The eRA IMPAC II Project

CMUG Requirements Meeting

November 14, 2001

Version 2.0

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1 OVERVIEW

The CMUG has planned several requirements meetings to clarify the requirements for the Committee Management redesign. This document lists the requirements that were discussed at the November 14, 2001 meeting. The meeting was held from 1pm – 4pm in Rockledge II, Room 7111.

2 REQUIREMENTS

The requirements come from the ERA Business Plan, a bug/enhancement list from Claire Benfer, Committee Management Advocate, and various bugs/enhancements reported by users that have been deferred.

2.1 Enhanced Tracking Features for Charter

2.1.1 Existing Requirements

We have no requirements for enhanced tracking features for a charter.

2.1.2 Questions/Additional Information Needed

1. What tracking features are required for a charter?
2. Should we track additional data elements for a charter as it goes through the charter process? Is this a WIP committee?
3. If we track additional data elements, what roles have access to view, add, update or delete this information?
4. Is there a specific flow of events, similar to the federal register notice, that can be tracked?
5. Will it be helpful to store charter documents in CM? Do you have these documents electronically?
6. Would electronic signatures be helpful with tracking the approval of a charter?
7. What is the priority for this item? Should this enhancement be made to the existing system or can it wait for the redesign?

The chartering process is planned for FY2002. This requirement will be postponed until that time.

2.2 Enhanced Tracking Features for the Federal Register Notice

2.2.1 Existing Requirements

This requirement comes from the ERA Requirements Business Plan, section 5.18. It is entered in BugCollector as item CM1865. Please note that section 5.18 contains several enhancements that are separated into their own entries in BugCollector as well as sections in this document. The Enhanced Tracking Features for the Federal Register Notice requirement is as follows:

“The redesign of the function will allow IC CMOs and OFACP staff to enter detailed information of the status and clearance of FR notices by using a free form text tracking system. This system is similar to the tracking used for processing nomination slates. Users will be able to view this data to see the status of a notice.”

2.2.2 Questions/Additional Information

The following screen image shows the free form tracking section that is found on the Nomination Slate Screen. The comment section is a pop-up window.

1. What fields do you want to track?

Claire provided a spreadsheet that OFACP uses to track federal register notices. The following tracking is needed:

FRN Tracking Points	How Populated	Restricted Use
IC cleared date	System fills in action code and date when IC CMO clicks on the IC cleared button. Notice is frozen from updates.	IC CMO
IC Sent to OFACP date	IC CMO enters	
OFACP Received date	OFACP enters	OFACP only
OGC cleared (for 9B and notices of establishments)		
OFACP Cleared	System fills in action code and date when OFACP clicks button	OFACP only
OFACP Returned	System will unfreeze the notice, which will allow updates.	OFACP only
Date Out to OMA	OFACP enters	OFACP only
Date notice was returned from OMA	OFACP enters	OFACP only
Date published notice was returned to IC	OFACP enters	
Notice has a meeting that has been amended	In Mtg Data Screen, when a meeting is amended, auto store that info in the original FRNs tracking comment field. Indicate the meeting that has been amended.	
Notice has a meeting that has been cancelled	In Mtg Data Screen, when a meeting is cancelled, auto store that info in the original FRNs tracking information. Indicate the meeting that has been cancelled.	
Free-form entry of workflow tracking points	Allow's users to enter additional tracking points and dates	

Tracking Points will include the following fields:

Action Code

Date

Initials

Comments

In order for OFACP to eliminate the use of a tracking spreadsheet, the following fields should be added to the Federal Registers block:

1. *Add a column for the number of meetings attached to the notice to the Federal Registers Block. This should be system generated based on the number of meetings attached to the Federal Register Notice.*

2. *Add a column for the type of meetings attached to the notice to the Federal Registers Block. This should be system generated. If all meetings are of one type (open, closed or partial) then only report 'O', 'C' or 'P'. If the meetings are of different types, then report the number of each type, i.e., 'O (2), C (2)'.*

3. *Add the Date Range for the meetings attached to the Federal Register Notice. This should be system generated based on the meetings attached to the Federal Register Notice. The system should find the earliest date the meetings occur and the latest date that the meetings occur and report that as the date range.*

In addition, the Meeting Data screen should be updated to allow for a meeting to be amended more than one time.

2. What is the priority for this item? Should this enhancement be made to the existing system or can it wait for the redesign?

   Redesign

2.2.3 Federal Register Notice Tracking Report

A report should be created that will allow OFACP to list all Federal Register notices for a given time period. The report will include the following fields:

FRN Notice #
FRN Notice Description
Meeting Date Range
FRN Rec'd at OFACP (Date and Initials of Person receiving notice)
Out to OMA
Number of Meetings
Meeting breakdown (open, closed, partial)
Comments

The report shall be run by OFACP only. The report parameters are:

Agency
IC
Acronym
Date Range

2.3 Federal Register Notice Notification

2.3.1 Existing Information

"New business rules - Notification indicating a late statement is needed when preparing a FR notice."

2.3.2 Questions/Additional Information

1. How do you want this notification to happen? Through a message that is displayed?

A pop-up window will be displayed. It will recommend which late statement to put on the notice. Allow user the option to approve the recommended late statement, select another late statement or not have a late statement print on the notice at all. Late statements are selected based on the committee type. The table below shows which late statements will be recommended based on the committee type.

Committee Types	Wording for late statement
IRGs, SEPs	The notice is being published less than 15 days prior to the meeting due to the timing limitations imposed by the review and funding cycle.
BSC	The notice is being published less than 15 days prior to the meeting due to the urgent need to meet timing limitations imposed by the intramural research review cycle.
Other	User enters late statement

2. What action triggers the notification?

When a meeting is attached to the notice.

3. What criteria are used to determine if a late statement is required?

If the meeting date is less than 30 days from the current system date the pop-up window will be displayed.

4. What is the priority for this item? Should this enhancement be made to the existing system or can it wait for the redesign?

redesign

2.4 Enhanced Tracking Features for Nominee Appointment

2.4.1 Existing Requirements

We have no requirements for enhanced tracking features for a nominee appointment.

2.4.2 Questions/Additional Information

1. What tracking features are needed? Free form?

   Free-form tracking. We will have description, date and comments fields.

