

**THE FEDERAL DEMONSTRATION PARTNERSHIP
SOLICITATION TO PARTICIPATE IN PHASE V
January 31, 2008**

AGENCIES: National Science Foundation, National Institutes of Health, Office of Naval Research, Department of Agriculture, Air Force Office of Scientific Research, Army Research Office, Army Medical Research & Materiel Command, National Aeronautics & Space Administration, Environmental Protection Agency

SUMMARY:

The primary goal of the Federal Demonstration Partnership (FDP) is to increase research productivity while simultaneously decreasing the administrative burden associated with effective stewardship of federal funds. The agencies listed above invite participation in Phase V of the FDP. Institutional membership is open to large and small, public and private colleges and universities (including predominantly undergraduate institutions and minority serving institutions), non-profit research and education organizations (e.g. science museums and research institutes), and hospitals. This invitation includes those who are currently members of Phase IV. Other options for participation are described in the section entitled "Participation in the Federal Demonstration Partnership." The FDP functions most effectively when its members include a broad range of recipient institutions and organizations working together to improve the management of sponsored research. FDP Phase V is the continuation of extensive partnership efforts that began with the Florida Demonstration Project Phase I (1986 to 1988); the Federal Demonstration Project Phase II (1988 to 1996); the Federal Demonstration Partnership Phase III (1996 to 2002); and the Federal Demonstration Partnership Phase IV (2002 – 2008). Phase V begins October 1, 2008 and ends September 30, 2014. Since its inception, the Government-University-Industry Research Roundtable (GUIRR) of the National Academy of Science has acted as FDP's neutral convener.

Given its diverse membership, FDP is uniquely qualified to act as a forum to address issues of mutual interest and concern to the partners, to test innovative approaches, and to streamline processes and systems for federally supported research and education. In addition to the research agencies, organizations such as the Office of Management and Budget, the Office of Science and Technology Policy and the National Science and Technology Council also relied on FDP participation for accomplishing some of their goals.

FDP activities and accomplishments rely heavily on the volunteer efforts of participants. Membership entails substantial contributions of time and expertise by representatives of participating agencies, institutions, and associations.

Organizational Structure

Members of FDP include federal agencies that provide financial assistance for research and education, and the educational institutions, non-profit organizations, and hospitals that are research performers. Each member institution designates a faculty member and a research

administrator, and each agency designates a program officer and an administrator. Because of the comprehensive use of agency electronic systems for administering extramural research, institutions and federal agencies are encouraged but not required to designate the technical people who support their research administration systems. Institutions and agencies are also encouraged to have additional staff participate in various FDP projects, demonstrations, and committees

At the heart of FDP is the dialogue among federal agencies and institutional representatives as they focus on the work of committees, working groups and FDP demonstrations. This work takes place throughout the year in meetings and by other communications. As currently structured, a General Assembly, comprised of institutional, agency, affiliate, and emerging research institution representatives, meets three times a year. An Executive Committee is empowered to take necessary actions on behalf of the General Assembly. The Executive Committee consists of two institutional members (one faculty, one administrative), two federal agency representatives (one program, one administrative) a representative from the Government-University-Industry Research Roundtable, the Executive Director of FDP, a senior federal science official (appointed by the Office of Science and Technology Policy), and one representative from each of the FDP Standing Committees. It provides oversight and guidance in developing meeting agendas, monitoring working group's progress, identifying or considering opportunities for new demonstrations, and serving as liaison for the FDP with other groups and individuals.

The complexity and scope of the FDP requires a stable infrastructure, including an Executive Director, and administrative support. The Executive Director reports to the Executive Committee. The Government-University-Industry Research Roundtable (GUIRR) of the National Academy of Sciences will continue to function as a neutral convener for the FDP.

Phase V Activities

During Phase V, the FDP will continue its efforts to assure that federally funded researchers and research programs are effective and productive, and that the underlying systems and administrative processes do not unnecessarily hinder the research process. Phase V is organized around two main themes: (1) maximize the time available for Principal Investigators and scientific staff to focus on research while reducing unnecessary administrative burden; and (2) increase the efficiency of administrative and compliance practices while reducing inefficient or redundant agency and institutional procedures and practices.

Within these two themes, Phase V will encompass four overarching goals:

1. Successful completion of at least five (5) internally generated high priority projects. Examples include a new project to increase staff support for PIs, a new project to address the grant application process, and continuation of work on effort reporting and standardization of progress reporting.
2. Maintain an effective forum for ongoing collaboration to address current and emerging external issues that impact the grants process. This includes continuing to strengthen the

“community” across federal and institutional partner organizations and encouraging the use of the FDP as a sounding board.

