



FEDERAL DEMONSTRATION PARTNERSHIP
Redefining the Government & University Research Partnership

FDP Expanded Clearinghouse

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FDP Meeting – Jan 2017



Agenda

- Brief overview
- Cohort 1 & 2 – Reporting Period 2 data results
- Phase 2 - Web based system
 - Overview
 - Demo/Training
 - Go-Live estimated timeline
- Cohort 3 Go-Live Plans
- Financial Questionnaire – for use by non Single Audit Entities
- Next Steps



Pilot overview

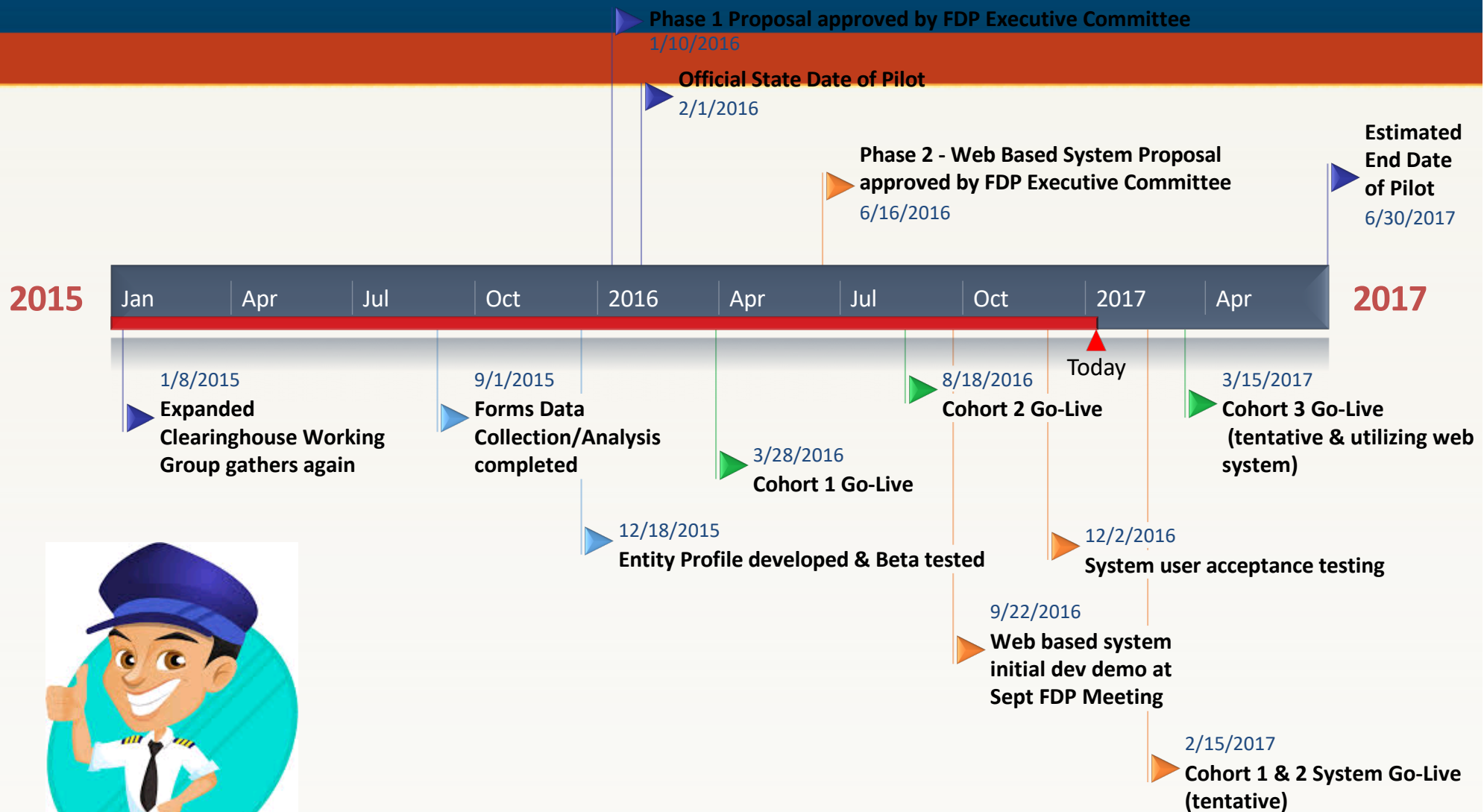
- Pilot timeline - where are we now?
- Pilot Period 2/1/2016 – 6/30/2017 (17 months)
- # of FDP member institutions involved so far
 - 79 FDP Members & 127 total individual entities
 - Brought into the Pilot in 2 Cohorts (3/28 & 8/18)
- Tracking use of clearinghouse in 4 reporting periods

