



FEDERAL DEMONSTRATION PARTNERSHIP
Redefining the Government & University Research Partnership

FDP Expanded Clearinghouse

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Pamela Webb, University of Minnesota

Courtney Swaney, University of Texas Austin

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Sara Clough, University of Texas Austin

Lesley Schmidt Sindberg, University of Minnesota

FDP Meeting – May 2018



Agenda

- Introductions & Exciting News!
- Pilot Recommendations Updates
- General updates & reminders
- Data Integrity & Use
- System Update
- Financial Questionnaire
- Open discussion



Exciting News!

- Transitioning out of Pilot mode!
- Executive Committee approved Clearinghouse transition from Working Group to Subcommittee!
 - From a limited duration & focused Pilot
 - To an ongoing official Subcommittee
- Steering Committee formed for ongoing support





Meet your new Steering Committee!

Area/Role/Functions	Lead Area Partner	Area Partner
Overall direction & oversight	Lynette Arias & Pamela Webb (co-chairs)	NA
Federal Agency Liaison(s)	TBD Federal partner(s)	
Project Management	Courtney Swaney	Denise Moody
Help Desk	Courtney Swaney	TBD
Web Based System	Chris Renner	Michael Johnson
Education, Outreach & Evaluation	Julie Thatcher	Neal Hunt
Profile Review & Approval (new)	Lynette & Pamela	NA
Profile Review & Approval (updates) & Data Analysis	Robert Prentiss	Webb Brightwell
Financial Questionnaire	Sara Clough	Lesley Schmidt Sindberg
Long Term Planning	Jennifer Rodis	Amanda Hamaker



Communication & Marketing

- Final Pilot Report – now on webpage!
 - http://sites.nationalacademies.org/cs/groups/pgasite/documents/webpage/pga_185899.pdf
- Press Release
 - http://sites.nationalacademies.org/cs/groups/pgasite/documents/webpage/pga_186207.pdf
- NCURA article – to be published Mid May
- Spring conference presentations – NCURA regional mtgs



Pilot Recommendations – Reminder and status updates

- Re-invite FDP members not already Participating Organizations (43)
- Have participation in Expanded Clearinghouse be mandatory for FDP members
- Continue development & enhancement work
 - Ongoing small to medium enhancements
 - Develop Application Programming Interface (API)
 - Continue development & pilot use of Financial Questionnaire for non-Single Audit organizations
- Continue long term planning for Expanded Clearinghouse & future directions



Adding Other FDP Members

- Have been very successful with others joining
- **200 Participating Organizations / Profiles currently!**
- Still considering:
 - Children's Hospital of Philadelphia
 - Morgan State University
 - Ohio State University
 - Columbia University
- Profiles most recently published or updated:
 - Go to Participating Organizations page
 - Sort on "Last Published On" column





Mandatory Use of Clearinghouse?

- Still being discussed by Executive Committee
- Likely would not happen until next Phase in 2020
 - If at all
- We have almost all members in current phase!
 - So might be a moot point
- There are side benefits to having all of this information on Members.... More to come on this!





Continued development & enhancement work

- Ongoing small to medium enhancements & bug fixes
- API has been developed, tested and ready to launch
- Use for non-Single audit organizations?
 - Work continues on Financial Questionnaire
 - Pilot in development, similar to Clearinghouse Pilot approach
 - Sara and Lesley will share more about this shortly!



Getting to Future Planning

- First step was to close out and report on the Pilot 
- Then get established as Subcommittee with Steering Committee to support operations 
- Stabilize and standardize the Clearinghouse processes





Future planning - examples

- Mandatory use by FDP Member Organizations
- Inviting/allowing non-FDP Member Orgs to join
 - To charge or not to charge
 - Phases or cohorts to be invited in
 - Single Audit orgs first
- Federal involvement ? How ?
 - SAM.gov mapping project. SAM webservices
 - Federal Audit Clearinghouse
- Financial Questionnaire added to Clearinghouse system
- Merging other components of FDP page in – FCOI Clearinghouse, A133 Database, FDP member institutional profile, others?
- FDP responsibility and ownership of data in Clearinghouse / use of data for FDP



Updating your Profiles - Reminders

- SAM Registration
 - Update SAM and then immediately also update your Profile
- Audit Section:
 - Audit answers are KEY – profile preparers and certifiers must verify accuracy before approving.
 - Add new audit (2017) and then move 2016 audit down to “Single Audit Report from previous fiscal year”
 - Audit link must be direct or no more than 1 more obvious click
 - Make sure you are capturing your Single Audit (not Financial Statements)
- Contacts section:
 - Need to make sure you keep the contacts current at all times
- Current data at all times in Profiles:
 - New escalation process for Profiles not kept current
 - Reminder about [Business Use Agreement](#)
- Vital to the integrity of the system!!





