FDP Research Administration Committee

Co-chairs/Liaisons: Lynette Arias, University of Washington
Alice Young, Texas Tech University, Faculty Liaison
TBD, Federal Co-chair

Contracts Subcommittee: Elizabeth Peloso, University of Pennsylvania
Co-chairs: Janette Hannam Hayes, Emory University
Katherine (Katie) Cook, Michigan State University

Expanded Clearinghouse: Denise Moody, Boston VA Research Institute
Co-chairs: Robert Prentiss, Yale University
Amanda Hamaker, Purdue University

FDP Meeting – January 2022
Brief poll question:

What role do you represent in your participation at FDP?

1) Faculty or researcher
2) Administration
3) Both Faculty/Research and Administrator
4) Technical
5) Federal agency representative
6) Other
Today’s Topics

Research Admin Committee
Brief overview of committee scope, leadership and current activities
Open “suggestion box” throughout today’s session – ThoughtExchange

Spotlighting two of our Subcommittees
Contracts Subcommittee
Expanded Clearinghouse Subcommittee

Questions & brief review of ThoughtExchange
Identify opportunities to make the administrative requirements imposed by federal sponsors simpler and less costly without compromising accountability. This includes contracting, proposal, award and subaward requirements and processes and general research administration areas not targeted for coverage by other standing committees.

- **Faculty and Administrator Collaboration Team (FACT)**
  - Enhance organizational faculty-administrator collaboration for successful research operations

- **Open Govt: Research Administrative Data (OG:RAD)**
  - Provides a forum to track, analyze, and streamline the impact of data driven initiatives stemming from various Federal Government directives

- **Proposal Requirements Burden Reduction Initiative**
  - Started exploring in 2021

- **Terms & Conditions**
  - Not currently active

- **Expanded Clearinghouse**
  - Historically focused on proposal systems via eRA Committee activities
## Research Admin Committee

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Integrating Faculty collaboration

Alice Young, Ph.D.
Associate Vice President for Research, Responsible Research
Office of Research & Innovation
Texas Tech University

Faculty liaison for the Research Administration Committee for 3 years!
What is RA Committee up to?

Sessions this week for:

• Subawards Subcommittee
• Faculty Administrator Collaboration Team (FACT)

You will hear from the following in this session:

• Contracts Subcommittee
• Expanded Clearinghouse Subcommittee

Brief updates on others now:

• Open Government: Research Admin Data (OG:RAD)
• Proposal Initiative
Current activities

Open Government: Research Admin Data (OG:RAD)

- OG:RAD has completed the Letter of Credit (LOC) survey report and supported the Federal Funding Accountability and Transparency Act (FFATA) survey.
- Once the LOC survey report is published, we'll be reaching out to volunteers to help assist with choosing and implementing future data-related projects.

Proposal Initiative

- Information gathering in 2021
- Engaged faculty members to partner on this initiative
- Beginning to approach our FDP federal agency members to schedule listening sessions to share ideas
- Maintaining awareness of federal agency priorities at same time!
We want to hear your thoughts!

• While you all are enthusiastically listening and interacting with today’s session....

• We welcome you to think about this question:

  Are there specific ideas that could reduce burden in the pre-award stage of the grants and contracts lifecycle, that the Research Administration Committee is not currently working on and should consider?
How to get to the Exchange?

https://tejoin.com/scroll/390372519

Click on the link and you will be walked through how the exchange works

We will put link in chat so you can use anytime you have a thought during this session

We will keep this exchange open after the session and send a follow-up email after the meeting

We plan to always maintain an open exchange on the RA Committee Webpage
Contracts Subcommittee

Contracts Subcommittee: Elizabeth (Missy) Peloso, Univ of Penn
Co-chairs Janette Hannam Hayes, Emory Univ
Katherine (Katie) Cook, MSU

FDP Meeting – January 2022
Committee Membership

• FDP Contract Subcommittee Chairs:
  • Missy Peloso (U Penn), and Melissa Korf (Harvard)
  • The committee sadly says farewell to Co-Chair Melissa Korf.

• Welcome two new Co-chairs:
  • Katie Cook, Director (MSU)
  • Janette Hannam Hayes, Director, Contracts (Emory University)

• Committee excited at the 11 continuing committee members and working group volunteers.

• Co-chairs and committee volunteers will focus on Troublesome Clauses Database 2.0 and a list of other initiatives during FY22.
**Purpose:** Replace existing database with searchable dynamic database that readily adapts to emerging issues

**Work to Date:**
- Use cases (non-members and members)
- Basic workflow and data collection (will include data definitions within system)
  - Funding Agency
  - Instrument Type
  - Specific Clause
  - Area of Concern
  - Reason of Concern
  - Negotiation Strategy
  - Outcome
  - Time for Entire Process

**Next Steps:** Work with developer and spec reporting requirements
Other Initiatives

• New Federal Acquisition Regulations (FAR) Guidance Document
• Continue to work on “Other Transaction Authority” (OTA) initiatives
• Model language for fundamental research justifications/requests
• Department of Defense, Cybersecurity Maturity Model Certification (CMMC)- monitoring language, level negotiations
• Federal Lab language review and negotiation techniques
• Other ideas?
Please indicate which initiative you would recommend Contracts Subcommittee work on next:

- Model language for fundamental research justifications/requests
- CMMC- language review, how to negotiate CMMC levels
- Federal Lab language review and negotiation techniques
Contact Info

