



FEDERAL DEMONSTRATION PARTNERSHIP
Redefining the Government & University Research Partnership

Subawards Subcommittee

Jennifer Barron, Johns Hopkins University

Amanda Hamaker, Purdue University

Amanda Humphrey, Harvard University



Agenda

- Review of FDP Committee Structure
- Subawards Subcommittee Background
- Updates/Suggested Template Changes
- Attachment 2 Updates
- Compliance Attachment Update
- Guidance Documents Update
- Clinical Trial Update
- RAQ Update

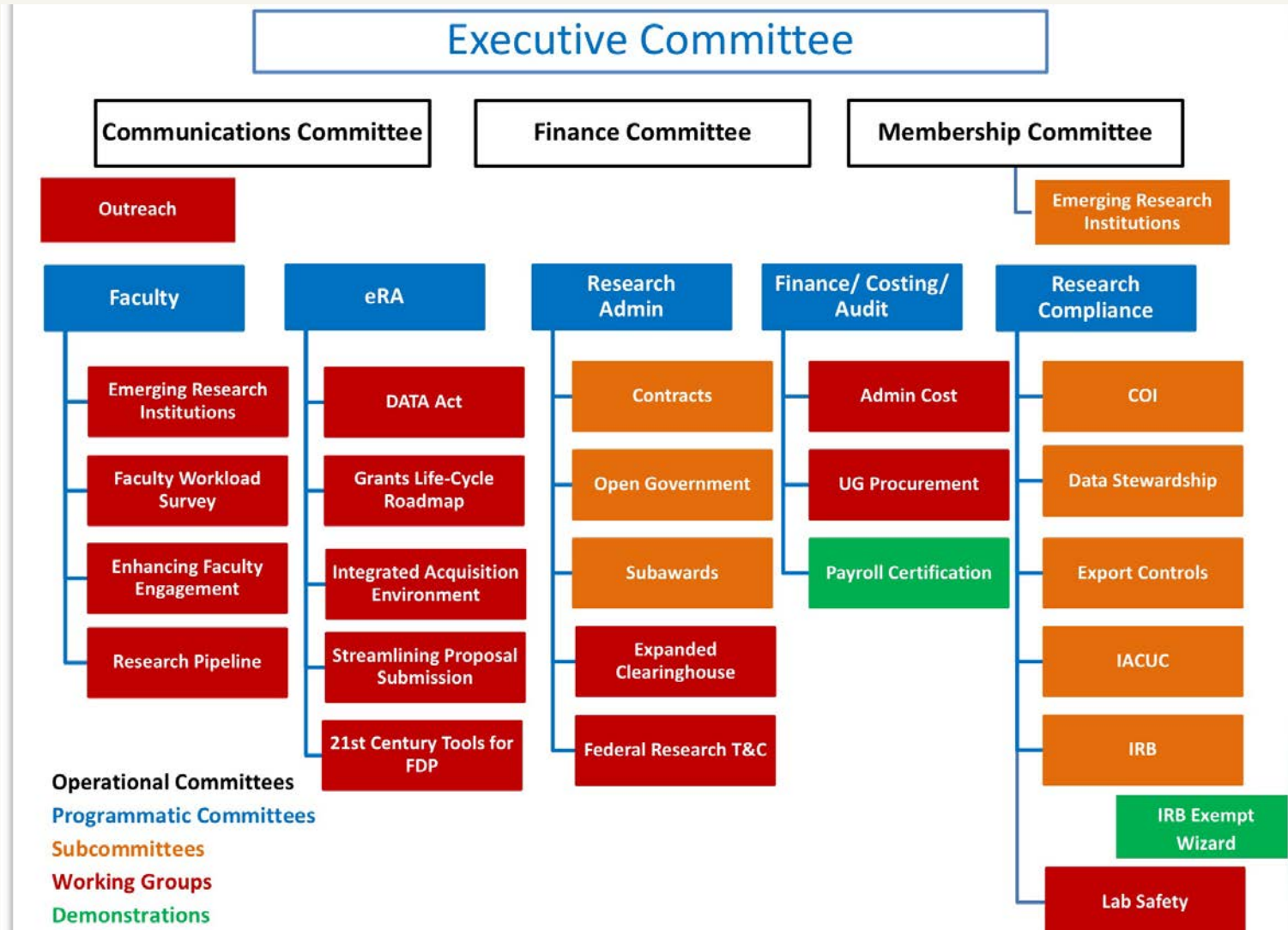


FDP Committee Structure

- Executive Committee
 - Operational Standing Committees
 - Functional Standing Committees: Research Administration
 - Subawards Subcommittee
 - Subcommittee Working Groups



Committee Org Chart





Subawards Subcommittee Background

- Subcommittee created during Phase III (1996-2002)
- Template first created for use only with FDP institutions
 - Updated for use by all in 2005
 - Foreign Subaward Template
 - Subcontract Sample
 - Fixed Price Template
- Continually updated – lots of changes for UG
- Phase VI: emphasis on guidance documents, more tools/samples



Changes

- Templates created to make things easier – don't change them!
- Let us know if you get one with changes, we'll contact the institution.