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

- Using basic Excel Profile document in 1st phase of Pilot
- Shifting to Piloting use of a web based system in 2017
- Plans to add Cohort 3 institutions in March/April 2017
- Excel Profiles will be maintained until web system fully up and running

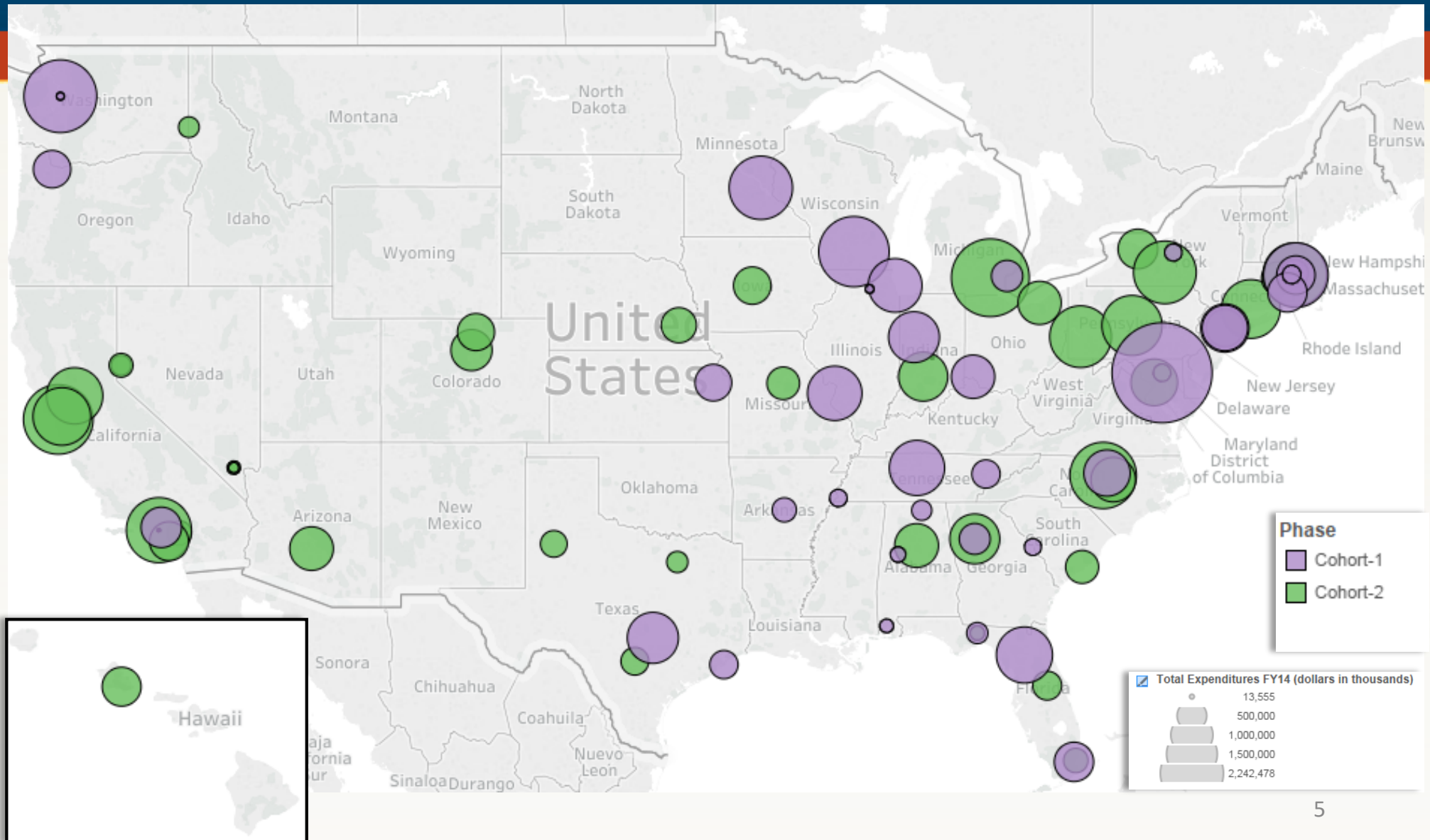


Pilot Estimated Timeline





Piloteers – Cohorts 1 & 2





Reporting Period 2 Results

Entity Profiles	127
FDP Members Represented	87
Entities Submitting Reports	118 (93% of total)
Entities With Activity this Period	84 (66% of total)

- Some entities reported no activity but issued subs to other Piloteers
- May need to do supplemental education with Piloteers about what and how to track/report



Subaward Volume & EC Use

Reporting Period 1 (3/28/16 – 6/30/16)

51 profiles

Cohort 1 **640** transactions 40% EC used

Reporting Period 2 (7/1/16 – 10/31/16)

127 profiles

Cohort 1 1906 transactions 52% EC used

Cohort 2 1193 transactions 72% EC used

3099 total transactions **60%** EC used

Cohort 1 includes 5 large schools that didn't use commitment forms pre-pilot and don't use EC profiles during the pilot



Time Saved

Per survey of Cohorts 1 & 2 institutions regarding average time to issue, complete, and review subrecipient commitment forms, estimated time saved per subaward by utilizing an Entity Profile is:

Pass-through Entity:	1.8 hours
Subrecipient Entity	1.3 hours



