

FDP Research Administration Committee

Lynette Arias, University of Washington TBD, Federal Co-chair **Co-chairs:**

Subcommittees/Working Groups/Initiatives – updates/discussion:

Proposal Initiative: Amanda Hamaker, Purdue Univ

Expanded Clearinghouse: Courtney Swaney, UT Austin

Richard Fenger, U Washington Open Gov:Res Admin Data:

Today's Topics

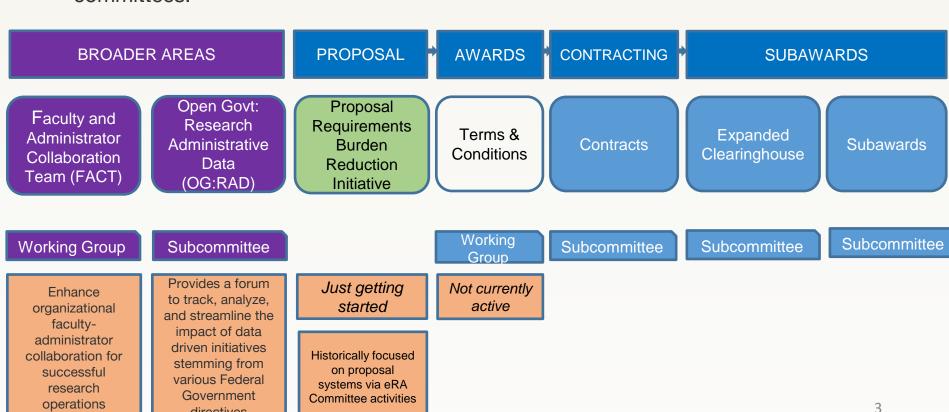
- Research Admin Committee
 - Brief overview of committee scope and activities
- Current Activities/Updates on 3 areas
 - Proposal Initiatives
 - Expanded Clearinghouse
 - Open Government: Research Administration Data
- CY 2021 plans for RA Committee



directives

RA Subcommittees, Working Groups & Initiatives

Identify 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.



Research Admin Committee

Committee/Subcommittee/Working Group	Co-Chairs
Overall Direction & Oversight	Lynette Arias, University of Washington TBD, Federal Co-chair
Contracts Subcommittee	Melissa Korf, Harvard Medical School Elisabeth Peloso, University of Pennsylvania David Mayo, Caltech
Subawards Subcommittee	Amanda Humphrey, Northeastern University Amanda Hamaker, Purdue University Kevin Ritchie, Harvard University
Expanded Clearinghouse Subcommittee	Courtney Swaney, University of Texas Austin Amanda Hamaker, Purdue University Denise Moody, Boston VA Research Institute
Open Government: Research Administration Data	Richard Fenger, University of Washington Avinash Tembulkar, NSF Stephanie Endy, Brown University
Proposal Initiatives	Amanda Hamaker, Purdue University Stephanie Gray, University of Florida Lisa Mosley, Yale University Lori Schultz, University of Arizona
Faculty Administrator Collaboration Team (FACT)	Suzanne Alstadt, UAMS [admin co-chair] Steven Post, UAMS [faculty co-chair]
At-large members	Stephanie Scott, Columbia University Pamela Webb, University of Minnesota

Stephanie Gray, University of Florida Amanda Hamaker, Purdue University Lisa Mosley, Yale University Lori Schultz, University of Arizona

Co-leads of this exploratory initiative



Purpose: To engage FDP in proposal related admin burden reduction initiatives focused on business processes and requirements

- Collaboration with eRA Committee (system focused)
- Potential to collaborate with many other FDP committees, working groups, faculty and federal partners

Current Status:

- Working to identify what would result in the most significant reduction of burden in the Federal proposal development, proposal submission and Just-In-Time stages in order to determine priorities for a potential demonstration or pilot
- Exploratory in nature currently



Some initial activities/discussions:

