



FEDERAL DEMONSTRATION PARTNERSHIP
Redefining the Government & University Research Partnership

FDP Expanded Clearinghouse

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FDP Meeting – Sept 2016

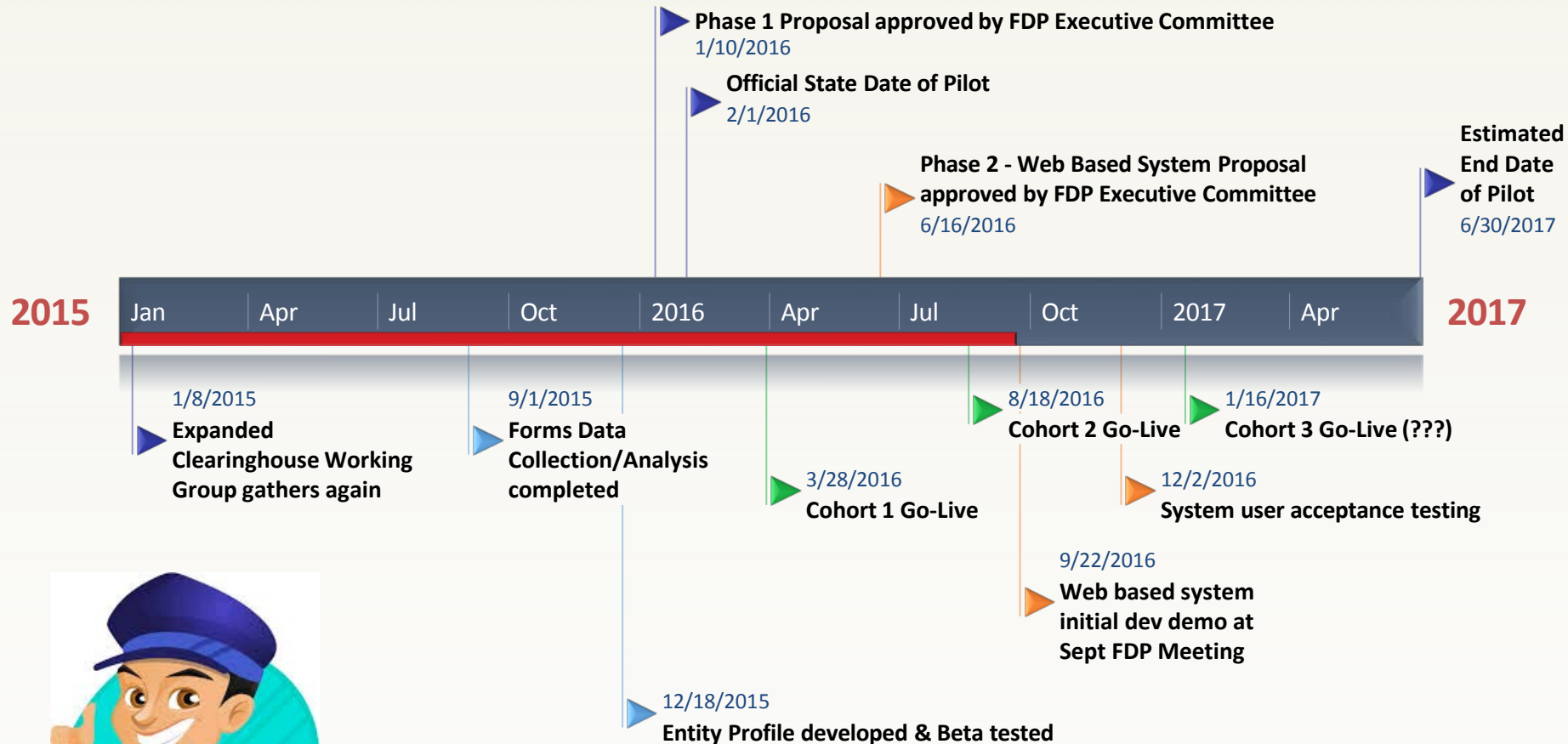


Agenda

- Brief overview
- Cohort 1 – Tracking data
- Cohort 2 – Go Live update
- Cohort 2 – Initial Rollout Survey
- Phase 2 – Web based system overview
- Web based system Demo
- Pilot Supporting Documents
- Next Steps



Pilot Estimated Timeline





Cohort 1 Go-live Steps



DATE	ACTION
1/10/2016	Proposal approved by Executive Committee!!
1/22/2016	Entities Authorized Official approvals obtained
January 2016	Instructions developed
2/10/2016	Welcome Packets distributed
2/17 & 24	Welcome Calls
3/1/2016	Deadline for submission of Entity Profiles
Feb & March	Piloteers ready their institutions for Pilot Go-Live
3/28/2016	Go-live for Pilot use of Entity Profiles
4/29/2016	Gathered preliminary tracking info from Working Group members
6/30/2016	End date of first official period for Pilot Tracking Forms