Profile Updating activity

- Profile Updates



- 550 profile updates in the last year
 - 149 profile rejections in past year (for corrections)
- We are looking at this more closely to see if this can be modified to more fully automate the validation process
 - Check for bad hyperlinks, bad dates, etc.



Resource Updates

- Sample push back language updated

http://sites.nationalacademies.org/cs/groups/pgasite/documents/webpage/pga_171500.docx

- Webpage updates

- In the process of archiving pilot information
- Updated pages will contain key information needed for ongoing activity and resources

- Instructions & Videos



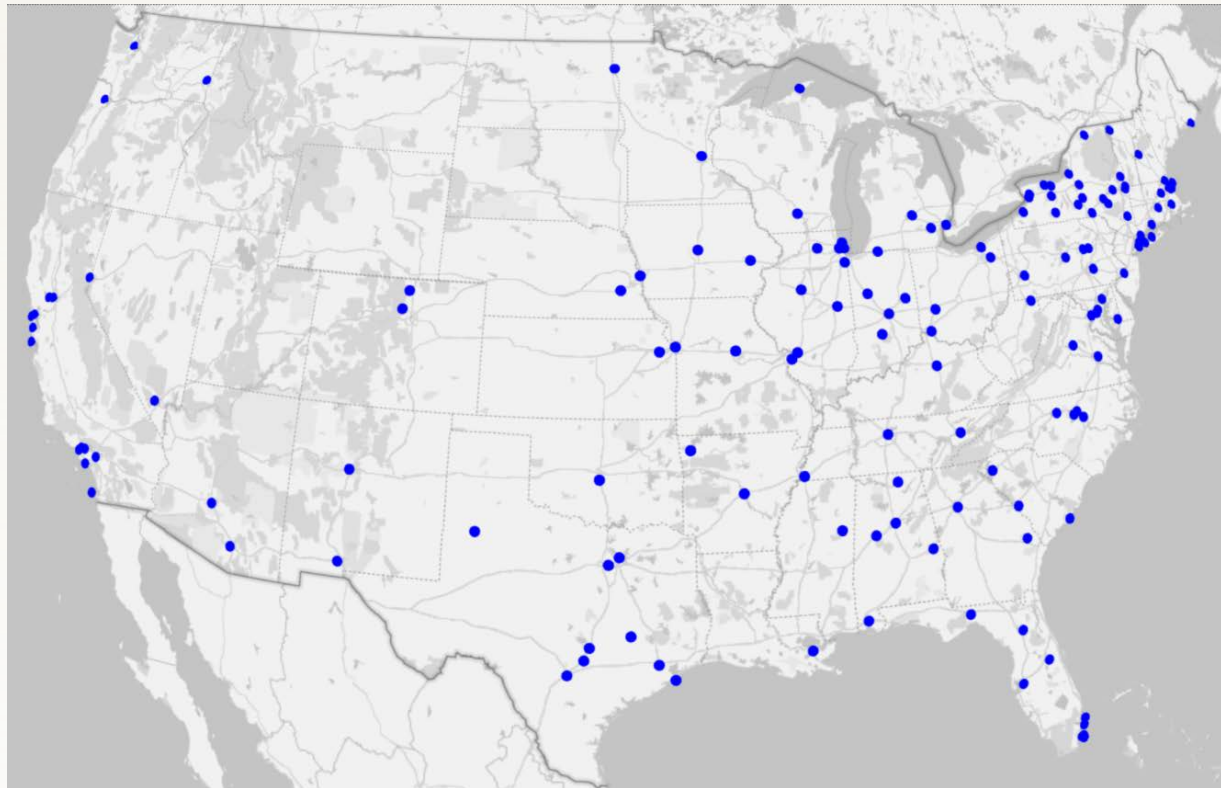
Data review & updating

- Also to support the integrity of the system....
- Robert, Pamela and Lynette are undergoing some data scrubs and review of the data in the system
- You might be contacted to update your Profile for consistency sake with things like:
 - Legal entity name needs to match SAM.gov
 - Primary Audit Entity needs to match Entity actually being audited – state, larger system or organization
 - Links no longer working
 - Update to Fringe Benefit attachment