- SciENcv September FDP session with NSF
- Research.gov Engaged in discussions with NSF regarding the transition to Research.gov.
 - September 2020, gathered a small group on short notice representing 12 FDP member institutions to provide feedback via a Zoom call to NSF about the current use of the Fastlane demo site and the future possible use of a Research.gov demo site.
- Completed initial analysis of practices/requirements related to the proposal submission process from FDP member Federal agencies to identify preferred/more flexible options



Yes/JIT Responses = more flexible/preferred

Questions structured to elicit answer YES =more flexible/preferred; JIT = more flexible/preferred										
Flexibility/FDP Member Agency	NSF	NIH	ONR	USDA	AFOSR	ARO	AMRMC	NASA	EPA	DHS (
Broad use of pre-proposals for most competitive programs	NO	NO	NO	NO	NO	YES	YES	NO	NO	YES
Broad use of rolling proposal deadlines	NO	NO								
Some use of rolling proposal deadlines	YES	NO	YES	NO	YES	YES	YES	NO	NO	NO
Proposal submission is only through Grants.gov not agency supplemental system	NO	NO	NO	NO	YES	YES	NO	NO	YES	YES
Allows submission of abbreviated budgets and justifications at proposal	NO	YES	NO	NO						
Does not require special budget breakdown (by task/federal fiscal year/etc)	YES	YES	NO	YES	YES	YES	YES	YES	YES	NO
Proposal deadline time is 5pm local?	YES	YES	NO	YES	NO	NO	NO	NO	NO	NO
Timing of Current & Pending/Other Support	PROPOSAL	TIL	PROPOSAL	N/A						
Use of sciENcv	YES	YES/NO	NO	NO						
Timing of Data management plan submission	PROPOSAL	PROPOSAL	N/A	PROPOSAL	PROPOSAL	N/A	PROPOSAL	PROPOSAL	N/A	N/A
Timing of Human Subjects use/Clinical Trial description	N/A	PROPOSAL	PROPOSAL	N/A	N/A	N/A	PROPOSAL	N/A	N/A	N/A
Timing of IRB protocol submission	JIT	TIL	TIL	JIT	JIT	JIT	JIT	NO	JIT	JIT
Timing of Animal use description	N/A	PROPOSAL	PROPOSAL	N/A	N/A	N/A	PROPOSAL	N/A	N/A	N/A
Timing of ACUC protocol submission	JIT	TIL	JIT	JIT	JIT	JIT	JIT	NO	JIT	JIT
Does not require submission of SFI/COI disclosures or updates	YES	NO	YES	YES						
Does not require sponsored travel disclosures	YES	NO	YES	YES						
Does not require OCI/ICOI disclosures	YES	YES	NO	YES	YES	YES	YES	YES	YES	YES
Does not require certifications/disclosures other than SAM	YES	YES	NO	YES	NO	NO	YES	YES	NO	YES
Use collaborative proposal model rather than subs	YES	NO	NO							
Does not require collaborators/affiliates form submission	NO	YES	YES	NO	YES	YES	NO	YES	YES	YES



- ThoughtExchange to collect more ideas/thoughts
- Compare the results of the ThoughtExchange with the flexibilities chart to identify possible areas for further exploration
- Potential to expand working group to explore further



Proposal Initiative – ThoughtExchange

What do you believe would result in the most significant reduction of burden in the Federal proposal development, proposal submission and Just-In-Time stages?

https://my.thoughtexchange.com/scroll/584569567



Possible Future Initiatives:

- Review ThoughtExchange results to determine next steps identify additional volunteers to join group
- Continue to collaborate with the eRA Committee on other proposal related projects – focused on business process
- Engage with federal agencies on the possible use of more pre-proposals to limit the burden associated with full submissions
- Encourage use of "Just-In-Time" more broadly to reduce burden when only ~1/3 of proposals are awarded (reps and certs, C&P, complex budget forms, etc.)
- Understand the impact of foreign influence driven requirements on proposals
- Provide feedback to JCORE/CARR on proposal related admin burden reduction topics – stay synced up



