

THE FEDERAL DEMONSTRATION PARTNERSHIP  
SOLICITATION TO PARTICIPATE IN PHASE IV

February 4, 2002

AGENCIES: National Science Foundation, National Institutes of Health, Office of Naval Research, Department of Energy, 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 above-named agencies invite 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 to participate as Institutional Members in Phase IV of the Federal Demonstration Partnership (FDP). Other options for participation are described in the section entitled "Modes of Participation in the Federal Demonstration Partnership". The purpose of this invitation is to open FDP membership to a broader range of recipient institutions and organizations, and to provide them with the opportunity to contribute to FDP's primary goal of increasing research productivity, and decreasing administrative burden while maintaining effective stewardship of federal funds.

FDP Phase IV 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); and the Federal Demonstration Partnership (Phase III—1996 and concluding September 2002). Phase IV begins October 1, 2002, and ends September 30, 2008. 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 for addressing issues of mutual interest and concern to the partners, and for testing innovative approaches and streamlining processes and systems for federally supported research and education. This was particularly evident during Phase III when the FDP became the organization that a variety of governmental organizations turned to for feedback and ideas on a broad range of research administration, costing, and science policy issues. 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 heavily on FDP for accomplishing some of their goals. A summary of Phase III accomplishments is provided as Attachment I.

**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.**

## **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 marked increase in 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 as various FDP projects, demonstrations, and committees require.

The core of the FDP is the work of committees and task forces and specific demonstrations. This work takes place throughout the year at meetings and often by means of telecommunications. As currently structured, a Committee of the Whole, comprised of institutional, agency, affiliate, and emerging research institution representatives meets three times a year, twice in Washington, D.C. and once in a place to be determined. An Executive Committee, consisting 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 meets on an as-needed basis and is empowered to take necessary actions on behalf of the Committee of the Whole. It also provides oversight and guidance in developing meeting agendas, monitoring task force progress, identifying opportunities for new demonstrations, and serving as liaison for the FDP with other groups and individuals.

The increased level of activity in Phase III and the anticipated growth of activity and membership in Phase IV have demonstrated the need to further refine the FDP Phase IV structure to include an Executive Director, a Program Officer, and administrative support. The Executive Committee will be responsible for hiring the Executive Director who will report to the Committee, and will participate in the hiring of the Program Officer. It is anticipated that the Government University Industry Research Roundtable of the National Academy of Sciences will continue to function as a neutral convener for the FDP.

## **Phase IV Activities**

During Phase IV, 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 processes do not unnecessarily hinder the research process. The FDP will focus its efforts on emerging and persistent top policy and process issues. The FDP agencies and member recipient institutions and organizations will determine FDP's initiatives, but the following are illustrative of potential FDP activities:

- Advocating on behalf of the research community the continued streamlining and standardizing of the research administration process as federal agencies implement Public Law 106-107, specifically in the areas of Pre-award, Post-award, Audit Oversight and ERA
- Illustrating the relationship and trade-offs among regulatory burden, research productivity, and administrative support
- Supporting the President's Management Agenda described at <http://www.whitehouse.gov/omb/budget/fy2002/mgmt.pdf>, specifically e-Government initiatives and the proposal to improve R&D investment criteria
- Supporting implementation of the NSTC Presidential Review Directive-4: Renewing the Federal Government-University Research Partnership for the 21st Century [http://fdp3.org/PRD\\_implementation\\_report\\_final.pdf](http://fdp3.org/PRD_implementation_report_final.pdf)
- Suggesting equitable methods for providing and documenting cost sharing and direct effort
- Identifying ways to broaden participation of underrepresented populations in sponsored research, including outreach to minority serving institutions
- Encouraging effective, productive working relationships with the audit community

## **Modes of 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 a grant or cooperative agreement mechanism, are eligible to apply for Institutional Membership in FDP IV. "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 IV, and no new Institutional Members will be added after the initial selection.** Research grants and some cooperative agreements to Institutional Members are made under FDP terms and conditions. (FDP terms and conditions are found at [http://www.nsf.gov/home/grants/grants\\_fdp.htm](http://www.nsf.gov/home/grants/grants_fdp.htm).) The initial annual membership fee for each member institution is \$1,500. Subsequent rates will be established by the Committee of the Whole. There will be no registration fee for representatives from FDP Member Institutions attending the two meetings a year held in Washington, D.C.