2. What is the priority for this item? Should this enhancement be made to the existing system or can it wait for the redesign?

   redesign

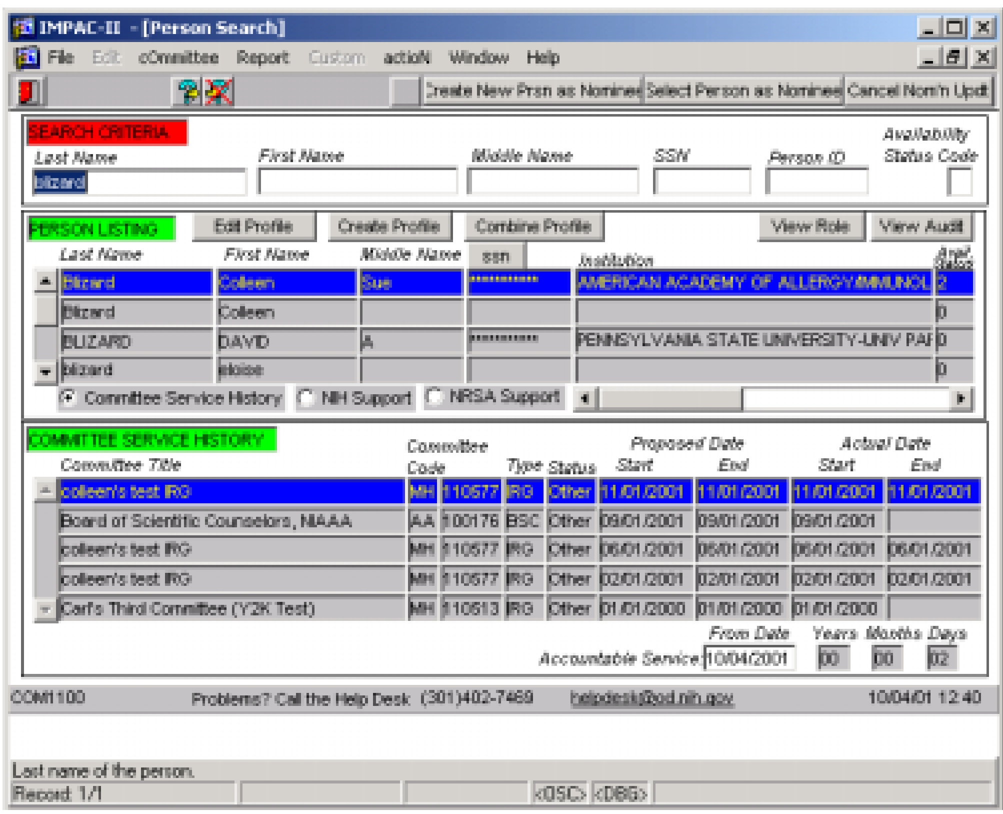
2.5 Notification indicating person already serving on an NIH Advisory Committee

2.5.1 Existing Information

Users need notification that a person is already serving on an NIH Advisory Committee.

2.5.2 Questions/Additional Information Needed

1. When a user selects a person as a nominee, they first do a search through the Person Search Screen. The Person Search screen displays the Committee Service History for the person. Is this information not providing enough notification?



Sometimes there is more service than what shows on the screen. Users don't scroll down to see it. Sort the list in like we are sorting the report.

Pending

Current Standing

SEP, Adhoc and TMP in chronological order with the most recent first

Add two filters to the tab – Accountable (NAC, PAC, BSC and IRG service) and Non-Accountable (IRG). Users can then filter the service to either accountable or non-accountable service.

2. Where do they need this notification? When a nomination record is created? When a nominee is added to a slate?

Add a warning message when a user adds an attendee to a meeting or when a nominee is placed on hold. The Peer Review Module populates the CM Roster (through the add reviewer function), co-ordinate with Peer Review.

The table below contains the business rules for which member types can be used for what meeting and committee types when adding meeting attendees.

FACA/Non-FACA	***Committee Type***	***Member Type***
FACA	*NAC, PAC, BSC*	*Standing Member* *Ad Hoc(12, AHC)*
FACA	*IRG*	*Standing Member* *Temp (03, TMP)* *Ad Hoc(12, AHC)*
FACA	*SEP*	*SEP(04, SEP)*
Non-FACA		*Standing Member* *Ad Hoc (12, AHC)*

3. How do they need the notification? A message being displayed? An e-mail? A report?

Pop-up message

4. What criteria are used to determine if someone is serving on an NIH Advisory Committee? The criteria below are used on the NIH Advisory Committee Service History Report (cm6025) for Accountable Service.

- Member Type in (01,02,05,06,07) [Regular, Flex, appointed Chair, not-appointed Chair, Acting Chair]
- Appointment Type not 05 [Administrative Extension]
- Agency is NIH
- Cmte Type is NOT a SEP or TMP
- Appointment is not released (review_point_code <> ‘20’)
- Actual End Date is within the last 12 years
- Nomination is accepted by the nominee

N/A

5. What is the priority for this item? Should this enhancement be made to the existing system or can it wait for the redesign?

   redesign

2.6 Federal Register Notice - generate for all committees

2.6.1 Existing Requirements

This requirement comes from the ERA Requirements Business Plan, section 5.19. It is entered in BugCollector as item CM1866. The requirement is as follows:

"Currently, the Federal Register function does not generate notices for all types of committees. Users have to generate notices using a word processor because certain types of committees use different language on Federal Register notices. The redesign effort will enable all types of committees to use the Federal Register function and generate notices through the CM Module."

From Claire Benfer, 10/2001:

Currently, CM IMPAC II does not support the generation of notices for all NIH Federal Advisory Committees. Some notices have to be done outside of the system. CM IMPAC II also does not support language for the use of exemptions 552b(6)(B) and 552b(c)(9)(B) (see Reasons to Close field on the Meeting Maintenance Screen) as cited in the Government in Sunshine Act. NIH uses these exemptions to close or partially close meetings of advisory committees. We need the capability to select one of the above exemptions or use the exemptions together and use the "Agenda Code", "Other" field on the Meeting Maintenance Screen to type in free form text that will print out on a FR notice.

Also, we need the capability to type free form text into the Meeting Maintenance Screen when "Agenda Code", "Other" field is selected regardless of whether the meeting is open, closed, or partially closed and have that text print on a FR notice. If the Agenda Code, Other field is not selected then continue to print out the standard language that is already built into the system.

Currently, when exemption 552b(c)(9)(B) is selected the language on the notice prints out, "because the premature disclosure of other and the discussions would likely to significantly frustrate implementation of recommendations." ICs such as NLM, NCI and the Clinical Center use this exemption but have to generate a FR notice using some type of word processor because they do not have the capability to type in specific language regarding that advisory committee meeting that will print out on a FR notice.

New Business Rules

When 552b(c)(9)(B) is selected on the Meeting Maintenance Screen, print the following language on the FR notice, "The meeting will be closed to the public in accordance with the provisions set forth in section 552b(c)(9)(B), Title 5 U.S.C, as amended" and then the user can select the "Agenda Code," "Other" field and type in text that will follow that sentence. This should print out on the FR notice.