Expanded Clearinghouse

Courtney Swaney, University of Texas Austin Subcommittee Co-Chair

FDP Meeting – May 2021



Co-Chairs

- Amanda Hamaker, Purdue University
- Denise Moody, Boston VA Research Institute
- Courtney Swaney, University of Texas, Austin

Members

- Lynette Arias, University of Washington, Senior Advisor, Emeritus Co-Chair
- Webb Brightwell, Harvard University
- Neal Hunt, Vanderbilt University
- Carrie MacCue The Research Foundation for the State University of New York
- Robert Prentiss, Yale University
- Chris Renner, Vanderbilt University Medical Center
- Jennifer Rodis, University of Wisconsin, Madison
- Julie Thatcher, Institute for Systems Biology
- Pamela Webb, University of Minnesota, Senior Advisor, Emeritus Co-Chair

Systems Help: EChelp@thefdp.org
General Questions: ExpClearinghouse@thefdp.org



- New co-chairs (March 1st)
- New Phase VII profiles published (37)
- Subcommittee website
 - Clarification on Clearinghouse subscription fee versus FDP membership fee
- Clearinghouse systems page
- FDP Profile Participation Agreement (May 1st)

Exp Clearinghouse Cohorts

Implementation Date	# of Profiles	
March 2016	56	Pilot participants – wave 1
Aug 2016	73	Pilot participants – wave 2
July 2017	38	Pilot participants – wave 3
Aug 2018	45	Remaining Phase VII members
Sept 2019	25	Non-FDP member participants – 1 st cohort
Fall 2020 –Jan 2021	37	Phase VII new member profiles
By July 1, 2021	23	Non-FDP member participants – 2 nd cohort



Expanded Clearinghouse Timeline for Non-FDP Member Cohort

- [March 2021] Invited waiting list of 48 institutions; 23 accepted participation
 - Phase VII applicants but not FDP members
 - Multi-campus institutions whose main campus is a FDP member
 - Single-audit entity
- [April 2021] Began entering profiles
- [May 2021] Clearinghouse subscription fee due
- [June 2021] Invitations sent for 2nd wave
- [July 1, 2021] New profiles published for 1st wave

Future Considerations

- FDP Infrastructure Committee Internal Systems Working Group collaboration
- Financial risk assessment questionnaire in collaboration with Subawards Subcommittee

 Continue engaging with European colleagues in developing Due Diligence/University of Kent

FEDERAL DEMONSTRATION PARTNERSHIP

Redefining the Government & University Research Partnership

Open Government Research Administration Data (OG:RAD)

Subcommittee Co-Chairs

- Richard Fenger, University of Washington
- Stephanie Endy, Brown University
- Avi Tembulkar, NSF

Letter of Credit Draw-down Survey Leads

- Nate Martinez-Wayman, Duke University
- Chris Berner NSF



OG:RAD – Web Update



Open Government Research Administration Data (thefdp.org\...)

Highlights:

- Purpose: Evidence, community, partners
- Structure: Workgroups and **Community of Practice** Admin Data

Standing Group: Data Analysis and Business Intelligence Community of Practice

Work with folks to demo local data solutions like dashboards and key metrics from our partner institutions. Open call for participants. Contact us and let's make sure you are able to demonstrate your data wares!

Membership: TBD - Expected to be based on New FDP volunteer interest feedback and any data enthusiasts

- Special: Letter of Credit Draw-downs to Distributed Ledger Technology Proof of Concept section. Currently a workgroup in the FDP Finance and Accounting Committee
 - NSF & Treasury DLT Clickable Prototype:
 - Zoom Demo via voutube
 - Presentation PDF
 - Clickable demo (pwd: fit_gps)

