



**FEDERAL DEMONSTRATION PARTNERSHIP**  
Redefining the Government & University Research Partnership

# FDP Committee Reports

January 2019



# Committee Types

- In addition to the overarching Executive Committee, the FDP has three Operational Committees:
  - Finance
  - Communication
  - Membership
- There are also six Programmatic Committees, each with their own subcommittees and working groups:
  - Faculty
  - eRA
  - Research Administration
  - Finance/Costing/Audit
  - Research Compliance
  - ERI

# Executive Committee

Communications Committee

Finance Committee

Membership Committee

Outreach

Emerging Research  
Institutions

Faculty

eRA

Research  
Admin

Finance/ Costing/  
Audit

Research  
Compliance

Emerging Research  
Institutions

Faculty Workload  
Survey

Enhancing Faculty  
Engagement

Research Pipeline

DATA Act

Grants Life-Cycle  
Roadmap

Integrated Acquisition  
Environment

Streamlining Proposal  
Submission

21st Century Tools for  
FDP

Contracts

Open Government

Subawards

Expanded  
Clearinghouse

Federal Research T&C

Admin Cost

UG Procurement

Payroll Certification

COI

Data Stewardship

Export Controls

IACUC

IRB

Lab Safety

In the Process of Being Updated



# FEDERAL DEMONSTRATION PARTNERSHIP

Redefining the Government & University Research Partnership

## Finance Committee

Kim Moreland, University of Wisconsin – Madison



# Members

- Tim Reuter, Stanford University
- Doug Backman, University of Central Florida
- Gunta Liders, University of Rochester
- David Robinson, Oregon Health & Sciences University
- Edwin Bemmell, University of Miami
- Dick Seligman, California Institute of Technology
- Michele Masucci, Temple University
- Kim Moreland, University of Wisconsin – Madison,  
Chair



# FEDERAL DEMONSTRATION PARTNERSHIP

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## Communication Committee

Jennifer Taylor, University of Arkansas  
Laura McCabe, Michigan State University



# Members

- Jennifer Taylor, University of Arkansas
- Laura McCabe, Michigan State University
- Alicia Reed, Kansas University
- Melissa Korf, Harvard University
- Lisa Akin, Texas A&M University
- Patrice Carroll, Brown University
- Gay Nell Krauss, Vanderbilt University
- Stephanie Scott, Columbia University



# FEDERAL DEMONSTRATION PARTNERSHIP

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## Membership Committee

Co-Chairs

Jeanne Hermann, Maria Koszalka, and Larry Sutter





# MEMBERS

Lisa Akin	Texas A&M University		
Terry Alford	Arizona State University	Jeanne Hermann	University of Tenn HSC
Susan Anderson	College of Charleston	Katherine Kissmann	Texas A&M University
Lynette Arias	University of Washington	Maria Koszalka	NSF
Kristi Billinger	Texas A&M University	Michael Kusiak	University of California
Webb Brightwell	Harvard University	Vicki Marvin	Texas A&M University
Glory Brown	Florida A&M University	Jennifer Morehead-Farmer	Governors State University
Andrea Deaton	University of Oklahoma	Debra Murphy	Arizona State University
Mary Ann Deom	University of Georgia	Larry Sutter	Michigan Tech University
Michael Eads	Northern Illinois University	Courtney Swaney	University of Texas, Austin
Gina Hedberg	University of Southern Alabama	Julie Thatcher	Institute for Systems Biology



# Administrative Charge

- Conduct and evaluate regular membership surveys
- Monitor attendance and participation
- Resolve membership issues
- Assure vendor participation complies with FDP Policy
- Receive, evaluate, and recommend membership requests
- Encourage federal participation and membership
- Facilitate transition process for new FDP phase
- Update and oversee Executive Committee nomination/election process



# Progress in 2018

- Completed and presented annual survey of the membership
- Developing participation guide document
- Developing review of membership types
- Assist with registration work at FDP meetings



# Plans for 2019 and beyond

- Current initiatives include:
  - Reform the annual report
    - Targeted topics
    - Remove attendance questions
  - Update membership lists and listservs
  - Monitor meeting attendance by members



# Contact to Join Committee

ANYONE CAN JOIN! WE NEED YOUR HELP

Jeanne Hermann – [jhermann@uthsc.edu](mailto:jhermann@uthsc.edu)

Maria Koszalka – [mkoszalk@nsf.gov](mailto:mkoszalk@nsf.gov)

Larry Sutter - [lsutter@mtu.edu](mailto:lsutter@mtu.edu)



# FEDERAL DEMONSTRATION PARTNERSHIP

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## Faculty Committee

Robert Nobles, University of Tennessee

Michelle Masucci, Temple



# Members

## About the Faculty Committee

- Committee of the whole, including all institutional faculty representatives and participants in the FDP meetings
  - Host Faculty Luncheon and Business Meeting at each FDP meeting
  - Engage in a number of FDP initiatives, demonstrations, and projects
  - Serve as co-chairs across FDP committee structure
- Led by elected Chair and Co-Chair; elected chair is also the designated Vice-Chair of the FDP as a whole
- Chair and Co-chair represent the Faculty on the FDP Executive Committee
- Steering committee of the Faculty committee is comprised of Faculty co-chairs of FDP committees, committee liaisons, demonstration project leaders, and former Faculty Committee chairs
  - Monthly Conference call
  - Project specific calls and meetings as necessary