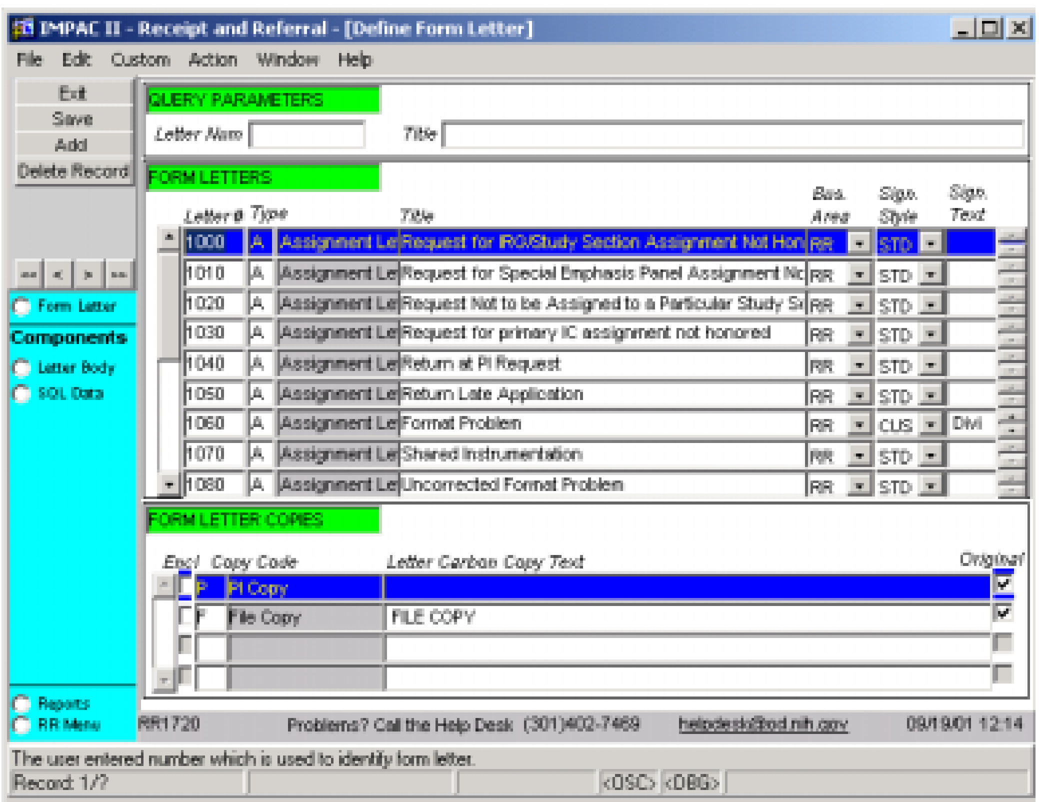
The Literature Selection Technical Review Committee, NLM, uses exemption 552b(c)(9)(B) to close their meetings. When this exemption is selected on the Meeting Maintenance Screen, print out the following language on the FR notice, "The portions of the meeting devoted to the review and evaluation of journals for potential indexing by the National Library of Medicine will be closed to the public in accordance with provisions set forth in section 552b(c)(9)(B), Title 5 U.S.C., as amended. Premature disclosure of the title of the journals as potential titles to be indexed by the National Library of Medicine, the discussions, and the presence of individuals associated with these publications could significantly frustrate the review and evaluation of individual journals."

If "Reasons to Close" exemptions 552b(c)(6) and 552b(c)(9)(B) are selected together on the Meeting Maintenance Screen, then print the following language, "The meeting will be closed to the public in accordance with the provisions set forth in sections 552b(c)(6) and 552b(c)(9)(B), Title 5 U.S.C., as amended." Then the user will select Agenda code, Other and type in text. That text will print out after the above text on the FR notice.

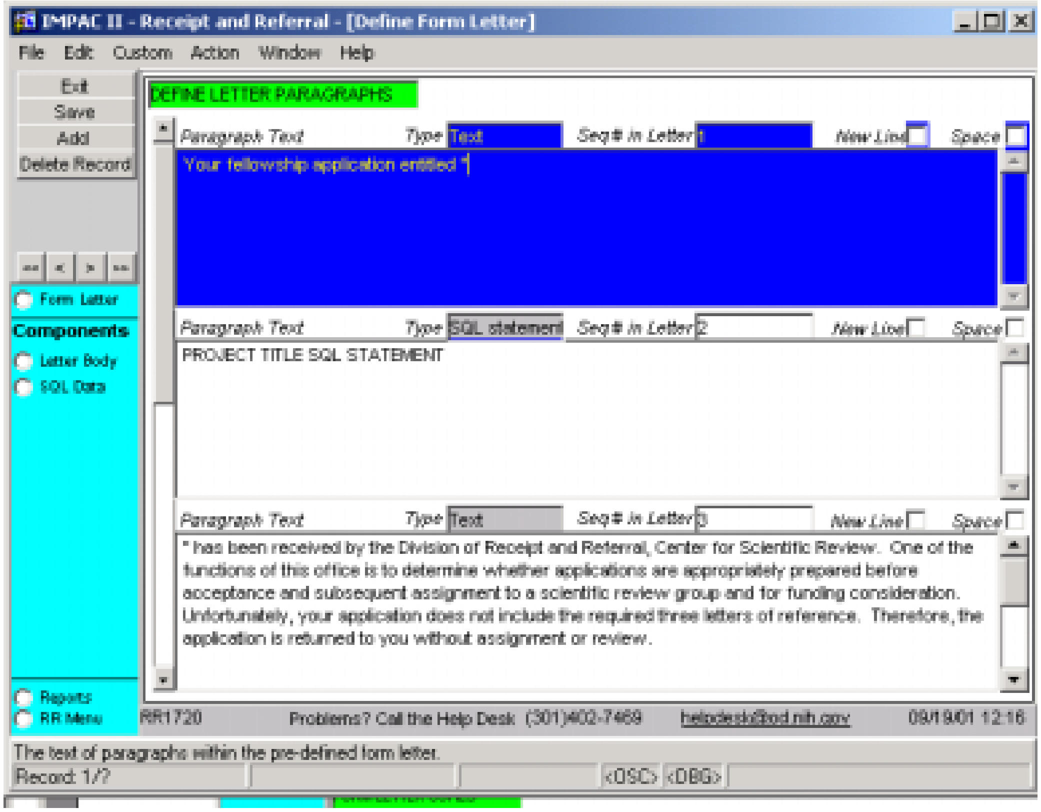
The Receipt and Referral application has functionality for preparing mailers. It allows users to select canned text as well as modify or add text. We are researching using this method to define and create all federal register notices. For users that do not need to edit their federal register notice, the steps for generating it will be as simple as it is now. Below are screen images of this functionality:

2.6.1.1 Receipt and Referral, defining a form letter

Defining form letters may be reserved to only development staff, so users may not see the screens in this section. The screen below defines the various types of form letters. In CM, form letters could be various types of federal register notices.



The screen below allows users to define the body of form letters. The sections defined are referred to as paragraphs but do not necessarily mean a separate paragraph in your document. In the example below, the screen shows three paragraphs (sections) defined. The three sections are actually one paragraph in the form letter. The first paragraph (section) shows the beginning of a sentence. The second paragraph (section) defined below indicates that an SQL statement should be inserted. (The screen that is used for defining the SQL statements is described later in this document.) The third paragraph (section) continues the paragraph.



The definition above would output a paragraph like:

> Your fellowship application entitled "My Fellowship Project" has been received by the Division of Receipt and Referral, Center for Scientific Review. One of the functions of this office is to determine whether applications are appropriately prepared before acceptance and subsequent assignment to a scientific review group and for funding consideration. Unfortunately, your application does not include the required three letters of reference. Therefore, the application is returned to you without assignment or review.

The fields on the screen above are used as follows:

Paragraph Text: This field contains the text or refers to an SQL statement that can be inserted into the letter.