April 2018 Activity

Organizations	195
Users	2,583
Sessions	5,667
Page Views	27,688





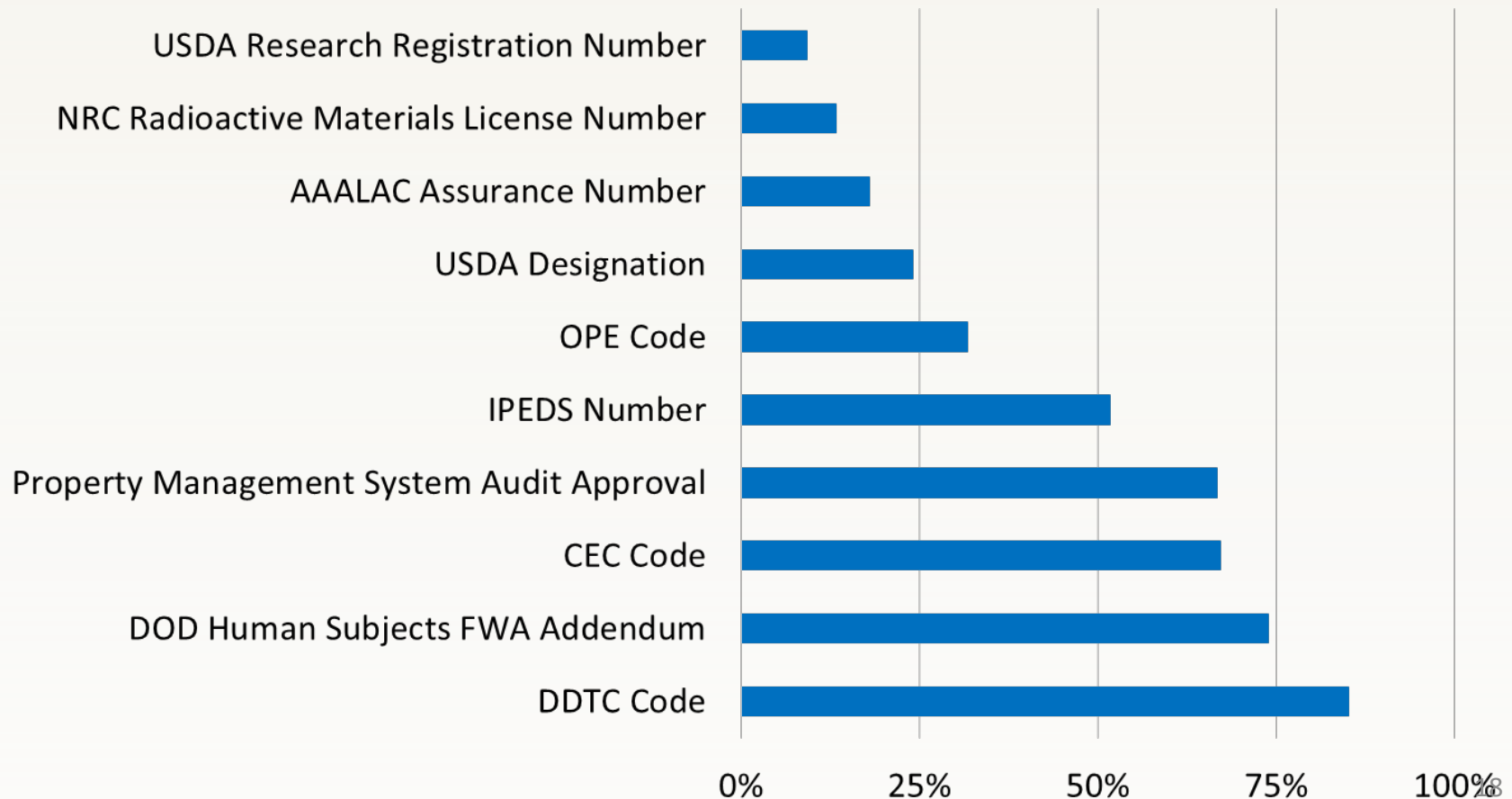
Data Analysis

- To help us evolve the Clearinghouse
 - Are there fields not being populated as much as others?
 - Are there common comments that we might want to think about creating a dedicated field for?
- Also potential side benefits for FDP as a whole
 - Having all FDP member data allows us to gather interesting data and analyze to potentially support FDP
 - All participating organizations agreed to Terms & Conditions which included open transparency, with respect to the data being used for subrecipient entity monitoring
 - Might we all benefit from other uses as well?



