



# FEDERAL DEMONSTRATION PARTNERSHIP

Redefining the Government & University Research Partnership

## Expanded Clearinghouse Working Group

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Julie Thatcher, Institute for Systems Biology

Pamela Webb, University of Minnesota



# Expanded Clearinghouse Working Group - Agenda

- Pilot Purpose / Overview
- Pilot Go-live, Entities & Status
- Initial Survey & Tracking Results
- Supporting documents for Pilot
- Next steps





# Pilot Purpose & Overview

***Reduce administrative burden associated with verifying standard information required for subaward issuance and subrecipient entity monitoring***

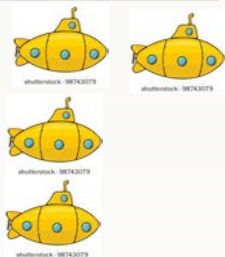
- Eliminate exchange of subrecipient commitment forms on a transaction-by-transaction basis in favor of accessing an on-line, up-to-date standardized, streamlined subrecipient data repository (an “entity profile”)
- Determine whether such an on-line repository:
  - reduces the data collection and review burden for both pass-through entities and subrecipients
  - increases efficiency and effectiveness (timeliness of data acquisition, speed of review, data consistency)



# Expanded Clearinghouse – Phase I (40 institutions)



Johns  
Hopkins



Minnesota



Institute for  
Systems Bio



Washington



**SIMPLE EXAMPLE:**  
4 Standard Templates OR  
13 Variant Sub Commitment Forms



# Significance to FDP

- Test feasibility of standardized data repository of Entity Profiles
- Will such a repository reduce admin burden, while still ensuring stewardship?
- If successful, it will demonstrate a more effective model
- If not successful, information gathered still very useful





- Participants are able to efficiently and accurately complete the Entity Profile template
- Entity Profile forms are certified to be accurate by authorized institutional officials
- Entity Profile templates are able to be posted in a timely manner and easily accessed on the FDP web site
- Participants routinely access and use the Entity Profile to obtain annual/static information needed for subaward issuance or modification.
- Participants are able to update their Entity Profile forms efficiently, and do so at least one time per year
- Participants determine that access to the Expanded Clearinghouse is more efficient than sharing of individual Subaward Commitment forms.



# Pilot Goals / Subaward Lifecycle



Proposal

- Use suggested LOI - Provide PTE the info they need
- Then they won't need to send you the form to complete!
- Provide basic Entity info & basic minimal project specific info
- Utilize Entity Profile for any entity related information needed

JIT

- Utilize Entity Profile for any entity related information needed

Award

- Utilize Entity Profile for any entity related information needed

Subaward

- Info provided via LOI provides basis for creating Subaward
- Along with proposal and award information
- Specific compliance information to be added to FDP Subaward Agreement Template



# Pilot Go-Live & Status

- Pilot timeline
- Pre Go-live prep
- Go-live steps
- Pilot Entities / Piloteers
- Piloteer Responsibilities







# Pilot Estimated Timeline





# Pilot Pre Go-live Prep

- Obtained Executive Committee approval!
- Developed Entity Profile
- Completed Beta Test of Entity Profile
- Subgroups developed:
  - Pilot Instructions & Evaluation Process
  - Technical Assistance
  - Transaction Specific Form/LOI
- Developed Working Group Website & Profile Repository framework
- Confirmed Pilot Entities participation with Authorized Officials





# 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
5/31/2016	End date of first official period for Pilot Tracking Forms



# Pilot Entities – “Piloteers”

- 40 FDP Member Institutions
  - Large Public & Private
  - Institutions of all sizes!
  - Emerging Research Institutions (ERI)
  - Wide range of total funding per Institution
- 55 Entity Profiles
  - Multiple campuses
  - Sub entities
  - Multiple DUNS #s