As a condition for participation in Phase IV as an Institutional Member, 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 a research administration representative, and encourage the involvement of technical staff who support research administration systems in appropriate FDP activities.
3. Participate actively, at institutional expense, 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 committee meetings or to participate in FDP activities will be grounds for termination of membership.
4. Pay an annual membership fee of \$1,500. Consideration of a lesser fee or waiver may be given if circumstances warrant. Requests for fee waivers or reductions should be included in the proposal 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. Each institution shall provide a report on these efforts to the FDP membership at least every two years.
6. Report annually on their participation in task forces, standing committees, pilot projects and demonstrations during Phase IV.
7. Execute a memorandum of agreement confirming the above, and setting forth certain additional understandings and requirements (copy of draft agreement will be furnished on request and may also be accessed electronically via the FDP website at <http://www.fdp3.org/>.)

**Affiliate Membership:** Associations of researchers, research administrators, scientific societies, associations of state and/or local governments, and other such groups 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 IV, with the payment of an annual membership fee of \$750. This fee allows representatives of affiliate organizations to attend meetings at the same rate as FDP member institution registrants.

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.

**Emerging Research Institution (ERI) Participation:** Institutions whose federal research expenditures are less than \$10 million annually may become formally involved in some or all FDP activities without becoming Institutional Members. The input from such institutions could help enlighten 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. ERI's can be added at any time during phase IV by submitting to the

Executive Committee a description of their research support and expected growth areas, and an indication of what they feel they can contribute to FDP. There is no annual fee for this type of participation.

Emerging Research Institutions are expected to:

1. Designate an individual who is the point of contact for FDP activities.
2. Be involved in appropriate meetings, demonstrations and activities.

**Agency Membership:** Any grant-making federal agency wishing to participate in the Federal Demonstration Partnership may do so, provided it meets the requirements stated below. Agency membership is open throughout Phase IV, and interested agencies should contact the FDP Executive Committee.

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

1. Apply FDP Terms and Conditions to at least grants and to the extent possible to cooperative agreements awarded to FDP Institutional Members.
2. Designate both an administrative and program representative to the FDP, and where possible, a technical representative.
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 and task force meetings, ad hoc working groups, and new or ongoing FDP demonstrations and pilots. Federal agencies shall provide a report 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.

## What To Submit

Organizations seeking Institutional Membership in FDP must submit a brief proposal (not to exceed 5 pages) electronically as instructed below. Use the application template available for downloading from <http://fdp3.org/Phase4>. In addition, a letter of commitment endorsed by a senior official (in the case of educational institutions Provost level or higher) must be provided. The proposal must cover the following:

1. Description of existing and planned efforts by the proposing institution to reengineer and improve the effectiveness of processes and systems for administration of federal research support.
2. Identification of primary administrative and faculty representatives. One of the outcomes of Phase III is a recognition of the need for greater participation in FDP activities by principal investigators and project directors of federally supported research and education activities. Therefore proposing organizations must identify administrative and principal investigator/project director representatives and indicate their commitment to participate in FDP activities. In some cases, one individual may have the background/experience (e.g., a faculty member who also serves as an Assistant Vice President for Research) to participate as

both the faculty and administrative representative. 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 IV demonstration and pilot projects 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 2000 and 2001.
5. Phase III FDP member institutions: Either a description of participation in task forces, standing committees, pilot projects and demonstrations during Phase III, or referral to their 2001 biennial report.

### **Proposal Submission and Deadlines**

An electronic version of the organization's proposal, including the letter of institutional commitment if feasible, must be e-mailed by **C.O.B April 9,2002** to [guirr@nas.edu](mailto:guirr@nas.edu). If not submitted electronically, the institutionally endorsed letter of commitment must be postmarked by **April 9,2002** and sent to at the Government/University/Industry/Research Roundtable, National Academy of Sciences, National Academy of Engineering, Institute of Medicine, 2101 Constitution Avenue NW, Washington, D.C. 20410. Attention: FDP

### **Selection Criteria for Institutional Membership**

The following factors are weighed in making decisions about FDP Phase IV institutional membership

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.
3. Extent to which suggested demonstrations and approaches show potential to achieve FDP objectives.
4. Institutional type, size, extent of federal support, and geographic location.
5. For Phase III institutional members, the contributions detailed in each institution's FDP biennial report.