3. Develop and implement an effective strategy for communicating and engaging key stakeholders. Examples include the Grants Policy Committee, the Research Business Models Subcommittee (a subcommittee of the Committee on Science of the National Science and Technology Council), the Office of Science and Technology Policy, and the Government-University-Industry Research Roundtable.
4. Ensure that the FDP has the right membership and structure to carry out the mission of Phase V. This includes continued encouragement of the participation of Emerging Research Institutions (ERIs) and involvement of federal granting agencies not already participating in the FDP.

Within these four goal areas, the FDP agencies and member recipient institutions will determine the specific activities to be carried out during Phase V. For additional information regarding the development of these goals, see the FDP Phase V Strategic Plan available electronically at: http://thefdp.org/phase_5_strat_plan.pdf.

Participation in the Federal Demonstration Partnership

As noted previously, FDP activities and accomplishments rely almost exclusively on the volunteer efforts of participants, and membership entails substantial contributions of time and expertise by personnel of participating agencies, institutions, and associations. Agencies, institutions, and associations can formally affiliate with FDP in one of the four ways described below.

Institutional Membership: Institutions and non-profit organizations that undertake research or educational activities supported with federal funds through grant or cooperative agreement mechanisms, are eligible to apply for institutional membership in FDP V. “Institutions” include large and small public and private colleges and universities (including predominantly undergraduate institutions and minority serving institutions), non-profit research and education organizations (e.g. science museums and research institutes), and hospitals. Except for central system offices of statewide university systems and research foundations serving such systems, membership is on the basis of individual institutions. Where the system is the FDP member, participation of individual member institutions is strongly encouraged.

Membership is for the six-year life of FDP V. The annual membership fee for each member institution is to be set by the Finance Committee. In Phase IV it was \$1,500 annually. Subsequent rates will be established by the Finance Committee and approved by the General Assembly. There will be preferential registration fees for representatives from FDP member institutions attending meetings. Travel costs to attend standard meetings will be at the institution’s expense.

As a condition for participation as an institutional member in Phase V, the selected institutions must agree to do the following:

1. Establish and maintain management and administrative procedures and systems that comply with the standards and requirements of the Federal government for administering federal awards for research. Institutions must not be debarred from doing business with the Federal government.
2. Appoint a faculty representative (and alternate, if desired) and a research administration representative and encourage the involvement of technical staff who support research administration system in appropriate FDP activities.
3. Participate actively in regular FDP committee and task force meetings, ad hoc working groups, and new or ongoing FDP demonstrations and pilots. Failure to attend two consecutive regularly scheduled FDP meetings or to participate in FDP activities will be grounds for termination of membership.
4. Pay an annual membership fee as established by the Finance Committee. Consideration of a lesser fee or waiver may be given if circumstances warrant. Requests for fee waivers or reductions should be included in the application and should be accompanied by a rationale for the request.
5. Continue efforts to reengineer and streamline internal processes and to maintain effective stewardship of federal support.
6. Report bi-annually on their participation in task forces, standing committees, pilot projects and demonstrations during Phase V and their efforts on campus to streamline processes.
7. Execute a memorandum of agreement confirming the above, and setting forth certain additional understandings and requirements (sample agreements from Phase IV are available at http://www.nsf.gov/awards/managing/fed_dem_part.jsp).

Emerging Research Institution (ERI) Membership: Institutions whose federal research obligations are less than \$20 million annually for Research and Development as per the table at the NSF SRS website: <http://www.nsf.gov/statistics/nsf07316/pdf/tab11.pdf> and are funded by at least two FDP federal agencies may become formally involved in some or all FDP activities without becoming full institutional members. The input from such institutions can inform the discussions of the FDP and ensure that the federal members hear from a broad audience. For example, regulatory burden or federal rules regarding conflict of interest or Responsible Conduct of Research might have an especially great impact on less research-intensive institutions. ERIs must specify on their application their expected growth areas, and an indication of what they feel they can contribute to FDP. The annual membership fee is waived for ERIs and registration fees for meetings are at the reduced member rate.

Emerging Research Institutions Members (ERIs) are expected to

1. Establish and maintain management and administrative procedures and systems that comply with the standards and requirements of the Federal government for administering federal awards for research. Institutions must not be debarred from doing business with the Federal government.
2. Appoint a faculty representative (and alternate, if desired) and a research administration representative, and encourage the involvement of technical staff who support research administration system in appropriate FDP activities
3. Participate actively, to the extent practical, in regular FDP committee and task force meetings, ad hoc working groups, and new or ongoing FDP demonstrations and pilots. Failure to attend two consecutive regularly scheduled FDP meetings or to participate in FDP activities may be grounds for termination of membership.
4. Continue efforts to reengineer and streamline internal processes and to maintain effective stewardship of federal support. Each institution shall provide a report on these efforts to the FDP membership at least every two years as well as report annually on their participation in task forces, standing committees, pilot projects and demonstrations during Phase V and their efforts on campus to streamline processes.
5. Execute a memorandum of agreement confirming the above, and setting forth certain additional understandings and requirements (sample agreements from Phase IV are available at http://www.nsf.gov/awards/managing/fed_dem_part.jsp).

