MEETING SUMMARY OF THE
NIH COMMITTEE MANAGEMENT OFFICERS COMMITTEE (CMOC)
Date: May 13, 2014

Attendees:

<table>
<thead>
<tr>
<th>OFACP</th>
<th>Jennifer Spaeth (Chair), Michelle Trout (Executive Secretary) Anna Snouffer, Carolyn Baum, David Clary</th>
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<tbody>
<tr>
<td>CSR</td>
<td>Esther Birbalsingh, Brenda Deflinger, Wendy Remsburg, Sharon Sealey</td>
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<td>NCCAM</td>
<td>Phuong Pham</td>
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<td>NIAAA</td>
<td>Theola Blocker</td>
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<td>NIBIB</td>
<td>Pam Glikman, Alisha Hopkins</td>
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<td>NIDA</td>
<td>Nanette Stephenson</td>
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<td>NIDCD</td>
<td>Kate Whelan, Zita Charles</td>
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<td>NINDS</td>
<td>Ruth Linn, Kelly Baker, Monique Hill</td>
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<td>NLM</td>
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<td>NCI Srv Ctr</td>
<td>Claire Harris, Janet Craigie, Etsegenet Abebe, Natasha Copeland, Darnetta King, Alonda Lord, Malaika Staff</td>
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<td>NHLBI Srv Ctr</td>
<td>Kay Valeda, Kim Hektowski, Sonya Freeman, Tremeka Goodwin, Linda Ticker, Kate Reardon</td>
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<td>NIAID Srv Ctr</td>
<td>David Alperin, Kenyatta Johnson, Nicole Mizell, Bola Odunuga</td>
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<td>NICHD Srv Ctr</td>
<td>Mary Plummer, Tinera Fobbs, Paul Gresham, Ron Livingston, Lisa Neal, Sondra Sheriff</td>
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<td>NIDDK Srv Ctr</td>
<td>Olaf Fonville, Penny Mowery</td>
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<td>NIH Ethics Office</td>
<td>Andrea Collins, Annie Joseph</td>
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<td>Guests</td>
<td>Kathy Tiong, guest of NCI</td>
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ANNOUNCEMENTS:

Ms. Mary Plummer (NICHD Service Center) welcomed Ms. Sondra Sheriff as a new Committee Management Specialist. Mr. David Alperin (NIAID Service Center) welcomed Kenyatta Johnson as a new Committee Management Specialist. Ms. Pam Glikman (NIBIB) welcomed Alisha Hopkins as a new Committee Management Specialist, and Ms. Ruth Linn (NINDS) welcomed Monique Hill, a Committee Management Specialist who recently joined her IC as well. The CMO community also conveyed their best wishes to Ms. Linn on her pending retirement.

Ms. Jenny Spaeth informed the community that the GSA Training information and schedule for the remainder of 2014 has been published. Ms. Carolyn Baum brought hard copies to this meeting and the information is also available online. Before registering for the instructor-led training, all attendees must successfully complete the computer-based Fundamentals Training Course (FACA101). Registration for both courses is done online.

Ms. Deborah McCannon is no longer the Acting Department Committee Management Officer. Ms. Natalie Pojman, Deputy White House Liaison, will now be the signatory on all documents previously signed by Debbie, mainly all Charter filing letters. Debbie will still be extensively involved with all our nomination slates and charter processes.

Ms. Spaeth indicated that an updated OFACP Policy for Consolidating Federal Register Notices was on the OFACP website under the Policies Section: http://ofacp.od.nih.gov/policies/policies.asp.
OFACP staff is offering training at their office to each IC, specific to their personally identified needs. If your IC or service center has not already scheduled a training day, please contact Ms. Spaeth.

TOPICS:

Financial Operating Plans (FOP)/Meeting & Member Data Transfer  (Anna Snouffer)

It is never too early to start preparing for the Annual Comprehensive Review (ACR) report, and with that in mind, Ms. Anna Snouffer referenced the handouts provided to the CMOC. Highlights regarding the

Check Sheet for Financial Operating Plan (FOP) include:

- There must be an active committee record in order to generate an FOP in CM IMPACII;
- All committees must have a GSA ID number and subcommittees (if appropriate) must have the same GSA ID number as the parent committee;
- FACA costs must be associated with FACA meetings, and Workgroup costs must be associated with non-FACA meetings in order to appear on the correct sections of the FOP report.

Highlights regarding the Check Sheet for Meeting and Member Transfer include:

- An active committee record is necessary to transfer meeting to member data;
- SEP members with no active start/end dates will now be rejected by the FACA database;
- Ex-officio members’ end term dates should be no longer than 10 to 15 years from the current year; and
- Any member on a committee that did not attend a meeting will not be picked up by the XML program and must be entered manually after the data transfer to the FACA database.

