Research Management Meeting

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DECEMBER 9, 2020

Agenda

➤ GMAS Priorities

➤ Federal Updates

➤ PPMS System for Service Centers

➤ Research Employees Abroad

➤ Other Topics

  ➤ NDAA – Sec 889

  ➤ Introductions of New OVPR Staff

  ➤ Procurement Updates

GMAS Priorities

Simone Alpen, Director, Research Administration & Compliance Systems

GMAS Priorities

December 9, 2020

Research Management Meeting

Prioritization process

- This fall, the GMAS business steering committee reviewed 17 major themes for prioritization

- The next major priorities for GMAS will be:

  - **Committed effort**

  - **Subagreement workflow**

  - **Requests**

Committed effort

- Initial focus will be providing a better view of an **individual's** commitments over time

- Secondary focus will be improving the workflow for confirming the research team and managing changes to commitments during an award

Subagreement workflow

- The process of setting up subagreements is not well represented in GMAS

- The major objectives are to:

  - Increase efficiency

  - Improve transparency

  - Reduce reliance on email and other shadow systems

- Starting in early 2021, we will start by doing process mapping workshops to build our understanding, frame the problem, and design the future state

Requests

- The specific request enhancements for 2021 are still to be determined, but could include:

  - Converting and improving continuation and supplement requests

  - Converting and improving smaller request types

  - Adding new request types

  - Improving the signature and review process

Next steps

- The next major GMAS release is planned for **January 18, 2021**

- The focus will be on supporting integration with the new **Outside Activity and Interest Reporting (OAIR)** system

- The **committed effort** enhancements are expected in the first few months of 2021

- Initial work on the **subagreement** priority will likely start in February/March

- In 2021, we will also start work to prioritize and share smaller enhancements across GMAS

More information

Full release notes, documentation and job aids are available on our website

https://gmas.fss.harvard.edu/

Subscribe to our blog for occasional updates

https://gmas.fss.harvard.edu/blog

Thank you!

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Federal Updates

➢ Presidential Executive Order (EO)

➢ Budget Continuation

➢ Transitions Planning

➢ Other Updates
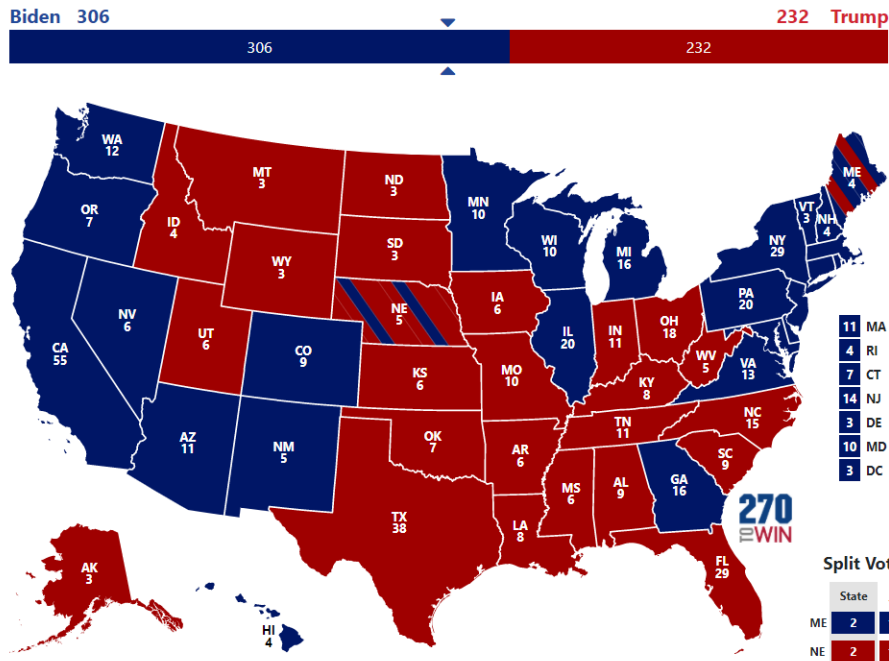
Kara Haas, Director of Federal Relations

