



FEDERAL DEMONSTRATION PARTNERSHIP

Redefining the Government & University Research Partnership

Finance, Costing, & Audit Policy Update

Co-Chairs:

Michelle Bulls, NIH Office of Policy for Extramural Research Administration
Jim Luther, Duke University

January 10, 2020
Plenary Update



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



Working Group Leaders

Uniform Guidance: Procurement

- Co chairs: Wade Wargo, Office of Naval Research; Doug Backman, University of Central Florida; Edwin Bemmell, University of Miami
- Significant support: Cory Harms, Iowa State University; BJ Pivonka, University of Connecticut

Administrative Cost Working Group

Foreign Influence (Joint with all Committees)

- Pamela Webb / Jim Luther: co-chairs of Working Group

LOC Survey (Joint with Research Administration)

- Chris Berner, NSF; Stephanie Endy, Case Western Reserve; Nate Martinez-Wayman, Duke



Progress in 2018

- 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
- 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/>)
- Procurement micro-purchase threshold (MPT) raised from \$3,500 to \$10,000, with an opportunity for institutions to implement a higher MPT



Plans for 2019 and beyond

- Continue...
 - Administrative burden and costing aspects of:
 - Rigor & Reproducibility
 - Research Integrity
 - Public Data Access
 - Foreign Influence on Research Integrity
 - Joint with all Committees
 - LOC Survey: Joint with Research Admin Committee
 - Procurement – Areas of interest
 - Sole Source, Conflicts of Interest, Cost & Price Analysis, etc.



Under Consideration

- Costing Implications of Public Data/Open Science
- Faculty Burden Survey – costing implications
- Publication Costs
- Federal Reporting: “pennies”, federal offset, FCTR, 120 days, closeout \$ threshold
- Single Audit: Threshold, Cash management, etc.



Thanks to Yesterday's
Attendees for the
Discussion!

More Volunteers Welcome!



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Foreign Influence

- January 2020 FDP Meeting
 - Federal Panel (DoD, NSF, NIH)
 - FIWG Planning Group
 - Discussion Topics: List-serv, Survey, Collect troublesome clause
 - BURDEN
 - Open Discussion with Members
 - Visitor Policy, Appointments, Other Support, Committee Oversight Structure, Unintended Consequences, Foreign Talent Program



“Foreign Influence”

September 2019

August 2018

October 2018 - Present

July/August 2019

NIH
Letter

Foreign
Component /
Foreign Influence

Disclosure
(NIH / NSF)

- Diversion of intellectual property (IP) in grant applications
- Sharing of confidential information during peer review
- Failure to disclose substantial resources

- “Significant”
- Outside of United States

- NIH: Letters to Universities & ACD

- Significant Congressional Interest

- NDAA, DoD, DOE, FBI

- Affiliations & appointments
- Include non-financial support
- Talent Programs
- Other Inclusions?

December 2019

- JASON Report
- JCORE – Joint Comm. on Research Environments



Activities Since September 2019

- OSTP JCORE Traveling Town-Halls
 - September 16, 2019 “Dear Colleague” memo
- White House Summit - Joint Committee on the Research Environment (JCORE) – November 5, 2019
- JASON Report “Fundamental Research Security” Release – December 11, 2019
- NSF Communication – December 12, 2019
- NIH Advisory Committee to the Director Update – December 13, 2019
- Increased Enforcement
 - 5+ Prominent Newsworthy Examples



If interested in being on the
List-serv, Please contact
David Wright and copy
Pamela Webb/Jim Luther