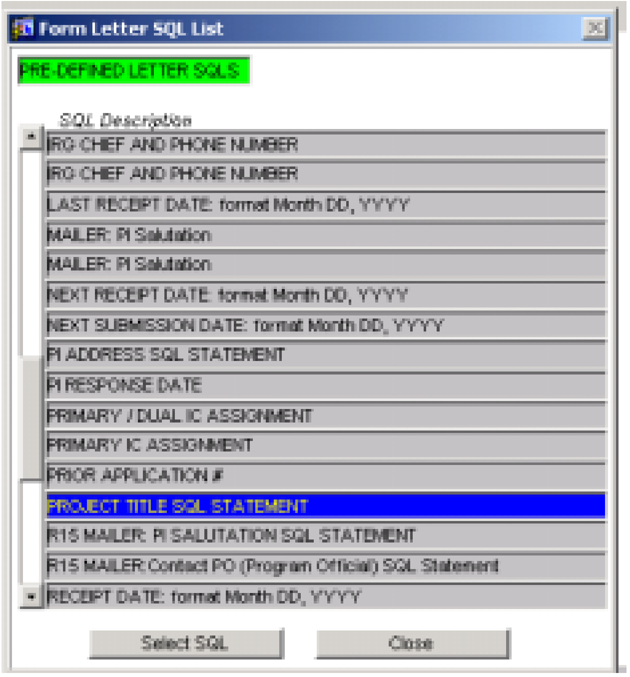
Type: This field describes the type of the data in the Paragraph Text field. It can be of type "text" or "SQL Statement".

Seq # in Letter: This field defines the sequence that the paragraph text will appear in your letter.

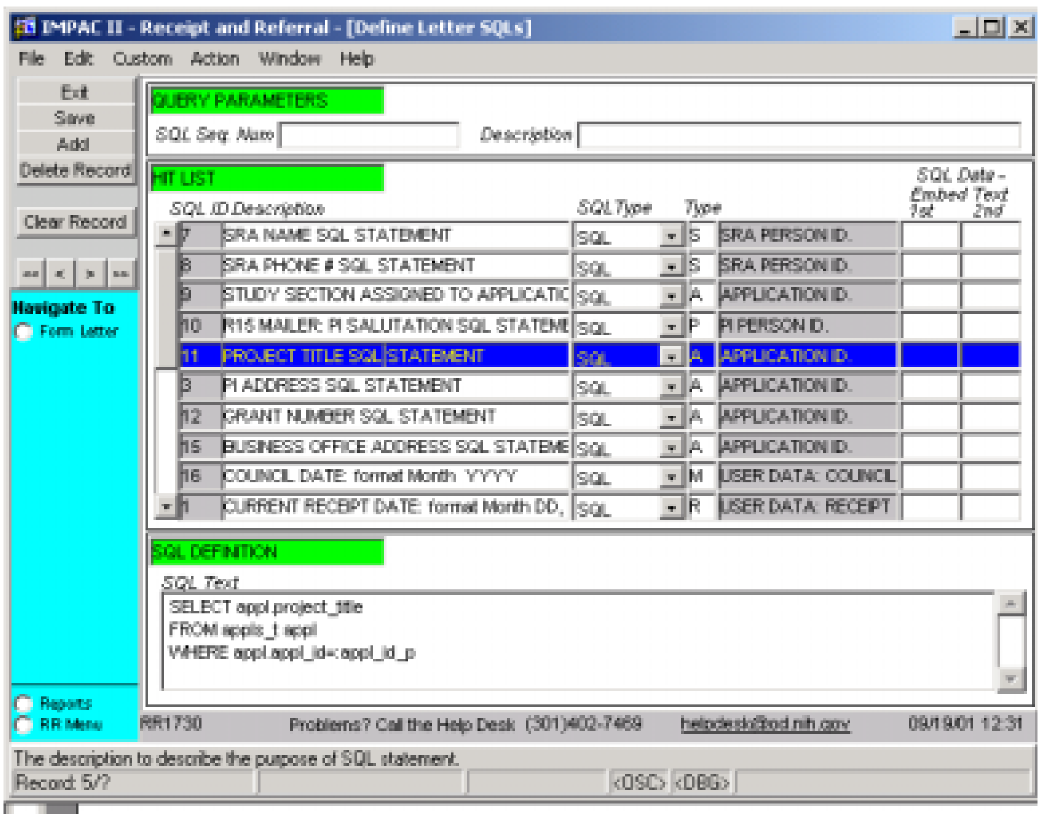
New Line: indicates if the data in the paragraph text field should start on a new line or continue on the same line as the preceeding paragraph.

Space: Adds a blank line before the paragraph is printed.

The screen image below is a pop-up window that displays the available SQL statements. User's can select what SQL they want inserted into their letter. This window serves as a List Of Values.



Below is a screen image below allows selected users to add or edit SQL statements.



SQL ID: This is a system generated unique identifier.

Description: This is the description or title of the SQL. The information in this field is what is displayed on the LOV on the Form Letter Definition screen.

SQL Type: The SQL type can be SQL, Function or Procedure. SQL can be written, as shown above. Or, server side functions or procedures can be called.

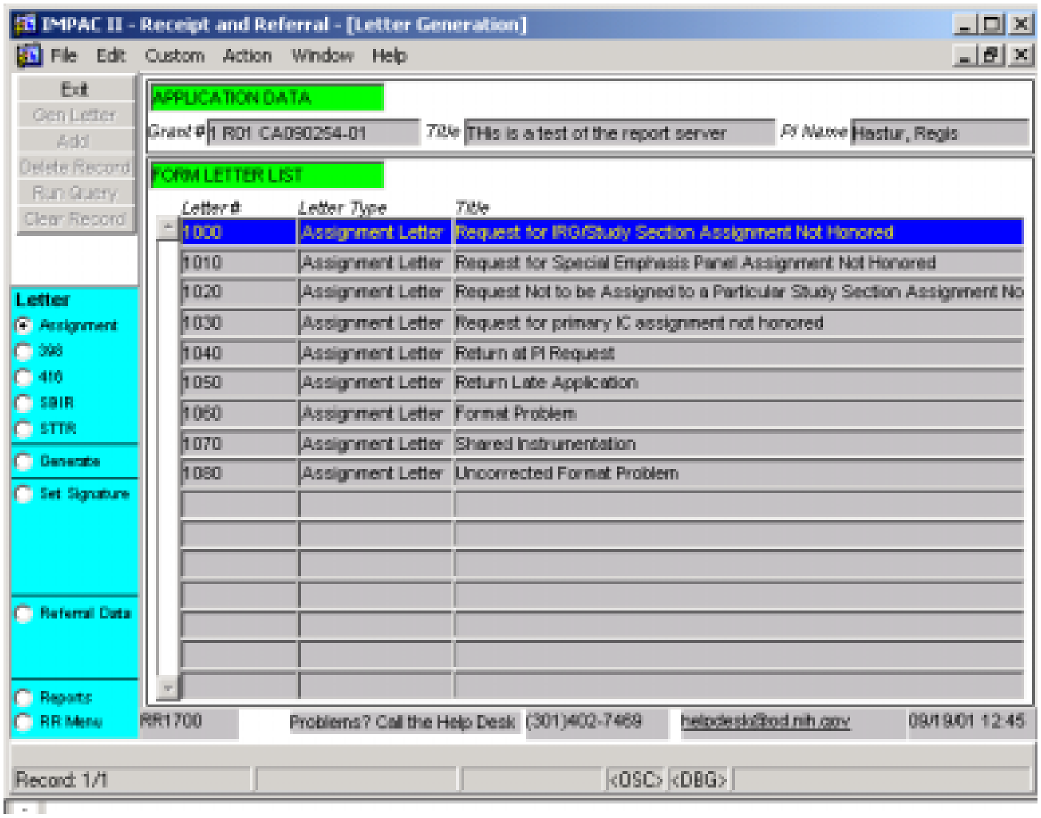
Type: Indicates if the data returned by this SQL statement is from the database or user defined. User defined data is entered at runtime.