Time Saved Calculations for Period 2

Cohort	Entity Profile Used as PTE	Entity Profile Used as Sub	Total Hours Saved	Average Hours Saved Per Institution	Average Hours Saved Per Institution Per Day
1	986	973	3,040	57.35	0.47
2	859	872	2,680	36.21	0.48

Total Hours Saved = 5,720



Institutions with 5+ Transactions

Cohort	# of Entities	Live Business Days	Entity Profile Used as PTE	Entity Profile Used as Sub	Total Hours Saved	Average Hours Saved Per Institution	Average Hours Saved Per Institution Per Day
1	30	85	968	951	2,979	99.29	1.17
2	31	52	831	848	2,598	83.81	1.61

Total Hours Saved = 5,570



Institutions with >50 Subawards to Fellow Piloteers in Period 2

Massachusetts General Hospital	138
Johns Hopkins University	118
University of Washington	116
University of California, San Francisco	113
Duke University	98
Brigham and Women's Hospital	90
Washington University	83
Stanford University	83
Dana-Farber Cancer Institute	79
University of Michigan	73
University of California, Los Angeles	73
University of North Carolina at Chapel Hill	69
Vanderbilt University	61
Massachusetts Institute of Technology	60
University of Minnesota – Twin Cities	59
University of Florida	56
Harvard T.H. Chan School of Public Health	53
University of Wisconsin-Madison	51
Yale University	51



Frequent Pairings & Proximity

Pairs of institutions with most subrecipient activity tended to be in close proximity to each other.