Federal Advocacy Landscape

Post-2020 Federal Elections

Kara Haas
Harvard Public Affairs and Communications

December 9, 2020

Presidential Election:
Counts, Challenges, & Electoral College
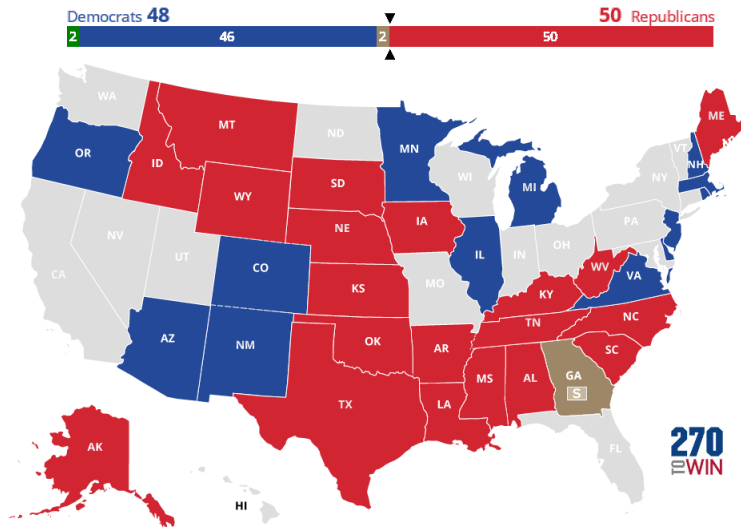

2020 Election

- Record Setting Turnout
- Challenging the Results
- States Flipped from 2016
  - Wisconsin
  - Michigan
  - Arizona
  - Pennsylvania
  - Georgia

Congressional Election Contests
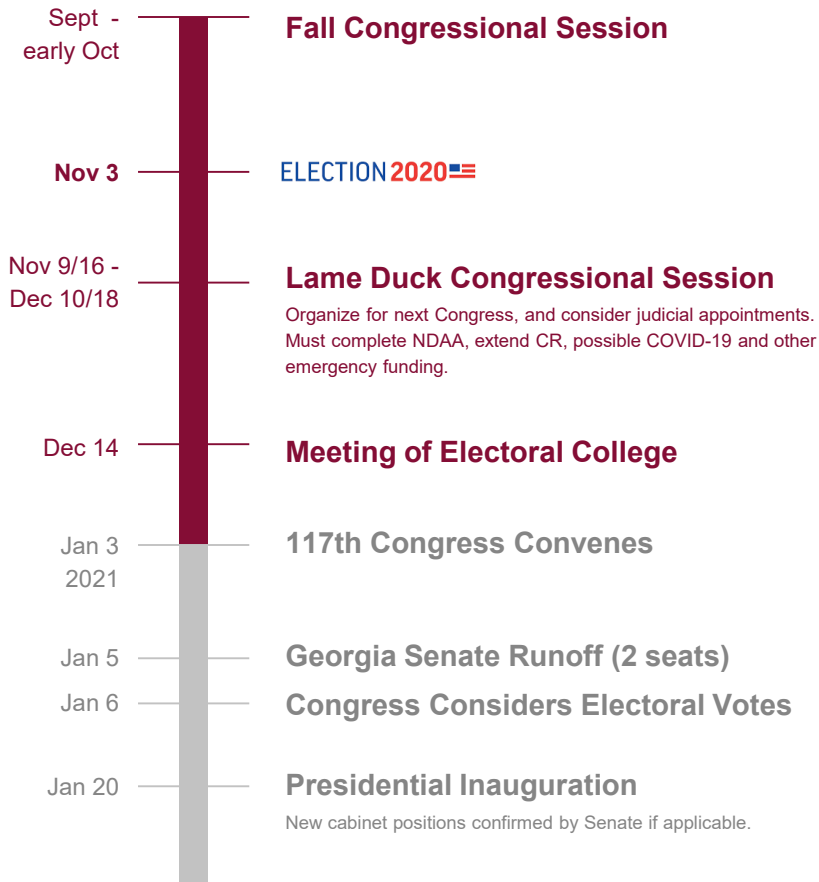
Senate - 117th Congress