Approval Process

- Subcommittee Co-chairs: Fix typos, formatting, clarity
- Working Groups: Interpretations, reorganizing
- Membership: New clauses, material changes
- Research Admin Chair: New templates, tools
- Executive Committee: New projects



Structure of Templates

- Face Page: FP and CR versions. Can't change!
- Attachment 1: Lobbying, Debarment, Audits. Can't change!
- Attachment 2: Agency Specific Terms, copyright and data rights. Can't change!
 - Prime award special terms – can add, sparingly.
- Attachment 3: Contact Info, FFATA
- Attachment 4: Reporting. Don't change unless adding prime award requirement.
- Attachment 5: SOW and budget. Flexible.
- Attachment 6: Compliance (NEW)



Template Updates

- Fixing:
 - Typos
 - Grammatical inconsistencies
 - Citation inconsistencies
 - Format cleanup
- RTCs coming – will update face page when finalized
- More attachment 2 changes coming
- No more updates to non-UG templates
- Have requests/updates? Email us!



Attachment 2

Organize Attachment 2 sub-working group activities:

- Implement interim Attachment 2 agency-specific template revisions
 - Conference call to be scheduled soon
- Assign one person per agency to serve as agency expert for the group
 - Stay informed as to agency-specific updates and revise Attachment 2 accordingly
 - Engage agency for review/comment on Attachment 2 template revisions
- Subaward template, Attachment 2, and Attachment 6 sub-working group leads work collaboratively to ensure appropriate considerations are taken when contemplating template revisions by each group



Attachment 2

Contemplated revisions to Attachment 2:

- Revise all agency-specific T&C language and web links
- Add certain data elements from Subaward face page
- Add Multiple PI checkbox
- Move COI section to Attachment 6 (Compliance)



Foreign Subaward Template

- September 2015 revisions available on FDP web site
 - Cost reimbursement and Fixed price (NIH specific)
 - Review for next revisions for Foreign Subaward face page and Attachment 2
- Finalize NSF specific Foreign Subaward template



Seeking Additional Members

VOLUNTEERS please contact
Tyra Darville-Layne
(td-layne@northwestern.edu)



Compliance Template

- Just about finished!



Data Elements – Technical Corrections

- 9/10/15 OMB Technical Corrections:
- **Technical corrections issued Sept 10th, 2015:**
 - (vi) Amount of Federal Funds Obligated by this action by the pass-through entity to the subrecipient;
 - (vii) Total Amount of Federal Funds Obligated to the subrecipient by the pass-through entity including the current obligation;
 - (viii) Total Amount of the Federal Award committed to the subrecipient by the pass-through entity;

Original:

- (vi) Amount of Federal Funds Obligated by this action;
- (vii) Total Amount of Federal Funds Obligated to the subrecipient;
- (viii) Total Amount of the Federal Award;



Accomplishments

- ✓ Carryover Guidance
- ✓ NIH MPIs
- ✓ Assisted Compliance Attachment Workgroup



Final Invoices: T&C #3

- Proposed dropdown to T&C #3 Cost Reimbursement template:
- “A final statement of cumulative costs incurred, including cost sharing, marked "FINAL" must be submitted to PTE’s Contact, as shown in Attachments 3A, NOT LATER THAN **60** days after: [ADD DROPDOWN LIST WITH “each annual budget period,” or “the end of the project period”]. The final statement of costs shall constitute Subrecipient's final financial report.”



Carryover Guidance

- Defines carryover (automatic and not automatic)
- Provides two Options for PTEs to issue subawards that require PTE prior approval
 - Issue new agreement every budget period – invoice end of project
 - Issue mods with suggested language – invoice every budget period
- Expenses incurred outside the budget period are not allowable
- FAQs



NIH MPI - discussion

- Should the NIH MPI Leadership Plan be a part of the subaward agreement if the MPIs are at different institutions?
- Discuss!
- FAQs



FAQ on NIH Attachment 2

- Use the Generic Attachment 2 in the interim for the other HHS agencies (non-NIH) until others are issued. PTEs should attached prime NOA and redact information as necessary.