SQL Data Embedded Text 1st: The text to be inserted between the first and second occurrences of the data from the database.

SQL Data Embedded Text 2nd: The text to be inserted between the second and third occurrences of the data in the database.

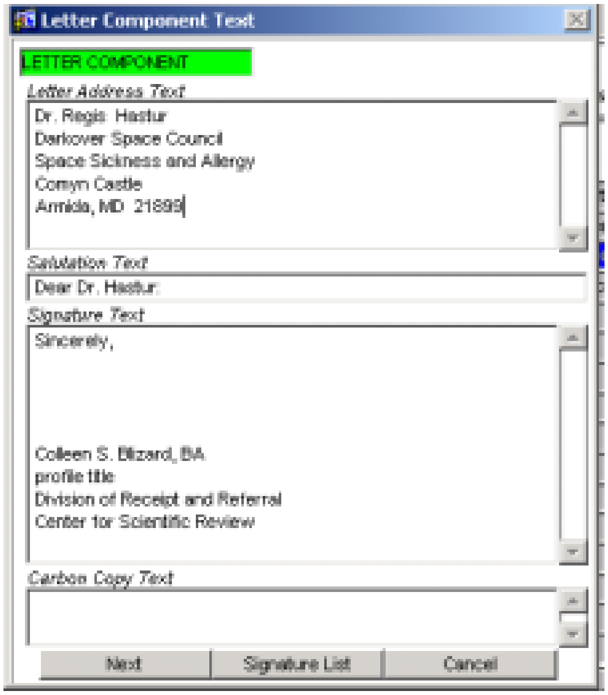
2.6.1.2 Receipt and Referral, generating a form letter

In order to create a letter, users would do a query for a specific application and then they would see the screen below:

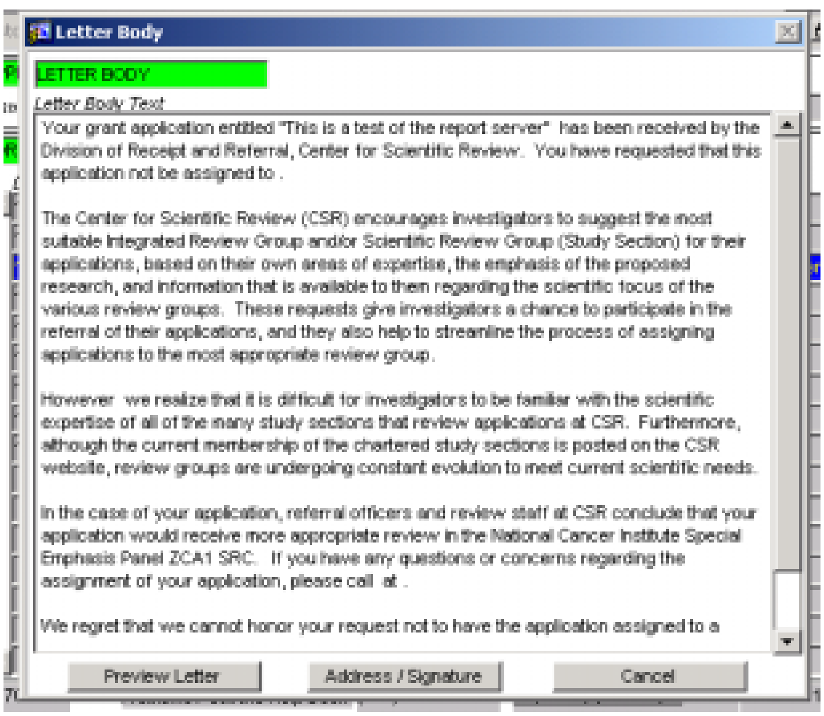


User's select the type of letter they want to generate from the menu on the left hand side.

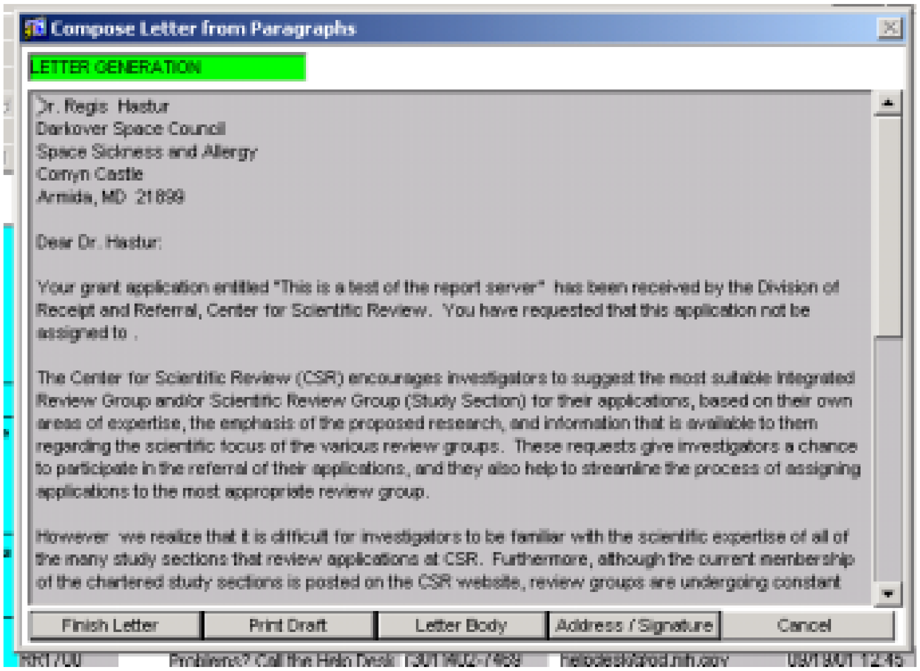
Then, user's would select the 'Generate' button. The "Letter Component Text" pop-up screen is then displayed.



This pop-up allows users to view and edit the address, salutation, signature text and carbon copy text of the letter. This screen can be customized to fit the needs of Committee Management users. The next button displays the body of the letter and allows users to edit as necessary. The following screen is displayed when the next button is selected:



The Preview Letter button displays the letter as it will be generated. See the screen image below.



The buttons on this pop-up window do the following:

Finish Letter: Saves this letter text to the database.

Print Draft: Prints a draft.

Letter Body: Allows editing of the letter body.

Address/Signature: Allows editing of the address, salutation, signature and carbon copy areas.

Cancel: Exits this screen without saving the generated letter.

2.6.2 Questions/Additional Information

1. Will the R&R functionality work for CM?

   Yes

   Need the ability to create federal register notices that announce nominations. No clearance is needed for this type of notice.

2. What is the priority for this item? Should this enhancement be made to the existing system or can it wait for the redesign?

   redesign

2.7 Meeting Notification / Federal Register Notice Cleared E-Mail

2.7.1 Existing Requirement

This requirement comes from the ERA Requirements Business Plan, section 5.20. It is entered in BugCollector as item CM1867. The requirement is as follows:

"Design a system email capability to alert the Office of Federal Advisory Committee Policy and IC CMO upon completion of Federal Register notices and Nomination slates - NBR

A system email capability to alert users of certain meeting and nomination functions should be created. This will allow users at all levels to manage NIH advisory committees in a more efficient manner."

