Results Oriented Accountability for Grants

Goal Leaders

Dale Bell, Division Director, Institution of Award Support, National Science Foundation

Patrick Corrigan, Senior Advisor, Office of Management and Budget

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Laura Watson, Administrator, Office of Grants Management, Employment & Training Administration, Department of Labor

Federal Assistance Committee for E-Government Co-Chairs

Goal Statement

- Maximize the value of grant funding by applying a risk-based, data-driven framework that balances compliance requirements with demonstrating successful results for the American taxpayer.

Challenge

- The Federal government uses grants to invest approximately $700 billion each year in mission-critical needs for American taxpayers, but managers report spending 40% of their time using antiquated processes to monitor compliance instead of analyzing data to improve results.

Opportunity

- Standardize the grants management business process and identify, open, standardize, and link data. Use standard business process and data to identify opportunities to build shared solutions that reduce burden and improve the user experience. Leverage data, including data produced by annual audits, to assess and manage recipient risk. Hold recipients accountable for good performance practices that supports achievement of program goals and objectives and streamline burdensome compliance requirements for those that demonstrate results.

Executive Steering Committee

The Executive Steering Committee holds the primary responsibility for developing a governance structure for the CAP goal. It is the overarching governing body for all governmentwide work groups related to grants and reports to the Chief Financial Officers Council. The ESC also includes the participation from the Financial Assistance Committee for E-Government

Strategy Leads

For each CAP goal strategy, ESC members are designated as strategy leads. Strategy leads serve as the executive sponsors for the strategy, providing strategic support, leadership, and vision for their respective strategy.

Participating Agencies

All major grant making agencies are encouraged to participate and contribute to the execution of this goal. This includes active participation in governmentwide workgroups that inform each strategy.

Strategy 1: Standardize the Grants Management Business Process & Data

Standardize the grants management business process and identify, open, standardize, and link data