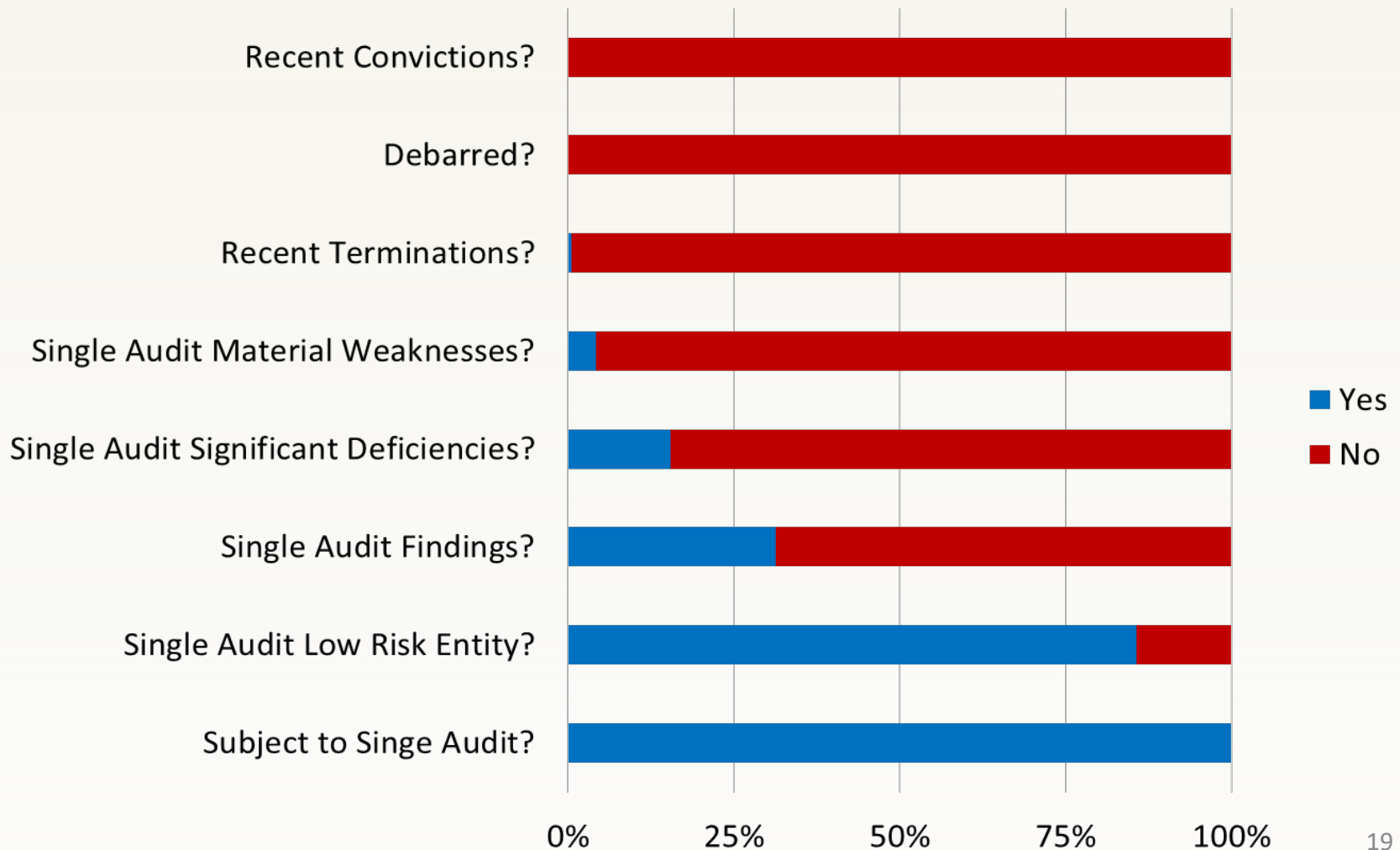
Example: Data Element Usage

How often is *Not Applicable* used?





