



**FEDERAL DEMONSTRATION PARTNERSHIP**  
Redefining the Government & University Research Partnership

# FDP Expanded Clearinghouse

Lynette Arias, University of Washington

Pamela Webb, University of Minnesota

Jennifer Barron, Johns Hopkins University

Chris Renner, Vanderbilt University Medical Center

Julie Thatcher, Institute for Systems Biology

FDP Meeting – May 2017



# Agenda

- Pilot overview – where are we in the timeline?
- Reporting Period 3 data results
- Phase 2 – Web-based system overview and demo
- Cohort 3 Go-Live Plans
- Pilot wrap up – 6/30/2017
- Next Steps



# Pilot overview

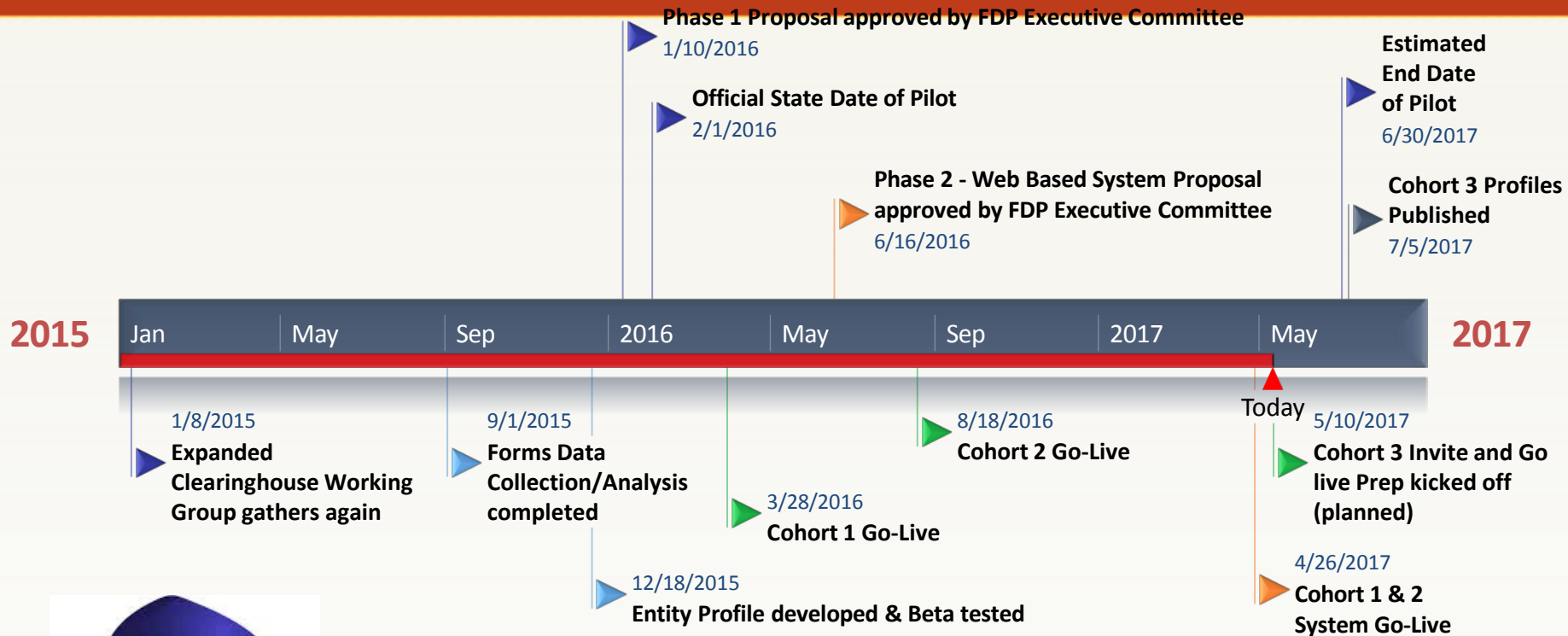
- Pilot timeline - where are we now?
- Pilot Period 2/1/2016 – 6/30/2017 (17 months)
- # of FDP member institutions involved so far
  - 79 FDP Members & 127 total individual entities
  - Brought into the Pilot in 2 Cohorts (3/28 & 8/18)
- Tracking use of clearinghouse in 4 reporting periods