## **Evaluation of Proposals and Selection Process**

Evaluation of proposals 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 IV of the FDP is intended to be broadly representative of the federal research and education awardee 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 either a minimum number of organizations or to ensure representation by organization type or other characteristics. The Membership Committee will make the final selection in consultation with the Executive Committee of the FDP.

**DATES:** Following receipt of proposals for Institutional Membership as described above, evaluation and selection of organizations will be completed on or about May 15, 2002. Execution of Phase IV agreements will be completed on or about June 30, 2002. The Phase IV kick-off meeting will take place September 12 and 13, 2002 at the National Academy of Science, Washington D.C. Phase IV Terms and Conditions for new institutional members will take effect October 1, 2002. Phase IV concludes September 30, 2008.

### **FOR FURTHER INFORMATION, CONTACT:**

Constance Atwell, NIH (FDP Executive Committee Program Representative) [ca23c@nih.gov](mailto:ca23c@nih.gov)

Charles Paoletti, ONR (FDP Executive Committee Administrative Representative)

[paoletc@onr.navy.mil](mailto:paoletc@onr.navy.mil)

Barbara Siegel, Northwestern University (FDP Executive Committee Chair)

[bsiegel@northwestern.edu](mailto:bsiegel@northwestern.edu)

William Olbricht, Cornell University (FDP Executive Committee Faculty Representative)

[Wlo@cheme.cornell.edu](mailto:Wlo@cheme.cornell.edu)

Attachment 1

### **Phase III Highlights**

FDP Phase III began in 1996 with over 65 educational institutions/consortia, 12 federal agencies, and six 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 III include:

- **Presidential Review Directive IV: Renewing the Government-University Partnership**, (<http://www.ostp.gov/html/011001.html>): Provided both tactical assistance and informed comment to the National Science and Technology Council in its conduct of the Review
- **Electronic Research Administration (ERA) Core Principles**: Developed a concise list of eleven principles to guide ERA systems development at agencies and institutions
- **NSF E-Signature Pilot**: Demonstrated that institutional responsibility could be obtained electronically so that signed, paper proposal cover pages could be eliminated
- **NIH eRA Project**: Provide most of the participants who advise NIH on eRA initiatives
- **PL 106-107 (Federal Financial Assistance Management Improvement Act of 1999)**: Provided extensive Comments on the Draft Common Plan and Common Plan
- **Inter-Agency Electronic Grants Committee and PL 106-107 Committees**: (<http://fdp3.org/PL106-107/ResearchQ&A.pdf>): Four committees provide input to the interagency PL 106-107 implementation teams
- **Grant Terms and Conditions**: Synchronized with OMB Circulars
- **Contract Terms and Conditions**: Provided listing of FAR clauses to be used by commercial entities subawarding to educational institutions
- **Subaward Agreements**: Developed standard two-page agreements for use by FDP member institutions and organizations
- **Data Standards for Electronic Research Administration**: Developed standard Biographical Information, Institutional Profile, and Funding Opportunity Announcements

**Addendum to the FDP IV Solicitation as of May 1, 2002-  
Revision on FDP Phase IV Affiliate Membership**

**FDP PHASE IV Affiliate Membership:** Associations of researchers, research administrators, scientific societies, associations of state and/or local governments, and other such groups are encouraged to seek affiliate membership in FDP IV. 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 IV.**

**A registration fee will be charged to attend the meetings which is estimated to be \$75 for meetings held in Washington, DC. For those meetings outside Washington DC, the host institution(s) will set the fee. The first PHASE IV meeting will take place at the National Academy of Science building, 2101 Constitution Avenue, NW, Washington, DC, September 19-20, 2002.**

**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.**