Strategy 2: Build Shared IT Infrastructure

Use standard business process and data to identify opportunities to build shared solutions that reduce burden and improve the user experience.
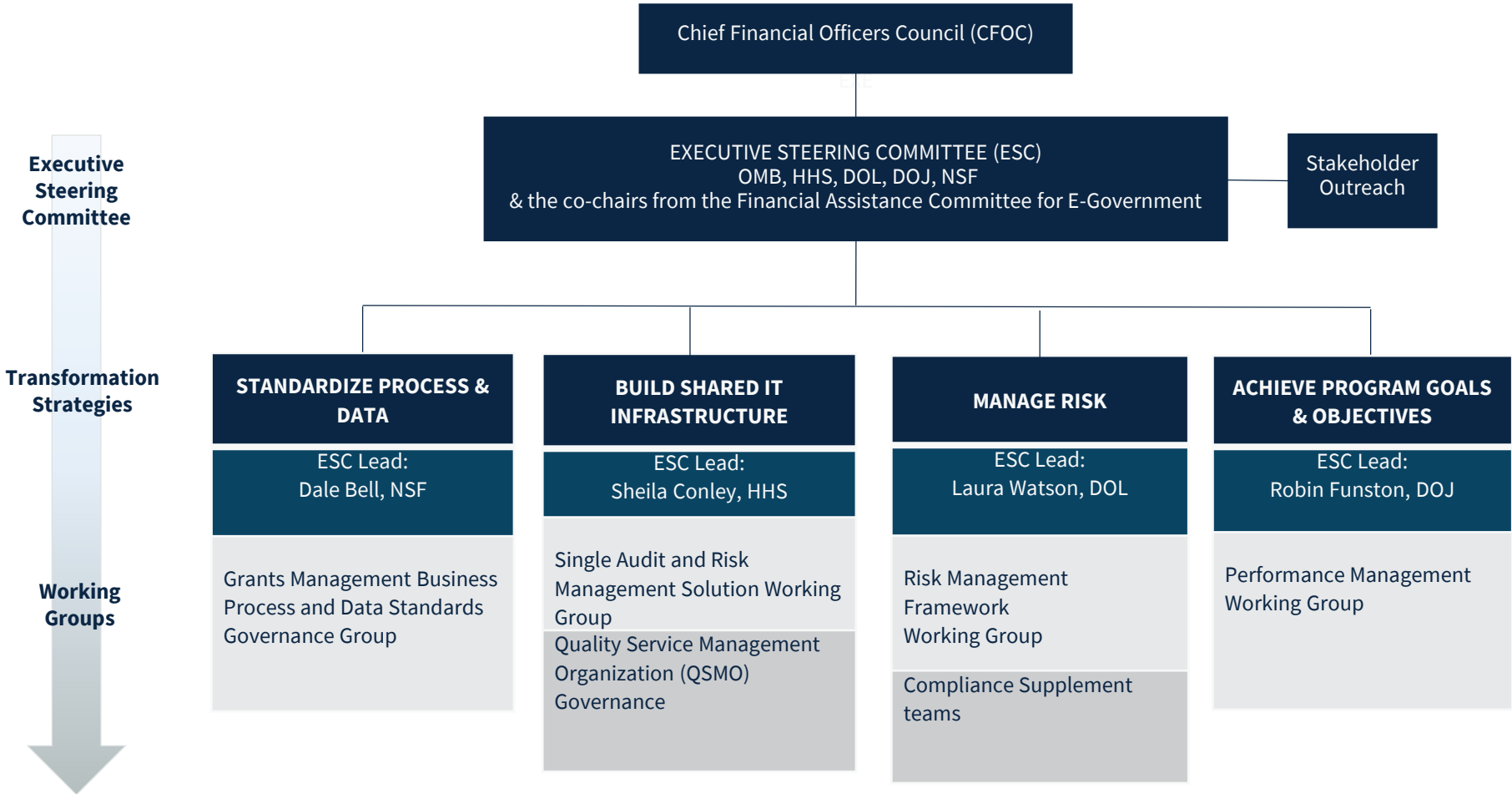
Strategy 3: Manage Risk

Leverage data, including data produced by annual audits, to assess and manage recipient risk.

Strategy 4: Achieve Program Goals and Objectives

Hold recipients accountable for good performance practices that supports achievement of program goals and objectives and streamline burdensome compliance requirements for those that demonstrate results.

Governance

Chief Financial Officers Council (CFOC)

Executive Steering Committee

EXECUTIVE STEERING COMMITTEE (ESC)
OMB, HHS, DOL, DOJ, NSF
& the co-chairs from the Financial Assistance Committee for E-Government

Stakeholder Outreach

Transformation Strategies

STANDARDIZE PROCESS & DATA	BUILD SHARED IT INFRASTRUCTURE	MANAGE RISK	ACHIEVE PROGRAM GOALS & OBJECTIVES
ESC Lead: Dale Bell, NSF	ESC Lead: Sheila Conley, HHS	ESC Lead: Laura Watson, DOL	ESC Lead: Robin Funston, DOJ

Working Groups

Grants Management Business Process and Data Standards Governance Group	Single Audit and Risk Management Solution Working Group	Risk Management Framework Working Group	Performance Management Working Group
	Quality Service Management Organization (QSMO) Governance	Compliance Supplement teams	

Key Milestones September 2019 – December 2019

- Published Version 1.0 of Grants Management Standard Data Elements.

- Conducted two Grants Innovation Exchange Sessions with over 400 participants.

- Continued to expand the Grants Community of Practice with the addition of over 100 new members.

PRESIDENT'S MANAGEMENT AGENDA

This strategy recognizes that recipient burden (such as excessive compliance requirements) can be reduced if the Federal government standardizes the grants management business process. In addition, recipient burden could be reduced if data is standardized and access to and collection of data is digitized. This strategy supports the Improving the Efficiency and Effectiveness of Administrative Services Across Government and Leveraging Data as a Strategic Asset CAP Goals.