Example: Audit & Risk Data





Brief open discussion

- What do organizations think about the data being used to support FDP in this fashion?
- Other suggestions for ways to analyze data that might be helpful?
- This is not meant to replace organizations subrecipient monitoring procedures!





System Updates

- Significant code update
 - Keep codebase current
 - Improve maintainability & scalability
 - No visible changes to the user
- No Excel/CSV data export feature
 - Duplicates API functionality
 - Reduces references to website, increases risk of old/bad data
 - Enhanced search tools coming to the web site
- API



Application Programming Interface (API)

- Status

- Finalize and open to all Participating Organizations in May
- 3 tokens issued to member institutions during testing phase

- Documentation

- Available on SwaggerHub at <https://goo.gl/qtbJgN>

- Requirements for Access

- Must already have a valid EC profile
- Submit Token Access request from Data Access page
- Token will be provided by FDP API helpdesk
- Calls to API will be logged by token and IP address
- Non-FDP member “Public” access under consideration*

** requesting access token would still be required*



Application Programming Interface (API)

- API Version 1 has 4 Methods:
 - Get all profiles for all members
 - Get a single profile by DUNS# (returns multiple results in scenario of 1-DUNS to many members—rare)
 - Get a single profile by their clearinghouse unique ID
 - Get date an org profile was last updated by their clearinghouse unique ID



Request API Access Token



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Organizations

Add Organization

Admin

My Dashboard

Data Access

Help

FDP Website

Data Access

GO TO THIS PAGE FIRST

System-to-System API [BETA]

Beta Version 1 of the API is now available to FDP Members with a published Clearinghouse profile. See below for documentation and to request your institution's access token.

API Terms & Conditions

API users are expected to review and adhere to the API terms and conditions of use, which can be viewed [here](#).

Documentation

Technical documentation for API Version 1 is publicly available on [SwaggerHub](#).

What to Expect

The API returns data in JSON format, a common cross-platform data format. Although the data is human readable, the purpose is for system-to-system communication. A profile returned by the API will contain the majority of data elements visible on screen for the same profile, with a few exceptions: 1) the comments fields at the bottom of each tab are not included in the API output, and 2) the Authorized Profile Certifier name and date of certification/submission to FDP.

Request API Token

CLICK HERE TO REQUEST API TOKEN

Access tokens are currently available only to FDP members with an active profile in the Expanded Clearinghouse.

[Click here](#) to request an API access token (login required).



FEDERAL DEMONSTRATION PARTNERSHIP
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FDP Financial Questionnaire Pilot

Sara Clough, University of Texas at Austin

Lesley Schmidt Sindberg, University of Minnesota



Agenda

- Subaward Basics
- Uniform Guidance Risk Assessment Requirement
- Development of Financial Assessment Questionnaire
- Potential Pilot
- Draft Financial Questionnaire Overview



Subaward Basics

Why Assess Risk of Subrecipients?

- Ensure stewardship of Federal funds
- Prevent audit findings
- Stop disallowed costs from being charged
- Avert fines/penalties
- ***Comply with Uniform Guidance***



Uniform Guidance

2 CFR 200.331 Requirements for Pass-through Entities

- Requires PTE to conduct a risk assessment to evaluate the likelihood that a subrecipient will fail to comply with the requirements of the subaward.
- Criteria used in evaluating risk often includes:
 - Subrecipient's audit experience
 - Subrecipient type or location (university, hospital, nonprofit organization, government organization, for-profit organization or foreign organization)
 - Size, nature, and complexity of the proposed research project
 - Fiscal maturity of the subrecipient



Beginning Risk Assessment

Single Audit vs. Financial Questionnaire

- If subrecipient has expended \$750,000 or more of Federal grants/awards in a fiscal year, they are subject to Single Audit.
- If subrecipient is not subject to Single Audit, alternative financial questionnaire and financial materials should be gathered and reviewed.



Ways of Obtaining Single Audit

Federal Audit Clearinghouse

The screenshot shows the homepage of the Federal Audit Clearinghouse Image Management System. The header includes the system name and a navigation bar with links to the Instruction Manual, Federal Program Contacts, and FAC Home Page. A 'Main Menu' section is visible, along with a description of the Image Management System (IMS) as a web-based query system. Below this, there are tabs for 'Important Notices', 'Search for Single Audits', and 'Specialized Reports'. A notice is displayed regarding the availability of single audit reporting packages and the deadline for submissions.

