FDP-NIH Update:
RBM, Sequestration, etc.

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Office of Extramural Research

National Institutes of Health

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The Research Business Models (RBM) Subcommittee is a subcommittee of the Committee on Science, (COS) a chartered committee of the National Science and Technology Council (NSTC)

- The RBM working group's objectives include:

  - facilitating a coordinated effort across Federal agencies to address important policy implications arising from the changing nature of scientific research, and
  - examining the effects of these changes on business models for the conduct of scientific research sponsored by the Federal government

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Completed RBM Projects

– New Policy allowing Multiple Principal Investigators

– Terms and Conditions of Research Awards

– Cost Principles for Educational Institutions

– Research Performance Progress Report (RPPR)

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The RBM met regularly (~every 2 months) and focused this year on several priority items:

- OMB Omni-Circular
- Effort Reporting/Payroll Certification
- Project Reporting
- Career/Work Life Balance
- SciENcv

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OMB Omni-Circular

The Omni-Circular is an update to OMB's circulars on cost principles and administrative requirements for federal assistance awards.

– RBM's A-21 Task Force met weekly and provided detailed proposals to OMB and OSTP for revising the cost principles to minimize institutional and PI burden, while ensuring appropriate stewardship of federal grant funds

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OMB Omni-Circular

- Proposed Cost Revisions Included:

    – Transparency in documenting the decision process that goes into rate negotiations

    – Simplify reporting requirements for time and effort by removing examples from A-21

    – Establish standards for payroll distribution internal controls

    – Allow more flexibility for certification processes

    – UCR replace 1.3% adjustment for select schools w/universal ability to meter at sub-building level and apply "effective square footage" calculation to utility use

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OMB Omni-Circular

RBM worked closely with COFAR to ensure these proposals and others were considered as changes were proposed to the various circulars that are wrapped into the Omni-circular. Proposed Audit Changes based on risks identified by COFAR included:

– Audit threshold increased to $750k.

– Revise definition of "Major Programs" to focus audits on material issues.

– Reduced compliance requirements audited from 14 to 7.

– Strengthen audit follow up

– Allow pass-through entities to rely on cognizant agency decisions

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OMB Omni-Circular

- **Summary**

  - While the proposed modifications have the potential to benefit the research community in many respects, the current draft also has the potential for significantly adding to the workload and administrative costs of federal agencies
  - RBM will continue to work with OMB to ensure the perspectives of the research granting agencies are considered as the language is finalized

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Effort Reporting/Payroll Certification

One common issue often raised by the research community as an onerous requirement is effort reporting, that is, certification of effort spent by all employees whose salaries are charged directly to federal and federal flow-through funds, as well as for reporting committed cost sharing (but not uncommitted cost sharing)

- A pilot promoted by the RBM involves using university payroll certification rather than a separate effort reporting system to reduce burden while ensuring that funds are being properly allocated

- Participating universities include: University of California-Riverside, University of California-Irvine, Michigan Tech and George Mason University
  - these universities will be undergoing IG audits over the course of the next several months and the results of these audits will be used to assess the success of the pilot.

- The current pilot has been extended to December 2013. All participating schools have been in the pilot for at least a year. The schools will conduct an internal review through December and the IGs will look at the results of these review.