# Steering Committee Members

**Jerry Cohen, University of Minnesota**

**John Hildebrand, University of Arizona**

**Laura McCabe, Michigan State University**

**Jane McCutcheon, New York University**

**David Robinson, Oregon Health and Science University**

**Sandra Schneider-Wright, University of South Florida**

**Susan Sauer Sloan, Director GUIRR, National Academies of Sciences,  
Engineering and Medicine**

**Kelly Shaver, College of Charleston**

**Larry Sutter, Michigan Technological University**

**Ara Tahmassian, Harvard University**

**George Uetz, University of Cincinnati**

**Alice Young, Texas Tech University**





# ACTIVITIES AND GOALS

- **Current and Future Demonstrations and Projects**  
IRB Wizard | CUSP | Pipelines
- **Convening**  
Keynotes | Plenaries | Panels | Technical Updates
- **Reporting**  
Workload Survey | Family Friendly Report | NAS and others | Publications
- **Changing Culture of Research**  
Cross-cutting initiatives such as FACT and work across FDP Committees



# Progress in 2018

- Expansion of IRB Wizard to full demonstration
- Completion and reporting of Faculty Workload Survey
  - Plenary
  - Publication strategy
  - Planning for future of the survey
- Strategic planning process for Phase VII of the FDP
- Broadening and strengthening engagement of Faculty at FDP



# Plans for 2019 and beyond

- **Current initiatives include:**
  - Strategic planning for Phase VII of FDP
  - Completion of demonstrations and move towards adoption across FDP
  - Increasing impact of the outcomes of faculty workload survey
  - Expanding reporting activities of FDP
  - Compliance, communication, FACT, administration cross-cutting activities
- **Future initiatives include:**
  - Improvement of faculty communications efforts
  - Broadening impact of activities through publication and dissemination strategy
  - Continuing expansion of engagement of faculty at FDP



# FEDERAL DEMONSTRATION PARTNERSHIP

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## FACT Committee



# FACT Initiative: Goals

- Bring together Faculty and Administrators for dialogue and joint efforts to enhance collaboration for successful institutional and national research strategies, operations and tactics



- What is a successful institutional research enterprise?
- What collaborative efforts will lead to enhanced institutional success?
- Do successful institutional research programs equate to a successful national research program?



# FACT Initiative: Members

- Chairs:
  - Mark Haselkorn, University of Washington (faculty)
  - Dave Reed, Michigan State University (admin)
- FACT Members:
  - See next page
- Subcommittee Webpage:
  - <http://thefdp.org/default/committees/faculty-committee/faculty-administrator-collaboration-team-fact/>



# FACT Initiative: Members

FDP Member Organization	Faculty Rep	Admin Rep
Case Western Reserve	Harihara Baskaran	Stephanie Endy
Charles R. Drew University of Medicine and Science	Eva McGhee	Perrilla Johnson-Woodard
College of Charleston	Kelly Shaver	Susan Anderson
Duke University	Adrian Hernandez	Jim Luther
Northeastern University	David Budil	Joan Cyr
Michigan State University	Laura McCabe	JR Haywood
Michigan Tech University	Larry Sutter/Jason Carter	<b><u>Dave Reed</u></b>
U Arkansas Medical Sciences	Steven Post	Suzanne Alstadt
U of North Carolina Chapel Hill	Lori Carter-Edwards	Robin Cyr
University of Texas at Austin	Dean Appling	Renee Gonzales/Courtney Swaney
University of Washington	<b><u>Mark Haselkorn</u></b>	Lynette Arias/Rick Fenger



# FACT Initiative: Progress in 2018

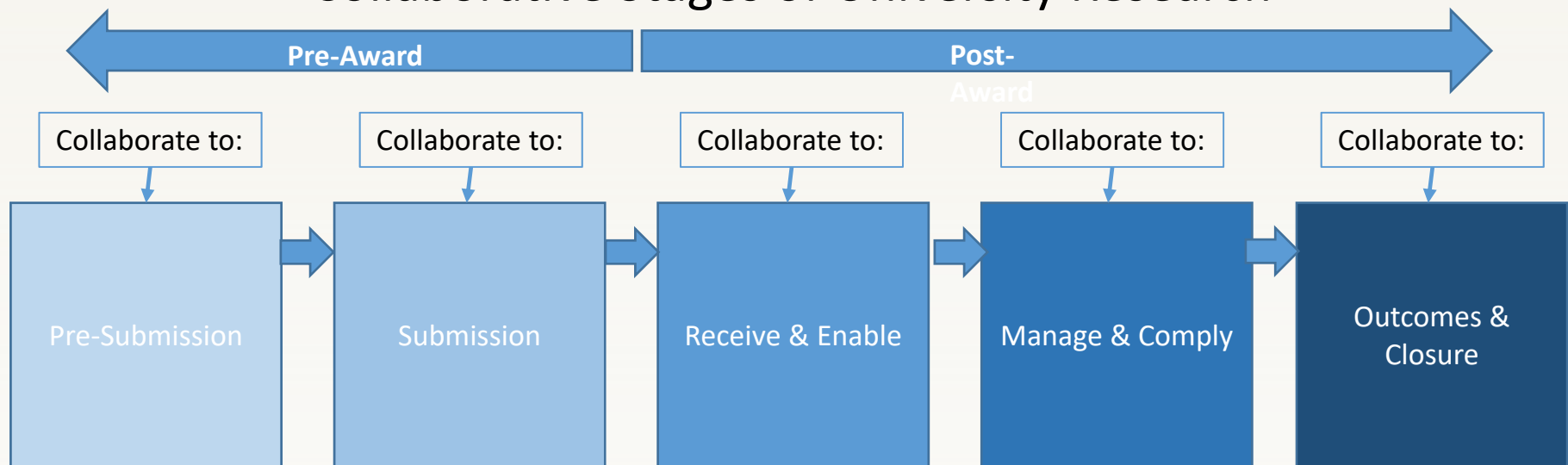
- Explored the varieties of research administration structures that exist among FDP member organizations
  - *Identified how do faculty and administrators interact on an operational and strategic basis.*
- Collected and inventoried challenges and successes in the faculty-administrator relationship
  - *Prioritized key opportunities for analysis and enhancement.*
- Discussed recommendations for ways to improve the faculty-administrator relationship
  - *Re-thought how we collaboratively do the business of research and research administration.*