Agency Membership: Any federal agency providing support for research and related activities through assistance mechanisms (e.g. grants, cooperative agreements) wishing to participate in the Federal Demonstration Partnership may do so, provided it meets the requirements stated below. Agency membership is open throughout Phase V, and interested agencies should contact the FDP Executive Committee.

Federal agencies participating in the FDP must agree to do the following:

1. Designate both an administrative and program representative to the FDP, and where possible, a technical representative.
2. Provide the FDP with updates on agency policies and programs at each FDP meeting.
3. Use the FDP as the primary focus for tests and demonstrations of reengineered processes and systems for the support of research.
4. Actively participate in regular FDP committee meetings, and new or ongoing FDP demonstrations and pilots. A report of the federal agencies shall be provided to the FDP membership at least every two years describing their efforts to reengineer and streamline processes that affect the grantee community.
5. Provide funding for the operating costs of FDP.

6. Execute a memorandum of agreement confirming the above.

Affiliate Membership: Associations of researchers, research administrators, scientific societies, associations of state and/or local governments, and other such groups that do not routinely receive federal research funding directly are encouraged to seek affiliate membership. While such groups are not eligible for institutional membership, their representatives may attend FDP meetings and otherwise participate as appropriate in FDP activities. Upon approval of a request submitted to the Executive Committee, such groups can be added as affiliate members at any time during Phase V. Potential affiliates may contact the FDP Executive Committee at fdp@nas.edu.

Affiliates are expected to:

1. Exchange information with FDP about developments that they are positioned to understand in depth.
2. Work in concert with FDP to achieve common objectives.
3. Be represented at FDP meetings.

Application for Institutional/ERI Membership

Organizations seeking institutional or ERI Membership in FDP must submit a brief application electronically as instructed below. In addition, a letter of commitment endorsed by a senior official (in the case of educational institutions the appropriate level is the Provost, Vice President for Research or higher) must be provided in the application. The application must cover the following:

1. Description of existing and planned efforts by the proposing institution/organization to reengineer and improve the effectiveness of processes and systems for administration of federal research support.
2. Proposing organizations must identify administrative and principal investigator/project director representatives and indicate their commitment to participate in FDP activities. Optionally they can identify an alternate principal investigator/project director representative to assist the official principal investigator/project director representative if the need arises. In addition, the growth in the number of electronic initiatives has resulted in increased involvement of institutional and agency technical professionals who may be formally designated in addition to the faculty and administrative representatives. Indication of the proposing organization's top management commitment to reengineer administrative processes and systems, and willingness and commitment to fully participate in FDP activities.
3. Description of possible Phase V demonstrations and pilot projects relating to the two themes mentioned earlier including the problem or burden to be addressed, suggested methods/approaches, ways to assess the impact, and expected benefits.

4. A brief summary of the organization's characteristics: type of institution/organization, graduate and undergraduate enrollment, federal R&D/education expenditures for fiscal years 2006 and 2007.
5. Phase IV FDP member institutions: A description of participation in task forces, standing committees, pilot projects and demonstrations during Phase IV and their efforts on campus to streamline processes. This requirement can be met by referral to their 2007 annual report, if appropriate.
6. If eligible, indication if the institution wishes to apply as an Emerging Research Institution.

Application Submission and Deadlines

Any organization that plans to submit an application should first convey their intent to submit by filling out the web form at http://nrc59.nas.edu/application/ltr_of_intent.cfm. Once this is done, the institution will receive a logon ID and password to access the application form itself. This should be done as soon as possible and no later than March 14, 2008. An electronic version of the organization's application, including the letter of institutional commitment, must be submitted by 5:00 pm local time on **April 1, 2008** on the FDP web site <http://nrc59.nas.edu/application/login.cfm>. The application system is designed to allow a submitter to complete the application in more than one sitting. To officially submit the application, the submitter **MUST** click the "Submit" button on the last page of the application. If this is not done by the deadline, the application may not be considered.

If there are any problems with the electronic application submission system, please contact the FDP staff at (202) 334-3994 or at fdp@nas.edu.

Selection Criteria for Institutional Membership

The following factors will be considered in making decisions about FDP Phase V institutional membership. The intention is to select a diverse membership that is capable of and committed to pro-actively addressing the goals of FDP V.

1. Evidence of reengineering activities in the area of administrative processes and systems and organizational commitment to such efforts.
2. Commitment of top management to support the FDP and commitment of the individuals proposed as representatives to active participation, including attendance and (if applicable) payment of dues.
3. Extent to which suggested demonstrations and approaches show potential to achieve FDP objectives.
4. Evidence of support from multiple FDP Phase V member agencies.