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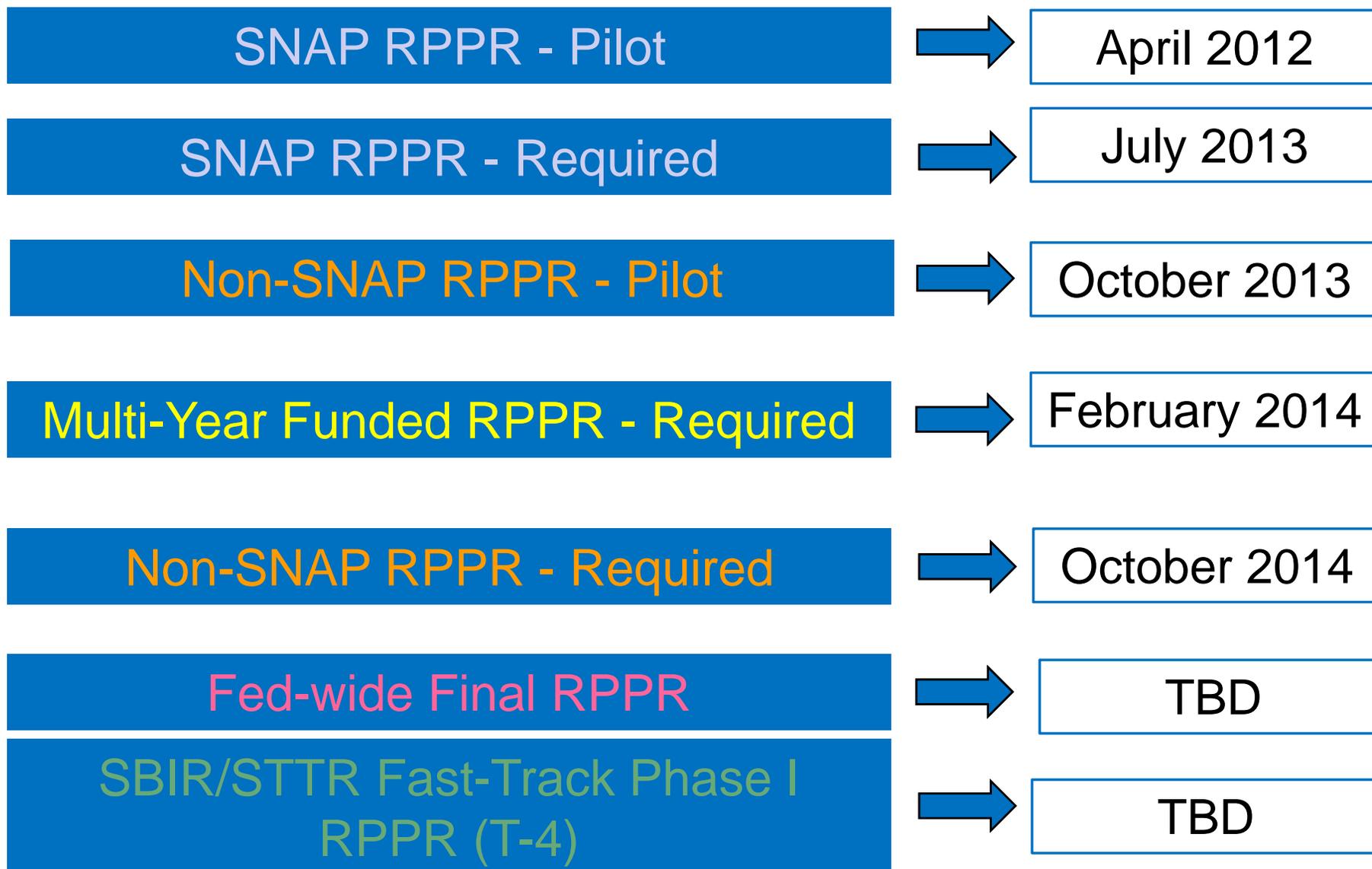Office of Extramural Research

Project Reporting

RBM has led the way in the development common federal-wide research project reporting. Specifically, through the work of the RBM, agencies either have implemented or are in the process of implementing the interim Research Performance Progress Report or RPPR.

- **Background**
  - Mandated by OMB and OSTP
  - Developed by the Research Business Models (RBM) Subcommittee
  - Federal-wide uniform research and research-related progress report
  - Objectives:
    - reduce administrative burden on grantees
    - standardize information required by federal agencies
  - http://www.nsf.gov/bfa/dias/policy/rppr/index.jsp
  - NIH RPPR:
    - Replaced PHS 2590 (SNAP) and PHS 416-9 (Fs)
    - Will replace PHS 2590 (non-SNAP)

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NIH RPPR Implementation Timeline

SNAP RPPR - Pilot	➡	April 2012
SNAP RPPR - Required	➡	July 2013
Non-SNAP RPPR - Pilot	➡	October 2013
Multi-Year Funded RPPR - Required	➡	February 2014
Non-SNAP RPPR - Required	➡	October 2014
Fed-wide Final RPPR	➡	TBD
SBIR/STTR Fast-Track Phase I RPPR (T-4)	➡	TBD

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RPPR Phase II Pilot ➡️ October 2013
Will begin with the
October 18th eRA release