Cohort 1 Pilot Entities

Red = Beta Tester

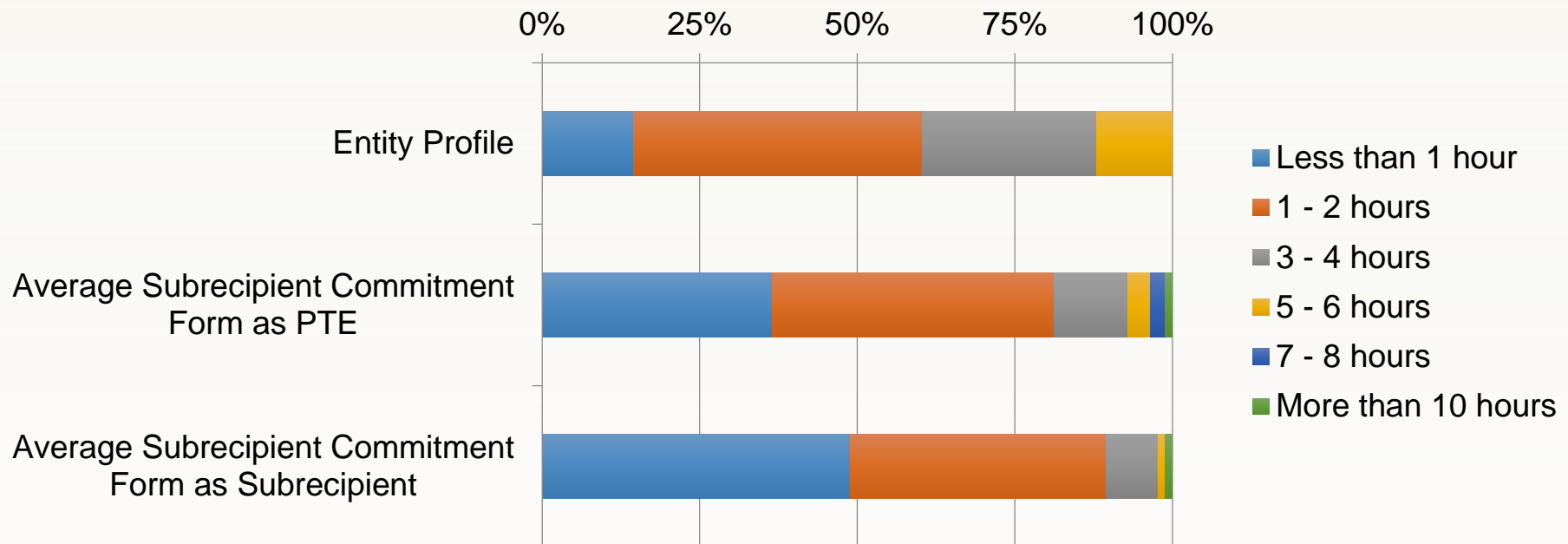
- Augusta University Research Institute
- Brandeis University
- **Brown University**
- California Institute of Technology
- Cedars-Sinai Health Systems
- Dana-Farber Cancer Institute
- Duke University
- **Florida State University**
- Georgia Institute of Technology
- Harvard Medical School
- Harvard T.H. Chan School of Public Health
- Harvard University
- **Johns Hopkins University**
- **Icahn School of Medicine at Mount Sinai**
- **Institute for Systems Biology**
- Michigan Technological University
- New York University, Washington Square Campus
- Northern Illinois University
- **Northwestern University, Evanston Campus**
- Oregon Health & Science University
- Partners HealthCare
 - Brigham and Women's Hospital
 - Massachusetts General Hospital
 - McLean Hospital
- **Purdue University**
- Syracuse University
- Tufts University
- **University of Alabama**
- University of Alabama, Huntsville
- University of Arkansas for Medical Sciences
- University of Cincinnati
- University of Florida
- University of Kansas
- University of Miami
- **University of Minnesota**
- University of South Alabama
- University of Tennessee, Knoxville
- University of Tennessee Health Sciences Center
- University of Texas Medical Branch at Galveston
- **University of Texas at Austin**
- **University of Washington**
- **University of Wisconsin**
- Vanderbilt University
- Washington University
- Wayne State University



Tracking Analysis Method

Step 1: Combine Cohort 1 and Cohort 2 responses to data collection timing and calculate averages

Hours Needed to Complete Forms by Cohorts 1 and 2





Analysis Considerations

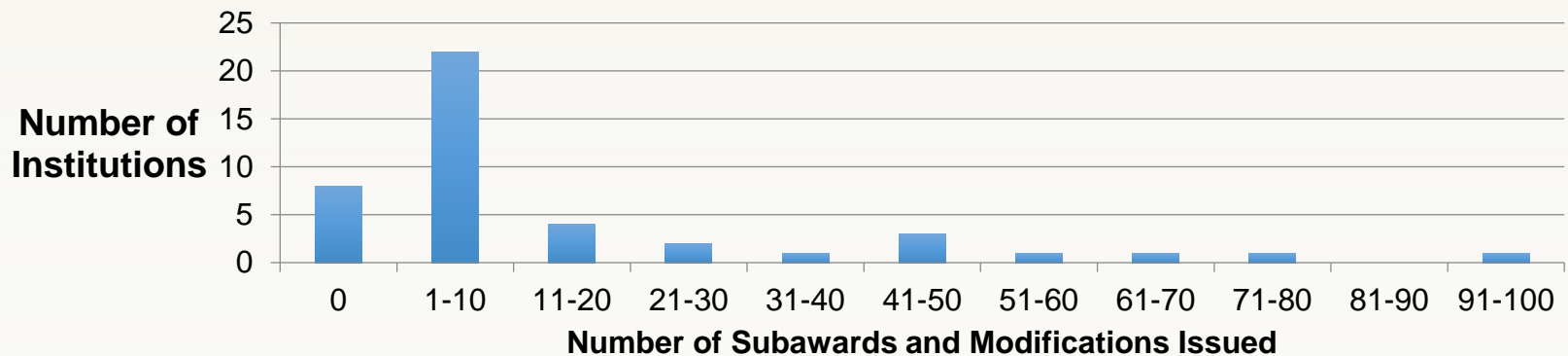
- Roughly half of the cohort issued 5 or fewer subawards. A handful of institutions issued a great many more.
- The 5 highest-volume institutions do not require Entity Profile use when issuing a subs or mods.
- However they still benefitted as recipients of a large number of subawards and were not sent forms.
- Yet, as a result, the Entity Profile was used in only 40% of the 640 sub or mods in Cohort 1.
- A few entities reported no transactions (but ECWG research proved otherwise in some cases).