# FACT Initiative: Plans for 2019 and Beyond

## Collaborative Stages of University Research



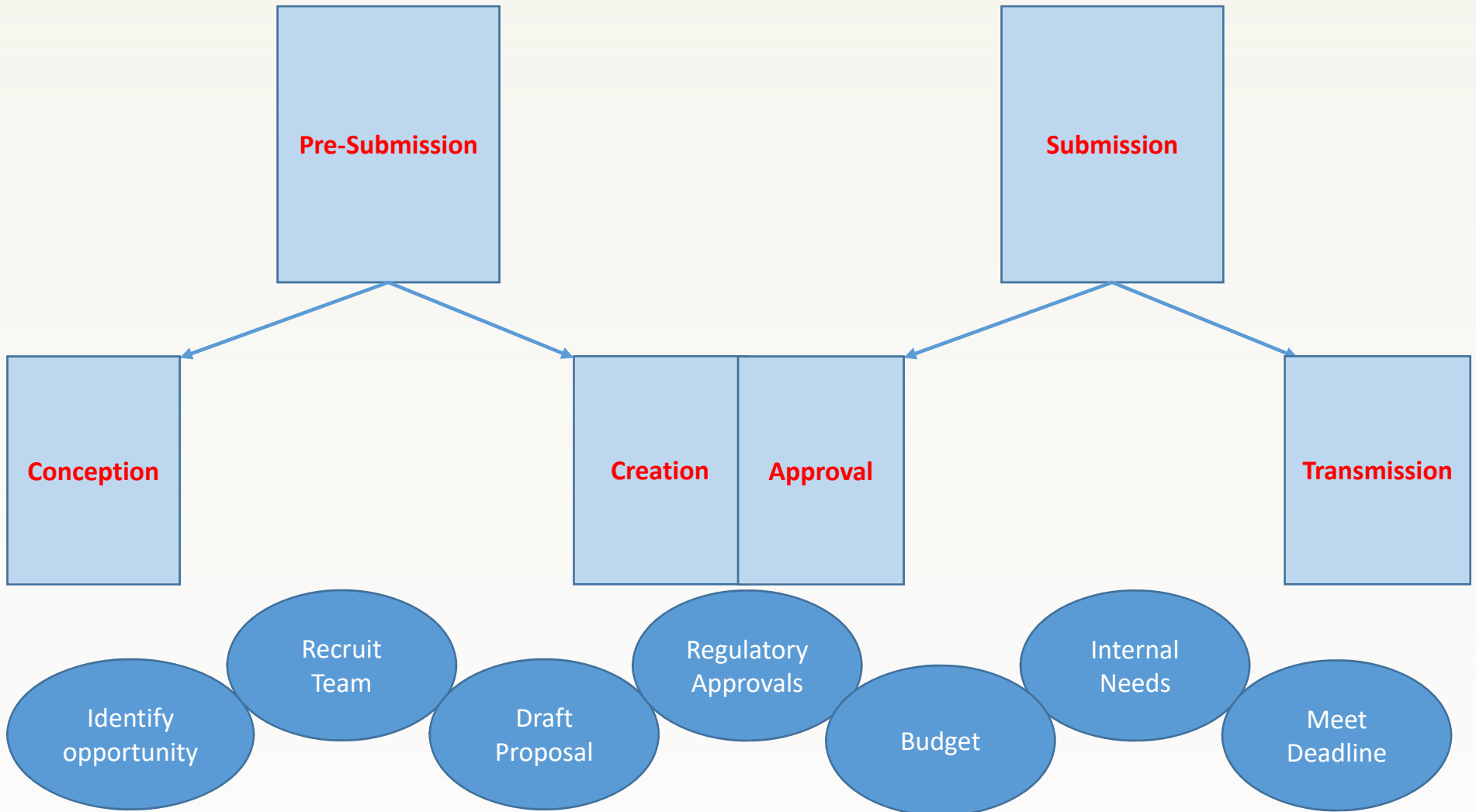
What are the collaborative components within each stage?