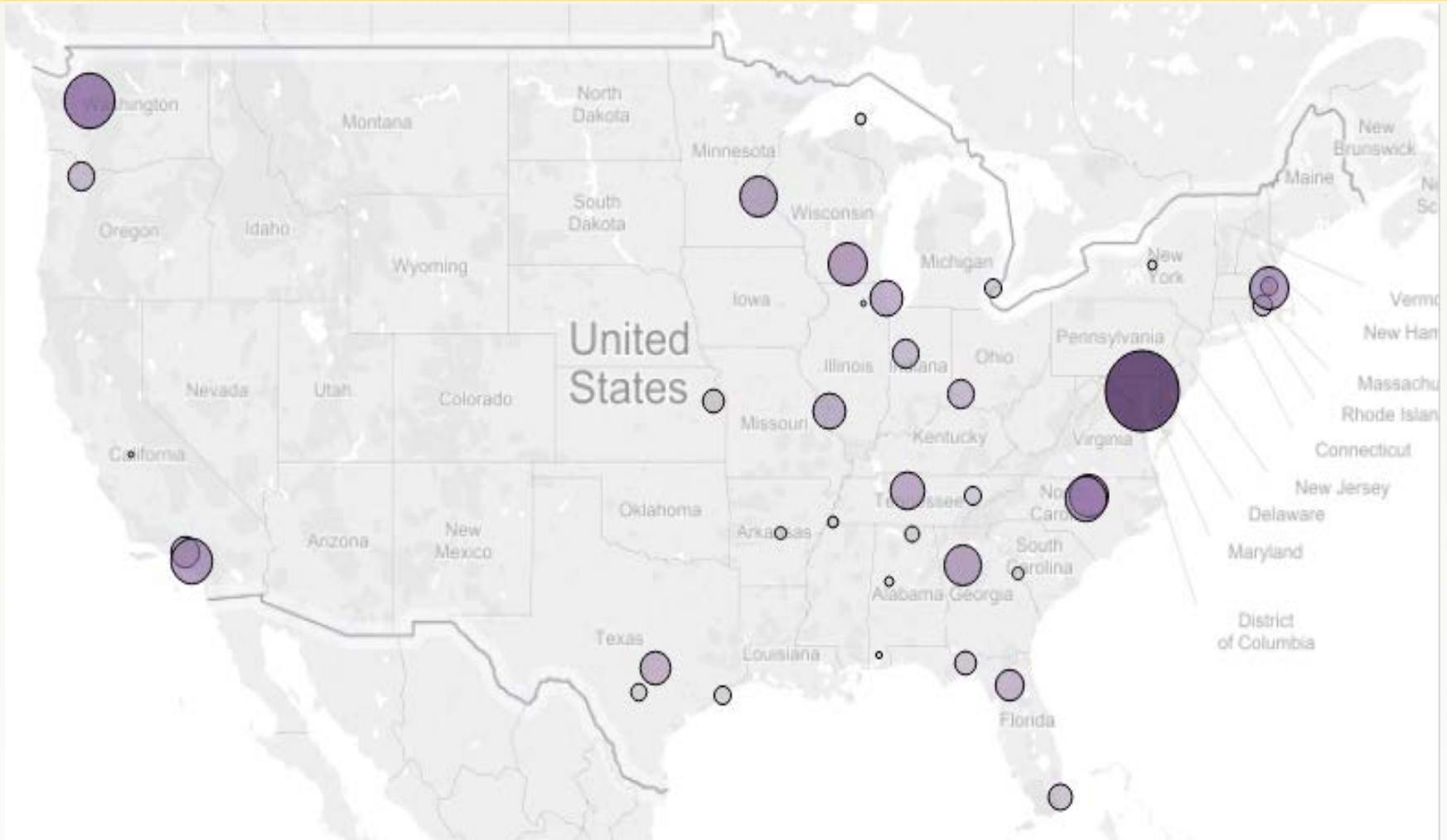
# Pilot Entities

*Red = Beta Tester*

- 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
- George Regents University
- Harvard Medical School
- Harvard University
- Harvard T.H. Chan School of Public Health
- **Johns Hopkins University**
- **Icahn School of Medicine at Mount Sinai**
- **Institute for Systems Biology**
- Michigan Technological University
- Northern Illinois University
- New York University, Washington Square Campus
- **Northwestern University**
- Oregon Health & Science University
- Partners Healthcare
  - Brigham and Women's Hospital
  - McLean Hospital
  - Massachusetts General Hospital
- **Purdue University**
- Syracuse
- 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



