FDP Administrative Policies

Overview

The Federal Demonstration Partnership (FDP) is a cooperative initiative among federal agencies and institutional recipients of federal funds. The FDP's purpose is to promote increased research productivity in the conduct of federally supported research and education, provide for enhanced stewardship under federally supported programs and achieve reductions in administrative burden and costs associated with sponsored research and education. The FDP is the continuation of extensive partnership efforts that began with the Florida Demonstration Project. Phase VI of the Federal Demonstration Partnership is scheduled to begin on October 1, 2014 and end on September 30, 2020. Since its inception, in 1986, the Government-University-Industry Research Roundtable of the National Academies 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.

About This Document

This document will be maintained by the Executive Committee of the FDP. It is to be considered a "living" document and thus will be updated as necessary. The Executive Committee will authorize any updates to this document and any substantive changes will be brought before the Voting Membership.

Membership

Institution Membership

1. Institutions and non-profit organizations that undertake research or educational activities supported with federal funds typically provided by federal agency members of FDP through an assistance [i.e., grant or cooperative agreement] mechanism may be members of FDP. "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.

2. Institutional membership is for the six-year life of each FDP phase but the FDP reserves the right to open membership to new Institutional members at any time. If this occurs, a new solicitation for potential new members will be published.

3. Conditions of Institutional Membership

· 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.

· 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. Participation by staff that specialize in compliance, accounting and other research administration disciplines is also encouraged. Institutions may appoint an alternate faculty representative to participate in FDP activities upon the absence of the primary faculty representative.

- 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.

- At least one member of an institution's delegation must to attend two consecutive regularly scheduled FDP meetings or participate in FDP activities

- Pay an annual membership fee as established by the Finance and Executive Committees

- Pay FDP meeting registration fees as required.

- Report annually on their participation in task forces, standing committees, pilot projects, internal streamlining projects and demonstrations.

- Execute a Memorandum of Agreement confirming the conditions of membership.

- Noncompliance of any of the above conditions may be grounds for termination

To maximize the relevance and benefits of FDP efforts, institutions are encouraged to update their representatives on needs, priorities and solutions that may be shared with the FDP community. Institutions should carefully select and guide their representatives and support them to regularly and systematically share the information from FDP meetings with relevant officials on their campuses.

Emerging Research Institution (ERI) Membership

1. Institutions whose annual research and development expenditures are less than $50 million (as shown in the "total research and development" table of the most recently published statistics at http://webcaspar.nsf.gov/profiles/site the National Center for Science and Engineering Statistics (NCSES) Academic Institution Profiles. and have federal funding from at least two FDP member federal agencies may become formally involved in some or all FDP activities without becoming full Institutional members. Institutions wishing to apply for membership after Phase VI begins may be able to apply at a later time if membership is re-opened.

2. Conditions of Membership

   - Designate an individual who is the point of contact for FDP activities.

   - Be involved in appropriate meetings, demonstrations and activities.

   - Attend regularly.

   - Execute a Memorandum of Agreement with federal agencies reflecting participation.

   - Dues are waived, but ERI members must pay meeting registration fees as required.

   - Report annually on participation in task forces, standing committees, pilot projects, internal streamlining projects and demonstrations.

Federal Agency Membership

1. Any grant-making federal agency is eligible for membership. Agency membership is open throughout Phase VI.

2. Conditions of Membership

   - Designate both an administrative and program representative to the FDP and, where appropriate, a technical representative. Representation in related areas, such as financial management, audit resolution and compliance related issues, is also welcome and encouraged.

- Use the FDP as the primary focus for tests and demonstrations of reengineered processes and systems for the support of research.

- 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 on an ongoing basis describing their efforts to reengineer and streamline processes that affect the grantee community.

- Provide funding for the operating costs of FDP; through GUIRR and/or through other appropriate funding mechanisms.

- Execute a Memorandum of Agreement confirming the conditions of membership.

- Pay registration fees for meetings as required.

Federal agencies that have not chosen to join FDP are considered non-members, consistent with the role of other non-profit organizations, below.

Affiliate Membership

1. Associations of researchers, research administrators, scientific societies, associations of state and/or local governments, and other groups are eligible for affiliate membership at any time during Phase VI.