Guidance Document Workgroup

- Weekly calls
- Many thanks to the members!
- Can join on a project basis
- For more information:

Stephanie F. Scott, MS, CRA
Columbia University
sfs2110@columbia.edu



Clinical Trial Template: Background

- February 2015 – NCATS/CTSA leadership identified need
- Goals:
 - Minimize the administrative burden associated with executing a subaward under a federally sponsored clinical trial
 - Build on the success of the Accelerated Clinical Trial Agreement (ACTA)



Background

- June 2015 – Representatives from both groups joined efforts with a common goal
- Create a subaward template for federally funded clinical trials that most domestic institutions could accept thereby negating the need for tedious negotiations



Background

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Working Group

- Representatives from CTSA Institutions and FDP member Institutions
- Weekly conference call meetings
- 6 month goal
- Start with standard FDP Fixed Price Subaward template
- Incorporate ACTA accepted clauses as necessary



Working Group

- Parameters identified
 - Start with NIH
 - Start with fixed price
 - Domestic enrolling sites only
 - Ensure all federal regulations covered
 - Adhere to ACTA terms when possible
 - Allow study specific terms to be added
 - Create budget guidance



Deliverable

- FDP Fixed Price Clinical Trials Subaward Agreement - NIH
- Budget guidance document and FAQs



Next Steps

- Obtain NCATS/CTSA Leadership approval (2 levels)
- Open for comment on FDP listserv
- Obtain FDP approval
- Obtain CTSA large working group approval
- Post on FDP website and announce availability
- Post on ACTA website and announce availability
- Complete budget guidance and FAQ document
- Update template, attachments and guidance as changes warrant



Future Deliverables

- Review FDP Subaward modification template, modify as necessary
- NIH Cost Reimbursable Clinical Trial subaward
- NIH Subaward templates for foreign enrolling centers (Fixed price and cost reimbursable)
- Clinical Trial subaward templates for other federal agencies (FDA, CDC, etc.)
- Template for device studies



Thank you!

- Colleen Lawrence and Terri Edwards of Vanderbilt University CTSA
- Jennifer Barron, Johns Hopkins University
- Sarah White, Georgia Regents Research Institute
- Jennifer McCallister, Duke University
- Diana Boeglin, University of Iowa



Open Discussion

- FDP Fixed Price Clinical Trials
Subaward Agreement - NIH



Risk Assessment Subgroup Agenda

- Risk Assessment Questionnaire (RAQ)
 - Updates & added features
 - Single-audit functionality
- Data Collection
 - More risk data from one institution
- Next steps
- Contact information



Risk Assessment Questionnaire: Updates to Excel File

- All-in-one, user-friendly file; users have all needed when completing or updating RAQ; separate, Word files discontinued.
- Guidance and FAQ's combined into single tab (now 3 total tabs: dated RAQ; Guidance & FAQ's; Answers source data).
- Updates to Guidance, including on entities not subject to single audit.
- "Assessment Incomplete" appears in red if any questions remain unanswered.
- Cells vs. checkboxes better suited to autopopulation, including synchronization with
- **Auto-completion functionality** populates answers based on answer to initial two Yes/No questions: "**Subject to Single Audit?**" & "**Relevant Findings?**"