- 116th Republican majority of 53 seats
- Democrats net one seat
- Control of 117th Congress rests with Georgia
  - Perdue v. Osoff
  - Loeffler v. Warnock

House

- 116th Democrat majority (232 - 198 R)
- 117th Democrat majority (222 – 210 R, 3 UND)
- Republicans net at least 10 seats

Timeline

Date	Event
Sept – early Oct	**Fall Congressional Session**
Nov 3	ELECTION 2020
Nov 9/16 – Dec 10/18	**Lame Duck Congressional Session** Organize for next Congress, and consider judicial appointments. Must complete NDAA, extend CR, possible COVID-19 and other emergency funding.
Dec 14	**Meeting of Electoral College**
Jan 3 2021	**117th Congress Convenes**
Jan 5	**Georgia Senate Runoff (2 seats)**
Jan 6	**Congress Considers Electoral Votes**
Jan 20	**Presidential Inauguration** New cabinet positions confirmed by Senate if applicable.

NEAR TERM CONSIDERATIONS

Politics

- The President
- Georgia Senate Runoffs
- Interpretation of Results

Policies

- Transition
- Economy
- COVID-19 and Vaccines
- Executive Orders and Regulations
- July 2021 expiration of Debt Limit
- Start of FY22 Budget Process

Harvard's Priorities for 2021

→ **Immigration & International students**
- ◆ Executive Action - Reversal of travel bans; Reinstate DACA, TPS; Potential modification H-1B
- ◆ Legislation unlikely - DREAM, comprehensive reform

→ **Research**
- ◆ Across Government support for funding
- ◆ Executive Action - Reversal on secret science, fetal tissue, continue work of JCORE on admin burden

→ **Higher Ed Issues**
- ◆ Bipartisan support for Pell Grants, temporary student loan relief, HBCUs and MSIs
- ◆ Executive Action - Title IX, accountability provisions
- ◆ Legislation unlikely

→ **Science & security**
- ◆ Bipartisan concerns about China
- ◆ Continued agency focus on Conflict of Interest/Conflict of Commitment
- ◆ Foreign gift & contract reporting

→ **Tax & Tax-exempt status**
- ◆ Expiration of some emergency employer relief in COVID-19 packages may create opportunity and of certain popular TCJA provisions
- ◆ Bipartisan questions about endowments

→ **Other**
- ◆ COVID-19 emergency response and funding
- ◆ Free Speech and Diversity

Congressional Lame Duck Session 2020

Should Do

- Fund the Government -- FY2021
  - Current funding expires on December 11
  - Agreement on $1.4 trillion total
- National Defense Authorization Act
  - AI
  - COI/COC

Might Do

- COVID-19 Relief Bill
- Judicial Nominations

President Biden Administration

KEY HIGHER ED AND RESEARCH PRIORITIES

Climate	Science
Dreamers	Brain Research
Immigration Reform	COVID-19
Free College & Student Debt Relief	

Executive and Regulatory

- Reversal of Executive Orders
  - International Student and Immigration
  - Racial and Sex Stereotyping
- New direction in regulations
  - Title IX
  - Accountability, Borrower Rights, Consumer Protection
- Reinstate
  - DACA, TPS
- International Engagement
  - Climate Change
- Pushing Priorities
  - Student Debt Relief

Legislative

- COVID-19 support for students, institutions and research
- Health and Science initiatives
  - CURES 2.0
  - NSF, NIST, DOE OS Reauthorizations