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 1<sup>st</sup> phase of Pilot
- Go-live Piloting web-based system 4/26/2017
- Adding Cohort 3 organizations – kicking off in May 2017
- Excel Profiles changed to link to Profile in web-based system, once entered, certified, approved and published

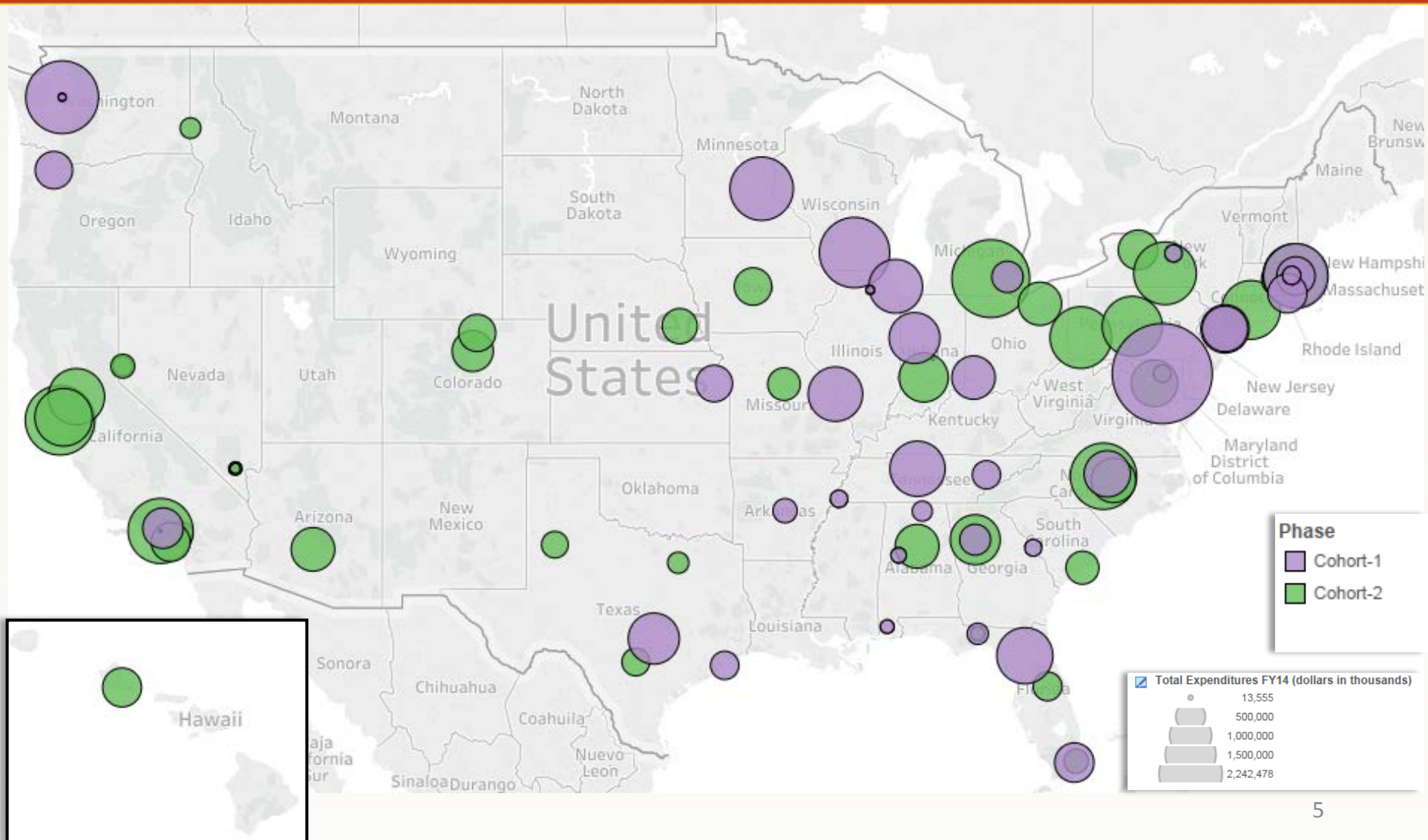


# Pilot Estimated Timeline





# Piloteers – Cohorts 1 & 2





## EXPANDED CLEARINGHOUSE PHASE I TRACKING FORM

REPORTING ENTITY NAME:	University of FDP	REPORTING PERIOD:	03/15/2016 - 06/30/2016
REPORTING CONTACT NAME:	P. Piloteer	LAST UPDATED:	5/5/2016
REPORTING CONTACT EMAIL ADDRESS:	P. Piloteer@FDP.edu		