In an e-mail from Claire dated 7/9/01, the following e-mail notifications were indicated.

1. Once a user checks the "OK, check complete" button, an e-mail notification is sent to the IC CMO notifying them that the notice is ready for publication and a Federal Register Notice should be completed.
2. After OFACP clears a federal register notice, an e-mail notification should be sent to the IC CMO notifying them that the notice was signed, approved and forwarded to the Office of Federal Register (OFR) for publication. The notice should also include the date the notice was sent to the OFR.

2.7.2 Questions/Additional Information

1. How do we get the e-mail address for the IC CMO? Will the IC CMO be selected on the Committee Admin screen? Will the e-mail address be on the person record?

   Add e-mail address field to the Committee Admin screen. This e-mail address will be a CMO box for the institute or committee. IC's will create their own e-mail accounts. We will be given a list of the committees and the box that applies to them. At the time of the redesign release, we will populate the e-mail addresses.

2. How do we handle missing e-mail addresses? Will there be a default e-mail address, i.e. send all e-mail to Claire if the e-mail address is missing?

   Send to the IMPAC II HelpDesk

3. What is the priority for this item? Should this enhancement be made to the existing system or can it wait for the redesign?

   Redesign

2.8 Unfreeze capability for Federal Register Notice

2.8.1 Existing Requirement

This requirement comes from the ERA Requirements Business Plan, section 5.18. It is entered in BugCollector as item CM2851. The requirement is as follows:

"The OFACP staff will also be able to unfreeze meetings instead of putting the burden on ROW staff."

In an e-mail from Claire Benfer on 7/9/01, she stated "the OFACP 'IC Clears' the notice instead of the IC CMO. We decided to do this level of clearance instead of the "NIH Cleared" level because that will freeze the notice. Sometimes, there are small changes that need to be made to a notice and if the notice is at the "IC clear" level, OFACP can use the "NIH Returned" button to unfreeze the notice so the IC CMO can make changes."

2.8.2 Questions/Additional Information

1. Should we add an 'unfreeze' button that allows only OFACP to unfreeze a notice? If so, what type of tracking should be done, if any? What type of warning messages should be displayed? How should the button be labeled?

   Only OFACP will have access to unfreeze a notice.

   Unfreeze can happen when the notice isn't published yet. This will be determined by OFACP, not the system.

   We will have the following buttons for approval:

   IC CMO Cleared – freezes the notice. This button currently exists.

   OFACP Rec'd – doesn't freeze the notice, just records the date received. This is a new button.

   OFACP Return – unfreezes the IC CMO freeze. This is a new button.

   NIH Cleared and NIH Returned are existing buttons. Their functionality will not change.

2. What is the priority for this item? Should this enhancement be made to the existing system or can it wait for the redesign?

