FEDERAL DEMONSTRATION PARTNERSHIP
Redefining the Government & University Research Partnership

FDP Phase VII Operating Guidelines

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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 in 1986 with the Florida Demonstration Project. Phase VII of the Federal Demonstration Partnership began on October 1, 2020 and will end on September 30, 2026. Since the FDP's inception in 1986, the Government-University-Industry Research Roundtable (GUIRR) 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 is maintained by the Executive Committee of the FDP and is considered a "living" document that is updated as needed. The Executive Committee is responsible for approving any updates to this document, however, any fundamental changes to the structure, operations and oversight of the FDP must be approved by the Voting Membership (defined later in this document).

Membership

Membership of the FDP once granted, is for the entire length of each FDP Phase. The FDP reserves the right to open membership to new members at any time. In such cases, a new solicitation for potential new members will be published. Members of the FDP include institutions and non-profit organizations that undertake research or educational activities supported with federal funds, and grant-making federal agencies as described below.

To maximize the relevance and benefits of FDP efforts, all Members are encouraged to update their representatives on the needs, priorities, and solutions of the Member that may be shared with the FDP community. Members should carefully select and guide their representatives and expect them to regularly and systematically share the information from FDP meetings with relevant individuals on their campuses. There are three types of FDP membership: Institutional, Federal and Affiliate.

Institutional Membership

1. Description
   - Institutions and non-profit organizations that undertake research or educational activities supported with federal funds, typically provided by federal agency members of the FDP through an assistance [i.e. grant or cooperative agreement] mechanism, are eligible to become Institutional Members of FDP. Institutional Members 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. Membership is on the basis of individual institutions, generally with unique DUNS numbers.

2. 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. Members must not be debarred from doing business with the federal government.
- Appoint a Faculty Representative, an Administrative Representative, and an optional Information Technology Representative familiar with the systems that support research administration activities. Participation by individuals who specialize in compliance, accounting, and other research administration disciplines is also encouraged.
- Participate actively, at institutional expense, in in-person or on-line FDP general membership meetings and, as appropriate, committee, subcommittee or working group meetings.
- Ensure that the Administrative Representative and the Faculty Representative each attend at least two (2) regularly scheduled FDP general membership meetings within each calendar year.
- Participate in new or ongoing FDP demonstrations, as appropriate.
- Complete and maintain an accurate and current institutional profile in the Expanded Clearinghouse and utilize the Expanded Clearinghouse for FDP Institutional Member subrecipient monitoring activities.
- Use the FDP subaward templates when passing federal grant funds from any FDP Federal Member agency through to the other FDP Institutional Member. Use of the subaward templates are encouraged when passing federal funds to non-FDP institutions.
- Complete an annual report as requested in a timely manner.
- Execute a Memorandum of Agreement confirming the conditions of membership.
- Remit the annual membership dues as established by the Executive Committee.

Noncompliance with any of the above conditions may be grounds for revoking institutional membership.

Federal Agency Membership

1. Description

- Any grant-making federal agency is eligible for Federal Agency Membership in the FDP. Federal agencies can apply for membership in the FDP at any time.

2. Conditions of Membership

- Designate an administrative and program representative to the FDP and, where appropriate, an information technology representative familiar with the systems that support research administration. Representation in related areas, such as financial management, audit resolution, and compliance related issues, is also encouraged.
- Use the FDP as the primary stakeholder group for tests and demonstrations of reengineered processes and systems for the support of research.
- Participate actively in FDP demonstrations.
- Provide reports 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.
- Pay FDP meeting registration fees, as determined by the Executive Committee, for its representatives participating at each meeting.

Federal agencies that have not chosen to join FDP are considered non-members.

Affiliate Membership

1. Description

   - Associations of researchers, research administrators, state and/or local governments, scientific societies, and other groups are eligible to become Affiliate Members at any time.

2. How to Apply

   - To apply to become Affiliate Members, entities should write a letter to the Executive Director of the FDP describing who they are and explaining the reasons for their interest. The Executive Committee will review the letter and will vote on granting the requesting entity Affiliate Member 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.
   - Attend FDP meetings.
   - Pay registration fees for meetings as required.