5. Institutional type, size, extent of federal support and geographic location.
6. For Phase IV Institutional and ERI members, the level of participation and commitment demonstrated during Phase IV.

Evaluation of Application and Selection Process

Evaluation of applications will be carried out by the Standing FDP Membership Committee, which is comprised of federal agency officials and representatives of current FDP member institutions. The selection of institutional members for Phase V of the FDP is intended to be inclusive and broadly representative of the federal research and education performing community. Every effort will be made to ensure broad representation by type, size, extent of federal support, geographic location and other characteristics. However, no commitment is made to select a minimum number of organizations. The Membership Committee will make the final selection in consultation with the Executive Committee of the FDP and the FDP Phase V Transition Team.

DATES: Following receipt of applications for institutional membership as described above, evaluation and selection of organizations will be completed on or about April 15, 2008. Execution of Phase V agreements will be completed on or about June 30, 2008. The Phase V kick-off meeting will take place September 6-9, 2008. Phase V concludes September 30, 2014.

FOR FURTHER INFORMATION, CONTACT:

David Wright
Executive Director
Federal Demonstration Partnership
(202) 334-3994
fdp@nas.edu

Phase IV Highlights

FDP Phase IV began in 2002 with over 90 educational institutions/consortia, 10 federal agencies, and 4 affiliate members, and has made notable strides in improving how federal agencies and the research community work together to ensure the efficiency and the integrity of the research enterprise. Highlights from Phase IV include:

- *The First Comprehensive Survey of Faculty Administrative Burden.* Data analysis was completed for FDP's survey of 7,000 faculty members on administrative burdens. A final report was produced, which can be found at:
<http://www.thefdp.org/Faculty%20burden%20survey%20report.pdf>.
- *Streamlining A-133 Audit Compliance.* FDP has developed a database that provides a user-friendly, web-based A133 audit compliance system for FDP member institutions. Institutions are able to voluntarily post and look up information about their A-133 audits, rather than engaging in more time-consuming one-on-one correspondence and follow-up investigations.
- *System for Documentation of Troublesome Clauses.* In response to continuing institutional concern about unique clauses appearing in federal research grants to universities, FDP has constructed a database wherein university administrators can log these incidents and federal agency representatives can track their agency's diversions from accepted practice.
- *Deemed Exports Workshop.* At the request of the State Department, the FDP hosted an informational workshop on the topic of Deemed Exports in May, 2007. This workshop was attended by over 150 people from within the FDP and from groups outside of the FDP. It was so successful; the State Department is considering making this an annual event.
- *Continued Work with Grants.gov.* The FDP has been working with Grants.gov very closely to help them and the grantees figure out how best to work with each other. Grants.gov has been using members of the FDP as beta-testers of their software to make sure that bugs are worked out of the system as well as to ensure that the system is usable by grantees.
- *Continued work on broadening participation of underrepresented groups* in the FDP including outreach to minority institutions through a category of membership called emerging research institutions (ERI).
- *Supported the goals of the Office of Science and Technology Policy (OSTP) Committee on Science Research Business Models (RBM) Subcommittee's* activities to address important policy implications arising from the changing nature of scientific research, and examine the effects of these changes on business models for the conduct of scientific

research sponsored by the Federal government. Several specific initiatives that directly involved the FDP include:

- *Acknowledgment of multiple Principal Investigators in proposals and agency systems.* During the May 2004 meeting, the FDP hosted a session on this topic. The final Federal Register notice issued by OSTP entitled, “*Agency Recognition of Multiple Principal Investigators on Federally Funded Research Projects*” is available electronically at:
<http://a257.g.akamaitech.net/7/257/2422/01jan20071800/edocket.access.gpo.gov/2007/pdf/07-4638.pdf>.
- *Model Subagreement.* OSTP and OMB jointly endorsed the FDP-developed model subagreement as an effective practice that should be extended among all collaborating institutions. The OSTP/OMB Memorandum announcing this endorsement is available electronically at:
http://rbm.nih.gov/fdp_memo_050104.pdf.
- *Research Terms and Conditions.* OSTP issued a new standard core set of administrative terms and conditions for use on research and research-related awards that are subject to OMB Circular A-110, “*Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations*” (2 CFR part 215). These standard terms were heavily based on the terms and conditions developed in Phase IV of the FDP. The final Federal Register notice establishing the Research Terms and Conditions is available electronically at:
<http://a257.g.akamaitech.net/7/257/2422/25jan20081800/edocket.access.gpo.gov/2008/pdf/E8-1262.pdf>.
- *Maintained a vibrant dialogue between the nation’s research institutions and federal agencies* on a wide variety of topics.