Key Milestones	Milestone Due Date	Milestone Status	Change from last quarter	Owner	Anticipated Barriers or other Issues Related to Milestone Completion
Leverage Federal Integrated Business Framework (FIBF) to develop comprehensive map of core capabilities for grants management	FY2018 Q3	Complete	No change	CFOC	
Based on FIBF capabilities, standardize data elements to inform comprehensive taxonomy for core grants management data standards	FY2018 Q4	Complete	No change	CFOC	
Release and solicit public feedback on the draft standard data elements	FY2019 Q2	Complete	No change	OMB	
Receive agency input on adoption grants management in accordance with OMB memorandum M-18-24	FY2019 Q3	Complete	No change	OMB, CFOC	
Reconcile public feedback on the draft standard data elements	FY2019 Q3	Complete	No change	OMB	
Publish version 1.0 of standard data elements	FY2019 Q4	Complete	Change	OMB	
Initiate and finalize transfer of FIBF standards to the standards lead	FY2020 Q2	In progress	Change	OMB & Future Standards Lead	
Develop a draft plan for governance, implementation, and maintenance of FIBF standards (aligned with CAP Goal 5)	FY2020 Q2	In progress	No change	OMB & Future Standards Lead	Plan will reflect strategy for standards adoption
Issue OMB guidance to support adoption of standard data elements	FY2020 Q2	On track	No change	OMB, CFOC	Shifted from FY2019 Q4 to FY2020 Q2
In conjunction with standards lead, establish cadence for review of standards	FY2020 Q4	Not started	No change	OMB & Future Standards Lead	

Use standard business process and data to identify opportunities to build shared solutions that reduce burden and improve the user experience. Future shared solutions will increase access to and use of data to support powerful analytics, setting the stage for risk-based performance management. This strategy supports the Improving the Efficiency and Effectiveness of Administrative Services Across Government, Leveraging Data as a Strategic Asset, and Modernizing IT to Increase Productivity and Security CAP Goals.

Key Milestones	Milestone Due Date	Milestone Status	Change from last quarter	Owner	Anticipated Barriers or other Issues Related to Milestone Completion
Develop draft business capabilities for single audit resolution and risk management to inform future common solutions	FY2018 Q4	Complete	No change	CFOC	
Launch government-wide readiness assessment to evaluate agency system baselines against the Grants Management FIBF capabilities and data standards	FY2019 Q1	Complete	No change	OMB	
Solicit public for information on opportunities to build a standardized single audit and risk management solution for grants management	FY2019 Q3	Complete	No change	CFOC	
Identify agency lead to oversee development of single audit and risk management solution (aligned with CAP Goal 5)	FY2019 Q3	Complete	No change	OMB	
Pre-designate Grants QSMO	FY2019 Q3	Complete	No change	OMB	
Receive agency Readiness Assessment in accordance with OMB memorandum M-18-24	FY2019 Q3	Complete	No change	OMB, CFOC	
Develop open source single audit prototype	FY2019 Q4	Complete	No change	CFOC	
Finalize acquisition plan for development and implementation of standardized single audit solution for grants management	FY2020 Q2	Delayed	Change	CFOC	Shifted from FY2020 Q1 to FY2020 Q2 due to expected availability of funding.
Final Grants QSMO Designation	FY2020 Q3	Delayed	Change	OMB	
Award contract for the development of a single audit and risk management solution	FY 2020 Q3	On track	No change	CFOC	

A comprehensive risk management tool for determining Federal funding awards that are low-risk and high value must include consideration of past performance results, financial risk, and an applicant's capabilities to deliver the proposed results. In order to do this, agencies need to have ready access to performance data and have the data infrastructure to include performance in risk modeling. The recent updated guidance on grants included requirements for performance reporting in grants, however there is much more that can be done to identify practices and data tools to enable agencies to incorporate performance into their grant award operations. This strategy includes an assessment of current capabilities, piloting promising strategies, and developing a framework so that other agencies can leverage these practices. This strategy also supports the Moving from Low-value to High-value Work CAP Goal.