RAQ: Added Features & Changes

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	U	V	W	X	Y	Z	AA	AB	AC	AD	AE	AF	AG	AH	AI	AJ
1																																				
2																																				
3	Risk Assessment Questionnaire																																			
4	Subrecipient Institution																																			
5	Subject to Single Audit? Yes <input type="checkbox"/> No <input type="checkbox"/>																																			
6	Relevant Findings? Yes <input type="checkbox"/> No <input type="checkbox"/>																																			
7	Internal Project Identifier																																			
8	Prime Sponsor																																			
9	DUNS																																			
10	FAC EIN																																			
11	See other tab for guidance and frequently asked questions																																			
12	Threshold Questions (Not Scored)																																			
13																																				
14	If yes to 1, 2, or 3, consider alternatives to initiating agreement:																																			
15	1. Is the Subrecipient Institution presently debarred or suspended? <input type="checkbox"/> Yes <input type="checkbox"/> No																																			
16	2. Is the Subrecipient Institution's PI presently debarred or suspended? <input type="checkbox"/> Yes <input type="checkbox"/> No																																			
17	3. Does the Subrecipient show "delinquent federal debt" in SAM? <input type="checkbox"/> Yes <input type="checkbox"/> No																																			
18																																				
19	If no to 4, 5, 6, or 7, consider alternatives to initiating agreement:																																			
20	4. If required by the sponsor, does the Subrecipient have a compliant																																			
21	conflict of interest policy? <input type="checkbox"/> Yes <input type="checkbox"/> No																																			
22	5. Does the Subrecipient have an acceptable accounting system? <input type="checkbox"/> Yes <input type="checkbox"/> No																																			
23	6. Does the Subrecipient have an acceptable procurement system? <input type="checkbox"/> Yes <input type="checkbox"/> No																																			
24	7. If required, has the Subrecipient completed audit under A-133 or																																			
25	Uniform Guidance for the most recent fiscal year? <input type="checkbox"/> Yes <input type="checkbox"/> No																																			
26																																				
27	Other Considerations (Not Scored)																																			
28																																				
29	8. Has there been a PTE-issued management decision on audit findings																																			
30	that may affect this award? <input type="checkbox"/> Yes <input type="checkbox"/> No																																			
31	9. Does the Subrecipient have a negotiated indirect cost rate																																			
32	(or experience setting up such a rate)? <input type="checkbox"/> Yes <input type="checkbox"/> No																																			
33	10. Does the project include work covered by ITAR or EAR																																			
34	(at Subrecipient, or Subrecipient accessing at PTE)? <input type="checkbox"/> Yes <input type="checkbox"/> No																																			
35	11. Is there a potential or identified conflict of interest? <input type="checkbox"/> Yes <input type="checkbox"/> No																																			
36	12. Is cost-share required or included? <input type="checkbox"/> Yes <input type="checkbox"/> No																																			
37	13. Is participant support included in the Subrecipient's budget? <input type="checkbox"/> Yes <input type="checkbox"/> No																																			
38	14. Does the Subrecipient have adequate experience receiving same																																			
39	or similar federal awards? <input type="checkbox"/> Yes <input type="checkbox"/> No																																			
40	15. Have other risks been identified? If yes, explain in Notes below. <input type="checkbox"/> Yes <input type="checkbox"/> No																																			
41																																				
42	Notes:																																			
43																																				
44																																				
45																																				
46																																				
47																																				

Institution Questions (Scored)		Score
16.	Is the Subrecipient Institution foreign or domestic? <click to select>	
17.	What is the Subrecipient Organization type? <click to select>	
18.	Does the Subrecipient have a Negotiated IDC Rate Agreement? <click to select>	
19.	Were the results of the most recent Single audit (or similar) satisfactory? <click to select>	
20.	Is the Subrecipient Institution mature? <click to select>	
21.	Does the Subrecipient Institution have experience with determining conflicts of interest (evidence of an acceptable COI Policy)? <click to select>	

Project Questions (Scored)		Score
22.	What is the Prime Sponsor type? <click to select>	
23.	What is the Prime Award type? <click to select>	
24.	Amount of Outgoing Funds? <click to select>	
25.	What is the percentage of the Prime Award being subcontracted (specific to this Subrecipient—not total)? <click to select>	
26.	Does the work include Human Subjects, Animal Subjects, or Embryonic stem cells? <click to select>	
27.	What are the Subrecipient's Scope of Work/Deliverables? <click to select>	
28.	Where is the Place of Performance? <click to select>	

Assessment Performed:		Assessed Risk	Score
Initials	Date	Institution	0
		Project	0
		Total	0

Assessment Incomplete

Prominent link to "guidance and frequently asked questions:

"Assessment Incomplete"

"Guidance and FAQ" tab



RAQ: Added Single Audit Feature

Risk Assessment Questionnaire

Subrecipient Institution

Subject to Single Audit? Yes ☒ No ☐

Relevant Findings? Yes ☐ No ☐

Internal Project Identifier

Prime Sponsor

DUNS

FAC EIN

See other tab for [guidance and frequently asked questions](#)

Threshold Questions (Not Scored)

If yes to 1, 2, or 3, consider alternatives to initiating agreement:

1. Is the Subrecipient Institution presently debarred or suspended?
2. Is the Subrecipient Institution's PI presently debarred or suspended?
3. Does the Subrecipient show "delinquent federal debt" in SAM?

Yes No

<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>

If no to 4, 5, 6, or 7, consider alternatives to initiating agreement:

4. If required by the sponsor, does the Subrecipient have a compliant conflict of interest policy?
5. Does the Subrecipient have an acceptable accounting system?
6. Does the Subrecipient have an acceptable procurement system?
7. If required, has the Subrecipient completed audit under A-133 or Uniform Guidance for the most recent fiscal year?