# Pilot Entity - Coverage





# Participant Responsibilities

- Participate as both a subrecipient and as a pass-through entity
- Agree to Terms of the Pilot
- Create profiles & have approved by Authorized Official
- Send profile to Working Group Co-Chair for review
- Agree that profile can be posted publically
- Agree to update profile timely and at least annually
- Forego use of other entity form or request for entity info
- Track number of subawards issued using this mechanism
- Suggest improvements & evaluate at least twice
- Optional –
  - Help test the use of a standard Letter of Intent & Financial Questionnaire
  - Post link to profile on webpage for use by other FDP institutions and non-FDP institutions
  - Can terminate participation at any time





# Pilot Status



- [Working Group Website](#)
- [Clearinghouse Website](#)
- ~ 28 updates to originally posted profiles
- Weekly monitoring for updates needed & validation of links, etc.
- Pilot entities have been using Profiles for 1 month
- Developing supporting documents for Pilot





# Initial Survey

## First Objective: Assess Roll-Out

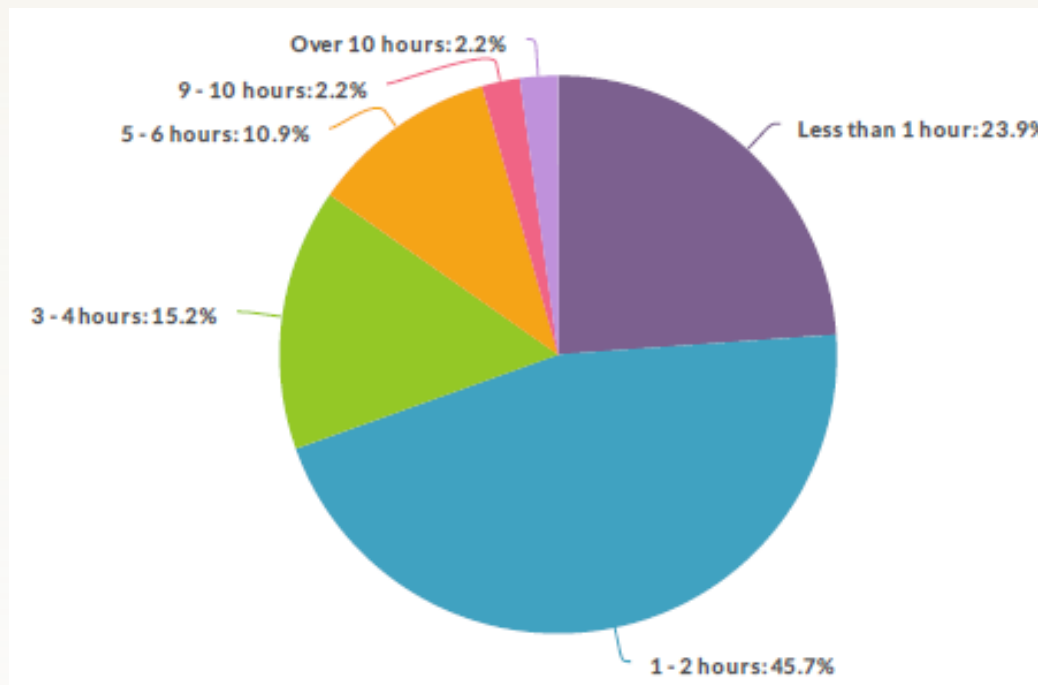
- I am satisfied with the roll out (96% Strongly Agree/Agree)
- Written instructions were clear (98%)
- Data elements were relevant and appropriate (98%)
- Welcome Call was valuable (75% / 23% Neutral)
- Understand Tracking Form (87% / 9% Neutral)
- Understand Profile Update Process (91% / 7% Neutral)
- We're prepared to launch (85% / 11% Neutral)