Who are the stakeholders in each collaborative component?

Who is the primary "owner" of each stage?



# FACT Initiative: Plans for 2019 and Beyond





# Goals for Year Two of FACT

- Complete collaborative processes study
- Produce FACT Phase One Report, to include:
  - Conclusions from the Year One and Year Two studies
  - Recommendation as to whether or not FACT should continue
  - If recommendation to continue:
    - Proposed Structure
    - Desired Goals
    - Productive Methods



# FEDERAL DEMONSTRATION PARTNERSHIP

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## Research Administration Committee

Lynette Arias, University of Washington

Wade Wargo, Office of Naval Research



# Research Administration Committee: Goals

- To identify opportunities to make the administrative requirements imposed by federal sponsors simpler and less costly without compromising accountability
- Includes the areas of **contracting, proposal, award, subaward requirements**, and
- Processes and **general research administration areas** not targeted for coverage by other programmatic committees



# Research Administration Committee: Members

- Chairs:
  - Lynette Arias, University of Washington
  - Wade Wargo, Office of Naval Research
- Research Administration Committee Members:
  - See next page
- Committee Webpage:
  - <http://thefdp.org/default/committees/research-administration/>



# Research Administration Committee: Members

Name	Affiliation
Alex Albinak	Johns Hopkins University
Stephanie Endy	Case Western Reserve University
Richard Fenger	University of Washington
Amanda Hamaker	Purdue University
Amanda Humphrey	Northeastern University
Melissa Korf	Harvard University
David Mayo	California Institute of Technology
Stephanie Scott	Columbia University
Avinash Tembulkar	National Science Foundation
Pamela Webb	University of Minnesota
Alice Young (faculty liaison)	Texas Tech University



# Research Administration Committee: Progress in 2018

- Transitioned to new co-chairs: Lynette & Wade
- Confirmed & assessed status of each subcommittee
- Engaged some new subcommittee co-chairs
- Continued regular monthly calls
- Added in-person meetings prior to each FDP Meeting
- Updated Committee & Subcommittee webpages
- Began strategic discussions for RA Committee
- Began focusing on connections between activities





# Research Administration Committee: Plans for 2019 & beyond

- **Current initiatives include:**
  - Further developing our committee & focus
  - Will be expanding and adding a few new members
  - Will be sending out a call for interested parties in coming weeks
- **Future initiatives include:**
  - Connect the work of each subcommittee, as feasible
  - Example: Clearinghouse profile data prepopulating Subaward Template; subrecipient monitoring lifecycle focus
  - Ensure our data fields are in sync with federal data standards
  - Exploring new ideas and topics for exploration



# SUBCOMMITTEES, WORKING GROUPS & INITIATIVES

- Open Government: Research Administrative Data Subcommittee
- Subawards Subcommittee
- Expanded Clearinghouse Subcommittee
- Research Terms & Conditions Working Group
- Contracts Subcommittee



# Open Government: Goals

- To provide a forum to track, analyze, and streamline the impact of **data driven initiatives** stemming from various Federal Government directives such as the
- To facilitate the adoption of **standards** and their implementation to ensure transparency goals are met while maximizing positive impact and minimizing workload on all partners in the process
- To **collaborate** with other FDP committees as needed (e.g. eRA, Expanded Clearinghouse) to address data-centric components of mutual interest



# Open Government Subcommittee: Members

- Chairs:
  - Stephanie Endy, Case Western Reserve University
  - Richard Fenger, University of Washington
  - Avinash Tembulkar, National Science Foundation
- Open Government Subcommittee Members:
  - Forming currently
- Open Government Webpage:
  - <http://thefdp.org/default/committees/research-administration/open-government/>



# Open Government Subcommittee: Progress in 2018

- Re-established Open Government: Research Administration Data sub committee
- May – recruited co-chairs and developed charter and goals ([home page](#))
- Sept – Kicked- off with overview [presentation](#)
- Maintaining DATA Act partnerships and creating new ones with HHS, NSF, OMB and Data Coalition
- Working to support cross-collaboration concerning data across committees



# Open Government: Plans for 2019 and beyond

- **Current initiatives include:**
  - Burden Equation (LoC and Draw-down survey)
  - System Matrix Analysis
  - Data Standards (FIBF) vetting and feedback via workgroup
  - Blockchain related activities – knowledge gathering...
  - Monitoring legislation in a post DATA Act world: OPEN Act, GREAT Act
  - Monitoring PMA and CAP Goal efforts like data standards
- **Future initiatives include:**
  - Further data driven efforts and assess impact in line with all of the above



# Subawards Subcommittee: Goals

- To **develop, maintain and provide guidance** for issuing and managing subawards under federally funded grants, cooperative agreements and other funding mechanisms
- To **generate tools and resources** that will support efforts to reduce administrative burden related to processing and managing subawards



# Subawards Subcommittee: Members

- Chairs:
  - Amanda Hamaker, Purdue University
  - Amanda Humphrey, Northeastern University
  - Stephanie Scott, Columbia University
- Subawards Subcommittee Members:
  - 6 active working groups with another 4 that are currently dormant
  - We are grateful for our bevy of dedicated volunteers
- Subcommittee Webpage:
  - <http://thefdp.org/default/committees/research-administration/subawards/>