Yes No

<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/>	<input type="checkbox"/>

Other Considerations (Not Scored)

8. Has there been a PTE-issued management decision on audit findings that may affect this award?
9. Does the Subrecipient have a negotiated indirect cost rate (or experience setting up such a rate)?
10. Does the project include work covered by ITAR or EAR (at Subrecipient, or Subrecipient accessing at PTE)?
11. Is there a potential or identified conflict of interest?
12. Is cost-share required or included?
13. Is participant support included in the Subrecipient's budget?
14. Does the Subrecipient have adequate experience receiving same or similar federal awards?
15. Have other risks been identified? If yes, explain in Notes below.

Yes No

<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>

Yes No

<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/>	<input type="checkbox"/>

Yes No

Notes:

Institution Questions (Scored)

Score

16. Is the Subrecipient institution foreign or domestic?
U.S. based institution 0
17. What is the Subrecipient Organization type?
Subject to Single Audit 0
18. Does the Subrecipient have a Negotiated IDC Rate Agreement?
Yes 0
19. Were the results of the most recent Single audit (or similar) satisfactory?
<click to select>
20. Is the Subrecipient Institution mature?
Yes 0
21. Does the Subrecipient Institution have experience with determining conflicts of interest (evidence of an acceptable COI Policy)?
Yes 0

Project Questions (Scored)

22. What is the Prime Sponsor type?
<click to select>
23. What is the Prime Award type?
<click to select>
24. Amount of Outgoing Funds?
<click to select>
25. What is the percentage of the Prime Award being subcontracted (specific to this Subrecipient—not total)?
<click to select>
26. Does the work include Human Subjects, Animal Subjects, or Embryonic stem cells?
<click to select>
27. What are the Subrecipient's Scope of Work/Deliverables?
<click to select>
28. Where is the Place of Performance?
<click to select>

Assessment Performed

Initials	Date

Assessment Incomplete

Assessed Risk

Assessed Risk	Score
Institution	0
Project	0
Total	0

“Subject to Single Audit?”
Yes

To select a checkbox for an answer, now necessary to type an “x” into the cell.



RAQ: Added Single Audit Feature

Risk Assessment Questionnaire

Subrecipient Institution

Subject to Single Audit? Yes ☒ No ☐

Relevant Findings? Yes ☐ No ☐

Internal Project Identifier

Prime Sponsor

DUNS

FAC EIN

See other tab for [guidance and frequently asked questions](#)

Threshold Questions (Not Scored)

If yes to 1, 2, or 3, consider alternatives to initiating agreement:

1. Is the Subrecipient Institution presently debarred or suspended?
2. Is the Subrecipient Institution's PI presently debarred or suspended?
3. Does the Subrecipient show "delinquent federal debt" in SAM?

Yes No

<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>

If no to 4, 5, 6, or 7, consider alternatives to initiating agreement:

4. If required by the sponsor, does the Subrecipient have a compliant conflict of interest policy?
5. Does the Subrecipient have an acceptable accounting system?
6. Does the Subrecipient have an acceptable procurement system?
7. If required, has the Subrecipient completed audit under A-133 or Uniform Guidance for the most recent fiscal year?

Yes No

<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/>	<input type="checkbox"/>

Other Considerations (Not Scored)

8. Has there been a PTE-issued management decision on audit findings that may affect this award?
9. Does the Subrecipient have a negotiated indirect cost rate (or experience setting up such a rate)?
10. Does the project include work covered by ITAR or EAR (at Subrecipient, or Subrecipient accessing at PTE)?
11. Is there a potential or identified conflict of interest?
12. Is cost-share required or included?
13. Is participant support included in the Subrecipient's budget?
14. Does the Subrecipient have adequate experience receiving same or similar federal awards?
15. Have other risks been identified? If yes, explain in Notes below.