4. Reciprocal Arrangements

   - Any Affiliate Member 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 representatives at no cost.

Institutional Membership Dues

The annual dues for Institutional Membership are determined by the Executive Committee and stated in the solicitation document for each Phase. Institutional Members are responsible for the prompt payment of the annual fee. The Executive Director is responsible for the collection of membership dues and for follow-up with Institutional Members that are delinquent in their payment. Should an Institutional Member be delinquent for a period of more than one year, its FDP membership will be suspended, and it 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.

Member Organizational Changes

When a current FDP Institutional Member undergoes organizational changes such as "spinning off" or divesting an entity, such as a foundation or research institute that wishes to be identified separately, or other organizational changes, the new entity may, with the concurrence of the existing Institutional Member, become a separate Institutional Member without being required to wait for a general solicitation for new members. A new Memorandum of Agreement will need to be executed confirming the conditions of the entity's new membership role as defined above, including payment of individual Institutional Membership Dues.

Non-Member Participation

Non-Profit Research Organizations – "Friends"

1. Although new member institutions will not be added after the start of a Phase, except under circumstances noted above, institutions and non-profit organizations that would otherwise be eligible to be Institutional Members are welcome to attend meetings and can be added to the "Friends" (non-member) electronic mailing list (listserv). However, their eligibility to participate in formal FDP demonstrations will be determined by the Executive Committee on a case-by-case basis. Non-Profit Research Organizations will be charged Non-Member meeting registration fees.

For-Profit Research Organizations or Vendors

1. Vendors and other for-profit organizations may not become Institutional or Affiliate Members of the FDP. In addition, for-profit organizations may not have access to any membership-based listserv maintained by the FDP. They may, however, be included on the "Friends" listserv for meeting and other notifications.

2. On occasion, for-profit organizations may participate in specific FDP demonstrations with the approval of the Executive Committee. This may be done at the request of the FDP member with primary responsibility for a specific demonstration. Such a request must justify how the particular vendor or for-profit organization was selected to participate in the demonstration and should be sufficiently in advance that any concerns raised by the Executive Committee can be addressed prior to its participation. As part of the justification, any potential conflicts of interest of the for-profit organization must be fully disclosed. If conflicts of interest exist, the justification should include the procedures to be followed to prevent any undue influence on the conduct or outcome of the FDP demonstration. The FDP member with primary responsibility for a specific demonstration is 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 demonstrations 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 demonstrations 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 determined by the Executive Committee.

Full Membership Meetings

Frequency

The FDP endeavors to hold in person meetings of the full membership three times per year. These meetings usually occur in Washington DC, but the Executive Committee has the authority to change the location or the mode (i.e. virtual meetings) should the need arise.

Registration Fees

All attendees regardless of their membership must pay meeting registration fees unless the Executive Committee has granted a prior exception. The Executive Committee will determine the registration fee for each meeting.

A portion of the registration fee may be refunded if a registrant is unable to attend the meeting due to ill health or travel disruptions out of the control of the registrant (e.g. inclement weather, cancellation, etc.). Requests for registration fee refunds must be made in writing to the Finance Committee who will review the request and make a recommendation to the Executive Committee. In the unlikely event that the Executive Committee cancels a meeting, all registrants will be refunded the entirety of their fee.

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.

Agendas, Presentations and Meeting Summaries

Prior to each meeting the Executive Committee will post the Meeting Agenda on the FDP website. Following each meeting, a summary of the meeting will be made publicly available on the FDP website. Upon accepting an invitation to participate in a meeting presentation, all FDP members and guests will be encouraged to grant permission for any materials presented (e.g. PowerPoint) to be posted on the FDP website following the meeting.

From time to time, the Executive Committee may decide to record a particular presentation. In such cases, permission will be sought from those involved at the time an invitation is made.

Governance

Voting Membership

1. Each Institutional and Federal Agency Member[1] has one vote in decisions made by the FDP as a whole. The administrative representative identified by each Member casts this vote.

2. During the election of the FDP Administrative Co-Chair, the administrative representative identified by each Institutional Member will be asked to cast the vote on behalf of the organization.

3. During the election of the FDP Faculty Co-Chair, the primary Faculty representative identified by each Institutional Member will be asked to cast the vote on behalf of the organization.