# Subawards Subcommittee: Progress in 2018

- Updated our web pages to make information easier to find and provide transparency
- Fixed technical glitches in the subaward template
- Created foreign FAQs and incorporated into larger Guidance document
- Piloted Certificate of Confidentiality (CoC) Language



# Subaward Subcommittee: Plans for 2019 and beyond

- **Current initiatives include:**
  - Major Subaward Template updates to incorporate new regulations
  - Updated Subcontract Sample
  - Update guidance
  - Collaborations with IACUC, DTUA and Clearinghouse groups
  - Survey on delayed issuance of subawards
- **Future initiatives include:**
  - Work with federal agencies on collaboration templates
  - Napping



# Expanded Clearinghouse Subcommittee: Goals

- Create and maintain **one single web based repository** for all FDP entities (and potentially others) to enter, maintain and update all **entity** related information about their organization, to ..
- Enable Pass-Through Entities to obtain and review all necessary entity-level information for their subrecipient entity monitoring and risk assessment activities in a timely and streamlined fashion **without requiring the time and resources to send, populate, receive and review forms on every transaction to obtain that same information**
- To utilize data available on FDP member organizations, in the aggregate, to **inform and support FDP activities overall**



# Expanded Clearinghouse Subcommittee: Members

- Chairs:
  - Lynette Arias, University of Washington
  - Pamela Webb, University of Minnesota
- Expanded Clearinghouse Subcommittee Members:
  - Steering Committee
  - Users Group – all Participating Organizations
- Subcommittee Webpage:
  - <http://thefdp.org/default/committees/research-administration/expanded-clearinghouse-subcommittee/>



# Expanded Clearinghouse Subcommittee: Steering Committee

Area/Role/Functions	Lead Partners
Overall Direction & Oversight	Lynette Arias/Pamela Webb (co-chairs)
Federal Agency Liaison(s)/Champions	TBD in 2019
Project Management	Courtney Swaney/Denise Moody
Help Desk	Courtney Swaney
Web Based System	Chris Renner/Michael Johnson
Education, Outreach & Evaluation	Julie Thatcher/Neal Hunt
Profile Review & Approval (new)	Lynette Arias/Pamela Webb
Profile Review & Approval (updates) & Data Analysis	Robert Prentiss/Webb Brightwell
Financial Questionnaire	Sara Clough/Lesley Schmidt Sindberg
Long Term Planning	Jennifer Rodis/Amanda Hamaker



# Expanded Clearinghouse Subcommittee: Progress in 2018

- Completed pilot/transitioned to ongoing initiative
- Established Steering Committee
- Stabilized & standardized Clearinghouse processes
- Invited/encouraged remaining FDP members to join and got them all up and running. 207 total Profiles!
- Developed, tested and implemented API
- Implemented system enhancements
- Continued development of Financial Questionnaire
- Worked with Executive Committee to establish and launch future plans



# Exp Clearinghouse Subcommittee: Plans for 2019 and beyond

- **Current initiatives include:**
  - Prepping for addition of non FDP member orgs
  - Data integrity enhancements – validations/notifications
  - Raising awareness of Clearinghouse with Federal agencies
- **Future initiatives include:**
  - Interfaces from federal data systems like SAM.gov & FAC
  - Merging FDP data sources into Clearinghouse
  - Possible addition of section for non single audit orgs (Financial Questionnaire) – 2020 more likely



# Research Terms and Conditions Working Group: Goals

- To serve as an **advance review group** for the Uniform Guidance version of the federal Research Terms and Conditions
- 2015 -provided input to the participating federal research agencies on the format, content, and clarity of their updated terms

## Grateful to Have:

- DHS, DOC, DOE, HHS/NIH, NASA, NSF, USDA/NIFA

## Still Missing:

- DOD/AFOSR, DOD/AMRAA, DOD/ARO, DOD/ONR, EPA, USDA offices other than NIFA





# Research Terms and Conditions Working Group: Goals

- Lead:
  - Pamela Webb, University of Minnesota
- Federal Terms & Conditions Working Group Members:
  - Cindy Hope, Gunta Lidars, David Mayo, Lisa Mosely, Nicole Pilman, Jennifer Rodis, Dick Seligman, Denise Clark
- Working Group Webpage:
  - <http://thefdp.org/default/committees/research-administration/research-terms-conditions/>
- 2018 Progress: Keeping eyes and ears open!
- Plans for 2019 and Beyond: Hopeful for updates this year!



# Contracts Subcommittee: Goals

- To **identify common practices in contracts processing** that can be expedited by uniform procedures within FDP IV;
- To design, monitor, and evaluate new procedures and concepts that respond to the legal requirements of the contracts process, but do so **more efficiently**;
- To study the similarities and differences between the grant and contract process to see if gains in costs and efficiency can be generated by **adapting some of the FDP grant procedures for use with contracts**; and
- To **provide a forum** for discussion of and possible resolutions for contracting issues as they arise for member institutions and agencies.