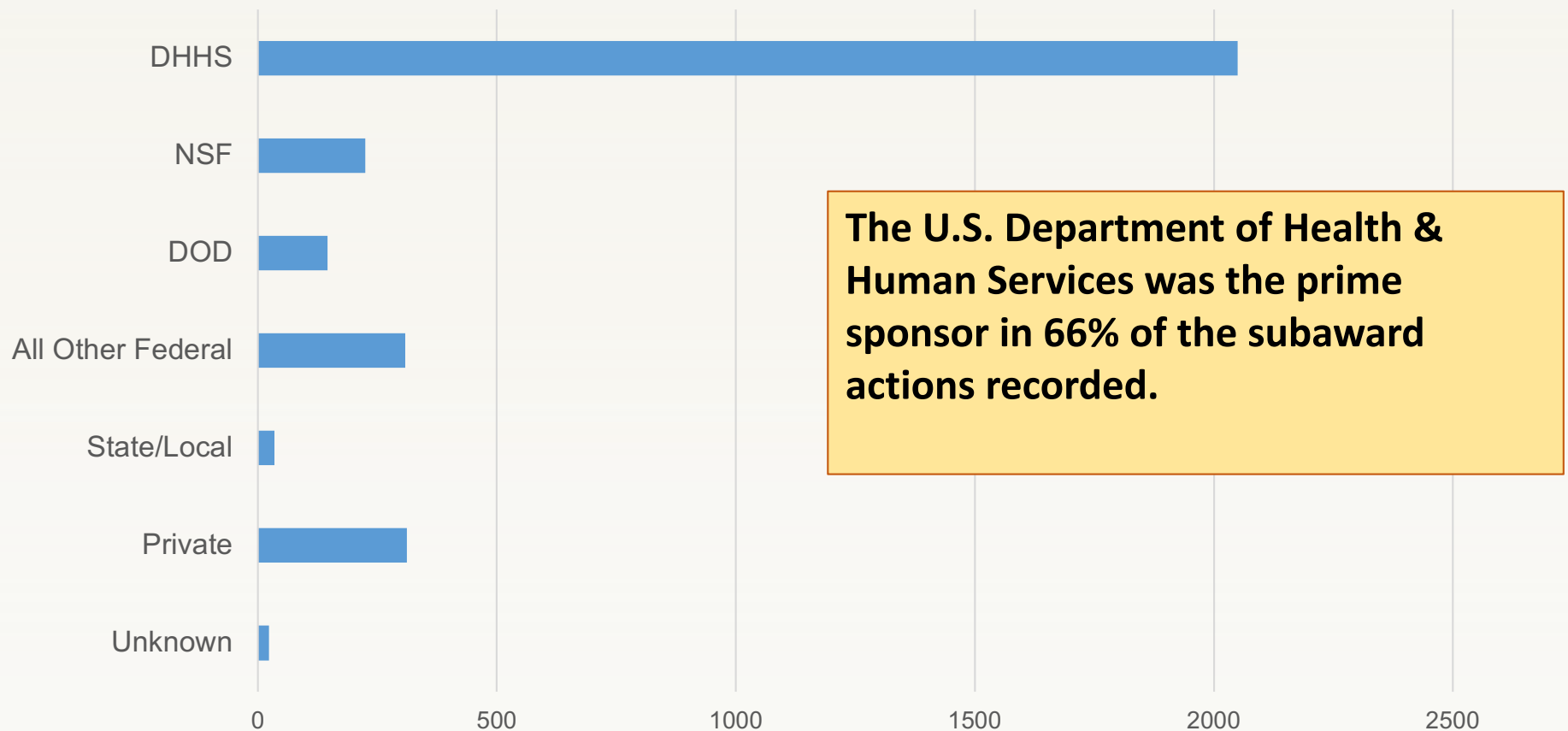
Cities	Subaward Actions
Boston, MA & Boston, MA	142
Cambridge, MA & Boston, MA	98
Boston, MA & Cambridge, MA	94
Baltimore, MD & Baltimore, MD	33
Chapel Hill, NC & Durham, NC	27
Nashville, TN & Nashville, TN	26
New York, NY & New York, NY	25
Durham, NC & Chapel Hill, NC	25
Atlanta, GA & Atlanta, GA	23
Berkeley, CA & San Francisco, CA	22

18 pairs of institutions recorded five or more actions in both directions, as both pass-through entity and subrecipient.