Tracking Analysis Method

Step 2: Multiply the average time saved by the number of subaward transactions to estimate time saved

Cohort 1



Time Spent	Total Hours	Number of Answers	Average Hours per Institution
Preparing Entity Profile	198.5	83	2.4
Sending and Reviewing Subrecipient Commitment Forms as a PTE	150.0	85	1.8
Completing Subrecipient Commitment Forms as a Subrecipient	114.5	86	1.3



Therefore....

Time Saved: Potential	
This calculation is an estimate of the potential time saved by one additional member of the cohort. It assumes that the member currently sends out and reviews subrecipient commitment forms.	
Task	Average Number of Hours Saved
Completing Subrecipient Commitment Forms as a Subrecipient	6.0
Sending and Reviewing Subrecipient Commitment Forms as a PTE	7.9
Preparing the Entity Profile	-2.4
Total	11.5
Time Saved: Actual	
This calculation is an estimate of the actual time saved by members of Cohort 1. It takes into account the fact that the five highest-volume institutions in Cohort 1 did not send out and review subrecipient commitment forms prior to the pilot.	
Task	Average Number of Hours Saved
Completing Subrecipient Commitment Forms as a Subrecipient	6.0
Sending and Reviewing Subrecipient Commitment Forms as a PTE	3.1
Preparing the Entity Profile	-2.4
Total	6.7

Thank you Robert Prentiss!



Additional Results

640 total transaction x 1.8 average hours = **1152 hours saved**

The Entity Profile was used at the proposal stage by 3 institutions a total 15 times

Of the 640 subawards and modifications issued:

- 89% were cost-reimbursable, 8% fixed price, 3% other or not indicated
- 89% of prime awards were grants, 5% cooperative agreements, 4% contracts, 3% other
- 66% had a DHHS agency as the prime sponsor
- The designation of new award vs. modification wasn't always clear on the tracking forms, but we estimate that 1/3 of the actions were new awards and 2/3 were mods



Tracking Take-Home Messages

- Cohort 1 is just a beginning
- Not entirely confident about the rigor of data collection from all institutions
- Increasing the number of entities with Cohort 2 will help tremendously

Collecting accurate Tracking Form data is critical for Pilot success!



Cohort 2 – Go Live

- Went live 8/18/2016

	FDP Members	% of FDP Members	Entity Profiles
Total FDP	154		??
Cohort 1	40	26%	53
Cohort 2	39	25%	74
Total	79	51%	127
Remaining	75	49%	??



Cohort 2 Go-live Steps



DATE	ACTION
5/3/2016	Call for volunteers for Cohort 2 sent to FDP main email list
Week of 5/16	Call to Entities recommended by Working Group for Cohort 2
6/3/2016	Email sent to Cohort 2 volunteers re: obtaining Authorized Approval
6/17/2016	Entities Authorized Official approvals due
7/6/2016	Welcome Packets distributed via email
7/14 & 7/22	Welcome Calls
7/29/2016	Deadline for submission of Entity Profiles
July / Aug	Piloteers ready their institutions for Pilot Go-Live
8/18/2016	Go-live for Pilot use of Entity Profiles
10/30/2016	End date of first official period for Pilot Tracking Forms



Cohort 2 Pilot Entities *Blue=System Member*

- Arizona State University
- Case Western Reserve University
- Clemson University
- Colorado State University
- Cornell University
- Emory University
- Florida A&M University (ERI)
- Florida International University
- Indiana University-Bloomington
- Indiana University-Purdue University, Indianapolis
- Iowa State University
- Massachusetts Institute of Technology
- Medical University of South Carolina
- ***Nevada System of Higher Education***
 - University of Nevada, Las Vegas
 - University of Nevada, Reno
- New York University School of Medicine
- North Carolina State University
- Northeastern University
- Pennsylvania State University
- The Pennsylvania State University, College of Medicine
- ***Research Foundation for the State University of New York***
 - Alfred State College
 - Binghamton University
 - Buffalo State College
 - College at Old Westbury
 - College of Optometry
 - Empire State College
 - Purchase College
 - SUNY Brockport
- SUNY College of Environmental Science and Forestry (ESF)
- SUNY Cortland
- SUNY Delhi
- SUNY Downstate Medical Center
- SUNY Geneseo
- SUNY New Paltz
- SUNY Oneonta
- SUNY Oswego
- SUNY Plattsburgh
- SUNY Polytechnic Institute
- SUNY Potsdam
- State University Ag/Tech/Cobleskill
- State University College at Fredonia
- State University Maritime College
- Stony Brook University
- University at Albany
- University at Buffalo
- Upstate Medical Center