Executive Committee[2]

The Executive Committee is responsible for providing administrative and fiscal oversight of the FDP.

1. Membership consists of the elected FDP Administrative Co-Chair, the elected FDP Faculty Co-Chair, a senior federal official identified by the Federal Agency Members, a representative from the National Academies

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[1] Federal Agency Members abstain from all decisions that have direct financial impacts on the FDP
[2] Federal Agency Members of the Executive Committee abstain from all decisions related to the fiscal management and oversight of the FDP

Government-University-Industry Research Roundtable (non-voting), a senior federal science official (appointed by the Office of Science and Technology Policy), the FDP Executive Director (non-voting), and the Co-Chairs of each of the Operational and Programmatic Committees. The OSTP appointed senior federal official serves to provide a strong link to the National Science and Technology Council, Committee on Science and other relevant federal research entities with the FDP. The Co-Chairs can appoint additional members, with approval of the Executive Committee.

2. The elected FDP Co-Chairs serve as Co-Chairs of the Executive Committee.

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, identifying and monitoring formal demonstrations of the FDP, and serving as liaison for the FDP with other groups and individuals.

Position Responsibilities

FDP Co-Chairs

- Serve as the Co-Chairs of the Executive Committee.
- Work closely with FDP membership, FDP Executive Committee members, the GUIRR representative and GUIRR staff to further FDP goals.
- Co-Chair and attend all FDP meetings.
- Work with the FDP Executive Director and Executive Committee on the oversight of the FDP, establishing agenda items for the organization, planning FDP membership meetings, and setting the priorities and objectives of the FDP.
- Lead Executive Committee conference calls and *ad hoc* conference calls with various FDP committees.
- Responsible for formal communications and publications of the FDP, including facilitating the development of communications and seeking approval from the Executive Committee as appropriate.
- Provide guidance and oversight to the FDP Executive Director.
- Serve as *ex officio* members of all FDP Committees, Subcommittees and Working Groups.
- Provide guidance and oversight to the FDP Committee, Subcommittees and Working Groups.
- Represent the FDP at professional, university and federal agency meetings.
- Interact on behalf of the FDP with external groups: OSTP, OMB, NCURA, SRA, COGR, etc.
- Represent the FDP as GUIRR Council Associate, attend GUIRR Council meetings and report on the status of FDP activities.

Additional duties of Administrative Co-Chair

- Serves as President of the FDP Foundation

Additional duties of Faculty Co-Chair

- Serves as Vice President of the FDP Foundation.
- Serves as the primary point of contact/advocate for encouraging/fostering participation of FDP faculty members.
- Chairs the Faculty Committee and attends all FDP meetings.

- Organizes and participates in all Faculty Steering Committee conference calls.
- Organizes faculty lunch discussions at FDP meetings, organizes faculty panels as appropriate.

Terms of Office for the FDP Co-Chairs

The Co-Chairs of the FDP are elected for three-year terms. Individuals can serve in these positions for two consecutive terms (up to 6 years). If a vacancy occurs for either Co-Chair position during the three-year term, the Executive Committee will appoint a replacement to complete the duration of the term. The election of each Co-Chair is staggered by one year to ensure continuity in the leadership of the FDP.

Nomination Procedures

- The FDP Membership Committee will serve as the nominating committee
- Any Member may submit a nomination for a Co-Chair position. The Administrative Co-Chair nominee must be the currently designated administrative representative from an FDP Member. The Faculty Co-Chair nominee must be the currently designated Faculty representative from an FDP Member.
- A call for nominations will be announced at the Spring FDP meeting prior to an 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 Committee.
- The Membership Committee will contact each nominee to ascertain their willingness to stand for election. If willing to run, the nominee will be asked to submit a statement of qualifications and a vision statement.

Election Procedures

- The Executive Director, in coordination with the Membership Committee, will prepare an electronic ballot containing the candidates for the Co-Chair position being elected.
- Prior to voting, FDP Members should caucus and arrive at a consensus for the votes of their institution.
- The Membership Committee will determine the duration for voting.
- There may only be one vote per Member for the Administrative Co-Chair, typically cast by its currently designated administrative representative. There may only be one vote per Member for the Faculty Co-Chair, which must be cast by its currently designated faculty representative.
  The Executive Director, in coordination with the Membership Committee, will receive tabulate and validate the ballots, and announce the results. If there is no majority as defined, the Membership Committee will conduct a runoff election for the top two candidates.