COVID-19 Packages

Date	Package	Act & Amount	Details
3/6	COVID Relief 1	Coronavirus Preparedness & Response Supplemental Appropriation Act – **$ 8.3 billion**	• Funding for state/local response & federal research agencies • Vaccine & treatment development • PPE, Drug and device shortages
3/18	COVID Relief 2	Families First Coronavirus Response Act – **$192 billion**	• Worker-focused: paid sick leave; family & med leave • Free COVID-19 testing; Nutritional assistance • Unemployment funding for states
3/27	COVID Relief 3	**CARES Act** – **$2.2 trillion**	• Direct $ to individuals, enhanced unemployment, loans and tax relief to employers • SBA Paycheck Protection Program ($349b); Hospitals and States ($100b Hospitals, $150b States and Localities) • Education assistance, including Higher Education Emergency Relief Fund ($15b); Misc (student loan relief, ED regulatory flexibility, airline bailout, eviction moratorium)
4/24	COVID Relief 3.5	Paycheck Protection Program and Healthcare Enhancement Act – **$484 billion**	• Replenish SBA programs like PPP >$350 billion • $75 billion to hospitals & providers • $25 billion to expand testing capabilities through states, CDC, NIH, & BARDA
May to **present**	HEROES/ HEALS	Bill at an Impasse -- **$3.4 trillion vs. $1 trillion/$500 billion**	• Dem priorities vs. GOP concerns on debt and deficit • White House focus on "reopening;" stimulus? • Higher ed community requests on education, research, tax, and immigration

state & local governments   public health   education   large corporations   individuals   small businesses

FY21
at a glance

	Final FY20	**FY20 v. FY17**	**FY21 House**	**FY21 House v. FY20**	**FY21 Senate Committee**	**FY21 Senate Committee v. FY20**
Labor-HHS-Education						
NIH	41684	22.3%	46959	12.7%	43684	4.8%
Pell Grants (Discretionary Funding)	22475	0.0%	22475	0.0%	22475	0.0%
Pell Grants (Max Grant)	6345	7.2%	6495	2.4%	6495	2.4%
Work Study	1180	19.2%	1210	2.5%	1180	0.0%
SEOG	865	18.0%	880	1.7%	865	0.0%
Commerce-Justice-Science						
NSF -Total	8278.3	10.8%	8548.2	3.3%	8478	2.4%
NSF- Research and Related	6737.2	11.7%	6967.1	3.4%	6907.4	2.5%
NSF - Ed & HR	940	6.8%	970.0	3.2%	963.5	2.5%
NASA -Total	22630	15.1%	22630	0.0%	23495	3.8%
NASA - Science	7138.9	23.8%	7097.5	-0.6%	7274.0	1.9%
Defense						
6.1 Basic Research	2603	14.4%	2621.5	0.7%	2407.1	-7.5%
6.2 Applied Research	6069.8	14.6%	5921	-2.5%	5997.7	-1.2%
DARPA	3460	19.8%	3511.8	1.5%	3491.3	0.9%
Energy and Water						
Office of Science - Total	7000	29.9%	7050	0.7%	7026	0.4%
ARPA-E	425	38.9%	435	2.4%	430	1.2%
Interior-Environment						
NEA	162.2	8.3%	170	4.8%	162.2	0.0%
NEH	162.2	8.3%	170	4.8%	162.2	0.0%
EPA S&T	716.4	0.4%	745.3	4.0%	717.6	0.2%

PPMS System for Service Centers

Jennifer Jackson, Director, HMS Information Systems

Research Cores Management System

Research Management Meeting

December 9, 2020

Jennifer Jackson, HMS Director of Information Systems

Caroline Shamu, HMS Assoc. Dean for Cores & Technology

Nancy Jagaselvan, HMS PPMS Product Owner

HMS Research Core Facilities Project Vision

Project Vision
Implement a common technology platform to be used across all 30+ HMS core facilities