Both check sheets are required to be finalized, signed, and submitted with the committee’s ACR report. A copy of the handouts are attached to these minutes.

New General Records Schedule 6.2: Federal Advisory Committee Records  (Anna Snouffer)

The National Archives and Records Administration (NARA) Record Schedule Team is in the process of updating and clarifying the entire General Records Schedule (GRS). GRS 6.2 (new numbering) is the portion that covers Federal Advisory Committee Management (FACA) records. The group involved in this process consists of a member of the NARA GRS Team
(Andrea Riley) and CMO specialists from EPA, GSA, NASA, DOD, and NIH. In addition to our discussions, staff from NARA also conducted site visits to review actual committee records and Ms. Snouffer thanked Kay Valeda, Carol Scibek, and Christine Ireland, and their staff members, for participating in site visits at NIH and providing access to their IC committee records.

As a result of our committee meetings and these site visits, a number of changes have been identified in the record schedule. The schedule is much more detailed in identify common types of records and phrases like “other substantive committee records” have been removed when possible.

One change NARA is proposing is that peer review committee records will be maintained on a separate schedule. That is FACA requires that all committee records be kept and are available for public inspection but these records will not become permanent. This change would mean that all committees involved solely in peer review of grant applications would:

- Be kept for the life of the committee at the agency level and will not be submitted to NARA;
- NIH would have to identify a time frame for their disposal based on need of the agency;
- All subcommittee/study section records will be kept for the life of the parent Initial/Integrated Review Group (IRG), not just for the life of that subcommittee; and
- Special Emphasis Panels conducting “open” meetings for the concept reviews would become permanent records (charter and meeting records)

Changes are being proposed for records that NIH previously labeled “Temporary” (based on the way the previous schedule was written) are now proposed to become “Permanent” records. These documents include:

**Charter Documents:**

- Enacting legislation;
- Memos, emails, and other communications explaining committee need, when required;
- Organizational charts, if required;
- Bylaws and standardized operating procedures; and
- Determinations to close a meeting or a portion of a meeting (since most are closed under exemptions 4 & 6 that has been done under a blanket approval, information will be kept only for those closed under exemption 9)
Committee Membership:

- Memos or similar documentation of how and/or why members were selected, if they exist;
- Appointment letters, including renewals; and
- Resignation letters

Reminder: The following documents continue to remain “Permanent” documents:

Subcommittee/Workgroup Records:

- Records relating to the formation of subcommittees/workgroups and their duties;
- Decision documents;
- Membership;
- Meeting summaries or minutes; and
- Reports, briefing materials, background materials, and any substantive correspondence between committee members and agency officials

Once the new GRS has been completely vetted by agency, committee management officers, and FACA attorneys throughout the Government, OFACP will work with the Office of Management Assessment to update the NIH Manual Chapter 1743 “Keeping and Destroying Records” for the committee management business area.

Roles of OFACP, CMOs, and DEC/EC Offices in Managing COIs for SGEs (Jenny Spaeth)

Ms. Spaeth referenced the document previously emailed to the CMO community. The document contains excerpts from the draft of Manual Chapter 1810-1, Procedures for Avoiding Conflict of Interest for Special and other Federal Government Employees Serving as Advisory Committee Members. The excerpts spelled out the duties of the OFACP, the IC CMOs, and the IC Ethic Counselors and NIH Ethics Office (DEC) in managing COIs. Not included in these excerpts are the definitions and responsibilities of the DFOs, Executive Secretaries, Program/Review and Grants Management Staff, OGC/Ethics, and Advisory Committee Members.

As shown by these definitions, the initial financial review/disclosure falls upon the CMOs and being able to consult and work with the IC DEC is paramount. While OFACP is aware of the stress and burden on the CMOs, OFACP isn’t involved in the operational aspects of the DEC/EC-CMO relationship with respect to the vetting of individual committee members.

Ms. Spaeth stated she is willing to act as an ambassador between the CMO community and the OGC/Ethics Office to facilitate a better working relationship, if that may be of help.
TABLE TALK:

Michelle Trout announced that the first five chapters for the Committee Management Handbook have been updated. Please be sure to check for these chapters before submitting documents to your OFACP analyst, especially Chapter III – Chartering Advisory Committees.

The meeting was adjourned at 10:25 a.m.

/s/
Michelle Trout
Executive Secretary

NEXT MEETING: July 8, 2014 – 6701 Rockledge Drive (Rock2) Rooms 9112-9116