Government-University-Industry Research Roundtable (GUIRR)

GUIRR, an organization of 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 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 Administrative Co-Chair is the President

- FDP Faculty Co- Chair is the Vice-President
- FDP Executive Director is the Executive Director (non-voting)
- The Chair of the Finance Committee is the Secretary/Treasurer
- Two members at large are appointed to the Foundation Board of Directors by the Executive Committee of the FDP (2-year terms)

Committees

The FDP operates through Operational and Programmatic Committees led by co-chairs. Each Co-Chair is named by the Executive Committee, one from a General and one from a Federal Agency Member. The exception is the Faculty Committee which is co-chaired by the FDP Faculty Co-Chair and a member elected by the Faculty representatives of the General Members. The Co-Chairs convene their committees to provide direction and oversight for the activities taking place within the focus of their specific committee. Each Committee will have a Faculty Liaison, appointed by the FDP Faculty Co-Chair, to help ensure Faculty are kept apprised of committee activities and where appropriate to provide Faculty-oriented feedback on those activities.

Appointments to Committees

The composition of each Committee is determined by the Co-Chairs appointed by the Executive Committee. Appointments to FDP Operational and Programmatic Committees will be for three 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 the Co-Chairs.

Operational Committees

Finance Committee

Provide oversight of the FDP finances as follows:

- Review annual budgets and reports to the Executive Committee on the status of funding.
    - Recommend the member institution dues amount on an annual basis.
    - Set financial related policies and procedures.
    - Monitor the payment of member institution dues.
    - Monitor the investment policies and practices for funds invested through the FDP Foundation.

Membership Committee

- Facilitate and resolve membership issues.
- Monitor meeting attendance and participation, providing trends and any issues to Executive Committee
- Assure vendor participation complies with FDP policy.
- Receive, evaluate and make recommendations related to requests for affiliate membership.
- Encourage increased federal participation and membership.
- Facilitate the transition process for new FDP phases.
- Update and oversee Executive Committee nomination/election procedures.
- Coordinate new member orientation, reception and other activities.
- Coordinate volunteer engagement.
- Develop, issue, coordinate and analyze results of annual member survey.
- Develop and maintain an FDP Member Participation Guide and resources.

- Assist in registration desk at meetings.

Communications Committee

- Develop and maintain an overall communication and outreach plan for FDP.
- Set style guidelines for all FDP committees for all FDP publications in either electronic or print form.
- Provide oversight and direction for the content managers of the FDP web site.
- Edit and approve publications that will have broad viewership to ensure the style, tone and grammar meets Communication Committee guidelines, in coordination with all other FDP Committees. This includes but is not limited to outreach materials soliciting new FDP members, articles for professional development magazines, journals, white papers, summary reports of demonstrations, and other publications as assigned by the Executive Committee.
- Review materials upon the request of the other FDP Committees.
- Compile and disseminate high-level meeting summaries.
- Develop outreach materials, including brochures, PowerPoint templates, etc. to communicate FDP's current initiatives and accomplishments. FDP members can use and customize these materials for a variety of outreach opportunities, including presentations to other organizations and meetings.
- Develop other outreach materials at the request of Executive Committee.

Infrastructure Committee

- Identify, develop and document tools for facilitating communications, information gathering and alignment across all FDP Operations. Provide training and oversight of use, if required.
- Provide support to the executive committee to enhance cross-functional activities.
- Maintain FDP Operational Guidelines, by reviewing at least annually and submit substantive updates to the Executive Committee for approval.
- Maintain documentation of committee responsibilities and membership.
- Inventory, update, and archive FDP organizational documents, including the FDP Organizational Chart and associated documents and information
- Identify and develop project management tools to be utilized in the conduct of FDP activities. Provide training and oversight, if required
- Facilitate interaction, standards, and documentation related to internal FDP data systems.