- Federal Demonstration Partnership Members
  - October 22, 2013, 1:30-3:00 pm EDT (training webinar)
- NIH PO and GM Staff
  - October 22, 2013, 10:00-11:30 (training webinar)
  - Reserve your Webinar seat now at:
    https://www3.gotomeeting.com/register/925871438

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Development & Implementation of the Final Research Performance Progress Report (FRPPR)

- Final Research Performance Progress Report Working Group:
  - FRPPR co-Chairs
    - Michelle Bulls, NIH
    - Jean Feldman, NSF
- Department/Agency Participation
  - DHS
  - DoC
  - DoD
  - DoED
  - DoE
  - DOJ
  - EPA
  - NASA
  - NEH
  - NIH
  - NSF
  - USDA
  - DoT

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FRPPR

- Preliminary discussions on:

  - Advantages or challenges of using OSTP/OMB interim format as final report format
  - Current system designs and need for resources that may delay agencies' abilities to implement formats aside from interim format
  - Changes that would be necessary from the interim format for use in final format

FRPPR Next Steps

- Examination of OMB/OSTP approved format and RPPR data dictionary

- Assess what changes are necessary to use the interim format for reporting of both interim and final project performance

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Career/Work-Life Balance (CLB)

The RBM has been involved with clarifications to the A-21 circular in several areas related to career/work life balance which are subsumed under cost principles

- Costing principles do not prohibit these activities but there are many inconsistencies, depending on institutional cost policies and perhaps due, in part to differences in federal agency policies and practices.
- Institutions treat these policies on a case-by-case basis and the costs are often embedded in fringe benefits.
- RBM proposed developing plain language explanation of policies for both agencies and academic institutions

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Career/Work-Life Balance (CLB)

- Among the CLB topics discussed by RBM included:

  – Allowing direct cost submission for funds for temporary (family) emergencies, above and beyond costs related to travel
  – Allowing parental leave to be covered as part of fringe costs
  – Allowing grants to cover costs related to morale, health, and well-being of funded personnel (e.g. for lactation centers, senior centers)

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Career/Work-Life Balance (CLB)

NIH

NIH, as an agency example, has two types of Extramural Family Friendly Policies:

- Those dependent on OMB Cost Principals (Circular A21)
  - Generally allowable under federal grants when the benefits apply to all employees
  - Amounts based on level of effort charged to grant
- Those dependent primarily on NIH policies

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Career/Work-Life Balance (CLB)

NSF

- NSF policies permit the extension of NSF awards for researchers who take a leave of absence for dependent care responsibilities, as well as the use of NSF award funds to replace project personnel during a leave of absence.

- NSF formally launched its new Career-Life Balance (CLB) Initiative with its:

> **Dear Colleague Letter: FY 2013 Career-Life Balance (CLB) Supplemental Funding Opportunities in support of Postdoctoral Investigators funded by NSF awards**

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Career/Work-Life Balance (CLB)

NIH and NSF are working together on CLB to:

- coordinate through the Research Business Models Committee to clarify and catalog family friendly policies and practices
- Partner with the Federal Demonstration Partnership (FDP) to identify "best practices" at institutions
- NIH/NSF work with FDP to promote the use of the identified "best practices"

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Career/Work-Life Balance (CLB)

Summary

- The RBM embarked on collecting an inventory of relevant policies or practices to determine what the agencies are doing in support of researchers with regard to CLB and to determine where there are gaps and opportunities for a common approach
- The RBM is developing joint agency CLB statements and a more general federal-wide approach to CLB issues by providing a suite of options that we could be helpful to our academic partners
- RBM continues to promote the development and use of family friendly policies across agencies by identifying and sharing of best practices and suggests harmonizing language or policies, if possible

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SciENcv

Science Experts Network *curriculum vitae*

SciENcv is a researcher profile system that includes most of the professional information required for an application or participation in federally funded research

– SciENcv is a cooperative project requested by the FDP

– Being built by NCBI/NIH under the aegis of an interagency workgroup which includes: NSF, DoD, the DOE, EPA, NIH, The Smithsonian, and USDA

– The interagency workgroup operates under the NSTC's Research Business Models (RBM) and Science of Science Policy Committees

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SciENcv

– SciENcv will help researchers assemble and create biosketches that are included in federal grant submissions and annual reports