# Initial Survey

## Second Objective: Baseline for Potential Time Saved

- Hours to gather data and complete the Entity Profile

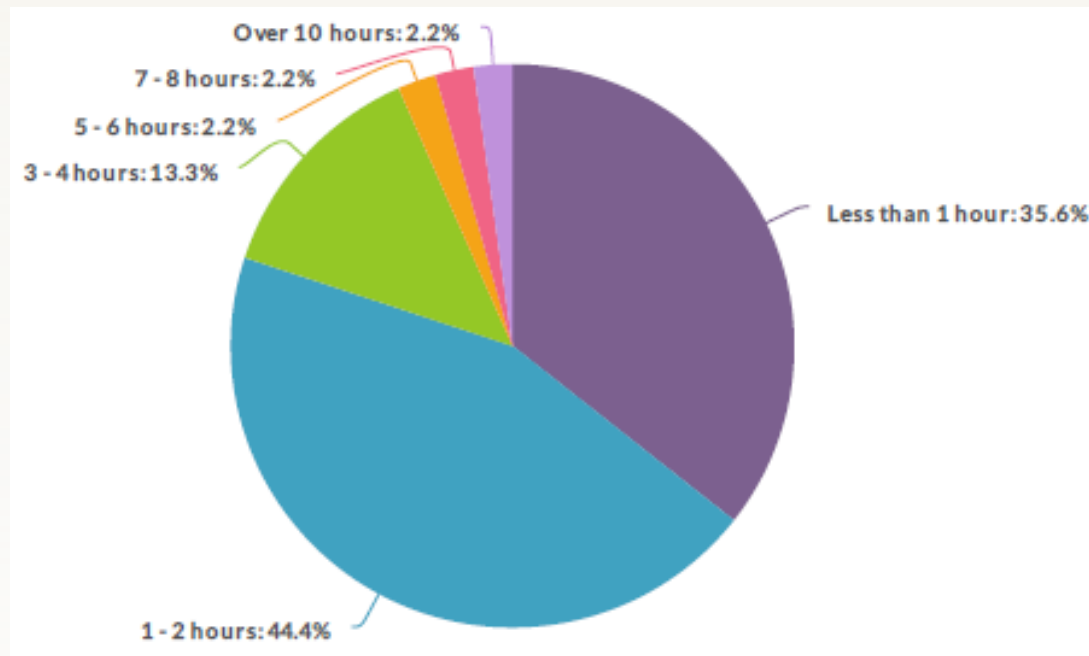




# Initial Survey

## Second Objective: Baseline for Potential Time Saved

- Average estimated hours as a PTE to disseminate and review subrecipient commitment forms