2. To apply for affiliate membership, entities should write a letter to the Chair of the FDP describing who they are and explaining the reasons for their interest. The letter will be reviewed by the Executive Committee who will vote on granting the requesting entity affiliate membership status.

3. Conditions of Membership

   - Exchange information with FDP about developments that they are positioned to understand in depth.

   - Work in concert with FDP to achieve common objectives.

   - Be represented at FDP meetings.

   - Pay registration fees for meetings as required.

4. Any affiliate member organization of the FDP may enter into a reciprocal registration fee arrangement with the FDP, facilitating cooperation and information sharing. Such arrangement should be coordinated with the FDP Executive Director and should make available to each organization the opportunity to register a reasonable number of staff members or other representatives at no cost.

Institutional Membership Dues

Annual dues for FDP Phase VI institutional membership are stated in the Phase VI solicitation document. The institutional member dues are not applicable to Affiliate organizations, Emerging Research Institutions, or federal agencies. The amount of dues for each year of Phase VI will be reviewed annually by the Finance Standing Committee and a recommendation will be made to the FDP Executive Committee for approval. Dues are collected and managed by the FDP Foundation.

Membership dues are assessed for the period October 1 through September 30 and are to be billed by October 1 each year. Membership dues payments should be received no later than November 1.

Member institutions are responsible for the prompt payment of dues. The Finance Standing Committee is responsible for the collection of membership dues and for follow-up with institutions that are delinquent in their dues payment. Should an institution be delinquent for a period of more than one year, its FDP membership will be suspended and the institution will forfeit all FDP benefits and privileges. Membership status will become active and FDP benefits will be promptly restored once the payment of outstanding membership dues has been made.

"Spin Off" Organizations

When a current FDP member institution "spins off" or divests an entity, such as a foundation or research institute, that wishes to be identified separately, the new entity may, with the concurrence of its parent organization, become a member institution on its own. This membership will be subject to a new membership agreement and independent dues paying responsibilities for the new organization under the same terms and conditions as its "parent" organization.

Non-Member Participation

Non-Profit Organizations

Although new member institutions will not be added after the start of Phase VI, except under circumstances noted above, non-member institutions are welcome to attend meetings and participate in discussions. However, they may not be eligible for participation in most demonstrations or FDP listservs other than the "Friends" (non-member) listserv. Individuals from non-member institutions can serve on task forces as non-voting members. Registration fees will be charged to attendees from non-profit organizations.

For-Profit Organizations

1. Membership in the Federal Demonstration Partnership by vendors and other for-profit organizations is precluded either on a full or affiliate membership basis. In addition, for-profit organizations may not have access to any electronic mailing list ("listserv") maintained by the FDP or any of its committees or task groups. They may be included on the "Friends" listserv for meeting notifications.

2. On occasion, for-profit organizations may participate in specific FDP task forces or pilot projects. This may be done on the basis of an invitation from the task group chair (or the FDP member with primary responsibility for a specific pilot or demonstration project), with prior approval by the FDP Executive Committee. The request for approval to the Executive Committee should include a justification as to how the particular vendor or for-profit organization was selected to participate in the activity, and should be sufficiently in advance so that any concerns raised by the Executive Committee can be addressed prior to the beginning of the participation. As part of the justification, any potential conflicts of interest of the for-profit organization must be fully disclosed. If such exist, the justification should include the procedures to be followed to prevent any undue influence on the conduct or outcome of the activity. Task Group chairs are responsible for assuring that any results will not be biased towards the interests of the particular vendor or for-profit organization. The Executive Committee may recommend additional or alternative procedures, or disapprove participation by the for-profit organization. Where participation is approved, this will be announced on the FDP Website so that the full FDP membership and other interested organizations have notice.

3. Participation by for-profit organizations in FDP activities is conditioned on the expectation they will derive no direct commercial benefit from their participation. Any resulting outcomes or products will be made available on an open access basis to all FDP members and the larger research and education community. No proprietary rights or interests will be allowed on

products or outcomes of activities conducted under FDP auspices. Any exceptions require the express written consent of the Executive Committee.

4. For-Profit Organizations must pay meeting registration fees as required.

Meetings

The FDP meets three times per year (two-day meetings) at least twice in Washington DC. The location is subject to change by the Executive Committee.