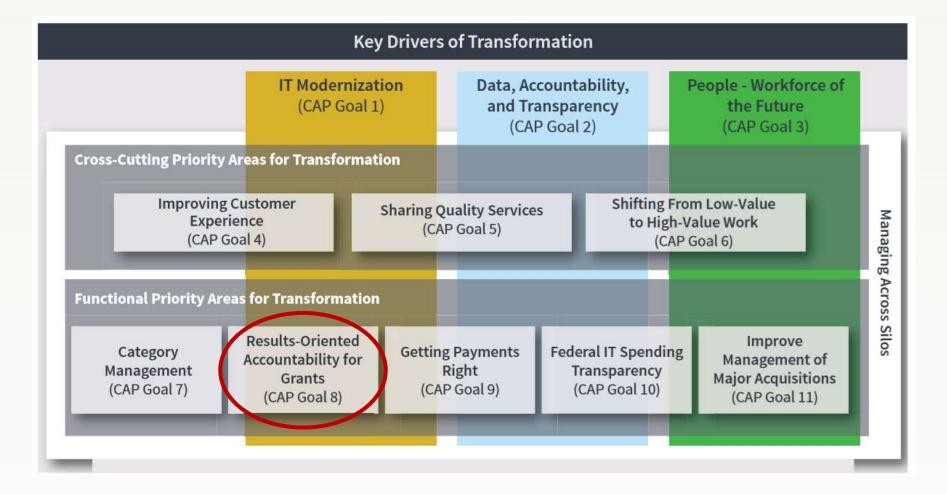


OG:RAD - performance.gov



-President's Management Agenda and Cross-Agency Priorities (PMA and CAP)

Previous Era: <u>performance.gov</u>





OG:RAD - performance.gov



-PMA Archives and Biden's expected soon

Current Moment: <u>performance.gov</u>

Looking for information on a past administration's performance and management agendas Trump archive | Obama archive | Bush archive



COMING SOON

The President's Management Agenda

The President's Management Agenda represents the federal government's reform plan. It establishes a long-term vision for an effective government that works on behalf of the American people with key performance and management priorities designed to improve results.



OG:RAD - performance.gov



-QSMO is up and running

In the meantime, 1:



What are QSMOs?

Who are the QSMOs?

FORMALLY DESIGNATED

Grants Management

QSMO Agency: HHS

Services: Grant Program Administration and Oversight, Management of Grant Pre-Award, Award, Post-Award & Closeout, Grant Recipient Oversight (initial focus may be a Single Audit Solution)

Website:

hhs.gov/about/agencies/asfr/grantsmanagement-quality-servicesmanagement-office/index.html

Contact: GrantsQSMO@hhs.gov

Federal Integrated Business Framework - Grants Management Standards



p QSMOs for select mission support functions. Designated QSMOs serve as solutions for technology and services in their functional area. QSMO offerings are based if the shared services strategy established in OMB Memorandum 19-16. Future QSMO in consultation with the Shared Services Governance Board, official designation remains all of a 5-Year Plan and its alignment with QSMO long-term designation critoria.

ment Innovations and Efficiencies

I Management Quality Service Management Office

OSMO: Treasury and GSA

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DHS OSA Hy-Operations Contar , Vision of Bildy and artification, and DNS

suindension illustration FORMALLY DESIGNATED Core Financial Management

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Grants Management

How agencies get support from the QSMO?

Financial Management

Cybersecurity

Groots Management



OG:RAD - Radar



In the meantime, 2:

Monitoring Modernization Efforts:

- MITRE
- DLT PoC (Treasury and NSF)
- FIBF
- SNoA critical data elements and a step towards automation?
- USASpending.gov dev continues
- Regulations, Legislation, Memos

Current Work:

- Burden Measures & Reduction (Draw-downs/LoC)
- Various modernization efforts (Blockchain, DLT)
- Cap Goal 8 Grants Management Quality Service Management Organizations (QSMO) – via HHS
- FSRS Survey and Partnership
- HERD
- Systems Matrix Analysis (eRA+)





Post Award Management Draw-downs (LoC): Quantifying workload associated with post award management, specifically grant drawdowns. In this project grant recipients will quantify the specific workload by FTE of preparing for drawdowns, drawing funds, and reconciling the funds from the existing institution accounting systems with the Federal Government drawdown systems. Attention will also be given to the number of different drawdown systems used by the FDP members.