– SciENcv is a researcher-curated data repository that includes information on expertise, employment, education, and professional accomplishments

– SciENcv will allow researchers to describe their scientific contributions in their own language

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SciENcv

Guiding Principles:

- Any researcher may register and create a SciENcv
- Researchers control the content and which data elements, if any, are publically exposed
- SciENcv includes utilities that will help users to build their profile using existing information in both federal and non-federal sources
- SciENcv data resides on a protected NCBI server
- Profile data is available to federal agencies and, if desired by the researcher, to the public
- SciENcv includes utilities to generate biosketches and it will eventually pre-populate other required federal forms

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SciENcv

Immediate Goals:

- On-line data repository to reduce burden associated with biosketches for federal programs
- Release NIH specific, limited capability beta version for testing

Long-term Goals:

- Integral component of Biomedical Research Workforce (BMW) recommendations related to tracking research personnel
- Replace forms and images with claimed links between researchers, their support and scientific output
- Replace biosketches with transaction-based digital view
- Expand understanding of research outcomes

Management and Funding Concepts:

- Interagency committee DOD, DOE, USDA, EPA, NSF, Smithsonian and NIH
- External Partners: FDP, ORCID, external profilers – general excitement
- NCBI/NLM build and house
- OER/OD develop requirements, coordinate inside/outside NIH, secure funding

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Beta version of SciENcv:

The FDP and the interagency workgroup are asking users to try the beta version of SciENcv to help identify functionality that should be included in future versions of the system.

- The current version will help researchers assemble a properly formatted PDF biosketch suitable for submission with an NIH grant application or progress report.

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- The initial version will help researchers assemble their biosketch by pulling information from NIH eRA Commons and PubMed.

- SciENcv will permit users to link all of their information to a persistent digital identifier offered by ORCID.

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SciENcv

Future versions of SciENcv:

- Users of the beta system should know that much of the functionality including the ability to generate biosketches for other federal agencies has <u>not</u> been built.   Between October 2013 and October 2014 the interagency workgroup and the FDP plan to add the utilities shown below.   Suggestions by users also will be considered.

- Maintain multiple biosketches

- Generate NSF biosketches

- Free text descriptions of the scientific impact of specific publications

- Ingest data from additional external profile systems

- Variable levels of data exposure ranging from completely private to completely public

- Ability to transfer data to other systems

- Allow delegates to manage data

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SciENcv

Summary

– SciENcv will be expanded to other federal agencies with the objective of eventually replacing form-based biosketches with on-line structured data in order to better describe the benefits of federal research support

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RBM Topics for Next Year

– SciENcv continued development and piloting

– Complete RPPR implementation and FRPPR

– Effort Reporting Pilot completion

– Revision of standard research terms and conditions of awards in light of Omni Circular

– Inventory of Family-friendly policies and development of common language across agencies

– Responsible conduct of research training harmonization across agencies - inventory

– Shared Research/scientific instrumentation support across agencies –identification of policies/practices across agencies

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Research Business Models Working Group

Research Business Models Working Group Home Page

Research Business Models (RBM) Working Group is an interagency working group of the Subcommittee on Social, Behavioral and Economic Sciences (SBE) of the Committee on Science (CoS) a chartered committee of the National Science and Technology Council (NSTC). Objectives include:

- facilitating a coordinated effort across Federal agencies to address important policy implications arising from the changing nature of scientific research, and
- examining the effects of these changes on business models for the conduct of scientific research sponsored by the Federal government.

Participating Departments/Agencies:

Department of Commerce
Department of Defense
Department of Education
Department of Energy
Department of Health and Human Services
Department of Homeland Security
Department of Interior
Department of Transportation
Environmental Protection Agency
Food and Drug Administration
National Aeronautics and Space Administration
National Institutes of Health
National Institute of Standards and Technology
National Oceanic and Atmospheric Administration
National Science Foundation
Office of Management and Budget
Office of Naval Research
Office of Science and Technology Policy
US Department of Agriculture
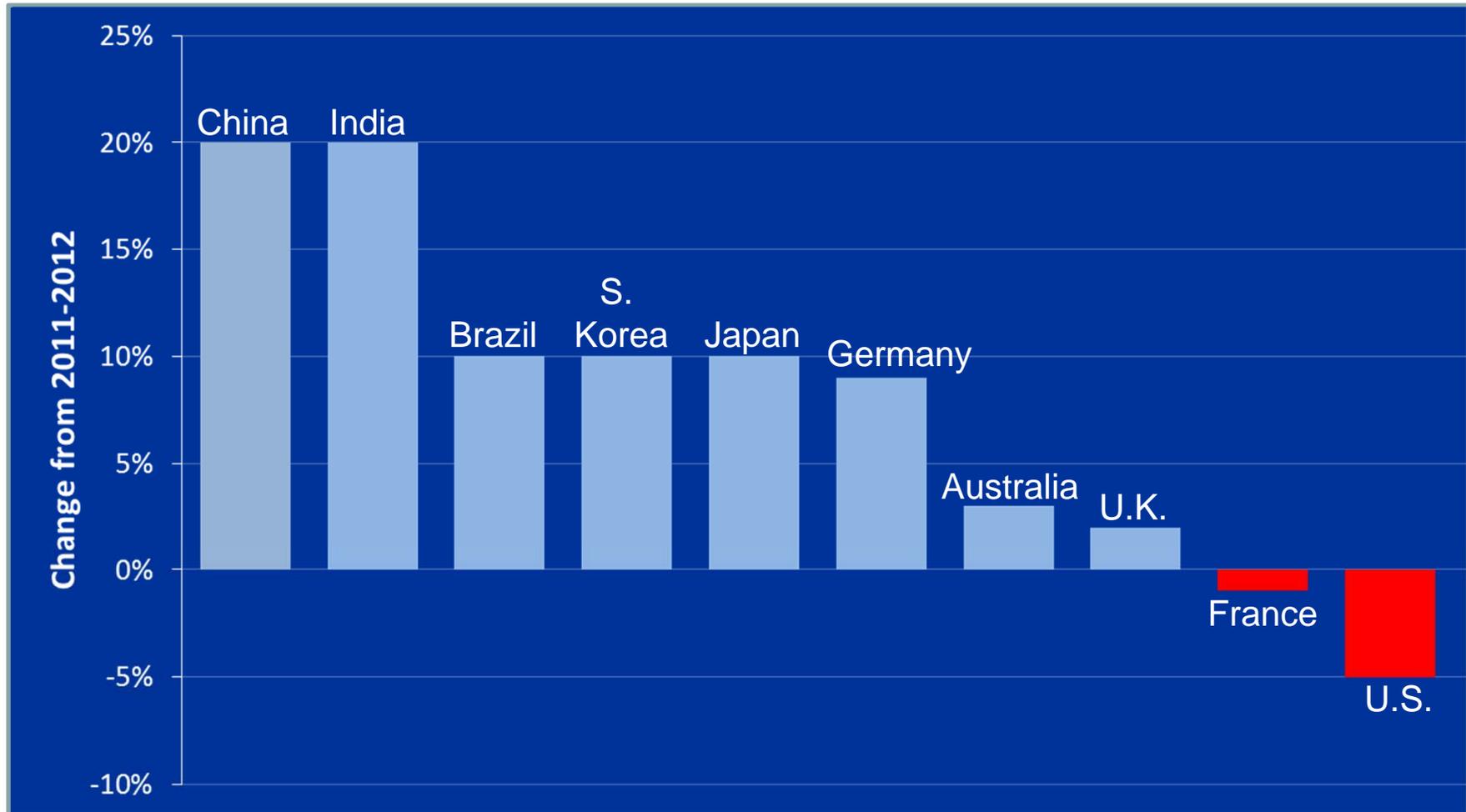US Geological Survey
Veteran's Administration

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A-21 Task Force
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Toolkit
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http://rbm.nih.gov/

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**OMB Report Pursuant to the
Sequestration Transparency Act of 2012
(P. L. 112–155)**

http://www.whitehouse.gov/sites/default/files/omb/assets/legislative_reports/stareport.pdf