Federal Audit Clearinghouse
Image Management System

Instruction Manual Federal Program Contacts FAC Home Page

Main Menu

The Image Management System (IMS) is a web-based query system for users to query and download single audit reports.

Important Notices Search for Single Audits Specialized Reports

All Single Audit reporting packages, with the possible exception of Indian Tribes and Tribal Organizations, submitted under Uniform Guidance are available to the public on the Federal Audit Clearinghouse's Internet Management System (IMS) per 2 CFR 200.512(b)(1). Indian Tribes and Tribal Organizations may opt not to authorize the Federal Audit Clearinghouse to make the reporting package publicly available on IMS per 2 CFR 200.512(b)(2).

The Office of Management and Budget (OMB) has determined that any Uniform Guidance single audit submissions due prior to September 19, 2016, will now be due to the FAC on September 19, 2016. This extension only applies to the actual submission to the FAC. The audit itself must be completed and reports issued within the timeframe specified in the Uniform Guidance. Submissions of single audits performed under OMB Circular A-133 must continue to follow the deadlines prescribed in OMB Circular A-133.

FDP Expanded Clearinghouse

The screenshot shows the homepage of the Federal Demonstration Partnership (FDP) Expanded Clearinghouse. The header includes the FDP logo and the tagline 'Redefining the Government & University Research Partnership'. A navigation bar contains links to Home, Participating Organizations, Add Organization, My Dashboard, Data Access, Help, and FDP Website. The main content area is titled 'Participating Organizations' and includes a search bar and a table listing various organizations. The table columns are Organization (Common Name), Primary DUNS, Primary Contact, and Last Published On.

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Home Participating Organizations Add Organization My Dashboard Data Access Help FDP Website

Participating Organizations

This list of Participating Organizations contains participants in the FDP Expanded Clearinghouse Pilot. The Pilot is not open to new members at this time, but interested FDP members may express interest for later inclusion in the Pilot by emailing the Co-Chairs at fjpac@uic.edu. We hope to include non-FDP members later this year.

Please click on the Participating Organizations name to view their Profile. Once a Profile is opened you can tab through 6 sections of information on the Profile. You may also print an organizations Profile once you have selected the Profile by selecting the Print button in the top right corner of the Profile.

Show 15 organizations

Organization (Common Name)	Primary DUNS	Primary Contact	Last Published On
Arizona State University	94281462	Kirsty Macdonald	12-08-2017
Augusta University Research Institute, Inc.	95668891	Diego Vazquez	08-02-2018
Bell State University	05524705	Justin Miller	01-30-2018
Beckman Research Institute of the City of Hope	02707823	Justin Lucas	01-30-2018
Boston College	04896139	Sharon Cornwell-Goddard	03-14-2018
Boston University/Charles River Campus	04843056	Dolores Marley	03-14-2018
Boston University/Medical Campus	04481045	Dolores Marley	03-14-2018
Bradley University	04030788	Jeffrey Balken	03-05-2018
Brandeis University	00849014	Paul O'Keefe	03-08-2018
Brigham and Women's Hospital	03082289	Phil Beas	05-05-2017
Brown University	00789540	Patrice A. Carosi	02-08-2018
Bucknell University	00000000	Robert Guberman	02-02-2017



Financial Questionnaire (FQ)

How do PTEs obtain and review Financial Questionnaire?