OG:RAD	Highlights
Feedback received	62 responses; representative of all FDP members
Basis	5 draw systems: ACM\$, ASAP, G5, GPRS, PMS (now 4 with the retirement of GPRS)
Points of interest to explore	How workload correlates to institutional volume How workload correlates to number of systems used How workload correlates to developed institutional tools Potential improvements
Final Findings & Recommendations	6/15/2021





Summary

Findings:

Respondent profiles 10

Question 1a - Frequency 10

Question 1b - # of Awards 12

Question 2 - Familiarity 16

Respondents:

Frequency & Volume:

54% of the participants drew on the LoC Systems multiple times a month and 46% drew monthly or greater

The results show that **PMS and ACM\$ both have the largest number of awards**. ASAP was a distant third followed by G5 and GPRS.

Familiarity:

ACM\$	4.5	Very Familiar
ASAP	4.3	Familiar
G5	4.1	Familiar
GPRS	3.3	Somewhat Familiar
PMS	4.7	Very Familiar





Summary

Findings:

System experiences 17

Question 3 - Ease of use 17

Question 4 - Difficulty to view 17

Question 5 - Difficulty to understand 18

Question 6 - Availability 19

Question 7 - Customer Support 20

Experiences

Q3 - Easiest to use = ACM\$

Q3 - Least ease of use = ASAP

Q4 - Easiest to view data = ACM\$

Q4 - Least ease of viewing = ASAP

Q5 - Easiest to understand data - ACM\$ Q5 - Least ease of understanding = ASAP

All five systems are available at least 71% of the time to the respondents, though respondents report that ASAP is not as available as the other systems.

Support:

	ACM\$	AS	AΡ	G5	GPRS	PΝ	15
Very dissatisfied	0		2	0	3		4
Somewhat dissatisfied	0	1	7	1	1	7	6
Somewhat satisfied	9		20	8	11		20
Very satisfied	30	1	17	25	9	_/	27
I haven't had to contact customer support	21		12	20	18		5
# Responses	60		58	54	42		62





– Summary

Findings:

Quantifying the process 22

Question 8 - # of Staff 22

Process:

Number of Staff:

Prep

# of people	% Gtot
1	41%
2	38%
More than 2	22%
# Responses	100%

Submission

# of people	%Gtot
1	55%
2	29%
More than 2	16%
# Responses	100%

Ouestion 9 - Number of Hours 25

Reconciliation

# of people	%Gtot	
1	35%	6
2	40%	6
More than 2	25%	6
# Responses	100%	6

Hours

Preparation	5
Submission	3
Post-draw actions (reconciling, etc)	8



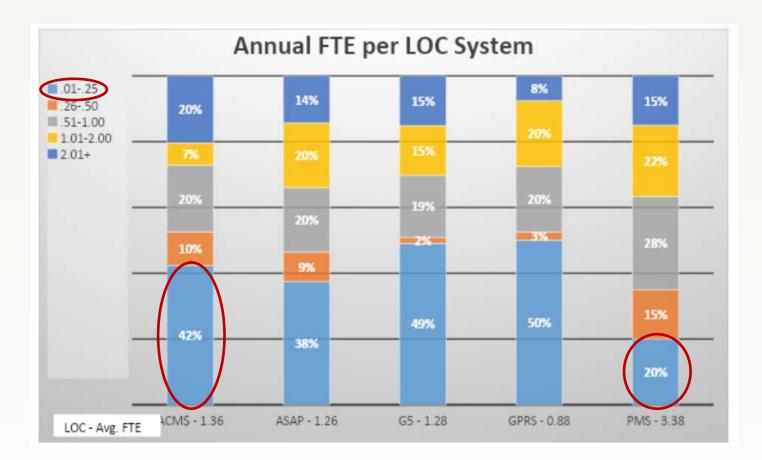


– Summary

Findings:

- Quantifying the process 22
 - Question 10 # of FTEs 29

Process:







– Summary

Findings:

- Quantifying the process 22
 - Question 16 Agency review duration 31

Process:

	ACM\$	ASAP	G5	GPRS	PMS
None	16	19	20	8	18
1 day	27	26	25	12	31
1-5 days	14	11	8	15	12
6-10 days	1	1	1	5	1
11-19 days	1	0	0	0	0
20+ days	0	1	0	1	0

Question 17 - Agency confirmation 32

	ACM\$	ASAP	G5	GPRS	PMS
Email	46	8	35	5	5
In system	5	29	6	26	36
Other	0	5	2	0	5

Question 18 - Avg Time to receive funds 33

	ACM\$	ASAP	G5	GPRS	PMS
1 day	16	34	28	8	36
1-5 days	40	18	22	23	24
6-10 days	1	1	2	6	0
11-19 days	1	1	0	2	1
20+ days	0	1	0	1	0







Findings:

- Finding for opportunities for efficiencies 35
 - Question 11 Additional Tools 35

Question 12 - Upload or manual key-in 36

Question 15 - Supporting Docs Required 37

Opportunities:

	ACM\$	ASAP	G5	GPRS	PMS
Yes	56	49	47	31	58
No	3	8	6	11	. 3
# Responses	59	57	53	42	61

Other Software or Tools Used	241
No Software or Tools Used	31

	ACM\$	ASAP	G5	GPRS	PMS
Yes	47	2	10	0	49
No	13	56	44	41	13
# Responses	60	58	54	41	62

Upload data	108
Manually enter data	167
Total	275

	ACM\$	ASAP	G5	GPRS	PMS
None	52	50	50	38	56
General Description	3	3	2	3	3
Detailed	2	5	2	3	2
Other	1	0	0	0	0
# Responses	58	58	54	44	61





Summary

Findings:

- Section II Data Manipulation 38
- Qualitative Analysis 39
 - Question 13 Best features 39

Question 14 - Worst features 39

Question 19 - Process improvement 39

Section II - Qualitative

No Manipulation	48%
Manipulation	52%

Q13 - System features every system should adopt

- Ability for system to allow for uploading data, exporting data, use an API (30)
- · Ability to return funds, have negative draw amounts, and return funds on closed accounts (20)
- · Inclusion of all relevant information when doing draws (19)
- Common and robust set of queries and reports (9)
- · Elimination of need for quarterly FFR reporting (8)

Q14 - System features needing improvement

- Improvements to data displayed and reporting (20)
- Improve/allow for data uploads/downloads (9)
- Improvements to user interface (7)
- · Improvements to timeout and notifications (7)
- · Allowance for book entry adjustments and refunds (6)

Q19 - Suggestions for improvements to the drawdown process

- Ability to upload/download files (14)
- . Ability to allow for negative draws, book entry adjustments, refunds (8)
- Improvements to notifications, especially when drawdowns have issues (7)
- Increase time before session times out; allow for saving of partially complete draw (7)
- Eliminate requirement for quarterly FFR reporting (6)





– The End

Findings:

- Analysis 41
- Recommendations 42
- Conclusion
- Acknowledgement Vols! THANK YOU!

Survey Creation

- Bryan Van Sickle, University of Michigan
- Deena Pineo, Tufts University
- Erin Wallett, University of Kentucky
- Heather Nelson, University of Idaho
- James Ringo, UC Davis
- Jim Becker, Indiana University
- Julie Luster, Princeton University
- Manuela Dokie, UTEP
- Marlene Erno, Wayne State University
- Paige Brown, University of Kentucky
- Robert Prentiss, University of Texas
- Robin Murphy, Oregon Health and Science University
- Sarah Cody, Texas Tech University
- Victoria Briscoe, UTHealth