Sources of Subaward Funding

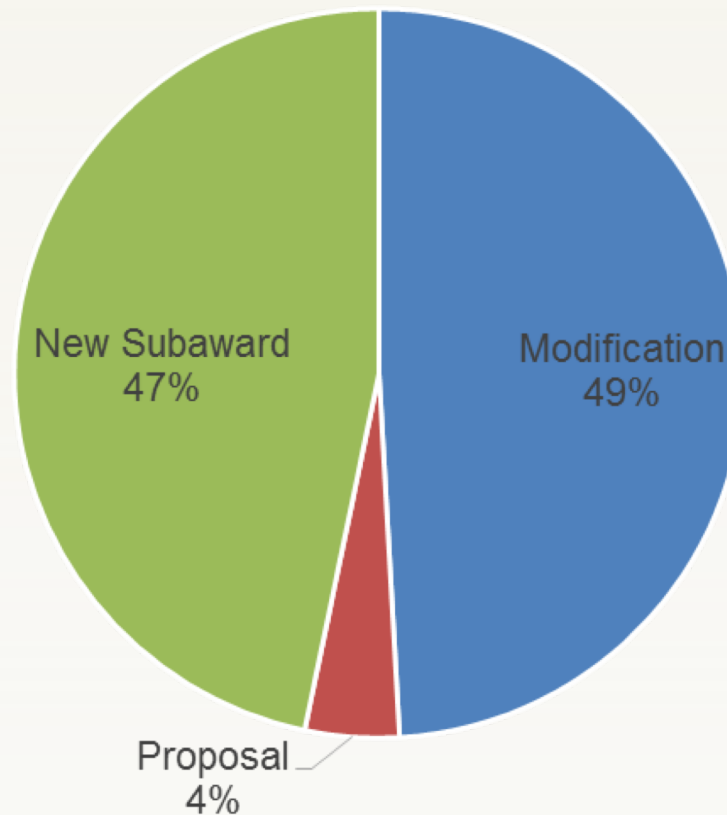
Subaward Actions by Prime Sponsor





When do most institutions use the EC?

Entity Profile Usage by Action





Phase 2 – Web based system

- Development active since Sept FDP meeting
- Active user acceptance testing – Nov thru Jan
 - By Working Group members
- Reminders about this phase of development
 - Keeping functionality basic
 - Same “functionality”/content as Excel Profile
 - Brings in basic validations
 - When we all go live – will all be testing in Pilot phase still!
 - We are doing all we can to help it go smoothly and be very intuitive



Web system - Overview

- Basic system first developed
 - Data entry forms, with validation and dropdown lists for standard consistent options
 - User access management structure
 - Workflow and Authorization process
 - Users will sign business use agreement
 - Simple print function
- 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
 - Had talked about doing a system conversion
 - Opting for all Piloteers to enter their information – as part of testing



Web system – Overview of Use

- Instructions to be provided at kick off
- All Piloteer Primary Points of Contact will be set up as Entity Super User by system developers
 - Call for POC updates will be sent after FDP meeting
 - Email will be sent to POC/Super User with login in
 - POC can then go in and create other users & grant rights
 - POC can then create Profile or other user they create can
- Once logged in – simply navigate to “Add Organization”
 - 3 initial fields of data to create a new Profile
 - Enter data by tab from there
 - When data all added in Profile, editor submits to AO
 - AO gets email, reviews, authorizes and submits to FDP
 - FDP reviews, approves and publishes (if all is well)



Phase 2 – Web based system Demo/Training

Chris Renner, Vanderbilt University Medical Center



System Go-Live / Cohort 3 Go-Live Estimated Timeline

Target Date	Action / Activity
1/16/2017	Call for updates to Piloteer POC's sent
2/15/2017	POC's set up with Super User access – emails sent
	Go-Live Kick-off email & instructions sent to Piloteers
	Piloteers begin creating their Profiles in web system
3/1/2017	Deadline for all web Profiles being submitted to FDP
3/1/2017	Target date to have all Profiles approved & published
3/15/2017	Target go-live for Cohort 3 – kick off email sent
3/29/2017	Deadline for Cohort 3 Profiles being submitted to FDP
4/1/2017	Target date for all Cohort 3 Profiles to be approved & published for use
6/30/2017	Final reporting period ends. Pilot officially ends



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
- Subgroup lead – Sara Clough, sarac@Austin.utexas.edu

Smart Form
Under
Construction!



Next Steps

- Tentative Go live for use of system – 2/15/2017
- Pilot reporting periods – gather data on effectiveness of use of Clearinghouse!

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 go live 3/15 /2017 “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 Contacts

Mailing Address:
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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/updating 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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CLEARINGHOUSE

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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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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