Yes No

<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>

<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>

Notes:

Institution Questions (Scored)

Score

16. Is the Subrecipient institution foreign or domestic?
U.S. based institution
17. What is the Subrecipient Organization type?
Subject to Single Audit
18. Does the Subrecipient have a Negotiated IDC Rate Agreement?
Yes
19. Were the results of the most recent Single audit (or similar) satisfactory?
<click to select>
20. Is the Subrecipient Institution mature?
Yes
21. Does the Subrecipient Institution have experience with determining conflicts of interest (evidence of an acceptable COI Policy)?
Yes

0

0

0

0

0

Project Questions (Scored)

22. What is the Prime Sponsor type?
<click to select>
23. What is the Prime Award type?
<click to select>
24. Amount of Outgoing Funds?
<click to select>
25. What is the percentage of the Prime Award being subcontracted (specific to this Subrecipient—not total)?
<click to select>
26. Does the work include Human Subjects, Animal Subjects, or Embryonic stem cells?
<click to select>
27. What are the Subrecipient's Scope of Work/Deliverables?
<click to select>
28. Where is the Place of Performance?
<click to select>

Assessment Performed

Initials	Date

Assessment Incomplete

Assessed Risk

Assessed Risk	Score
Institution	0
Project	0
Total	0

"Subject to Single Audit?"
Yes

Auto-completed:
5 Unscored questions;
5 Scored, Institutional questions



RAQ: Added Single Audit Feature

Risk Assessment Questionnaire

Subrecipient Institution	
Subject to Single Audit?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Relevant Findings?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Internal Project Identifier	
Prime Sponsor	
DUNS	
FAC EIN	

See other tab for [guidance and frequently asked questions](#)

Threshold Questions (Not Scored)

If yes to 1, 2, or 3, consider alternatives to initiating agreement:

- | | Yes | No |
|--|--------------------------|-------------------------------------|
| 1. Is the Subrecipient Institution presently debarred or suspended? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 2. Is the Subrecipient Institution's PI presently debarred or suspended? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 3. Does the Subrecipient show "delinquent federal debt" in SAM? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

If no to 4, 5, 6, or 7, consider alternatives to initiating agreement:

- | | | |
|---|-------------------------------------|--------------------------|
| 4. If required by the sponsor, does the Subrecipient have a compliant conflict of interest policy? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| 5. Does the Subrecipient have an acceptable accounting system? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| 6. Does the Subrecipient have an acceptable procurement system? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| 7. If required, has the Subrecipient completed audit under A-133 or Uniform Guidance for the most recent fiscal year? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

Other Considerations (Not Scored)

- | | | |
|---|-------------------------------------|-------------------------------------|
| 8. Has there been a PTE-issued management decision on audit findings that may affect this award? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 9. Does the Subrecipient have a negotiated indirect cost rate (or experience setting up such a rate)? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| 10. Does the project include work covered by ITAR or EAR (at Subrecipient, or Subrecipient accessing at PTE)? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 11. Is there a potential or identified conflict of interest? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 12. Is cost-share required or included? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 13. Is participant support included in the Subrecipient's budget? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| 14. Does the Subrecipient have adequate experience receiving same or similar federal awards? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| 15. Have other risks been identified? If yes, explain in Notes below. | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

Notes:

Institution Questions (Scored)

Score

- | | |
|--|---|
| 16. Is the Subrecipient institution foreign or domestic?
U.S. based institution | 0 |
| 17. What is the Subrecipient Organization type?
Subject to Single Audit | 0 |
| 18. Does the Subrecipient have a Negotiated IDC Rate Agreement?
Yes | 0 |
| 19. Were the results of the most recent Single audit (or similar) satisfactory?
Yes, audit is clean (no findings) or no relevant findings | 0 |
| 20. Is the Subrecipient Institution mature?
Yes | 0 |
| 21. Does the Subrecipient Institution have experience with determining conflicts of interest (evidence of an acceptable COI Policy)?
Yes | 0 |

Project Questions (Scored)

- | | |
|---|---|
| 22. What is the Prime Sponsor type?
Foundation or Routine Granting Agency | 0 |
| 23. What is the Prime Award type?
Grant | 0 |
| 24. Amount of Outgoing Funds?
Outgoing Funds \$1 - \$24,999 | 0 |
| 25. What is the percentage of the Prime Award being subcontracted (specific to this Subrecipient—not total)?
0-24% | 0 |
| 26. Does the work include Human Subjects, Animal Subjects, or Embryonic stem cells?
No | 0 |
| 27. What are the Subrecipient's Scope of Work/Deliverables?
Subrecipient will only submit progress reports | 0 |
| 28. Where is the Place of Performance?
All work will be performed at the Subrecipient's Institution | 0 |

Assessment Performed:

Initials	Date

Assessed Risk

Score

Institution	0
Project	0
Total	0

"Relevant Findings?:
No"