- Standardize the method for **scheduling of facilities** and **ordering of services**

- Provide consistent framework for **pricing** and **billing** of equipment and services

- **Integrate with Oracle's General Ledger** for inter-departmental journaling for internal customers

- **Leverage Central Accounts Receivable** to bill and collect payments from external customers

- **Improve the quality of reporting** at the core and school level; **increase transparency** across cores

- **Lessen the administrative burden and costs on each individual core** by having a commonly administered toolset with a shared customer base

https://corefacilities.hms.harvard.edu/

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Cores Scheduling & Billing RFP Governance

Executive Business Sponsors
Caroline Shamu/Bill Barnett

Project Director
Jennifer Jackson

Product Owner
Nancy Jagaselvan

Steering Committee

Caroline Shamu	Jason Shaffner
Bill Barnett	Rita Bergemann
Jen Jackson	Mirela Vaso
Deborah Scott	Grace Shin
David Smallwood	

Project Workstreams

Finance
Owner: David Smallwood

HMS Office of Finance
Leads: Grace Shin

Department Level Finance

Independent Cores Lead:
Mirela Vaso

BCMP Leads: KyungAh Benedetti, Jason Hall, Elmira Dhroso

Cell Bio Leads: Julie Huang, Steven Bishop, Stuart Blossom

Pilot Cores
Owner: Caroline Shamu

Pilot Cores
Lead: Kelly Arnett
Lead: Sarah Boswell
Lead: Stephanie Mohr
Lead: Jennifer Smith
Lead: Jennifer Waters

Pilot Cores to Consult
Lead: Bob Steen
Lead: Lauri Wyner

Information Tech (IT)
Owner: Jen J./ Bill B.

Research Computing
Lead: Neil Copland

Security
Lead: Joe Zurba

Info Sys
Leads: Steve Wimberg, Kellie Lucy

HUIT
Leads: Jason Shaffner Simone Alpen, Sarah Moriarty, Mike Landino

Research Cores Community
Owner: Caroline Shamu

- Analytical Chemistry
- Array Tomography
- Cell Biology Microscopy
- Conventional Electron Microscopy
- Cryo-EM Center
- DF/HCC DNA Resource
- East Quad NMR
- Harvard Chan Bioinformatics
- Image and Data Analysis
- Image Management
- Immune Imaging
- Immunology Imaging
- MicRoN
- Mouse Behavior
- Mouse Imaging
- Nascent Transcriptions
- Neurobiology Imaging
- Research Computing
- Research Imaging Solutions for Scientific Communications
- Research Instrumentation
- SBGrid Computing Core and Software Consortium
- System Biology Microscopy
- Taplin Biological Mass Specrometry
- Thermo Fisher Center for Multiplexed Proteomics

* Project Workstreams do not represent Harvard organizational structure.

Formal RFP and Vendor Selection Process

June – October 2019

- Current State Analysis

- Document future state needs

- Prioritize future state needs

- Formal evaluation of 3 vendors

- Vendor demos

- Vendor reference checks

- Vendor scorecards

- **Selection of Stratocore's PPMS system**

Scorecard Section	Evaluation Criteria
1	**Usability**
2	**Ease of Configuration and Core Customization**
3	**Costs and Licensing**
4	**Security**
5	**Company Background**
6	**Product Background**
7	**Deployment**
8	**Core/Services Management**
9	**User Permission Management**
10	**Equipment Use Management**
11	**Request for Services**
12	**Equipment Tracking**
13	**Estimate Generation**
14	**Pricing**
15	**Billing and Invoicing**
16	**Reporting**
17	**User Groups/Profiles**
18	**Migration**
19	**Integration**
20	**Technical Requirements**