[illegible]



# Reporting Period 3 Results

Entity Profiles	127
FDP Members Represented	87
Entities Submitting Reports	122 (96% of total)
Entities With No Activity	25 (20% of total)
<ul style="list-style-type: none"><li>• 22 of the 25 had no activity last reporting period</li><li>• Some entities reported no activity but issued subs to other Piloteers</li></ul>	



# 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)

Cohorts 1 & 2                      3099 transactions                      60% EC used

Reporting Period 3: 11/1/16 – 2/28/17 (127 profiles)

Cohorts 1 & 2                      3585 transactions                      61% EC used

*\* Both cohorts include large institutions that did not use commitment forms pre-pilot, and do not use the Entity Profile as a PTE*





# Time Saved in Periods 2 & 3

Average time saved increased in Reporting Period 3, since both cohorts were active during the full reporting period.

Reporting Period	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
2	1	986	973	3,040	57.35	0.47
2	2	859	872	2,680	36.21	0.48
3	1	1,057	1,101	3,334	62.90	0.79
3	2	1,131	1,088	3,450	46.62	0.58



# Time Saved in Period 3

## Time Saved Increases for Institutions with 5+ Transactions

Cohort	Number of Entities	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	34	1,047	970	3,146	92.52	1.16
2	40	1,109	895	3,160	78.99	0.99



# Institutional Variation

Some institutions benefit primarily as PTE, some as subrecipient and some as both.

Institution	Cohort	Subaward Actions	Entity Profile Used as PTE	Entity Profile Used as Sub	Total Hours Saved	Hours Saved Per Day
Johns Hopkins University	1	139	0	76	99	1.24
U of Minnesota – Twin Cities	1	137	136	34	289	3.61
University of Washington	1	101	101	76	281	3.51
NYU School of Medicine	2	146	146	8	273	3.42
UC San Francisco	2	137	137	71	339	4.24
Yale University	2	2	2	47	65	0.81



# 20 Most Active Institutions

Institution	Subaward Actions
Brigham and Women's Hospital	196
University of Michigan	180
Massachusetts General Hospital	154
New York University School of Medicine	146
University of North Carolina at Chapel Hill	140
Johns Hopkins University	139
University of California, San Francisco	137
University of Minnesota – Twin Cities	137
Harvard University	134
Vanderbilt University Medical Center	129
University of California, Los Angeles	125
Duke University	123
Stanford University	105
University of Washington	101
Emory University	98
University of Florida	98
University of Wisconsin-Madison	71
University of Rochester	69
University of Colorado Boulder	59
University of Texas at Austin	58



# Phase 2 – Web-based system

- [Fdpclearinghouse.org](http://fdpclearinghouse.org)

STEP 1: CREATE  
ORGANIZATION  
(Organizational  
Owner)

STEP 2:  
COMPLETE/SUBMIT  
PROFILE  
(Profile Editor)

STEP 3: CERTIFY  
PROFILE  
(Profile Certifier)

STEP 4: PUBLISH  
PROFILE  
(FDP Admin)

- Resources

- At system home page & ECWG webpage
  - [http://sites.nationalacademies.org/PGA/fdp/PGA\\_055835](http://sites.nationalacademies.org/PGA/fdp/PGA_055835)
- Go-live email 4/26 and Tips email 5/5
- System Help Page
  - System Instructions
  - Web demo
  - Business Use Agreement