Auto-completed:
Institutional
question #19

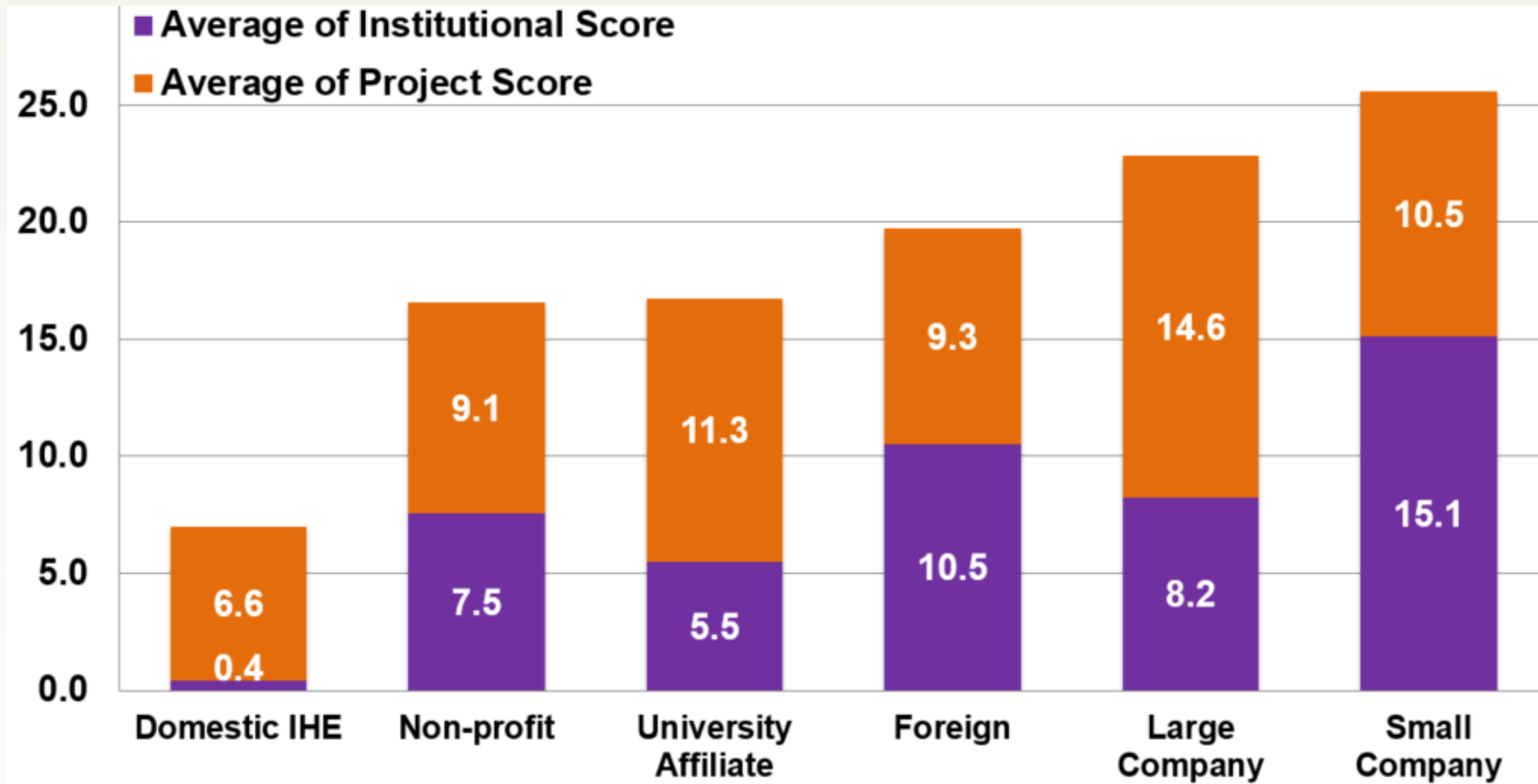


Data Collection: Updates

- What one institution has done, now:
 - Over 250 subawards scored.
 - RAQ scores, including individual questions, tracked in a spreadsheet, alongside sub and prime data.*
 - Desk review candidates selected from high/mid-risk pools.
 - Reviews conducted, findings summarized in twice-yearly report.**
- Some updated graphs available:
 - Average Risk Score Makeup
 - Total Risk Score Distribution