**Subrecipient Not
Subject to Single
Audit**

- Non-profit
- Foreign Institution

UMN Financial
Questionnaire



UT Austin
Financial
Questionnaire



THE UNIVERSITY OF
TEXAS
— AT AUSTIN —

Stanford
Financial
Questionnaire

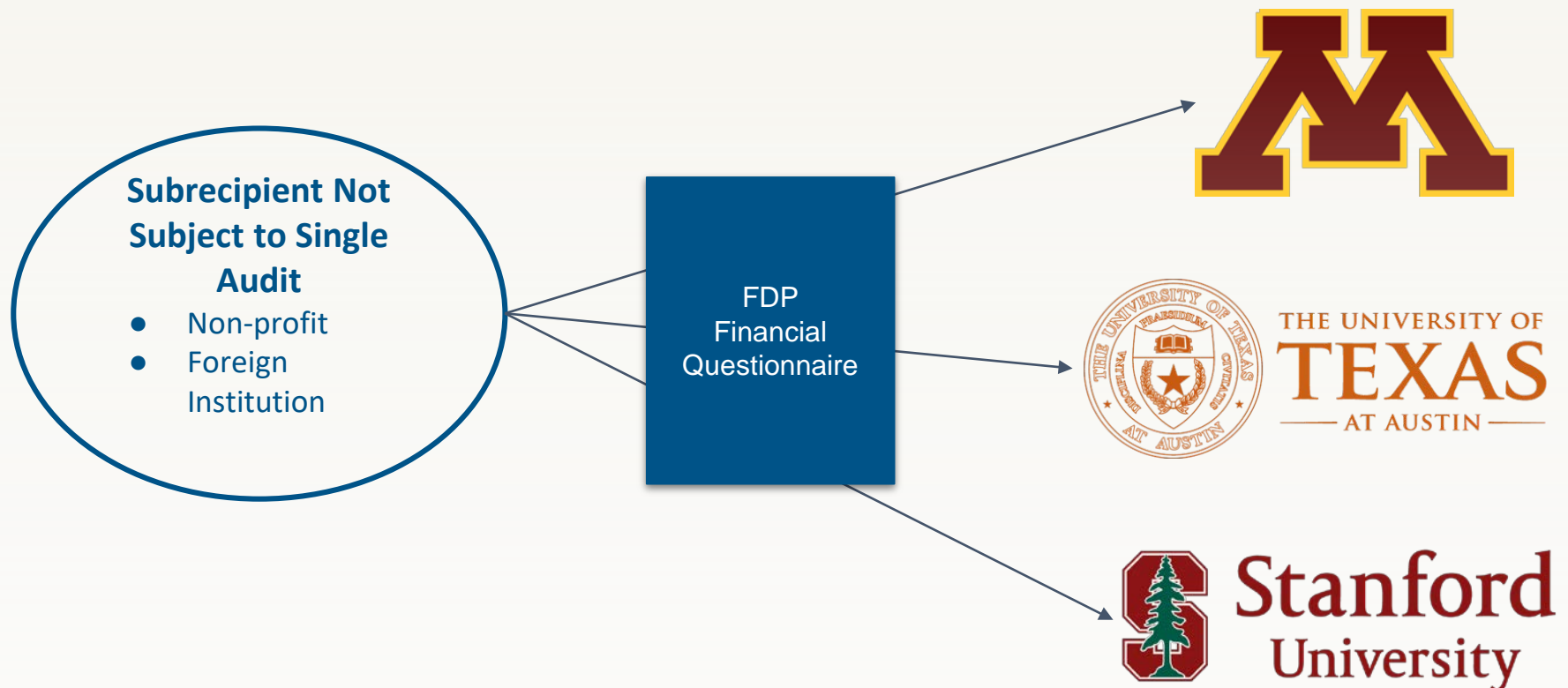


Stanford
University



Financial Questionnaire (FQ)

National consistency, efficiency, and consensus needed





Financial Questionnaire (FQ)

Pitfalls of current process:

- No standardized, consistently used form
 - An example financial questionnaire is provided on FDP website but is an exhaustive list of all potential questions
- No online repository
 - Subrecipients must complete PTE-specific form for each institution with which they work
 - Housed locally at each PTE
- Little documented consensus guidance on how to review financial questionnaire



Progress to Date

April 2017

Supporting Documents Working Group Kick Off Call

Spring 2017

Developed draft FQ

- Removed redundant questions
- Made applicable to different subrecipient types
- Limited use of jargon

Summer 2017

Feedback from small sample of subrecipients and FDP institutions

Fall 2017

Revised FQ

Winter 2017 - Current

Developing detailed guidance

- For subrecipients filling out FQ
- For PTEs reviewing the completed FQ
- Potential risk mitigation strategies to implement

Next Steps:
Potential Pilot



Working Group Members

Thank you to all who participated and dedicated their time!

Alice Reuther

Anne DePietri

Steve Parker

Sara Clough

Stephanie Scott

Tyra Darville-Layne

Laura Register

Amanda Hamaker

Jennifer Barron

Marcy Friedle

Lesley Schmidt Sindberg

Judy Krzyzek



Financial Questionnaire: Potential Pilot

Demonstrate
need and want
for the
questionnaire

Test questions,
guidance, & risk
mitigation strategies
to ensure
consistency



Collect feedback
on the above from
both PTE's and
Subrecipients

Measure burden
relieved

After the pilot...