Registration Fees

Registration fees are required of all attendees regardless of their membership. The registration fee for each meeting will be determined by the Executive Committee. However, to increase federal agency participation, member agencies providing grant support to the FDP shall be charged for a maximum of three (3) registrants per meeting and are encouraged to send as many representatives as possible to the meetings.

Lodging and Transportation

Lodging and transportation are not included in the meeting registration fee. All participants are responsible for making their own hotel and travel accommodations. The FDP will be responsible for securing an adequate number of hotel rooms through the preferred hotels of the National Academies.

Organizational Structure

Voting Membership

1. Administrative representatives from institutional, federal agency and emerging research institution are voting members.

Executive Committee

The Executive Committee provides the overall direction of the FDP.

1. Membership: Consists of, at a minimum, two institutional members (one faculty, one research administrator), two federal agency representatives (one program, one administrative), a representative from the National Academies Government-University-Industry Research Roundtable, the FDP Executive Director, a senior federal science official (appointed by the Office of Science and Technology Policy), representatives from each of the FDP Standing Committees and a representative from the ERI subcommittee of the Membership Committee. The elected institutional administrative representative serves as the Chair of the Executive Committee. The elected institutional faculty representative serves as the Vice Chair of the Executive Committee. Additional members can be appointed by the Chair with approval of the Executive Committee.

2. The administrative representative (Chair of the Executive Committee) and faculty representative (Vice Chair of the Executive Committee) will be elected by the FDP institution members. The Membership Standing Committee will serve as the Nominating Committee for this purpose. Federal agency representatives will be appointed by the FDP federal agencies. The Office of Science and Technology Policy (OSTP) will appoint the senior federal official to provide a link to the National Science and Technology Council, Committee on Science with the FDP. It is expected that co-chairs of the Standing Committees will participate in all Executive Committee meetings, including conference calls.

3. The Executive Committee meets on an as-needed basis and is empowered to take necessary actions on behalf of the Voting Membership. 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.

FDP Executive Director

1. Serves as the full time senior administrator for the FDP

2. Works closely with the Executive Committee, the Government-University-Industry Research Roundtable, and the membership of the FDP

3. Monitors the developments in federal research administration issues and keeps the FDP informed

4. Works with FDP member federal agencies to enhance participation in FDP activities

5. Coordinates the activities of GUIRR staff to provide administrative support to the FDP.

6. Serves as liaison between the Executive Committee and the FDP's standing committees and working groups.

7. Provides guidance to FDP committees and task forces in the design and conduct of demonstrations.

8. Serves as Executive Director of the FDP Foundation

Government-University-Industry Research Roundtable (GUIRR)

GUIRR at the National Academies is the neutral convener of the FDP providing all permanent staff support for FDP activities and committees, as well as logistical support for FDP's 3 annual meetings.

FDP Foundation

The FDP Foundation was created to support the activities of the FDP and to be the custodian of the non-federal funds received by the FDP. The Foundation officers are all ex officio based on roles in the FDP.

- FDP Chair is the President

- FDP Vice-Chair is the Vice-President

- FDP Executive Director is the Executive Director

- The institutional co-chair of the Finance Committee is the Secretary/Treasurer

Elections

There are two elected positions: Administrative Representative (Chair of the Executive Committee) and Faculty Representative (Vice Chair of the Executive Committee). These positions are elected by the FDP institution members for three year terms.

Committees

Standing Committees

The FDP operates through standing committees and working groups. Each is co-chaired by a representative of a federal agency and an FDP institution. The standing committees are concerned with issues that require continued advice and focus. Operational standing committees

provide ongoing direction of FDP operations and functional standing committees provide direction for FDP focus areas.

Operational Standing Committees

- **Finance Standing Committee** - Provides oversight of the FDP finances as follows:

  - Reviews annual budgets and reports to the Executive Committee on the status of funding

  - Recommends the member institution dues amount on an annual basis

  - Sets financial related policies and procedures

  - Monitors the payment of member institution dues

  - Monitors the investment policies and practices for funds invested through the FDP Foundation

  - Reviews annually the performance of the Executive Director, provides feedback on performance to the Executive Committee and Executive Director, and makes financial recommendations relative to the contract with the Executive Director.