Survey Analysis

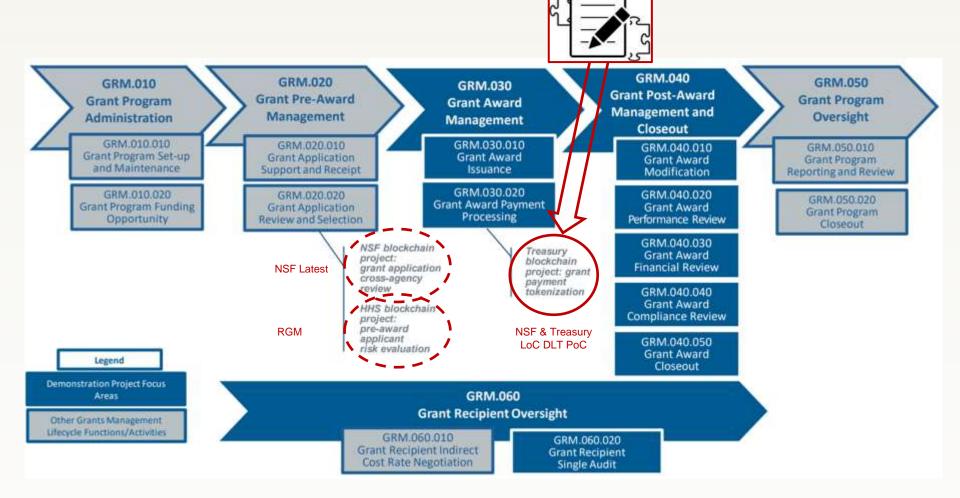
- James Ringo, UC Davis
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- Heather Nelson, University of Idaho
- Manuela Dokie, UTEP
- Marlene Erno, Wayne State University
- Paul Gasior, John Hopkins
- Anthony Tosheff, John Hopkins
- Gloria Greene, University of Alabama Huntsville
- · Adam Mall, University of Michigan
- Afton Berger, Texas A&M University
- Ben Holyomes, Stanford University
- Crystal Foy, Texas A&M University
- Mario Reina-Guerra, UC Davis
- Rosemary Madnick, University of Alaska
- Tim Reuter, Stanford University
- Jonathan Wong, UCLA
- · Valarie King, University of Alabama Huntsville
- Bryan Van Sickle, University of Michigan