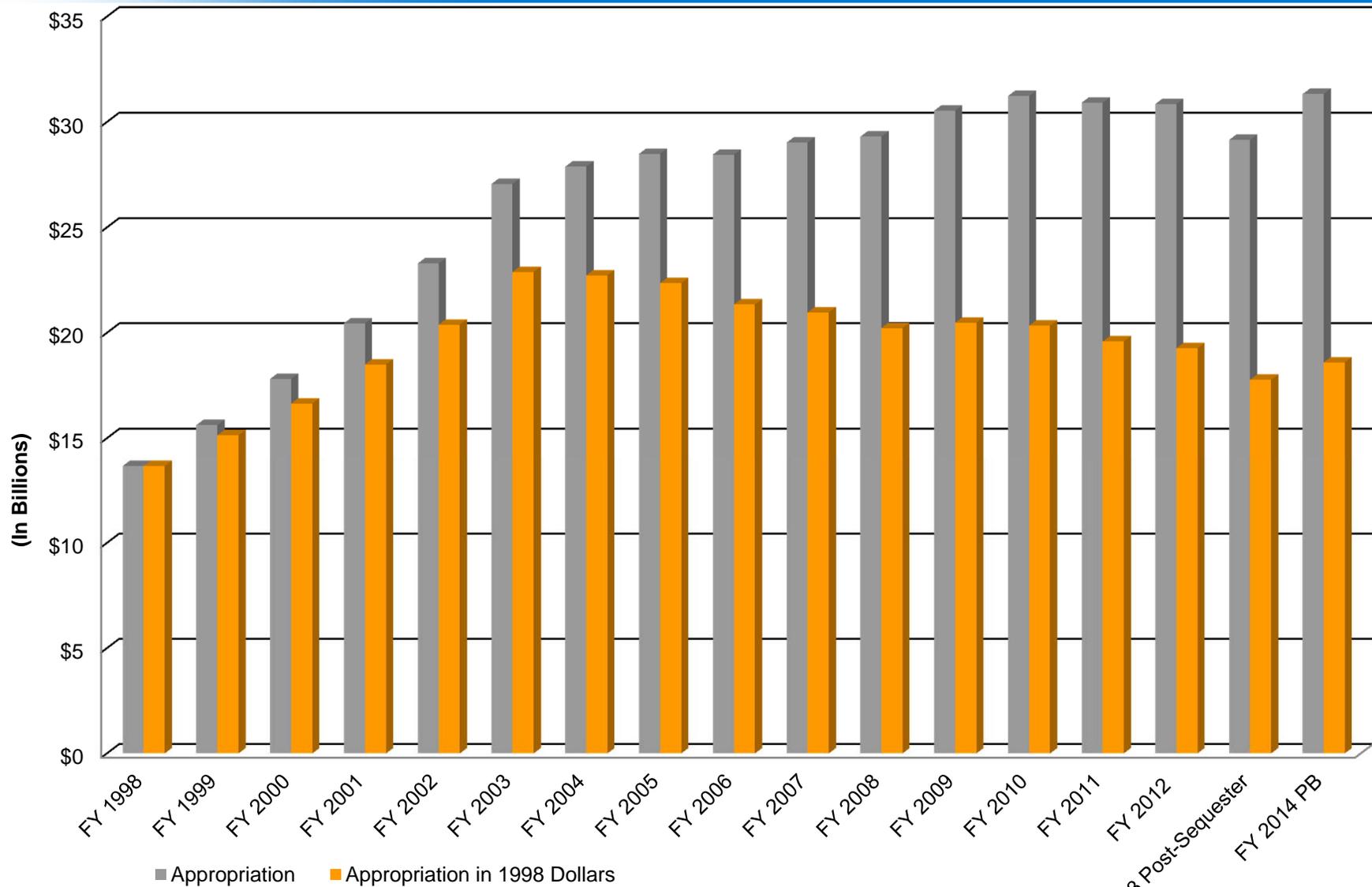**National Institutes of Health**
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Biomedical Research Purchasing Power Change from 2011 to 2012 (before Sequester)
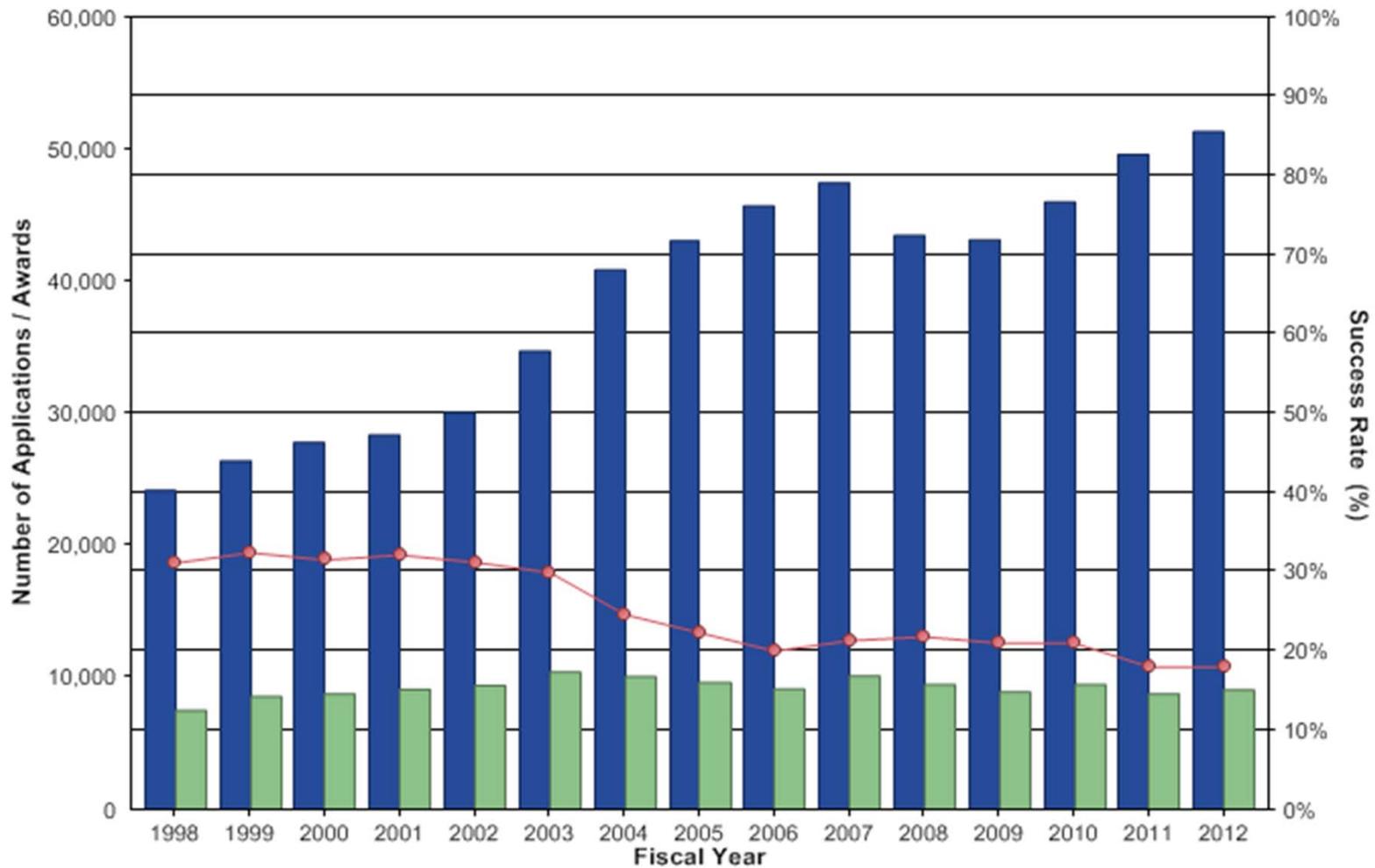
Source: Funding in 2012: "Great Recession" Starts to Bite.
Cell 148, Jan. 20, 2012

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NIH Program Level in Nominal Dollars and Constant 1998 Dollars

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Rock Talk

Helping connect you with the NIH perspective

Early Data on the A2 Sunset

Posted on March 24, 2011 by Sally Rockey

We recently received a letter f_____ng concerns
about the sunsetting _____ e NIH research
community wou_____

Many thank_____ leagues for your letter describing
concerns abo_____cy sunsetting the A2 resubmission applications, and
for your input on the partial or total restoration of A2 applications. The

I'm Tweeting!!
"RockTalking"

Dr. Sally Rockey is NIH's Deputy Director for Extramural Research, serving as the principal scientific leader and advisor to the NIH Director on the NIH extramural research program.

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