# System Workflow Overview

- **Create Organization**
  - All POC's were created as "Organizational Owners" at go-live
  - Follow instructions & watch demo video
  - "Add Organization" – complete 1st page with 4 fields
  - Create "Users" for org & give them permissions – if needed
- **Complete / Submit Profile**
  - Can cut and paste from Excel Profile
  - Difference between Contacts & Users
  - "Authorization" tab – Profile Validation included here
  - "Submit for Certification"
- **Certify Profile**
  - Profile Certifier reviews and selects "Submit to FDP"
  - Goes into FDP Review status and queue
- **Publish Profile**
  - FDP Admin reviews and, if ok, publishes
  - Profile then appears in the "Participating Organizations" list



# Web based system – some notes

- 48 Profiles published thus far!
- Profile “FDP Admin review” Process
  - Checking that information looks appropriate & complete
  - Can NOT check for accuracy
  - Check that links work and go to specific info requested
  - Check that comments look appropriate for public
  - Should be published or you will hear back within 2 business days, via Reject and Return process
- Org Owners
  - Should all have received emails with passwords by now
  - Automatically have Profile Editor permissions
- Minor bug and formatting fixes as we go



# Phase 2 – Web based system

- Excel vs Web Profile – differences
  - Some fields/questions changed
  - Optional questions now included an “NA” option
  - Field label changes
  - Printing
  - Comment boxes





# Web system - Reminders

- 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 agree to Terms (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 Profiles in new system
  - Had talked about doing a system conversion
  - Opting for all Piloteers to enter their information – as part of testing
  - We are still in Pilot Phase – we need you feedback on system usability



# Phase 2 – Web based system Demo/Training

Chris Renner, Vanderbilt University Medical Center



# Joining Cohort 3

- Invitation sent 5/10/17 to all FDP Admin Reps inviting the rest of FDP to participate (Cohort 3)
- Information sent included:
  - Explanation of how to explore the online Clearinghouse now
  - List of Obligations for Members
  - Timetable & Steps for Joining Cohort 3
  - Organizational Worksheet
    - See data that you will need for your profile
    - Collect your data from multiple sources/offices before needing to do on-line data entry



# Cohort 3 Go-Live Timeline

Target Date	Action / Activity
May 10, 2017	FDP invitation extended to FDP Admin Reps to Join Cohort 3
<b>May 22, 2017*</b>	<b>INITIAL DEADLINE to express interest in joining Cohort 3</b>
By May 30, 2017	FDP will do initial setup for Cohort 3 institutions and notify organizational owners
June 1-19	Window for Cohort 3 institutions to create and certify their profile
<b>June 19<sup>th</sup></b>	<b>DEADLINE FOR COHORT 3 PROFILES TO BE SUBMITTED TO FDP</b>
June 20 – July 2	FDP review and approval of Cohort 3 profiles FDP provides additional “Go-Live” assistance to Cohort 3
<b>July 5, 2017</b>	<b>COHORT 3 GO-LIVE</b> <ul style="list-style-type: none"><li>• Profiles are published</li><li>• Cohort 3 stops collecting or sending subrecipient commitment forms</li><li>• Cohorts 1&amp;3 expand their list of institutions for which they do not collect or send subrecipient commitment forms</li></ul>

\*Applications still accepted after this date, but there may be a delay in setup. The June 19<sup>th</sup> deadline will still apply.



# Organizational Worksheet

## ORGANIZATIONAL DATA ENTRY WORKSHEET

(This worksheet is an optional tool available to institutions who wish to collect their data ahead of time)

GENERAL INFORMATION TAB		
FIELD NAME	WORKSHEET – ENTER YOUR DATA HERE	NOTES
Legal Entity Name		Must match SAM record
Common Name		Name you would like users to see when they look for your profile (e.g., "University of Minnesota-Twin Cities")
Address		Can be found in SAM as "physical address"
Congressional District		Must match SAM (e.g., MN-005 for 5 <sup>th</sup> congressional district in Minnesota)
EIN		
DUNS		Must match SAM
Entity Type		[Pick from dropdown list -this list is the same as the FDP subward template. The most common selections are: "Private Institution of Higher Education" or "Public/State Controlled Institution of Higher Education"].
Entity Representation that it is or is not a small business concern		[Dropdown, but the most common answer for FDP members is "Not Applicable."]
Fiscal Period End Date		e.g., June 30
Payment Address		Needed only if different than your physical address
Link to institution's Office of Sponsored Projects (or equivalent) web site		Link. Please make sure this goes to your office's web site, not a general University website.
Most Recent Negotiated F&A Rate Agreement		Upload or link
Most Recent Negotiated Fringe Benefit Rate Agreement		Upload, link, or available upon request