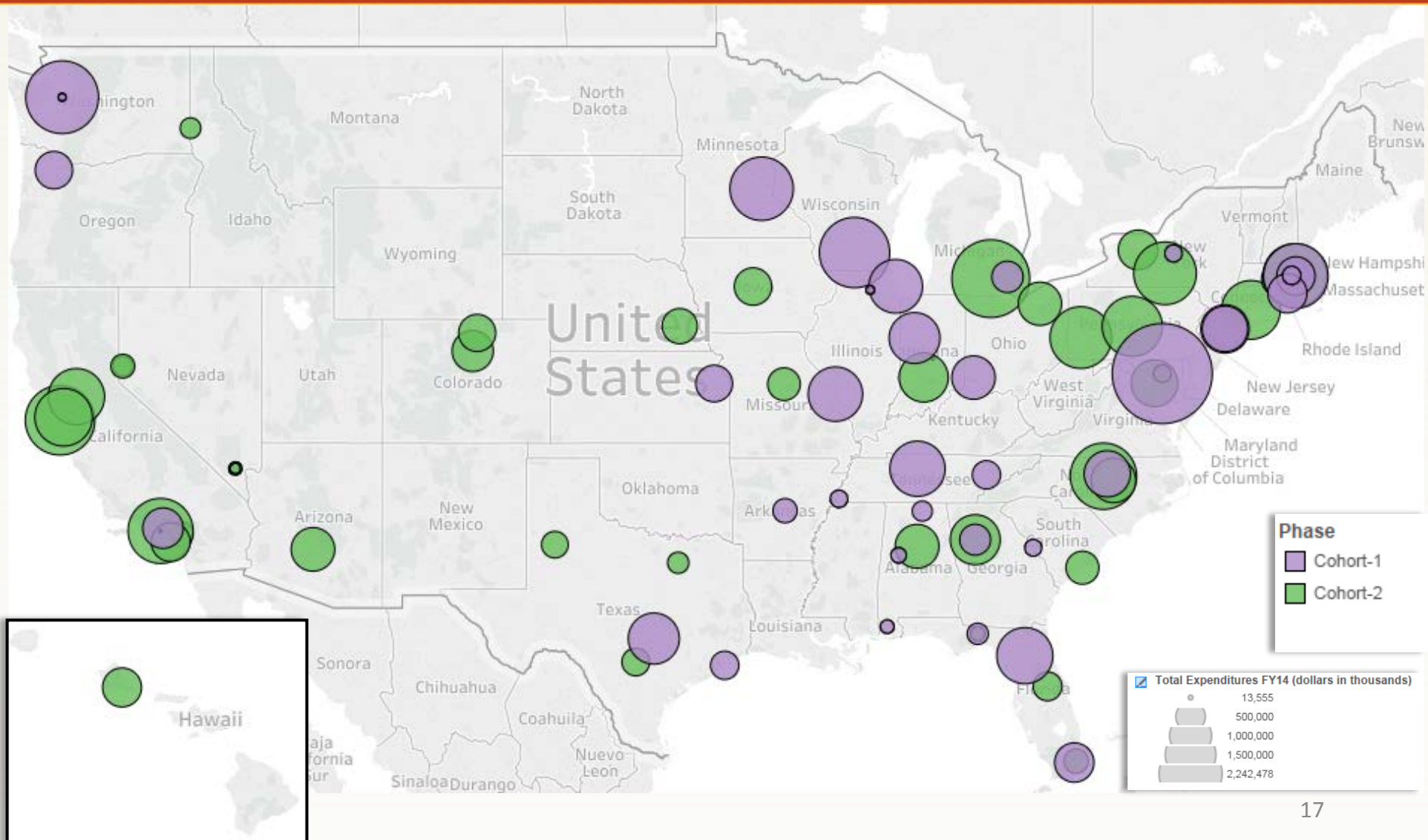


Cohort 2 Pilot Entities *Blue=System Member*

- Rockefeller University
- Stanford University
- Texas Tech University
- University of Alabama, Birmingham
- ***University of California***
 - University of California, Berkeley
 - University of California, Davis
 - University of California, Irvine
 - University of California, Los Angeles
 - University of California, Riverside
 - University of California, San Francisco
- University of Central Florida
- University of Colorado, Boulder
- University of Hawaii
- University of Idaho
- University of Illinois, Chicago
- University of Kentucky
- University of Maryland, Baltimore
- University of Maryland, College Park
- University of Massachusetts, Medical School
- University of Michigan
- University of Missouri
- University of Nebraska-Lincoln
- University of North Carolina, Chapel Hill
- University of Notre Dame
- University of Rochester
- University of Texas Health Science Center at San Antonio
- University of Texas at Dallas (ERI)
- Yale University