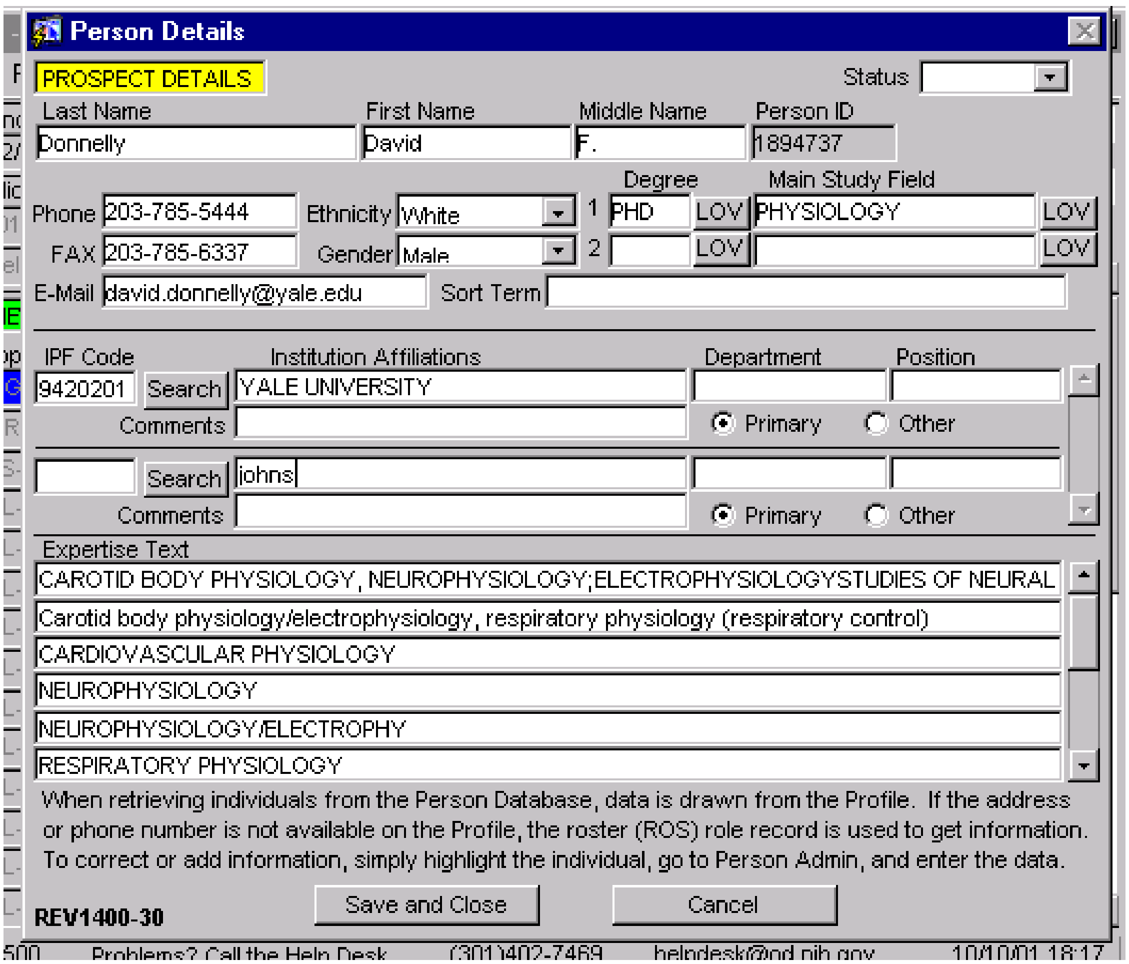
   redesign

2.9 External Organizations Feature in Peer Review

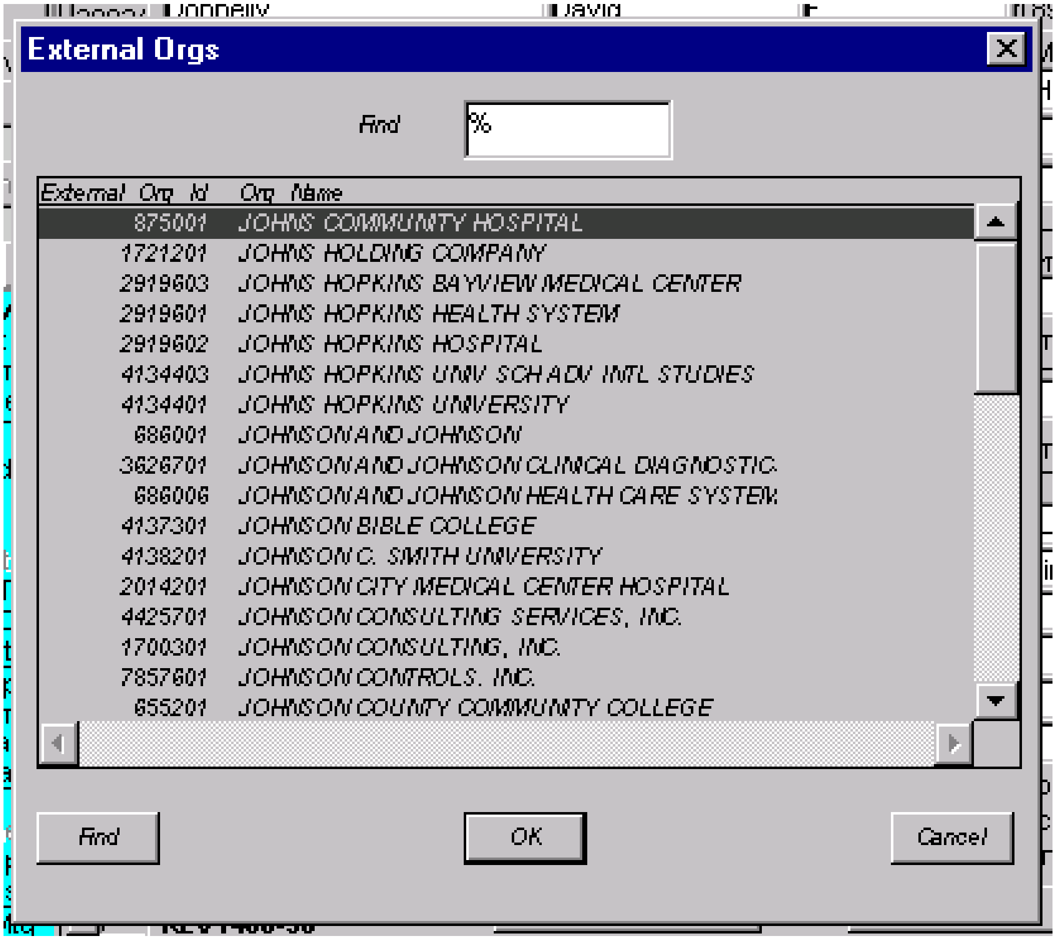
2.9.1 Existing Information

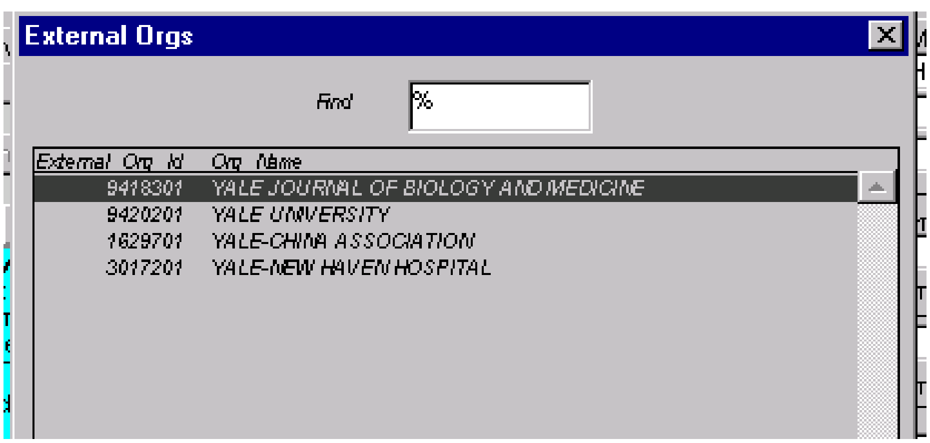
Peer Review uses a different screen for selecting the external organizations that the current Person Screens which Committee Management access. Please review the screens that are used in Peer Review (as provided by Ev Sinnet).

Below is the Person Details popup. For illustration, I've typed in "johns" in the Institution Affiliations area. The second screen shot illustrates what you see when you click "Search."



By only entering johns, the popup of external orgs includes Johnson as well. Even so, it's fairly easy to figure out which one you need to pick. This is actually a fairly long list. The third screen shot shows the result of a search on "yale."





To my mind, this listing is so short and so simple to use that you wouldn't need or want a hard copy to thumb through. If you don't need to include a hard coded department entry, this should be enough. As far as that goes, those of us on the Review JAD would prefer a named field for entering information like Department, which would allow you to drop it (?) from the Employment area.

2.9.2 Questions/Additional Information

1. Is this method easier and more friendly than what is currently in the Person Screens?

It appears to be easier.

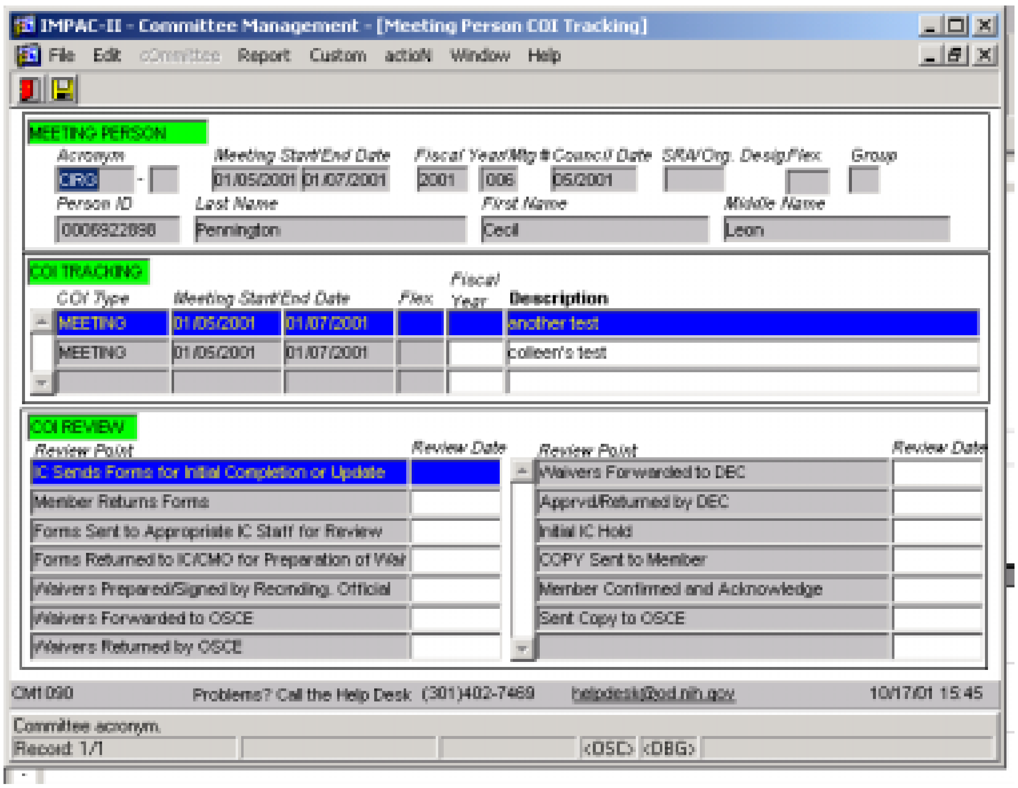
2. Should this method be recommended to the Persons Module Team Lead?