**OPTIONAL!**

Can be sent out at your institution for multiple people to provide data

Hints and Tips



# Cohort 3 – Volunteers

- 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



# Non-Single Audit Organizations

- Developing a questionnaire for non-Single Audit Organizations
- Will initially be available in Excel
- Collaborating with the RAQ group to align the questionnaire with the existing RAQ
- Trying to capture only the most pertinent questions in order to simplify the RAQ
- Questions? Contact Sara Clough at [sarac@austin.utexas.edu](mailto:sarac@austin.utexas.edu)



# Next Steps with Online System

- Cohort 1 & 2 Profiles published prior to Cohort 3 Profiles
- Continued system development
  - Collecting feedback and enhancement requests
    - [fdpechelp@gmail.com](mailto:fdpechelp@gmail.com)
  - Developing Change Management Process
  - Prioritizing enhancements
  - API to be developed
  - Looking to things like SAM web services, FAC links, where feasible





# Next Steps for the Pilot

- NOW - Finish Profile Conversion from Excel to Online system for all Cohort 1 and 2 institutions
    - Updating of Excel profiles for Cohort 1 and 2 has been discontinued
    - Profile links are being updated ~weekly to direct users to the latest version available of an institution's profile (online if available, Excel if not)
    - Excel version of the Expanded Clearinghouse will be retired as soon as all Cohort 1 and 2 institutions have transitioned
  - JUNE 30<sup>th</sup> - Finish Pilot Tracking Cohorts 1 & 2
- \*\*\*\*\*FORMAL PILOT OFFICIALLY ENDS \*\*\*\*\***
- JULY 5<sup>th</sup> - Launch Cohort 3
  - JULY 21<sup>th</sup> - Collect RP4 tracking data for Cohorts 1&2
  - AUGUST - Submit Final Report to FDP Executive Committee
    - See next slide



# FINAL PILOT REPORT

- **Impact Summary**
  - What has the Expanded Clearinghouse achieved? Not achieved?
  - Quantification of impact on administrative burden (spoiler alert: this approach makes a difference!)
  - Lessons learned
- **Recommendations for Next Steps**
  - Continuing the Expanded Clearinghouse as an ongoing FDP initiative
  - Use of the results to impact federal subaward policy and/or a formal demonstration
  - Addressing the overlap between the FDP FCOI Clearinghouse and the Expanded Clearinghouse
  - Addressing Expansion of the Expanded Clearinghouse
    - Non-FDP organizations
    - Connectivity with other initiatives (e.g., Risk Assessment tools, subaward templates)
    - Enhancements & Electronic tool & development (APIs, reporting, etc.)
  - Governance & Decision-making on a go-forward basis



# Resources

- ECWG Webpage
  - [http://sites.nationalacademies.org/PGA/fdp/PGA\\_055835](http://sites.nationalacademies.org/PGA/fdp/PGA_055835)
- FDP Clearinghouse web-based system
  - <http://fdpclearinghouse.org/>
- Helpdesk
  - [fdpechelp@gmail.com](mailto:fdpechelp@gmail.com)



# 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 Medical Center
Michael Johnson	Vanderbilt University Medical Center



**Lulu Sun**  
UW Work  
study student





# Questions & Discussion

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

[fdpechelp@gmail.com](mailto:fdpechelp@gmail.com)





# Contact Info

- Lynette Arias
  - University of Washington
  - [ariasl@uw.edu](mailto:ariasl@uw.edu)
- Pamela Webb
  - University of Minnesota
  - [pwebb@umn.edu](mailto:pwebb@umn.edu)
- Jennifer Barron
  - Johns Hopkins University
  - [jlb@jhu.edu](mailto:jlb@jhu.edu)





# Team Selfie