# Contracts Subcommittee: Members

- Chairs:
  - Alexandra Albinak, Johns Hopkins University
  - David Mayo, California Institute of Technology
  - Melissa Korf, Harvard University
- Subcommittee Webpage:
  - <http://thefdp.org/default/committees/research-administration/contracts/>



# Contracts: Progress in 2018

- Data Transfer and Use Agreement (DTUA) template project (in collaboration with Data Stewardship)
  - See Data Stewardship update for current progress
- Launched two new working groups:
  - Other Transaction Authority (OTA) agreements (co-chair: Mike Kusiak, University of California)
  - Information/Data Security Contract Clauses (tentative co-chair: Stacey Bucha, The Pennsylvania State University)



# Contracts: Plans for 2019 and beyond

- **Current initiatives include:**
  - OTA Working Group to create a white paper regarding OTAs and special considerations with this award type and corresponding presentation for the NCURA Annual Meeting regarding OTAs
  - Information/Data Security Clauses Working Group to create a resource for contract negotiators regarding the applicability and use cases for common contract clauses, including possible push-back arguments
  - Collaborate with eRA to host session on the Controlled Unclassified Information (CUI) program
- **Future initiatives include:**
  - Once the CUI FAR clause is published, develop resources that may be helpful to the membership in implementation



# FEDERAL DEMONSTRATION PARTNERSHIP

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## eRA Committee

Mark Sweet, University of Wisconsin – Madison  
Jason Hitchcock, USDA NIFA



# MEMBERS

Mark Sweet (Co-chair)

Jason Hitchcock (Co-Chair)

Megan Columbus

Sheri Cummins

Tammy Custer

Stephen Dowdy

Thomas Drinane

Scarlett Gibbs

Kellie Guentert

Debbie Nixon

Lori Ann M. Schultz

Courtney Swaney

Ron Splittgerber

Don Turner

Priya Jayaraman

Andrew Gray

Carolyn Pappas

Jesse Floura

Nisha Garg

Carol Wood

Bill Daus

Rebecca Puig

David Robinson (Faculty Liaison)

University of Wisconsin, Madison

USDA/NIFA

NIH/OD

National Institutes of Health

Cornell University

University of Maryland

Dartmouth College

National Institutes of Health

Oregon Health & Sciences University

Duke University

University of Arizona

University of Texas, Austin

Colorado State

St. Jude Children's Research Hospital

National Science Foundation

University of Alaska

University of Michigan

National Institutes of Health

University of Texas Medical Branch

Massachusetts Institute of Technology

National Science Foundation

University of South Florida

Oregon Health & Sciences University



# GOALS

- Participate in FDP working groups and committees to provide guidance for and support of eRA needs
- Streamline Grants Life-Cycle by working with federal agencies and institutions to use standards-based electronic systems to reduce administrative burden and improve accountability
- Bring FDP into 21st Century by exploring use of technology for FDP committees and workgroups to enhance and facilitate communication and planning





# Progress in 2018

- Federal Agency Matrix:  
<https://go.wisc.edu/fedmatrix>
- Expanded Clearinghouse Application Program Interface (API)
- Grants.gov Joint Application Design (JAD)



# Joint Application Design Team (JAD)

- Origins – Grants.gov recommendation in November 2008
  - *‘What I would like to propose is a Joint Application Design team – an informal working group of FDP members – to provide Grants.gov with feedback, guidance and counsel on applicant issues for Grants.gov’*
- Team Representation – Faculty, Administrators, Technical, Federal Agencies
- Vision – Represent stakeholders, working with advice from federal agencies as forum for change and improvement
- Mission: Be a strong voice for applicants in helping Grants.gov meet expectations of grantee and grantor communities



# Joint Application Design Team (JAD)

- 2018 - Focus on usability, enhancements & pilot testing
  - Mobile app – Asked for ability to search for opportunities and check submission status without logging in
  - Provided input into the ongoing evolution of Workspace
  - Tested changes to Application Header (v1.0 to v2.0)



# Joint Application Design Team (JAD)

- 2019 - Grants.gov is now focusing on the Transformation Project
  - Revisit JAD mission and role moving forward
  - Alternate topics for Virtual meetings:
    - Workspace/Transformation Project
    - System-to-System
    - General updates and preparation for face-to-face meeting
  - Participate in testing of May Transformation External Evaluation release
  - Explore options for increasing FDP member participation
  - Stay tuned – more to come !!!



# Plans for 2019 and beyond

Current initiatives include:

- Revive working with Open Government group
- Data Standards
- Joint Application Design (JAD) Team
- Tools for FDP such as updates to website, ZOOM networking, etc.