More analysis will be done.

2.10 Conflict of Interest Tracking

2.10.1 Existing Information

The following screen is available in Committee Management for tracking COI issues. At this time there is no role restrictions.



Questions/Additional Information

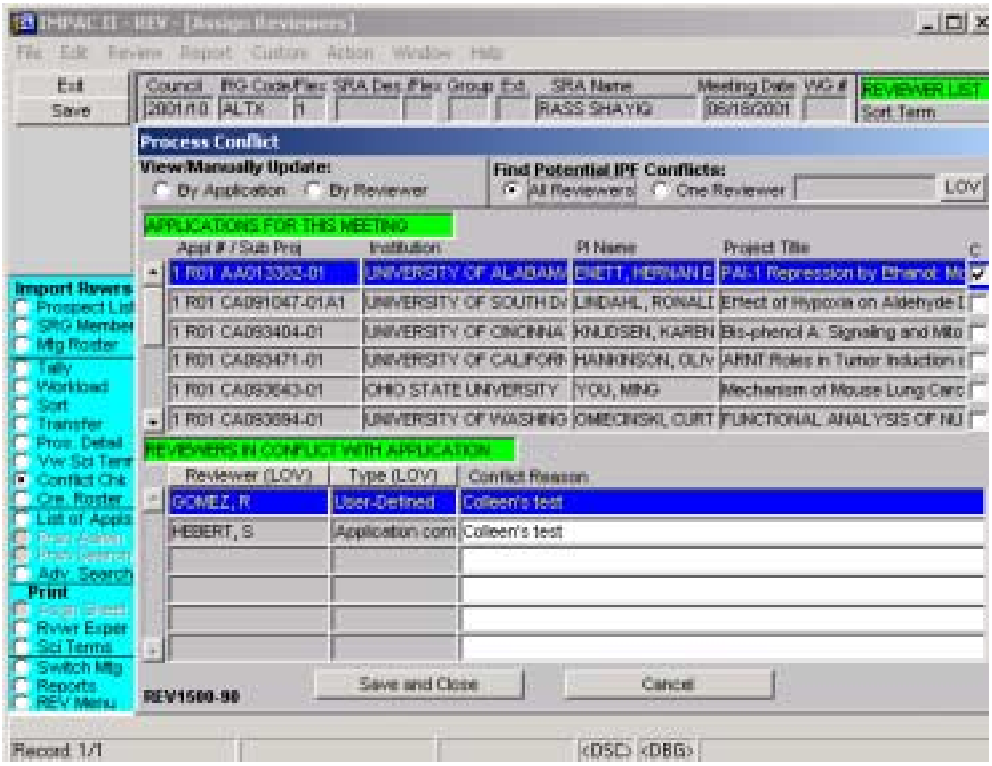
1. Should we add a CM_CONFLICT_ROLE to restrict access to this data?

   No

   This form needs to be redesigned. It should be a matrix format. It should be access at the meeting level. The matrix will list all meeting attendees as rows and the COI tracking items as the columns. Each column will have a checkbox and a date. The user will be able to check the checkbox to indicate that tracking item has been completed. When the box is checked, the date will be automatically filled in with the current system date. User's will have the option to edit the date.

2.11 Peer Review Conflict Check

2.11.1 Existing Information



2.11.2 Questions

1. Would it be useful to have this Peer Review Screen or one similar in CM?
2. What is the priority of this item? Should this enhancement be made to the existing system or can it wait for the redesign?

This item requires analysis. This requirement will be re-evaluated for the FY2003 budget.

2.12 Peer Review Conflict Report (REV6048)

2.12.1 Existing Information

Below is a sample of the Conflict Report.

Conflict Report
Alcohol and Toxicology Subcommittee 1
2001/10 Council ALTX-1, 06/18/2001, RASS SHAYIQ, SRA

Application	PI Name	Conflicts
1 R01 AA013382-01 PAI-1 Repression by Ethanol: Molecular Mechanisms UNIVERSITY OF ALABAMA AT BIRMINGHAM	GRENETT, HERNAN E	Gomez, R Hebert, S

REV6048 Page 1 October 17, 2001

2.12.2 Questions/Additional Information

1. Would it be useful to have this report available in CM so it can be run for councils? Would any format changes be helpful?
2. What is the priority of this item? Should this enhancement be made to the existing system or can it wait for the redesign?

This item requires analysis. This requirement will be re-evaluated for the FY2003 budget.

2.13 Peer Review Assignment List and Conflict Report (REV6045)

2.13.1 Existing Information

Below is a sample of the Peer Review Assignment List and Conflict Report.

Assignment List and Conflicts by Reviewer
Alcohol and Toxicology Subcommittee 1
2001/10 Council ALTX-1, 06/18/2001, RASS SHAYIQ, SRA

Reviewer: GHAFOURIFAR, PEDRAM, PHD

	Application	PI Name	Reviewers	Discussants	Mail Reviewers	Conflicts
13	1 R01 AA013382-01 PAI-1 Repression by Ethanol: Molecular Mechanisms UNIVERSITY OF ALABAMA AT BIRMINGHAM	* [illegible]	Ghafourifar, P (P) Gomez, R Grantham, J			Gomez, R Hebert, S

Consultants are required to absent themselves from the room during the review of any application if their presence would constitute or appear to constitute a conflict of interest. Please inform us of any applications with which you may be in conflict that have not been identified.
* Denotes New Investigator.

REV6045 Page 1 October 17, 2001

2.13.2 Questions/Additional Information

1. Would it be useful to have this report available in CM so it can be run for councils? Would any format changes be helpful?
2. What is the priority of this item? Should this enhancement be made to the existing system or can it wait for the redesign?

This item requires analysis. This requirement will be re-evaluated for the FY2003 budget.

2.14 Member Type Business Rules

The following table defines the business rules for adding members to a meeting.

Add Attendee Buttons	FACA Meetings, by Committee Type			Non-FACA Workgroups, any Committee Type
	IRG	SEP	NAC, PAC, BSC	
Other Members	Enabled, default to TMP with ability to change to Ad Hoc.	Appt Type = 01 Member Type = SEP	Enabled, (no SEP or Temp) Ad Hoc member type only.	Ad Hoc only
Previous Members	Enabled, default to TMP with ability to change to Ad Hoc.	Appt Type = 01 Member Type = SEP	Enabled, (no SEP or TMP) Ad Hoc member type only.	Ad Hoc only
Standing Members	Enabled. Default to their appt type and member type.	Disabled	Enabled, no SEP or TMP. Default to their appt type and member type.	Default to their appt type and member type.
Federal Staff	Can add any Federal Staff Associated with the Committee	Can add any Federal Staff Associated with the Committee	Can add any Federal Staff Associated with the Committee	Can add any Federal Staff Associated with the Committee
Other Person	Adds GTAs and Other Program Officials	Adds GTAs and Other Program Officials.	Adds GTAs and Other Program Officials	Adds GTAs and Other Program Officials