Total of Average Category Scores

https://corefacilities.hms.harvard.edu/

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Project Implementation

January – November 2020
System Configuration

- Core Service Offerings
- Core Pricing
- F&A
- Commercial Add-ons
- Subsidies
- Exceptions
- Equipment tracking
- Internal and External User Attributes
- Integration with Oracle General Ledger
- Integration with Accounts Receivable
- User permissions

https://corefacilities.hms.harvard.edu/
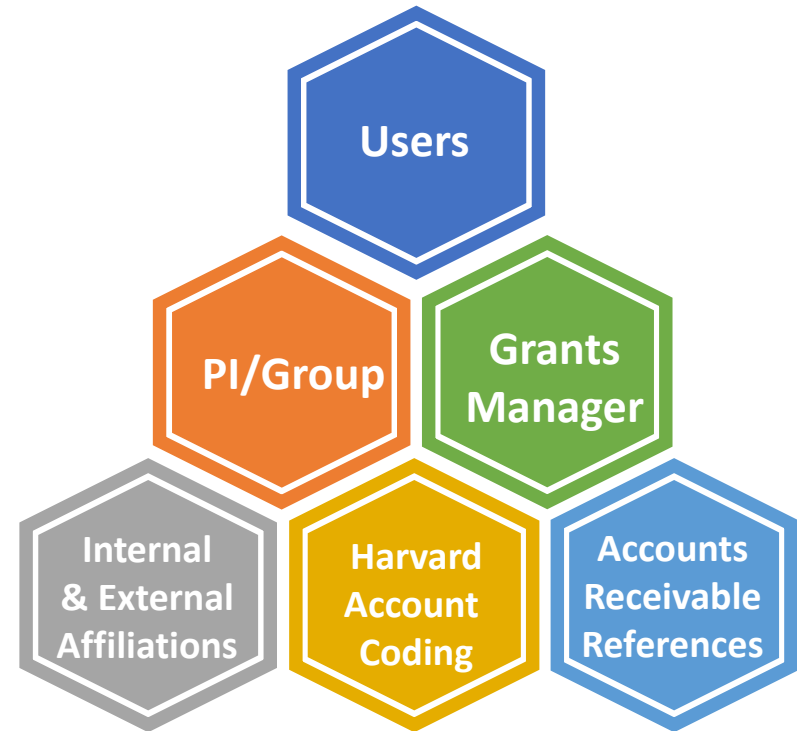
Implementation Schedule as of December 2020

June 2020

☑ HCCM

November 2020 Cohort*

☑ Analytical Chemistry
☑ Cryo-EM
☑ MEMS
☑ CMI
☑ BioNMR
☑ Nascent Transcriptomics

* First invoices processed December 2020

Initial 2021 Cohort

☐ Research Computing
☐ BioGrids
☐ SBGrid
☐ ICCB-Longwood
☐ Mouse Imaging
☐ Single Cell
☐ Mouse Behavior

Research Employees Abroad

Sarah T Axelrod, AVP Office for Sponsored Programs

Ara Tahmassian, University Chief Research Compliance Officer

Research Employees Abroad

➢ Guidance issued related to general University guidance on out-of-state & employees abroad

➢ Effective 1/1/21 OR as soon as possible

➢ Any Harvard employee who has a PeopleSoft address outside the U.S.

➢ Guidance relates to research related work performed out of the country, regardless of pay source

➢ No impact on stipendees

Research Employees Abroad

➢ Employees abroad cannot be on Harvard payroll

➢ Use professional employment org's (PEO), affiliates, in country institution or contract

➢ Use of Global Support Services (GSS) required for PEOs

➢ Amounts charged to grants must be less than the cost of Harvard salary & fringe

Research Employees Abroad

➢ Requirements

  ➢ Review Case-By-Case

  ➢ General Review

  ➢ Sponsor Specific Issue

  ➢ Documentation

Research Employees Abroad

➤ General Issues
- ➤ Export Control
- ➤ Data Security & Privacy
- ➤ Tax Implications
- ➤ Currency Fluctuations
- ➤ Employee Type
- ➤ Visa related