# Plans for 2019 and beyond

Future initiatives include:

- Expansion of work with Open Government group: OPEN Government Data Act signed into law January 14, 2019 (component of H.R 4176 & S. 2046)
- Determining how the FDP can build relationships with and participate with agencies in use of blockchain technology
- Work with DHHS on standard Notice of Grant Award (outcome from DATA Act)
- Expansion of Federal Systems Matrix



# FEDERAL DEMONSTRATION PARTNERSHIP

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## Finance, Audit and Costing Policy

Michelle Bulls, NIH Office of Policy for Extramural Research  
Administration

Sara Bible, Stanford University



# Working Group Leaders

## Finance, Audit & Costing Committee

- Michelle Bulls, NIH OPERA
- Jim Luther, Duke University
- Sara Bible, Stanford University

## Uniform Guidance: Procurement

- Wade Wargo, Office of Naval Research
- Doug Backman, University of Central Florida
- Edwin Bemmell, University of Miami





# GOALS

- To reduce administrative burden for faculty, staff and federal partners while implementing new and existing federal regulations
  - In the areas of finance, audit, costing policies, procurement and documentation of personnel expenses
  - Without compromising accountability
- Explore federal initiatives to identify potential administrative burden and financial impacts
- Harmonization of requirements across federal agencies, reduction of redundancies and identifying good practices



# Progress in 2018

- Explored new Federal initiatives and regulations
- Costing and administrative burden impacts for faculty and administrators
  - Single Institutional Review Board (sIRB) direct & indirect charging
  - DHHS Payment Management System
  - Introduced the costing aspects of:
    - Rigor & Reproducibility
    - Research Integrity
    - Public Data Access



# Progress in 2018

- NIH notices/communication:
  - NIH Enforcement of Closeout Policies (NOT-OD-18-107)
  - NIH Standards for Documentation of Personnel Expenses (NOT-OD-18-108)
  - Wait...It's Not MY Grant?  
(<https://nexus.od.nih.gov/all/2018/05/29/waitits-not-my-grant/>)



# Progress in 2018

- Procurement micro-purchase threshold (MPT) raised from \$3,500 to \$10,000, with an opportunity for institutions to implement a higher MPT
  - FDP provided data to OMB in 2015



# Plans for 2019 and beyond

- Current initiatives include:
  - Administrative burden and costing aspects of:
    - Rigor & Reproducibility
    - Research Integrity
    - Public Data Access
- Future initiatives:
  - Foreign Influence on Research Integrity – costing and burden support



# Plans for 2019 and beyond

- Future areas of interest for Procurement include:
  - Sole Source
  - Conflicts of Interest
  - Cost & Price Analysis
  - Contract Close Out
  - Federal Excess Property requirements



# FEDERAL DEMONSTRATION PARTNERSHIP

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## Research Compliance

Cheryl Kitt, NIH

Alexandra Albinak, JHU



# Research Compliance

Reviews existing and new administrative requirements imposed by federal regulations and program officers related to but not limited to the human research participant protections, animal use and care, conflicts of interest (individual and institutional), objectivity in research, and export controls. The emphasis should be on harmonization of requirements across federal agencies, reduction of redundancies and identifying good practices.





# Research Compliance Committee Members

Lynette Arias, UW

Douglas Backman, UCF

Diane Dean, NIH

Rick Ikeda, NIH

Melissa Korf, HMS

Mary Lee, Stanford

Michelle Masucci, Temple

Jane McCutcheon, NYU

Debra Murphy, ASU

Robert Nobles, UTK

Aubrey Schoenleben, UW

Ara Tahmassian, Harvard

Axel Wolff, NIH

Alice Young, TTU



# Conflict of Interest

## • Co-chairs:

- Diane Dean (NIH)
- Mary Lee (Stanford)

## • Organizational Conflict of Interest Working Group:

- Mary Lee (Stanford) and Joy Bryde (UNC)
- Reviewing OCI language, categorizing the clauses
- Up next – Sponsored Research staff training and processes



# Data Stewardship

## • Co-chairs:

- Melissa Korf (Harvard University)
- Richard Ikeda (NIH)

## • Goals:

- Reviews existing and new administrative requirements imposed by federal regulations and program officers related to research data security, retention, sharing and integrity. The emphasis should be on harmonization of requirements across federal agencies, reduction of redundancies and identifying good practices.



# Data Stewardship – Previous Achievements

- Data Transfer and Use Agreement (DTUA) Template Project (in collaboration with Contracts):
  - Co-chairs: Melissa Korf (Harvard) and Martha Davis (Brandeis)
  - Initial DTUA template components released May 2017
  - Held DTUA 101 webinar in October 2018 (recording and slides available on the [Data Stewardship website page](#))
  - Pilot began November 1, 2018 with 32 organizations (list available [here](#))
- Open Data Access:
  - Coordinated sessions with NIH representatives to discuss topics related to promoting data management and sharing practices



# Data Stewardship – Plans for 2019

## • DTUA Template Project:

- Version 1 of DTUA FAQs distributed for feedback; please submit any feedback to [Melissa Korf@hms.harvard.edu](mailto:Melissa_Korf@hms.harvard.edu) by **February 15, 2019**
- DTUA Attachment 2 versions for use in sharing Personally Identifiable Information (PII) to be published in early February 2019
- Collaboration with Subawards to develop DTUA language that could be incorporated into a Subaward agreement (and corresponding guidance) just kicked off
- Collect data from DTUA pilot participants and disseminate results

## • Open Data Access:

- Coordinate session with appropriate NIH representatives regarding the pending NIH policy on data sharing and management
- Identify resources needed by FDP member organizations and work to develop



# Animal Care and Use

- Co-chairs:
  - Axel Wolff
  - Ara Tahmassian
- Subawards/Animal Care joint project:
  - Will examine Memorandum of Understanding, Inter-institutional Assurance, Subaward re: burden, templates
- Compliance Unit Standard Procedure [CUSP] sharing site:
  - Co-chairs Aubrey Schoenleben and Sally Thompson-Iritani (UW)
  - Pilot in development of best animal procedure practices; CUSP supported in 21<sup>st</sup> Century Cures Act as method to reduce burden on investigators



# CUSP Working Group

**Goal:** To create an online venue where participating institutions can share standard procedures used in animal care protocols.