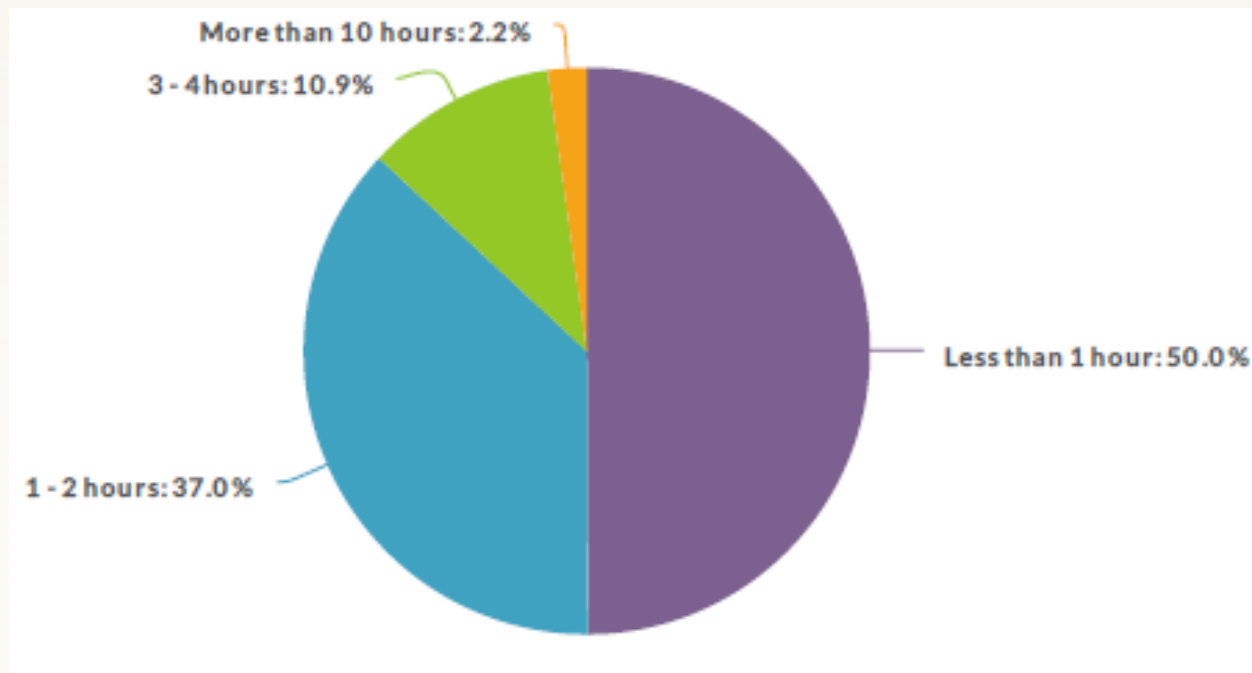




# Initial Survey

## Second Objective: Baseline for Potential Time Saved

- Average estimated hours as a subrecipient to complete subrecipient commitment forms





# Initial Survey

## Third Objective: Solicit Feedback

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

### Suggestions:

Provide guidance/tool for collecting project-specific information

Align Entity Profile elements with RAQ Elements

Provide 1-page summary instructions for end-users

More time for institutional preparation

On-line, searchable database

Require all FDP institutions to participate

*“FDP is doing a great job rolling out innovative and compelling PILOTS! So proud to be affiliated with this group of professionals.”*



# Initial Tracking Results

- Initial tracking done with working group only
- Reporting Period: March 28 – April 28, 2016
- Institutions Reporting: 8
  - 68 subawards issued to 31 pilot institutions
  - Point of Use: 0 Proposals / **14 Subs** / **20 Mods** / 34 EP Not Used
  - Award Type: 54 Grants / 6 Coop Agreements / 4 Contracts / 4 Other
  - Subaward Type: 96% Cost Reimbursable / 3% Fx Price / 1% Other
- Already lots of time saved by PTEs!



# Supporting Documents for Pilot

- Suggested Letter of Intent (LOI)
- Suggested Financial Questionnaire
- Project Specific Forms / compliance questions



# Letter of Intent

- Subgroup developed suggested data set/template
  - To be used when necessary at proposal stage between pilot institutions
  - Information included is minimal in order to reduce administrative burden
  - Much discussion in subgroup about what really is needed at time of proposal
  - Much information is currently collected, but not used
  - Compliance certs handled in subaward agreement – not needed at proposal stage
  - Goal - provide PTEs the info they need and encourage them not to send forms at proposal time!





# Financial Questionnaire

- Suggested Use – Link to form to be posted next week
- Use for Entities NOT subject to Single Audit
- Series of questions to help assess Entity overall
- Matches very closely with NSF Financial Management 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



# Transaction Specific Form

- Transitioned to become the compliance questions being added to the FDP Subaward Agreement Template
- Part of pilot feedback will be evaluation of elimination of this form
- Goal continues to be – No more forms!!





