



## FDP Expanded Clearinghouse Pilot – Phase 1

### Frequently asked Questions (FAQ) – Updated for Cohort 2

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#### GENERAL INFORMATION

**Q. What is the purpose of the Pilot?**

A. The Expanded Clearinghouse, Phase I, seeks to test an Entity Profile, including using a national repository of posted information as a less burdensome alternative to achieve the stewardship obligations expected in the subaward issuance and oversight process.

**Q. Can I add additional contacts for the Pilot for my institution? If so how?**

A. Yes, additional contacts can be added for your institution, up to a total of 4 for your institution, including your FDP Admin Rep. These contacts should be individuals that have an active role related to the Pilot. Please send an email to any of the three co-chairs (Pamela, Jennifer, Lynette) and they will authorize you and ask David Wright to add that person to the listserv.

**Q. What if we have people at our institution that would just like to receive periodic updates about the progress of the Pilot, but are not actively involved in the Pilot?**

A. There is a general FDP Mailing List that was created previously, called “FDP Clearinghouse” that will be used to send regular updates out to the community. Anyone from an FDP member institution can sign up for this, similar to other FDP Mailing Lists. For more information see the [FDP Mailing List webpage](#).

#### ENTITY PROFILE

**Q. How was the Entity Profile developed?**

A. The Entity Profile was developed based on review of over 100 subrecipient commitment or certification forms from FDP and other institutions. Common data elements or questions from these forms are contained in the Entity Profile.

**Q. Is it ok to submit more than one Entity Profile for my Institution?**

A. Yes, depending on how your organization is structured, it may be appropriate for you to complete one Profile for each DUNS #, each campus or other possible distinctions. This may be influenced by how grant responsibilities are distributed at your institution. Please note that only actual FDP Member Institutions can participate in this Pilot. If your institution is one component of a multi campus organization and the other components are not FDP members, they will not be able to participate. For questions on whether or not more than one Entity Profile should be completed, please contact Lynette Arias, [ariasl@uw.edu](mailto:ariasl@uw.edu).

**Q. I have comments included in my Entity Profile that I want to be visible to other Pilot Institutions, where should I put them?**

A. Please place these comments in the Comment column, but mark as “MAKE VISIBLE” before those comments. This column header will be changed to “Notes” in the version posted on the web.



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- Q. If a modification is needed to my Entity Profile after I submit it, how do I make this change?**
- A.** Utilizing the final excel version of your Entity's Profile, sent to you by Lynette Arias, make the necessary change and send back to [Lynette Arias](#). A date of last update, as you indicate on your profile, will be added to the FDP webpage listing so Piloteers will know when an Entity Profile was last updated. It is our hope, in the future, that Entities will have the ability to login to a special location on the FDP website to make these changes themselves.
- Q. What should I do if there are formatting issues as I enter my institution's information into the Profile?**
- A.** Please make a note of this in the comments section and if the information cannot be added in the answer column, please add into the comments column and make a note of this when you submit your Profile.
- Q. When are the Entity Profiles due?**
- A.** All Entity Profiles are to be submitted to Lynette Arias, [ariasl@uw.edu](mailto:ariasl@uw.edu) by July 29, 2016 for Cohort 2.

#### PILOT ENTITY REPOSITORY

- Q. How will we know when all the Entity Profiles are on the FDP webpage and ready to be used?**
- A.** Once all Cohort 2 Entity Profiles have been received, reviewed by one of the Co-Chairs and posted to the webpage, we will send an email to the Pilot listserv letting everyone know and officially going live with use of the Profiles.
- Q. How will the Entity Profiles print when accessed from the Profile Repository on the FDP webpage?**
- A.** Pdf is the only available format right now. We are not yet able to download information directly into an institution's system or have any System to System capability. Phase 2 of the pilot will address this.

#### LAUNCHING THE PILOT AT YOUR INSTITUTION

- Q. Where can I access information about the other Pilot Institutions?**
- A.** On the FDP Webpage, within the [FDP Expanded Clearinghouse webpage](#), there are links to documents listing all Pilot Institutions: Cohort 1, Cohort 2 and a Combined Listing of both Cohorts.
- Q. Do you have any recommendations for how to share this information with our campus?**
- A.** A sample presentation about the Pilot is also on the above [webpage](#). This can be downloaded and modified easily for your institution to share broadly around your campus and/or within your sponsored projects office.