OG:RAD – LoC to DLT PoC



MITRE Grant Life-cycle and the LoC

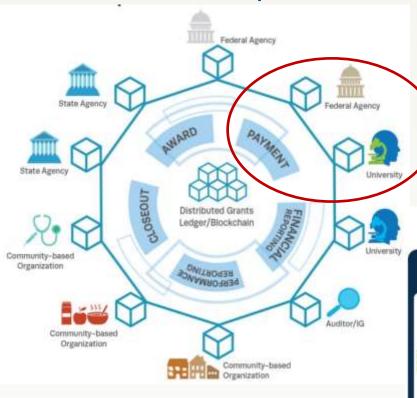


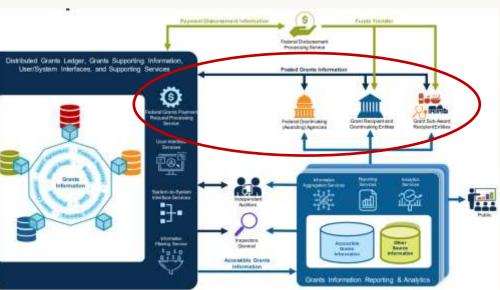


OG:RAD – LoC to DLT PoC



MITRE Grant Life-cycle



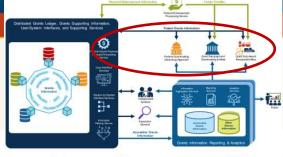




OG:RAD – Payments

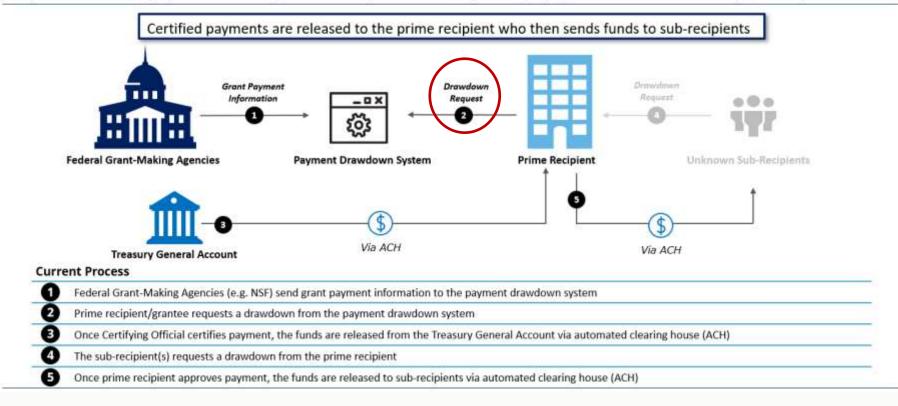
-current State





High Level Current State Grants Payments Flow

Today, the grant payments flow comprises of the Department of the Treasury, the awarding agency, and the prime and sub recipients. Certified payments are only sent to the prime and they manage payments to the subs independently.



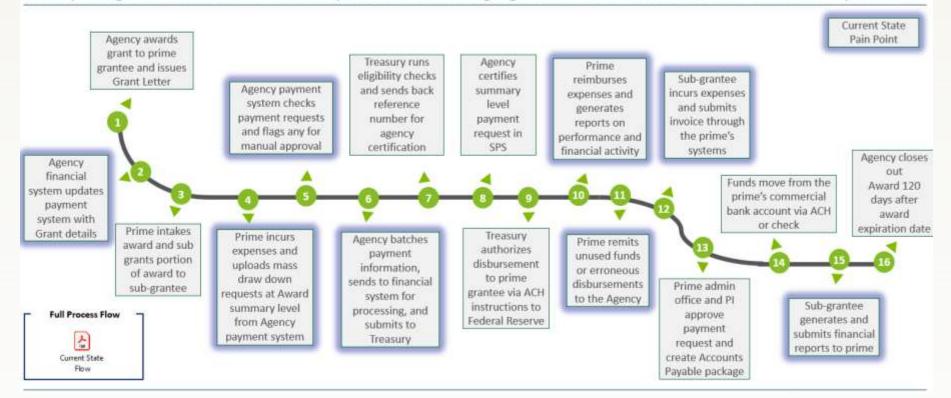


OG:RAD - LoC to DLT PoC



Detailed Current State Grants Payments Flow

The end-to-end flow of grant payments today from NSF's perspective includes manual processes, substantial administrative and reporting burden, and a lack of visibility between actors. Highlighted boxes are further detailed on the subsequent slides.





- OG:RAD Webpage
- Listserv: fdp-open-gvmnt-l@lsw.nas.edu



Proposal Initiative – ThoughtExchange

- Brief sharing of Proposal Exploratory Initiative ThoughtExchange
- Feel free to continue to add more thoughts and ratings.
- We will send information out to group in the coming weeks with more information about next steps.



Session Wrap up / Next steps

Focus over summer

- Identify Federal Co-chair or liaisons
- Engaging additional federal agency partners
- Enhancing our engagement with faculty
- Fill out our Committee, subcommittees & working groups

Continued assessment of priorities for Phase VII

- Utilizing results and recommendations from 2018 Faculty Workload Survey
- Staying in sync with broad federal agency priorities and projects - OMB, OSTP, QSMO, etc

Research Admin Committee
Nesearch Aumm Committee

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Co-Chair Contact Info

- Lynette Arias
 - University of Washington
 - ariasl@uw.edu



Research Administration Committee Webpage

 http://thefdp.org/default/committees/researchadministration/FDP Clearinghouse web-based system

eRA - SAM.gov and UEI Update

1:00pm ET/ 10:00am PT

thefdp.org/