Project” to notify all units that expedited approval is required.

• The Administrative Home Dean’s Office may post its approval on behalf of all participating Departments/Units using the following sample template language:

   “As an authorized signer for the Administrative Home of this project, I approve, as a backstop measure, on behalf of the entire project all institutional commitments, terms, and conditions of this award. This will allow time for the participating units’ subsequent review for their approval and acceptance of their obligations. DRDA – Please issue a PAN.”
Administrative Home Responsibilities

• Monitor and ensure that all participating units have reviewed, re-approved, and provide final approval

• Notify DRDA when it is acceptable to issue a PAN.

• Monitor and follow-up with participating units for subsequent review and approval when expediting approval to meet sponsor and/or unit requirements

• Goal of a final “hand-shake”
What about Other Changes?

• If a sponsor requires changes which do not meet the threshold for obtaining re-approvals, posted comments can still be uploaded and recorded with the DRDA PR as a recipient.

• In these cases, re-approvals will not be required to issue a PAN.
DRDA Action

• Use the “Post a Comment for the Entire Project” activity in eRPM to:
  – Alert the PI(s), unit(s), and Dean’s Office(s) on the PAF
  – Request additional approvals

  This comment will be altered by DRDA or the Administrative Home’s dean’s office only to clearly identify when **expedited approval required**.
PI/Unit/Dean’s Office Action

- Use the “Post a Comment for the Entire Project” activity in eRPM to:
  - Approve the differences to accept the award.
  - The Administrative Home department “signs” last, if numerous units on PAF.

When expedited approval required, the Dean’s office for the Administrative Home can approve on behalf of all participating units. In these cases, enter this text as the comment:

“As an authorized signer for the Administrative Home of this project I approve, as a backstop measure, on behalf of the entire project all institutional commitments, terms, and conditions of this award. This will allow time for the participating units subsequent review for their approval and acceptance of their obligations. DRDA – Please issue the PAN.”
Resources

• Website: http://www.drda.umich.edu

• DRDA Standard Operating Procedures and Policies:
  – No. 300.01 “Revised Proposal Approval Forms”

To record other changes required by the sponsor, revise the PAF using the “Post a Comment” Activity. Include your DRDA Project Representative as an email recipient.
QUESTIONS?