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- Q. Can we still use our Subrecipient Commitment forms during the Pilot?**
- A.** You can use them for non-Pilot institutions, but for Pilot institutions, you should NOT be using any form or questionnaire that asks for Entity based information. As part of the Pilot, your institution agreed to forego the use of these forms for the other Pilot institutions, and use the Entity Profiles.
- Q. What about information needed on an individual transaction or subaward basis?**
- A.** You are welcome to continue to request and collect the minimal information that is required per subaward, such as IRB and IACUC approval information.
- Q. What if another one of the Pilot institutions is continuing to utilize a Subrecipient Commitment or other certification form that includes entity based questions?**
- A.** There is language on the Clearinghouse webpage that can be used when encountering this situation. It will likely take a bit of time and patience for all the Pilot institutions to get up and running in the Pilot, so be kind, but do share this information with them and gently push back.

#### TRACKING & EVALUATION OF PILOT

- Q. What else do I need to do besides completing the Profile?**
- A.** Quarterly, you will be asked to submit activity data utilizing the Tracking Form posted on the FDP Webpage. You will also get periodic requests to evaluate the Pilot and provide feedback. We expect tracking of some sort to be needed periodically throughout the estimated 18 month Pilot. We will adjust tracking as things progress and always be looking for ways to streamline the tracking.
- Q. Will I have the access to those evaluations?**
- A.** Yes, we will send you the consolidated/summarized data and information related to evaluations and how the Pilot is going as well as present the results at FDP Meetings.

#### USE OF THE TRACKING FORM

- Q. Who fills out the tracking form? The Pass Through Entity or the Subawardee?**
- A.** The Pass-Through Entity is responsible for completing the form. Only out-going subawards to other pilot entities should be tracked.
- Q. Should only federal subawards be tracked?**
- A.** While the focus of the pilot is on federal subawards, we would encourage you to track the use of the Expanded Clearinghouse for all the subawards you issue to entities participating in the pilot.
- Q. Are we to track subawards from grants and contracts or only grants?**
- A.** The tracking form is set up to allow for subs issued off grants, cooperative agreements, contracts, and other award mechanisms. We encourage you to track subcontracts from prime contracts as well.



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- Q. Should we track subawards that were issued prior to the start of the Pilot but not yet fully executed?**
- A.** No. Please track those subs which you are issuing on or after the start date of the Pilot. If you are using the Expanded Clearinghouse at the time you submit proposals, please start tracking that usage as of the start date of the Pilot. Basically, this is a forward-looking pilot and we are not looking to capture data from before the start of the Pilot period.
- Q. How long will the pilot run? How long do we need to keep track of our subawards with other pilot participants?**
- A.** The pilot was approved to run for 18 months, with the first phase running six months and the second phase (where it is hoped the pilot will be expanded to additional participants) expected to run for approximately a year. These are estimated periods and could be adjusted based on whether sufficient data has been obtained from the participants.
- Q. Do we have to use the form provided? Can we use our own system to track subawards?**
- A.** In order to allow us to combine standardized data across all the pilot sites, we will need you to provide us with your data on the excel worksheet provided. We recognize that this may be duplicative to how you capture data in your own systems, but hope you realize the importance of us being able to compile complete data from each pilot site. However, manual data entry is not required; feel free to have your system populate the form if that is within your system's capabilities.
- Q. Are we tracking sub-recipient commitment forms at grant submission/proposal stage, or only for awarded grants? What happens if we complete at proposal stage, do we also need to record them?**
- A.** We are looking to capture data on all uses of the Expanded Clearinghouse but use of the Expanded Clearinghouse is optional at the proposal stage. Some schools do review their potential subawardees at the time the proposals are submitted. If your institution does this, please record the use of the Expanded Clearinghouse on the tracking form. If your school does not do such checks at the proposal stage, there is no need to begin doing so for this pilot and nothing needs to be recorded on the tracking form.
- Q. Why are we being asked to track subaward issue and fully executed dates?**
- A.** In addition to tracking the number of times entities are able to use the Expanded Clearinghouse in lieu of completing various questionnaires, we'd like to see if there is actually any reduction in the turn-around time for subaward processing due to using the Expanded Clearinghouse.