  - The institutional co-chair serves as the Secretary/Treasurer of the FDP Foundation

  Membership Standing Committee
  - Responsible for membership issues

  - Monitoring attendance and participation

  - Assuring vendor participation complies with FDP policy

  - Receiving, evaluating and recommending requests for additional affiliate membership

  - Encouraging increased federal participation and membership

  - Facilitating the transition process for new FDP phases

  - Updating and overseeing Executive Committee nomination/election procedures

  - Supporting Emerging Research Institution (ERI) full participation in FDP activities

- **Communications Committee**
  - Approves all FDP publications in either print form or electronic

  - Provides direction for the FDP web site

  - Responsible for oversight of the FDP Biannual Report

  - Compiles and disseminates meeting summaries

  - Develops outreach materials

  - Develops required reports for the FDP

Functional Standing Committees

- **Faculty Standing Committee –** Serves as the forum for faculty representatives to discuss and develop faculty input on all FDP activities and FDP administration. The meetings are used to disseminate information from other operational and functional standing committees to faculty representatives, and for faculty to incubate and develop new activity proposals. As

needed, the Faculty Standing Committee develops surveys of faculty at member institutions to garner necessary information to direct proposed activities.

· **Electronic Research Administration Standing Committee –** Identifies opportunities to reduce faculty and administrative burden in areas of electronic processes and communications with federal Agencies. Informs the federal e-grants activities by providing institutional input and support to the development of improved electronic interfaces between the government and the research community. Provides IT consultation for demonstrations, pilots and committees as requested.

· **Research Administration Standing Committee** – Identifies 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.

Financial/Audit/Costing Policy Committee – Focuses on initiatives to reduce administrative burden in the areas of financial, audit, and costing policies. This subcommittee explores opportunities to simplify financial, audit, or cost policies without compromising accountability.

Research Compliance Committee – Reviews existing and new requirements imposed by federal regulations related to, but not limited to, the human research participant protections, animal use and care, conflicts of interest (individual and institutional), objectivity in research, and export controls. The emphasis is focused on identification and harmonization of requirements across federal agencies, reduction of redundancies and unnecessary burdens and identification of good practices for implementing the requirements.

Standing Committee Co-Chairs

Two co-chairs will be named by the Executive Committee, one representing member institutions and one representing federal agencies. The exception is the Faculty Standing Committee where one co-chair is the elected faculty representative to the Executive Committee and the other co-chair is selected by the FDP faculty members. The co-chairs will convene the standing committee to review the activities/task forces taking place within the focus of the specific standing committee. The standing committee will provide oversight and support/advice to the activities related to the standing committee's focus.

Appointments to Standing Committees

The composition of standing committees must include participation from federal agencies and member institutions including faculty and technical representatives. The co-chairs will recommend appointments to the Executive Committee for approval.

Terms of Appointment to Standing Committee

Appointments will be for two years and can be renewed. In the event of departure from the FDP, or inactivity, appointments may be terminated prior to the end of the appointment term by recommendation of the co-chairs and concurrence by the Executive Committee.

Vacancies on Standing Committees

If a vacancy occurs, the co-chairs will recommend a replacement to the Executive Committee for approval.

Working Groups/Task Forces of Standing Committees

Working groups/Task Forces may be formed by standing committees, without additional approval, to work on tasks within the scope of their own committee. The standing committee co-chairs must inform the Executive Committee of the charge and membership of any working group they form.

Activities

- A Survey is an activity that is initiated to provide specific information for the FDP to either meet its needs for planning or to provide information in response to questions addressed to the FDP.

- A Pilot Project is an activity of the FDP designed to explore the feasibility of a Demonstration Project. It would follow similar procedures as a Working Group/Task Force for formation, reporting, and disbanding. Pilot Projects would need additional commitments, in writing, from specific federal agencies and from universities confirming their intention to perform the pilot project and evaluate it at appropriate points in its development and implementation.

- A Demonstration Project may be an expanded version of a Pilot Project or it may be a new initiative. It would normally involve more than one institution and more than one federal agency. It has specific objectives and requires a specified assessment of outcomes in order to determine its suitability for the whole FDP. The written commitments for participation in a Demonstration Project would involve a formalized memorandum of understanding that would spell out roles of each of the participants along with the responsibility for the evaluation of the effectiveness of the effort.

Position Responsibilities

Administrative Representative (Chair of the Executive Committee)

- Works closely with FDP membership, FDP Executive Committee members, the GUIRR representative and GUIRR staff to further FDP goals.

- Chairs and attends all FDP meetings.