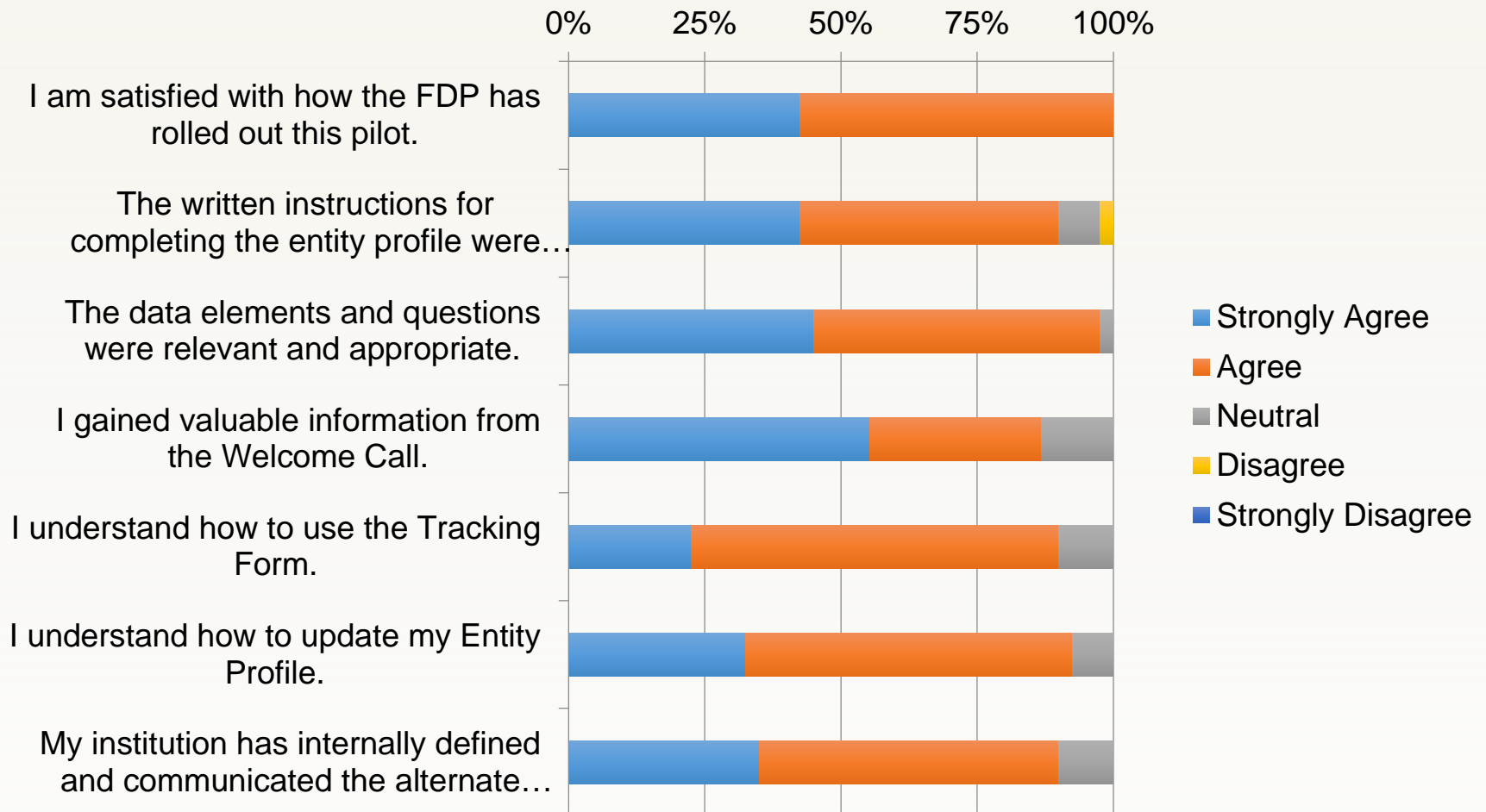
Pilot Entity – Cohort 1 & 2 Coverage





Cohort 2 – Initial Roll Out Survey

Cohort 2 Satisfaction Survey





Cohort 2 – Initial Roll Out Survey

What could FDP do better in the future to help other institutions with this initial process?

- Provide a sample standard campus wide communication for participation in the pilot
- We need to begin putting some effort towards a better design now
- Emphasize that certain project specific and unique institutional requirements must be provided as requested
- Biggest time saver is the fact that we don't have to wait for subreipients to return forms
- Please make this pilot permanent and include all institutions
- FDP is doing a great job rolling out innovative and compelling PILOTS! So proud to be affiliated with this

Thank you David Wright!



Phase 2 – Web based system overview

- Has been great process to get Cohort 1 & 2 live!
- However, highly manual process – not sustainable
- We have always envisioned a system
 - Needed to figure out options
 - How would FDP support – build & ongoing maintenance
 - What would it take to keep it going?