# What's Next?

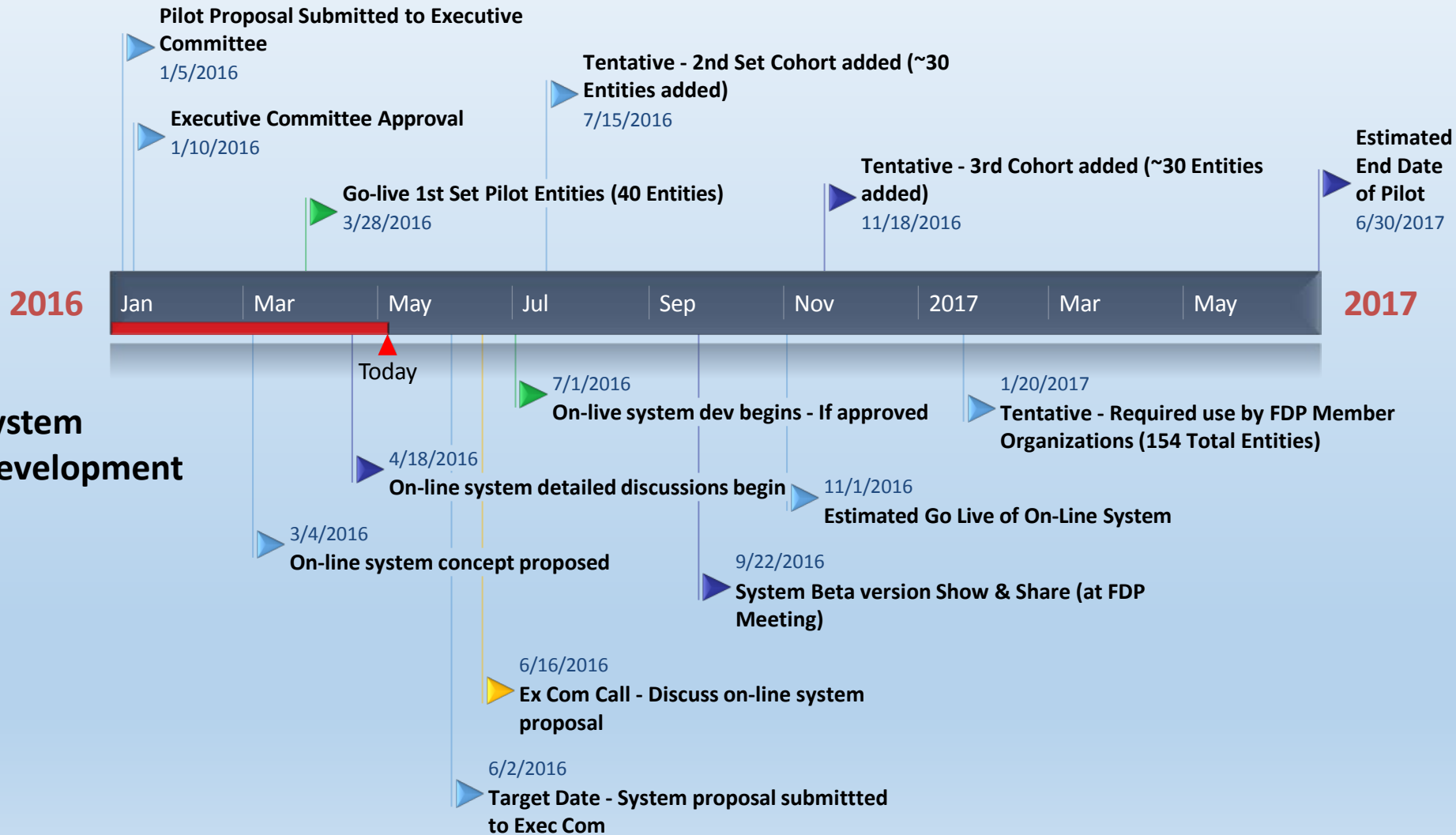
- Profiles continue to be updated for FY15 audits, etc
- Ongoing monitoring of Profiles & Website to ensure integrity of information
- Add second cohort of Piloteers ~Summer 2016
  - Email Lynette at [ariasl@uw.edu](mailto:ariasl@uw.edu) if you are interested
- Continue to add Entities, as feasible
- Assessing development of on-line system
- Approach SAM and FAC for possible synergies
- Maintain awareness of DATA Act activities
- Monitor efforts re: “Safe Harbor”



# 2<sup>nd</sup> Cohort of Pilot Entity Volunteers So Far

- University of Texas Health Science Center at San Antonio
- University of Southern California
- University of Maryland College Park
- Arizona State University
- Cornell University
- University of Texas at Dallas
- University of California Irvine
- Case Western Reserve
- University of Missouri
- Accepting other Volunteers – up to 30/40

# Pilot Timeline Overview – Could look like this!





# Team Effort – Thanks to...

- Working Group members
- David Wright
- Vanderbilt and the online system development group
- Piloteers!