- Works with FDP Executive Director and Executive Committee members on the development of meeting agendas.

- Participates in Executive Committee conference calls (10/yr) and *ad hoc* conference calls with various FDP committees (10/yr).

- Provides guidance and oversight to FDP Executive Director.

- Serves as an *ex officio* member of all FDP committees and working groups.

- Provides guidance and oversight to the FDP committees and working groups.

- Oversees and endorses, on behalf of the FDP upon approval by the Executive Committee, all formal written FDP position papers and/or recommendations.

- Represents the FDP at professional, university and federal agency meetings.

- Interacts on behalf of the FDP with external groups: OSTP, OMB, NCURA, SRA, COGR, etc.

- Represents the FDP as GUIRR Council Associate, attends GUIRR Council meetings (3/yr) and reports on the status of FDP activities.

- Serves as President of the FDP Foundation

Faculty Representative

- Serves as Vice Chair of the Executive Committee, representing the FDP in the absence of the Chair.

- Serves as the primary point of contact/advocate for encouraging/fostering participation of FDP faculty members.

- Chairs the Faculty Standing Committee and attend all FDP meetings.

- Serves on the Executive Committee.

- Works with Chair, FDP Executive Director, and Committee members on the development of meeting agendas.

- Participates in Executive Committee conference calls (10/yr) and *ad hoc* conference calls with various FDP committees (10/yr).

- Participates in the preparation and facilitation of any formal written FDP position papers and/or recommendations.

- Provides guidance and oversight to the FDP committees and working groups.

- Organizes and participates in all Faculty Steering Committee conference calls (10/yr)

- Organizes faculty lunch discussions at FDP meetings, organizes faculty panels as appropriate.

- Serves as Vice-President of the FDP Foundation

Terms

The Administrative Representative (Chair of the Executive Committee) and Faculty Representative (Vice Chair of the Executive Committee) are elected for three year terms. Individuals can serve in these positions for two consecutive terms (up to 6 years).

Vacancies

If a vacancy occurs for either the Chair or Vice Chair position during the three year term, the Executive Committee will appoint a replacement to complete the duration of the term.

Nomination Procedures

- The FDP Membership Standing Committee will serve as the nominating committee.

- Any FDP Institution member may submit a nomination for the Administrative Representative and for the Faculty Representative. The Administrative Representative nominee must be a current official administrative representative from an FDP institution. The Faculty Representative nominee must be a current official faculty representative from an FDP institution.

- A call for nominations will be announced at the spring FDP meeting prior to the election. A formal call for nominations will also be sent to the FDP Listserv. Persons can be nominated without their knowledge. Self nominations are acceptable. All nominations must be received by the deadline established by the Membership Standing Committee.

- Each nominee will be contacted by the Membership Standing Committee and his/her willingness to serve ascertained. If willing to run, the nominee will be asked to submit a statement of qualifications and a vision statement. Each candidate will have the opportunity to provide statements to the FDP membership at the meeting prior to the election.

Election Procedures

· The Executive Director in coordination with the Membership Standing Committee will prepare an electronic ballot containing the candidates for both the Administrative Representative (Chair) and the Faculty Representative.

· Prior to voting, individuals at FDP member institutions should caucus and arrive at a consensus for the votes of their institution.

· The Membership Standing Committee will determine the duration for voting.

· There may only be one vote per institution for the Administrative Representative (Chair) by the institutional administrative representative and one vote per institution for the Faculty Representative by the institutional faculty representative.

· The Executive Director in coordination with the Membership Standing Committee will receive, tabulate and validate the ballots and announce the results. If there is no majority, the Membership Committee will conduct a runoff election for the top two candidates.

Electronic Communications

FDP Homepage

The FDP provides communications to its members and the general public by maintaining a homepage at www.thefdp.org.

FDP Member Directory

The FDP maintains an online participant directory, which allows individuals to maintain contact information and register for meetings. Individual members are responsible for the accuracy of their information.

FDP Mailing Lists

In addition to the homepage, the FDP maintains a number of electronic mailing lists for the FDP membership and committees and task forces. The mailing lists are open to any FDP member representative.. The mailing lists may be used only for official FDP business. A separate mailing list for non-members is also available as the FDP Friends list. Requests to join mailing lists can be made electronically at http://www.thefdp.org/FDP_Listservs.html.