- Elizabeth (Missy) Peloso
  - University of Pennsylvania
  - epeloso@upenn.edu

- Janette Hannam Hayes
  - Emory University
  - Jhannam@emory.edu

- Katherine (Katie) Cook
  - Michigan State University
  - farrkat1@msu.edu
Expanded Clearinghouse

Denise Moody, Boston VA Research Institute
Robert Prentiss, Yale University

Subcommittee Co-Chairs

FDP Meeting – January 2022
Expanded Clearinghouse Subcommittee

Co-Chairs
• Amanda Hamaker, Purdue University
• Denise Moody, Boston VA Research Institute
• Robert Prentiss, Yale University

Members
• Lynette Arias, University of Washington, Senior Advisor, Emeritus Co-Chair
• Webb Brightwell, Harvard University
• Neal Hunt, Vanderbilt University
• Carrie MacCue - The Research Foundation for the State University of New York
• Chris Renner, Vanderbilt University Medical Center
• Jennifer Rodis, University of Wisconsin, Madison
• Julie Thatcher, Institute for Systems Biology
• Pamela Webb, University of Minnesota, Senior Advisor, Emeritus Co-Chair

Systems Help: EChelp@thefdp.org
General Questions: ExpClearinghouse@thefdp.org
Exp Clearinghouse Updates

• Co-Chair transition (January 1, 2022)
  ➢ Thank you to Courtney Swaney, now an FDP “Friend”
  ➢ Welcome to Robert Prentiss

• Non-FDP Clearinghouse participants (90+)
  ➢ Ongoing Quarterly invitations based on interest since early 2021 (“Wait List Survey”)

• Systems enhancements
  ➢ Implemented Unique Entity Identifier (UEI)
  ➢ Removed Primary Auditee DUNS (when entity’s Single Audit is part of a large comprehensive audit). DUNS=data universal numbering system thru Dun & Bradsteet
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<tr>
<th>Implementation Date</th>
<th># of Profiles</th>
<th>Description</th>
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<tbody>
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<td>March 2016</td>
<td>56</td>
<td>Pilot participants – wave 1</td>
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<tr>
<td>Aug 2016</td>
<td>73</td>
<td>Pilot participants – wave 2</td>
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<tr>
<td>July 2017</td>
<td>38</td>
<td>Pilot participants – wave 3</td>
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<td>Aug 2018</td>
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<td>Remaining Phase VII members</td>
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<td>Non-FDP member participants – 1(^{st}) cohort</td>
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<td>Fall 2020 – Jan 2021</td>
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<td>Phase VII new member profiles</td>
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<td>July 1, 2021</td>
<td>23</td>
<td>Non-FDP member participants – 2(^{nd}) cohort</td>
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<td>Oct 1, 2021</td>
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<td>Non-FDP member participants – 3(^{rd}) cohort</td>
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<td>Jan 1, 2022</td>
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<td>Non-FDP member participants – 4(^{th}) cohort</td>
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<td>April 1, 2022</td>
<td>TBD</td>
<td>Non-FDP member participants – 5(^{th}) cohort</td>
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Exp Clearinghouse Collaborations

• FDP Infrastructure Committee Systems Working Group collaboration
  ➢ Membership database coordination

• Collaboration with Subawards Subcommittee
  ➢ Subrecipient Monitoring Working Group on financial risk assessment for non-Single Audit entities
  ➢ Preparing institutional resources to internally communicate expectations relating to subrecipient relationships (e.g., Letter of Intent (LOI), subrecipient commitment forms, agreement terms)

• Membership Adherence Working Group collaboration
Expanded Clearinghouse Feedback

- Proposed new questions for audit findings related to research and Pass-Thru Entity (PTE) funding, and a requirement to list page numbers of findings

- Possible elimination of questions related to audit finding severity

- Use of institutional subrecipient commitment forms

- General feedback on the usefulness of the Expanded Clearinghouse for subrecipient risk assessment and audit review vs. other sources
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<td>Did the entity's most recent Single Audit contain any findings in the Research &amp; Development (R&amp;D) cluster?</td>
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<tr>
<td>Did the entity's most recent Single Audit contain any Significant Deficiencies?</td>
<td>Remove</td>
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<tr>
<td>Did the entity's most recent Single Audit contain any Material Weaknesses?</td>
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<tr>
<td>Were any of the findings related specifically to any pass-through federal funding to the entity?</td>
<td>Were any of the findings related to only one pass-through entity?</td>
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<tr>
<td>No requirement but sometimes use “Comment” field for clarification</td>
<td>Please provide the page number of the audit pdf where details about the entity’s findings first appear.</td>
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Poll Question #1

Would the proposed changes related to audit questions be an improvement?

a) Yes
b) No
c) Maybe
d) Not applicable / We don’t refer to this section as part of our risk assessment.
Poll Question #2

How frequently does your organization use the Expanded Clearinghouse for audit review?

a) Whenever possible
b) Sometimes
c) Very rarely
d) Never
Poll Question #3

Can you estimate how often you get asked by other FDP Expanded Clearinghouse participants to use their institutional subrecipient commitment forms or letters of intent?

a) Often (>75%)

b) Sometimes (25-75%)

c) Rarely (1-24%)

d) Never (0%)
Session Wrap up

• Questions?

• Exchange thoughts so far

• 2022 general priorities
  • Add 2-3 additional committee members
  • Increase collaborative activities with:
    • Broad FDP “pre-award” community of practice
    • Faculty reps - liaisons
    • Federal agencies - liaisons
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Research Administration Committee Webpage
• http://thefdp.org/default/committees/research-administration/