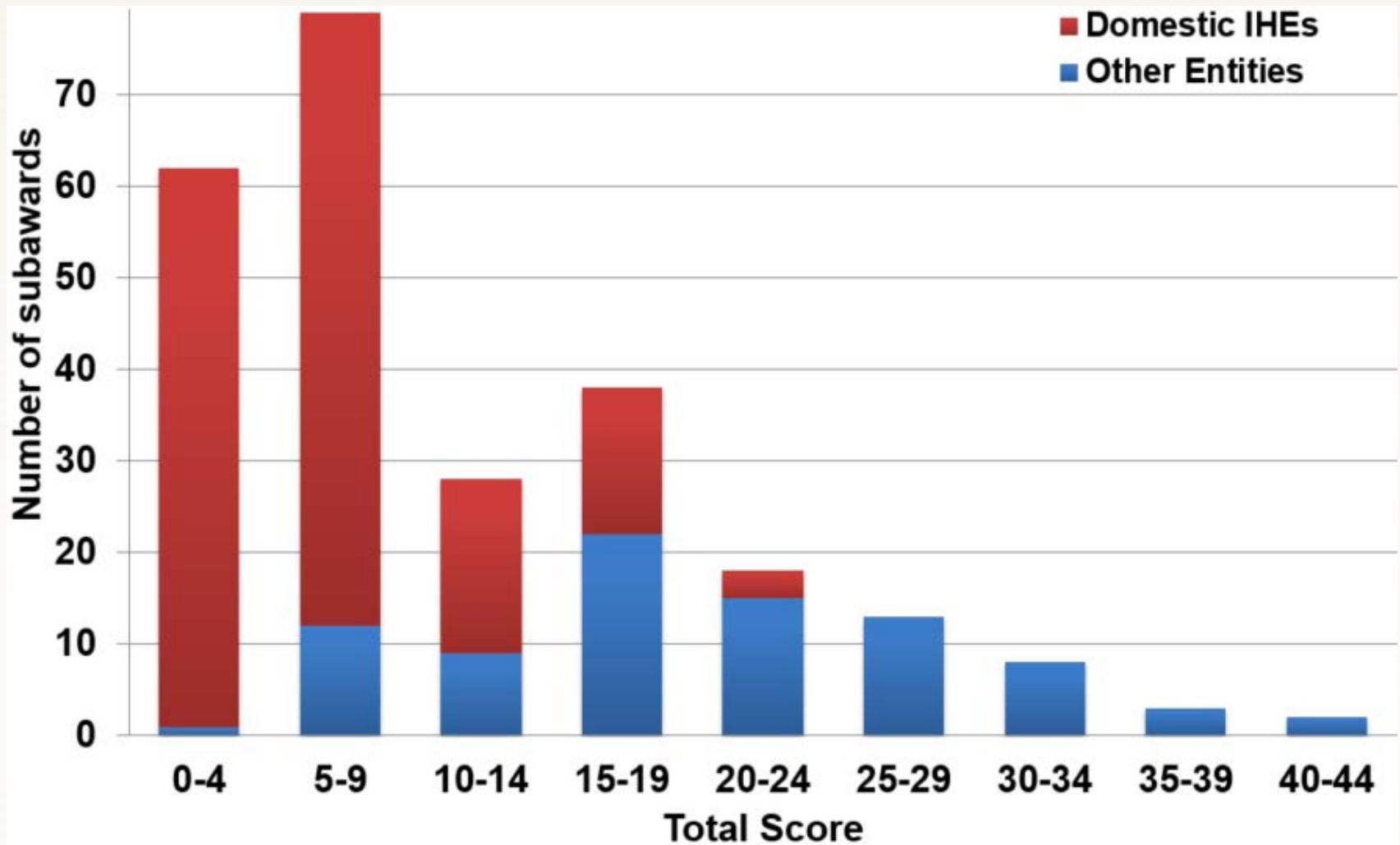


Average Risk Score Makeup, by Entity Type





Total Risk Score Distribution





Next Steps for RA Subgroup

- Develop Annual Tool:
 - Anticipated first version by May FDP meeting
 - *If you would like a voice in this, we welcome you!*
- Integrate/coordinate with Entity Profile, eRA groups
- Data Collection Pilot:
 - Goal: develop Excel macro to collect data, send automatically
- Upcoming:
 - FRA in New Orleans
 - Regional Presentations
 - Training Session at NCURA National



Feedback Encouraged!

We welcome questions about risk assessment, the RAQ, and related issues.

We are very curious to know how people are using the RAQ, assessing risk, etc.

As before, please email:

risk.assess.quest.fdp@gmail.com



Contact Information

- Steve Carter, Risk Assessment Subgroup Chair
UCSD - Scripps Institution of Oceanography
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- Sara Clough
The University of Texas at Austin
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- Robert Prentiss
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rprentiss@austin.utexas.edu