# Workgroup & Subgroups

WORKGROUP MEMBERS	
Lynette Arias	University of Washington
Jennifer Barron	John Hopkins University
Pamela Webb	University of Minnesota
Patrice Carroll	Brown University
Marcy Friedle (RAQ Group)	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	University of Alabama
Steve Carter (RAQ Group)	University of California, San Diego
Jennifer Rodis (RAQ Group)	University of Wisconsin-Madison
Sara Clough (RAQ Group)	UT Austin
	UT Austin
Courtney Swaney (eRA) (Lead)	
Robert Prentiss (RAQ Group)	UT Austin
Tyra Patrice Darville-Layne (RAQ Group)	Northwestern University
Christopher Renner	Vanderbilt University

## SUBGROUPS

### Pilot Instructions/Evaluations

Julie Thatcher (Lead)	Institute for Systems Biology (ERI)
Rebecca Balentine	Icahn School of Medicine at Mount Sinai
Tyra Patrice Darville-Layne (RAQ Group)	Northwestern University
Patrice Carroll	Brown University
Jennifer Rodis (RAQ Group)	University of Wisconsin-Madison

### Technical Assistance

Courtney Swaney (eRA Comm) (Lead)	UT Austin
Sara Clough (RAQ Group)	UT Austin
Robert Prentiss (RAQ Group)	UT Austin

### Transaction Specific Form

Amanda Hamaker (Lead)	Purdue University
Marcy Friedle (RAQ Group)	Florida State University
Jennifer Rodis (RAQ Group)	University of Wisconsin-Madison
Tyra Patrice Darville-Layne (RAQ Group)	Northwestern University



# Kudos and credit to:

**Lulu Sun**

UW Work study student



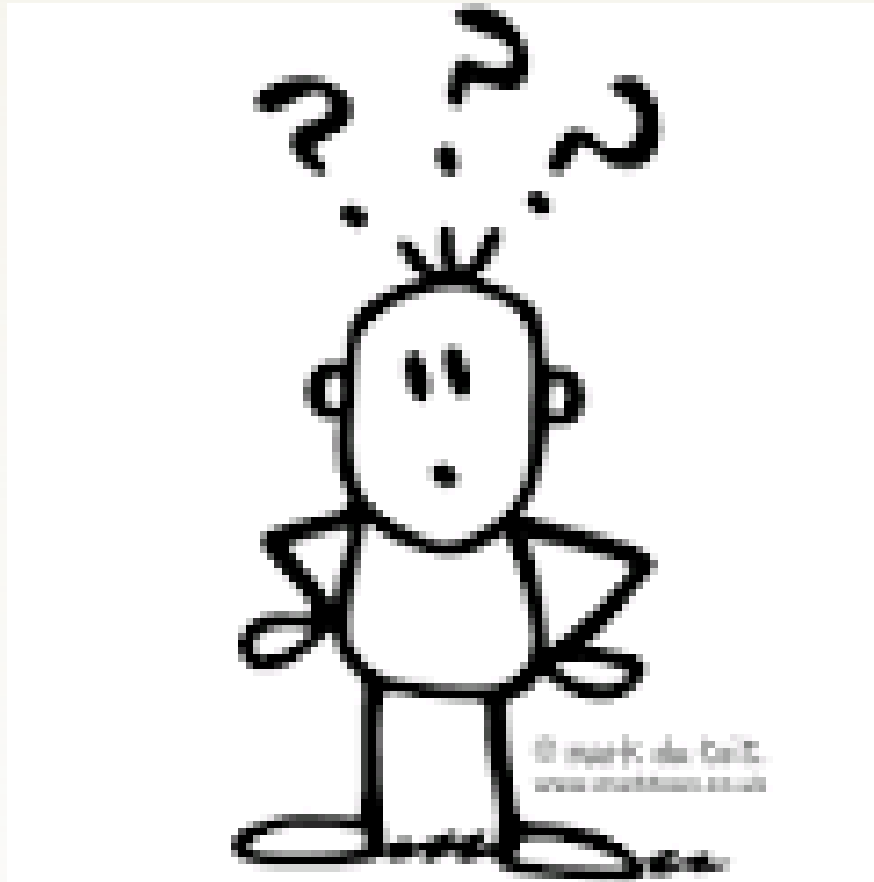
Continues to be a great support for this project!







# Questions & Discussion





# Contact Info

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