Phase 2 – Web Based System

- Vanderbilt volunteered to build!
 - 4/18/2016 – Exploratory Meeting
 - 6/9/2016 – submission of Proposal
 - 6/16/2016 – FDP Executive Committee approved
- Development is currently active!!!!
- FDP Clearinghouse domain name/ Hosted cloud based dev
- System Dev Working Group
 - Vanderbilt developers – Chris Renner and Bryce Embry
 - FDP eRA committee – Mark Sweet, Jason Myers
 - FDP Executive Director – David Wright
 - Content Dev/Review Subgroup – Robert Prentiss, Courtney Swaney, Jennifer Rodis, Lulu Sun, Lynette Arias



Overview

- Basic system first being developed
 - Data entry forms, with validation and dropdown lists for standard consistent options
 - User access management structure
 - Users will sign business use agreement
 - Simple output reports
- Future enhancements
 - Pull data from other systems, as feasible (SAM)
 - Automatic notifications to POC for expired information
 - API's (Application Program Interface)
 - Additional reports and data output
- Cohort 1 & 2 data into new system – options
 - Manual – which will help users learn new system as well as test
 - Automated – requires additional developer work



Phase 2 – Web based system Demo



System Dev – Estimated Timeline

Target Date	Summary
7/15/2016	Initial setup
7/29/2016	Data organization
8/12/2016	Entity content display
8/26/2016	Entity content entry/edit forms
9/9/2016	User accounts
9/23/2016	Enable account-based restrictions
11/4/2016	Site admin controls
11/18/2016	Workflow finalization
12/2/2016	Changelogs
12/16/2016	API and data exports
1/6/2017	Acceptance testing

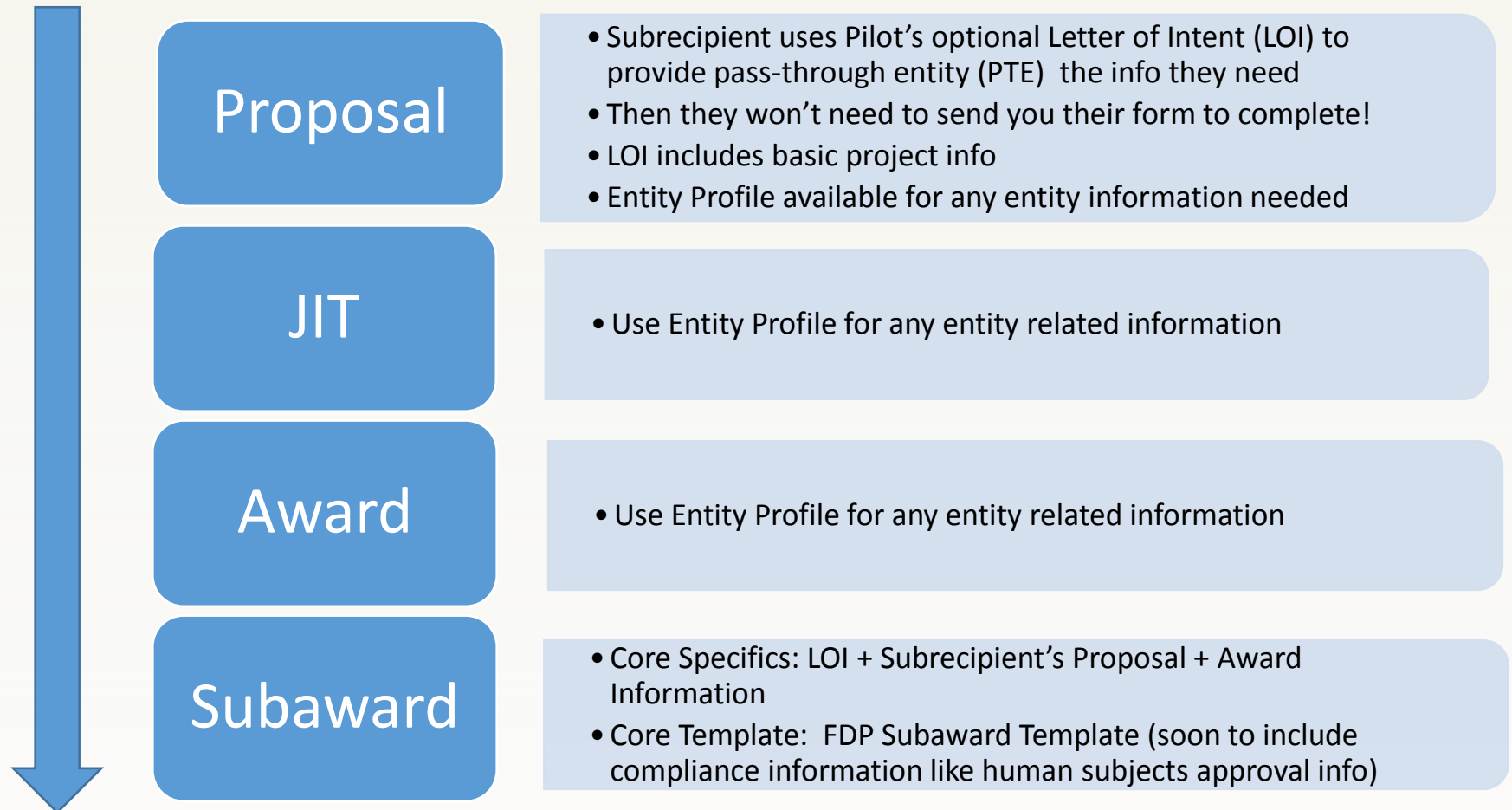


Pilot Supporting Documents

- NOT required as part of the Pilot
- But helps support the goals of the pilot
 - Reduction in use of forms & admin burden overall
 - Both for PTE's and Subrecipients
- SAMPLE Letter of Intent (LOI)
- SAMPLE DRAFT Financial Questionnaire
 - for non Single Audit Entities
- Transaction/Project Specific Form/Data Set
 - Need determined during forms analysis and via Pilot survey
 - Shifting to becoming a component of the FDP Subaward Agreement Template