Programmatic Committees

Faculty Committee

Serves as the forum for faculty representatives to discuss and develop Faculty input on FDP demonstrations and operations. The meetings are used to disseminate information from other FDP committees to Faculty representatives, and for faculty to incubate and develop new demonstration proposals. As needed, the Faculty Committee develops surveys of faculty at member institutions to garner necessary information to direct proposed demonstrations.

Emerging Research Institution Committee

Serves as the forum for Emerging Research Institution representatives to discuss and develop ERI involvement in all FDP Demonstrations and FDP administration. The meetings are used to disseminate information from other FDP committees and federal partners with ERI representatives, and for ERI representatives to consider and develop new demonstration proposals. As needed, the ERI Committee develops surveys of ERI member institutions to garner necessary information to direct proposed demonstrations.

Electronic Research Administration Committee

Identifies opportunities to reduce Faculty and administrator 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 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 sub-award requirements and processes and general research administration areas not targeted for coverage by other committees.

Financial/Audit/Costing Policy Committee

Focuses on Demonstrations 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, 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.

Subcommittees

Subcommittees may be formed under an Operational or Programmatic Committee to oversee an ongoing specific function of or topic area within that committee. Subcommittees are permanent groups within a Committee that are dedicated to a specific topic area. The formation and dissolution of a Subcommittee needs the approval of the Executive Committee and should include well-defined goals and purpose.

Working Groups

Working Groups may be formed by Operational and Programmatic Committees, without additional approval by the Executive Committee, to work on tasks or initiatives within the scope of their own committee or subcommittees. The Committee Co-Chairs must inform the Executive Committee of the charge and membership of such groups. A

Working Group is generally formed to address a specific topic and has a well-defined goal and timeline (generally a limited time duration). Working Groups may evolve into Subcommittees of Operational or Programmatic Committees should their demonstrations become an ongoing function of the FDP.

Demonstrations

Demonstrations include various types of activities such as studies, surveys, tools, guidance documents, new initiatives, pilot projects, and ongoing projects. Demonstrations have specific objectives and may require an evaluation of outcomes in order to determine suitability for the full Federal Demonstration Partnership (FDP). A demonstration would normally involve at least one-member institution and may involve a federal agency. All demonstration types must be approved by the appropriate Committee Co-Chairs and/or Executive Committee as shown below.

Exploratory Initiative, Study, or White Paper Development

An **exploratory initiative**, **study**, or **white paper development** involves an activity to initially review or research an issue that furthers the FDP's mission to streamline the administration of federally sponsored research. These Demonstration types can be completed prior to advancing to another demonstration type and are assigned or approved by the applicable Committee Co-Chairs. Assessment of current state and follow-up evaluation of outcomes may be required.

Tool or Guidance Document

A **tool or guidance document** involves an activity that provides specific information for the FDP to either meet its needs for planning or to provide information in response to questions addressed to the FDP. An assessment of current state and follow-up evaluation of outcomes may be required. This Demonstration type is assigned or approved by the applicable Committee Co-Chairs and require advanced notification to the Executive Committee prior to commencing.

Survey

A **survey** involves an activity that provides specific information for the FDP either to meet its needs for planning or to provide information in response to questions addressed to the FDP. Assessment of current state and follow-up evaluation of outcomes may be required. This Demonstration type must be assigned or approved by the applicable Committee Co-Chairs with advanced notification to the Executive Committee prior to commencing survey within a Committee. Approval by the Executive Committee is required if survey is distributed more broadly than a Committee.

Pilot Project

A **pilot project** is a formal activity of the FDP that may need written commitments from specific federal agencies and FDP member organizations confirming their intention to participate in the pilot project and evaluate it at appropriate points in its development and implementation. Assessment of current state and follow-up evaluation of outcomes is required. Pilot projects are assigned or approved by applicable Committee Co-Chairs and must be approved by the Executive Committee

Ongoing Project

An **ongoing project** is an ongoing extension of any demonstration activity that has completed the evaluation of outcomes and resulted in sustained FDP membership and/or federal agency benefit; participation in an ongoing project may be a requirement of FDP membership. Ongoing projects are assigned or approved by applicable Committee Co-Chairs and must be approved by the Executive Committee.

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. 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 (listservs) 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.