## CUSP Working Group

*Aubrey Schoenleben, Sally Thompson-Iritani*

### Data Import & Export

*Jaret Langston, Michelle Brot*

### Data Organization

*Scott Bury, Eva McGhee*

### Data Storage & Maintenance

*Madeline Budda, Curtis Van Slyck*

### Species Team

*Denise Ancharski-Stutler*

### Procedure Team

*Eva McGhee*

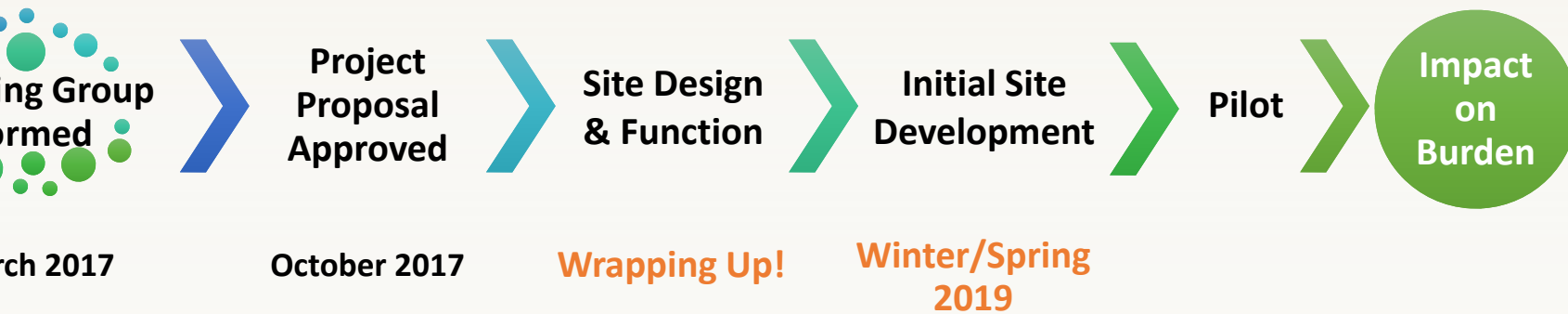
### Form Team

*Jeremy DeRicco, Robert Kerley*



# CUSP Working Group

## Project Status:







# Human Subjects

## • Co-chairs:

- Jane McCutcheon (NYU)
- Debra Murphy (ASU)

## • Exempt Wizard

- Pilot was successful - proved to be accurate
- Questions were updated as needed for new Common Rule
- In Demonstration phase
- MOUs signed by eight (8) institutions



# FDP/SMART IRB Reliance Agreement Taskforce

## • Co-chairs:

- Lynette Arias (UW)
- Barbara Bierer (Harvard)

## • SMART – Streamlined, Multisite, Accelerated Resources for Trials

- FDP has partnered with SMART IRB
  - Input and advocacy
  - Encourage broader adoption of Reliance Agreement
- Coming soon – Survey on use of Reliance Agreement



# Research Compliance Retreat

- Full Committee will arrange a meeting immediately prior to or following May's meeting.
  - Review current structure of the committee
  - Identify current compliance issues and topics that should be a focus for the coming year
  - Planning for the next FDP phase



# FEDERAL DEMONSTRATION PARTNERSHIP

Redefining the Government & University Research Partnership

## Emerging Research Institution (ERI) Committee

Susan Anderson, College of Charleston  
Jamie French, NSF



# MEMBERS

Ball State University  
Beckman Research Institute of City of  
Hope  
Bradley University  
Bucknell University  
California State University, Sacramento  
Charles R. Drew University of Medicine  
and Science  
College of Charleston  
Florida A&M University  
Geisinger Health System  
Georgia Southern University  
Governors State University  
Institute for Systems Biology  
Lincoln University of Pennsylvania

Loyola University, Chicago  
Morgan State University  
Northern Illinois University  
Nova Southeastern University  
Salem State University  
Southern Illinois University  
Edwardsville  
University of Maryland Center for  
Environmental Science  
University of New Orleans  
University of North Texas  
University of South Alabama  
University of Texas, Dallas  
University of Texas, San Antonio  
Wright State University



# GOALS

- Encourage and facilitate ERI representation in FDP demonstrations, committees, working groups
- Assess ERI characteristics relevant to FDP goals
- Broaden knowledge about ERIs by non-ERI members and federal agency partners



## Progress in 2018

- Continued working with federal agency partners to increase mutual knowledge regarding agency practices and ERI challenges and questions
  - NIH Communication/Outreach, ERA, and Policy representatives, May 2018 meeting
  - NSF Directors, Graduate Research Fellowship Program, September 2018 meeting
- Reviewed data from survey to ERI membership regarding characteristics and needs



# Plans for 2019 and beyond

## Current initiatives include:

Seeking additional federal partner agency participation in ERI sessions (currently including USDA and AFOSR representatives)

Revisiting ERI member survey to increase response rate and refine questions