- Determine whether FQ could be incorporated into Expanded Clearinghouse for entities not subject to single audit.
- If not, FQ remains useful, standard tool with guidance and best practices for subrecipients to more readily recognize -- likely reducing some administrative burden.



Initial Survey for PTEs

- Estimated # of financial questionnaires (FQ) sent
 - segmented by subrecipient entity type
- Average time to complete a FQ
- Average time to send and review a FQ
- Which office issues and reviews FQ?
- Would your institution be willing to use the FDP FQ?
Why or why not?
- Would your institution use this for new entities or on an annual basis? What is your current process?



Tell us your thoughts....

- Would you be interested in participating in a pilot?



Outline of DRAFT FQ

1. Characteristics of Your Subrecipient
 - Size (# of employees); Foreign/Domestic (country where entity located); For-profit/Nonprofit; Public/Private
2. **General Financial, Audit and Internal Controls Information**
3. **Accounting System/Funds Management**
4. **Facilities & Administrative Costs (F&A)/Indirect (IDC)**
5. **Documentation of Personnel Costs**
6. **Procurement/Purchasing**
7. **Property Management**
8. **Cost Transfers**
9. Entity Authorized Official Approval/Certification

Approximately 16 questions total



Example Questions from Section

General Financial, Audit and Internal Controls Information

1. Does your organization have its financial statements reviewed by an independent auditor/accounting firm (third party, external, public)? (Yes/No)

- If yes, please provide a copy of or link to the most recent audited financials including auditors' letter.
- If no, please provide a copy of or link to the most recent un-audited financials (for example: ledger, tax statements, etc.).

2. Are duties separated so that no one individual has complete authority over an entire financial transaction? (Yes/No)

3. Does your organization have and periodically evaluate its internal controls policies or procedures to assure it is managing U.S. Federal and non-federal awards in compliance with applicable law, federal regulations, and terms of the award? (Yes/No)

- If yes, please provide a copy of or link to your organization's internal controls policies or procedures.
- If no, please provide a brief description of your organization's internal controls.



Sample of the FQ Guidance

General Financial, Audit and Internal Controls Information

1. Does your organization have its financial statements reviewed by an independent auditor/accounting firm (third party, external, public)?

Subrecipient Guidance

These financial documents are used by the organization passing through funding to comply with federal regulations to assess the risk of awarding funds to your organization and to verify that your organization has policies and procedures in place to adequately manage the funds.

PTE Guidance

Audited and unaudited financials are both used in the risk assessment process to identify and assess the ability of the Subrecipient organization to handle the funds awarded. Unaudited financials are considered less reliable than audited financials because they are not reviewed and attested to by an independent, external entity; they are self-reported.

- If yes, please provide a copy of or link to the most recent audited financials including auditors' letter.

Subrecipient Guidance

Audited financials include any financial statements that have been reviewed by a qualified third-party, such as an external audit or accounting firm and include an opinion on the quality and accuracy of the financial statements, a statement that it has been prepared in accordance with generally accepted accounting principles and that has been audited by an independent certified public accountant in accordance with generally accepted auditing standards. This may also include a 10-K or annual report from a large company that may not necessarily include an audit letter or statements.

PTE Guidance

Some things from the financial statement that can be considered:

- Current ratio (Current Assets/Current Liabilities) determines liquidity (assets should exceed liabilities)
- Total Revenue to determine how much funding they're able to handle
- Revenue less Expenses to ensure they are not running a deficit
- Changes in cash on hand, revenue, profit, etc. from prior years to identify potential issues
- Changes in expenditures from prior years
- Trends and diversions from them are important to note, inquire about, and understand what might have caused them



Thank you!

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Lesley Schmidt Sindberg, University of Minnesota
schm1421@umn.edu

Please contact us with any questions or if you are interested in joining!



Questions & Discussion

- All feedback, comments, questions and praise - please use

fdpechelp@gmail.com





Key links & Helpdesk Email

- Expanded Clearinghouse Webpage
 - http://sites.nationalacademies.org/PGA/fdp/PGA_055835
- FDP Clearinghouse web-based system
 - <http://fdpclearinghouse.org/>
- Helpdesk
 - fdpechelp@gmail.com



Co-Chair Contact Info

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