Pilot Impact on Subaward Lifecycle





[Letterhead]

Subrecipient Letter of Intent

Subrecipient:	_____	Pass-Through Entity:	_____
Subrecipient DUNS:	_____	Pass-Through Entity DUNS:	_____
Principal Investigator:	_____	Principal Investigator:	_____
Internal Project Identifier (optional):	_____	Internal Project Identifier (optional):	_____
Institutional Administrator		Institutional Administrator	
Name/Title:	_____	Name/Title:	_____
Phone:	_____	Phone:	_____
Email:	_____	Email:	_____
Project Title: _____			
Awarding Agency:	_____	Project Period:	_____
Total Proposed Amount:	_____	Cost Sharing Amount (if applicable):	_____
Human Subjects Y/N:	_____	Vertebrate Animals Y/N:	_____

This proposal has been reviewed and approved by the appropriate official of [Subrecipient], and certified to its accuracy and completeness. The appropriate programmatic and administrative personnel of each institution involved in this grant application are aware of the awarding agency's policies, agree to accept the obligation to comply with award terms, conditions and certifications, and are prepared to establish the necessary inter-institutional agreement consistent with that policy.

The following documents are attached to this Statement of Intent:

<input type="checkbox"/>	Statement of Work
<input type="checkbox"/>	Detailed Budget
<input type="checkbox"/>	Budget Justification
<input type="checkbox"/>	Other: _____

Signature of Subrecipient's Authorized Official

Date

Name and Title of Authorized Official



Financial Questionnaire

- Available for Entities NOT subject to Single Audit
- Series of questions to help assess Entity overall
- Matches very closely with NSF Financial Management Systems Questionnaire:
 - General Information
 - Fiscal Responsibility and Internal Controls
 - Accounting System
 - Facilities & Administrative Costs
 - Cost Sharing
 - Funds Management
 - Personnel
 - Procurement
 - Property Management
 - Cost Transfers
 - Program Income

Smart Form
Under
Construction!



Next Steps

- Continued dev on web based system
- Pilot reporting periods – gather data on usefulness of Pilot!

1	2	3	4
3/28 – 6/30/16	7/1 – 10/30/16	11/1/16 – 2/28/2017	3/1 – 6/30/17

- Cohort 3 – tentative? Timing TBD ? “Volunteers” thus far:
 - University of Pittsburgh
 - Michigan State University
 - Ohio State University
 - Other UC schools: Merced, Santa Barbara, Santa Cruz, San Diego
 - Northeastern
 - Columbia University
 - University of Southern California
 - University of Iowa
 - University of Texas, Arlington
 - University of Colorado, Denver



Opportunities

- Piloteers – please consider adding attachments to your institution web sites 😊
- Opportunities to join in the future?
 - Not part of Cohort 1 or 2? – gather support at your institution!
 - For possible Cohort 3 addition in future
 - If institution not interested in joining – why not? Let us know so we can help make changes, if feasible, that would help!
 - If all goes well with Pilot and web based system could be recommended for non FDP institutions later in 2017
- Keep an eye on what we are up to! 😊
 - FDP Expanded Clearinghouse Webpage
 - http://sites.nationalacademies.org/PGA/fdp/PGA_055835
 - Everything we are working on is kept here! We are fully transparent!



Resources

- http://sites.nationalacademies.org/PGA/fdp/PGA_055835



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FDP EXPANDED
CLEARINGHOUSE



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FDP Contacts

Mailing Address:
500 Fifth Street, NW
Washington, D.C. 20001
Tel: (202)334-3994
Fax: (202)334-1369
E-mail: fdp@nas.edu



FDP Brochure 2016

Expanded Clearinghouse / Subrecipient Entity Monitoring

Charge

- To develop one single web based repository for all FDP entities (and potentially others) to enter, upload, maintain and update all entity related information about their organization
- To utilize this centralized online repository of entity information to enable Pass-Through Entities to obtain and review all necessary subrecipient entity information and conduct subrecipient entity monitoring and risk assessment activities in a timely and streamlined fashion without requiring time and resources to send and collect various forms to obtain information

Initiatives

Goals	Accomplishments
Propose FDP Demonstration to develop, implement and maintain an Expanded FDP Clearinghouse	COMPLETE: Phase 1 Pilot proposal to Executive Committee and approved on January 10, 2016 Phase 2 of Pilot proposal to Executive Committee on June 10, 2016 and approved on June 19, 2016
Develop standard FDP Entity Profile	COMPLETE: Entity Profile Developed Phase 1 Pilot use – began Feb 2016 IN PROCESS Phase 2 profile will be reviewed for any needed updates as profile transitions to web-based form.
Develop Expanded FDP Clearinghouse website	COMPLETE: Phase 1 – Expanded Clearinghouse Web page developed along with web repository of Excel Profiles Phase 2 - Web-based profile system
Develop standard Transaction (Project) Specific Form	IN PROCESS: In development for potential optional use during Phase 1 Pilot. Transitioning to compliance questions within the FDP Subaward Agreement template (timeline TBD)
Create FDP Clearinghouse users group to support ongoing review/updates of clearinghouse data elements and/or structure, reports and other aspects	ONGOING: Pilot Institutions have formed initial users group
Develop subrecipient Entity monitoring Best Practices (Proposal to Closeout)	ONGOING: Conducted jointly with Subaward Subcommittee