Research Employees Abroad

➢ Sponsor Requirements
   ➢ Funding Availability
   ➢ Sponsor Notification
      ➢ NIH
      ➢ NSF
      ➢ DOE
   ➢ Effort Reporting

Other Topics

NDAA – Sec 889

Introductions of New OVPR Staff

Procurement Updates

Sarah T Axelrod, AVP Office for Sponsored Programs

Ara Tahmassian, University Chief Research Compliance Officer

Procurement Policy Updates

Effective 1/1/2021

Procurement Policy Changes - Highlights

- **New Contract Thresholds** – Effective January 1, 2021, higher bid thresholds, reducing formal bid process requirements.

- **Harvard Preferred Vendors** – Require two or more quotes on federal funds for purchases >$50,000.

  Purchases over $50,000 on federal or cost-share funds require a completed Vendor Justification Form (VJF) even when using a Preferred Vendor.

- **Updated Vendor Justification Form** (VJF) – clearer and easier to use with examples. Schools must upload a completed VJF into the Buy-to-Pay (B2P) System for any federal or cost-share purchases over $50,000 or select appropriate drop-down explanation if no VJF is required.

- **Changes to Debarment Form Requirements** – Debarment forms required only for purchases made with federal contracts, fixed price contracts, or cost-share accounts of $35,000 or more.

- **Updated Procure-to-Pay Manual** – updated manual will include guidelines regarding the proposal processes and contract template language.

- **Record Retention** - The Buy-to-Pay System (B2P) will retain all materials uploaded into the system indefinitely. This includes the complete Buy-to-Pay suite; Supplier Portal, eProcurement/AP, Contract Management and Sourcing. Materials retained include the electronic record, invoice, vendor justification form, independent contractor questionnaire, and any other materials uploaded.

Procurement Training 12/08/20

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When is a Vendor Justification Form (VJF) or Debarment Form Needed?

see video and job aid to determine funding mechanisms for awards	Grants and Cooperative Agreements	Contracts	Other Funding Mechanisms (OTAs, Other)
VJF Required *The VJF is a form used to justify sole source selection and cost or price analysis.*	**Form Required >$50K** In B2P For all Fed purchases >$50K, email is sent to requestor if VJF drop down is not selected. VJF drop down must be selected to proceed in the B2P workflow.	**Form Required >$50K** In B2P For all Fed purchases >$50K, email is sent to requestor if VJF drop down is not selected. VJF drop down must be selected to proceed in the B2P workflow.	**Form Required >$50K** In B2P For all Fed purchases >$50K, email is sent to requestor if VJF drop down is not selected. VJF drop down must be selected to proceed in the B2P workflow.
Debarment Form Required *A form that allows Harvard to obtain written certification from vendors that they have not been debarred (prohibited) from doing business with the federal government.*	**No Form but Action Required** In B2P No form required since certification is covered through Visual Compliance check, <u>but</u> debarment drop down <u>must</u> be selected to proceed in the B2P workflow.	**Form Required ≥$35K** In B2P For contract purchases **≥$35K** Email is sent to requestor if debarment drop down not selected. Drop down must be selected to proceed in the B2P workflow.	**Varies** Based on Terms & Conditions of award. If award is subject to Federal Acquisition Regulations (FAR), debarment form is required for purchases **≥$35K**. Drop down must be selected to proceed in the B2P workflow.

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Proposed Changes B2P Requestor Email

From: B2P@Harvard.edu
Subject: Your requisition has been returned: 3074538

A transaction will be returned to the B2P requestor for the following:

1) Purchases ≥$35,000 which have a costing string between 100000-199999 which did not have the debarment drop down section completed.

2) Purchases >$50,000 which have costing string between 100000-199999 which did not have the VJF drop down section completed.

The sample emails will be updated on or around 1/1/21 to include changes to the language.

Procurement Training 12/08/20

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