General Documents

- [Phase 1 Pilot Proposal/Summary](#)
- [Entity Profile Template](#) (blank - for information only)
- [Cohort 1 Pilot Institutions](#)
- [Cohort 2 Pilot Institutions](#) (Live as of 8/18)
- [Combined List of Institutions](#)
- [Combined List of Contacts](#)
- [Pilot FAQs](#) - Updated for Cohort 2
- [Tracking Form](#)



Pilot Welcome Packet Documents (for Pilot Entities only)

- [Link to Expanded Clearinghouse website](#)
- Cohort 1 Welcome Packet
 - [Welcome Letter](#)
 - [Entity Profile with Instructions](#)
 - [Tracking Form](#)
 - [Cohort 1 Pilot Institutions](#)
 - [Cohort 1 Contact List](#)
- Cohort 2 Welcome Packet (Live as of 8/18)
 - [Welcome Letter](#)
 - [Entity Profile with Instructions](#)
 - [Tracking Form](#)
 - [Cohort 2 Pilot Institutions](#) (Live as of 8/18)
 - [Cohort 2 Contact List](#) (Live as of 8/18)
- [Sample FDP Expanded Clearinghouse Presentation](#) (Please feel free to use / customize this as you wish for your institution)
- [Sample "Push Back Language"](#)

Pilot Support Documents (NOT required for pilot, but suggested samples to use)

- [Sample Letter of Intent \(LOI\)](#)
- [Letter of Intent FAQ](#)
- [Draft Financial Questionnaire](#) (for use with entities NOT subject to single audit)

Phase 2 - Web-based System Development

- [Phase 2 Proposal](#)
- Estimated Timeline (coming soon)

FDP Meeting - Session Presentations

- [August 2016 Presentation at the NCURA Annual Meeting](#)
- [May 2016](#)
- [January 2016](#)
- [September 2015](#)
- [May 2015](#)

Related Links

- [FDP A-133 Information System](#)
- [FDP FCOI Institutional Clearinghouse](#)



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FDP Expanded Clearinghouse

Institution Name

Primary DUNS Number

Search

The list of institutions displayed below contains participants in the FDP Expanded Clearinghouse pilot. There are 78 member institutions currently participating with 127 profiles. The pilot is not open to new members at this time, but interested FDP institutions may express interest for later inclusion in the pilot by emailing Co-Chair Lynette Arias at ariasl@uw.edu.

Click on the organization's name to download their profile.

Note: Unless links are provided in the attachment column on the right below, rate agreement and audit links are included within the actual Profile document.

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- [Lost your password?](#)
- [Create New FDP Login](#)

FDP Contacts

Mailing Address:
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Fax: (202)334-1369
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FDP Brochure 2016

Institution	Primary Duns No.	Primary Contact	Most Recent Update Date	Attachments
Arizona State University	943360412	Kristy Macdonald	8-17-16	
Brandeis University	616845814	Paul O'Keefe	8-5-16	
Brown University	001785542	Patrice Carroll	8-5-16	
California Institute of Technology	009584210	David Mayo	8-5-16	
Case Western Reserve University	077758407	Diane Domanovics	8-17-16	W-9
Cedars Sinai Medical Center	075307785	Matthew Kirk	8-5-16	
Clemson University	042629816	Sheila Lischwe	8-17-16	
Colorado State University	785979618	Dave Doty	8-17-16	
Cornell University	872612445	Mora Harris	8-17-16	
Dana Farber Cancer Institute	076580745	Tina Rimal	8-5-16	Rate Agreement
Duke University	044387793	Jennifer McCallister	8-5-16	Rate Agreement
Emory University	066469933	Holly Sommers	8-17-16	
Florida A&M University	623751831	Glory Brown	8-17-16	
Florida International University	071298814	Roberto Gutierrez	8-17-16	



Continued thanks to a Great Team!

WORKGROUP MEMBERS

Lynette Arias (Co-Chair)	University of Washington
Jennifer Barron (Co-Chair)	Johns Hopkins University
Pamela Webb (Co-Chair)	University of Minnesota
Patrice Carroll	Brown University
Marcy Friedle	Florida State University
Rebecca Balentine	Icahn School of Medicine at Mount Sinai
Julie Thatcher	Institute for Systems Biology (ERI)
Amanda Hamaker	Purdue University
Gloria Greene/ Steve Parker	University of Alabama
Jennifer Rodis	University of Wisconsin-Madison
Sara Clough	UT Austin
Courtney Swaney	UT Austin
Robert Prentiss	UT Austin
Tyra Patrice Darville-Layne	Northwestern University
Christopher Renner	Vanderbilt University



Lulu Sun
UW Work
study student





Questions & Discussion

- All Profile updates and questions, please use
fdpechelp@gmail.com





Contact Info

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- Jennifer Barron
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