Key Milestones	Milestone Due Date	Milestone Status	Change from last quarter	Owner	Anticipated Barriers or other Issues Related to Milestone Completion
Issue 2018 'skinny' Single Audit Compliance Supplement	FY2018 Q3	Complete	No change	OMB	
Draft Risk Management Framework	FY2018 Q3	Complete	No change	CFOC	
Develop draft 2019 Single Audit Compliance Supplement framework	FY2018 Q1	Complete	No change	OMB	
Completion of sprint for The Opportunity Project which connects spending to performances	FY2019 Q1	Complete	No change	Various Owners	
Issue streamlined 2019 Single Audit Compliance Supplement with an increased focus on compliance requirements that inform performance	FY2019 Q3	Complete	No change	OMB	
Vet draft 2020 Single Audit Compliance Supplement	FY2020Q1	On track	Change	OMB	Milestone corrected to reflect draft 2020 supplement is expected in FY2020 Q1.
Issue 2020 Single Audit Compliance Supplement	FY2020Q2	On track	Change	OMB	
Collaborate with stakeholders to assess input received for risk management framework with a focus on pre-award risk	FY2020 Q3	Delayed	Change	OMB	Delayed due to competing workgroup priorities and shift to focus on pre-award risk.
Based on stakeholder feedback, develop long-term strategy to improve risk management with a focus on pre-award risk	FY2020 Q4	Delayed	Change	OMB, CFOC	

PRESIDENT'S MANAGEMENT AGENDA

To demonstrate achievement of grant program goals and objectives, recipients need to be held accountable for good performance practices. Once recipients can successfully demonstrate strong program performance practices, there may be an opportunity to leverage the risk management framework developed in Strategy 3 to alleviate select compliance requirements and appropriately tailor the terms and conditions of each award to provide flexibility to better execute the mission. Recognizing this is a long term vision, initial efforts focus on developing performance management processes to help grant-making entities improve their ability to monitor performance and ultimately improve the performance of grantees.

Key Milestones	Milestone Due Date	Milestone Status	Change from last quarter	Owner	Anticipated Barriers or other Issues Related to Milestone Completion
Solicit information from agencies on current grants performance management practices	FY2019 Q1	Complete	No change	OMB, CFOC	
Identify emerging and innovative performance practices	FY2019 Q3	Complete	No change	OMB, CFOC	
Develop draft performance management framework based on feedback from experts for relevant grant categories	FY2019 Q4	Complete	No change	OMB, CFOC	
Research and document grant program practices that assist in helping to achieve, improve, and document grant program results	FY2020 Q1	Complete	Change	OMB, CFOC	
Publish resource(s) that promotes a common understanding of performance practices and tools that includes promising practices and templates to improve grant recipient and program performance	FY2020 Q2	On track	No change	OMB, CFOC	Programs that have successfully incorporated performance practices may influence published resource(s).
Develop a change management strategy	FY2020 Q4	On track	No change	OMB, CFOC	
Implement change management strategy and increase adoption of promising practices	FY2021 Q1	On track	No change	OMB, CFOC	
Refine resource(s) and develop criteria for the waiver of compliance requirement(s)	FY2021 Q4	On track	No change	OMB, CFOC	
Update OMB guidance, as needed based on recommendations	FY2021 Q4	On track	No change	OMB	

PRESIDENT'S MANAGEMENT AGENDA

- Diverse stakeholders impact and are impacted by grants.
- Stakeholder input and insight is vital to the success of this effort.
- We need your help to improve federal grants management.

CONGRESS

The Senate and House of Representatives appropriate funds to Federal agencies for grants. They also propose and vote for legislation that impacts grants.

OVERSIGHT COMMUNITY

Includes Agency Offices of Inspector General, Government Accountability Office, etc. This community ensures that grant investments are a good use of government funds.

FEDERAL AWARDING AGENCIES

Over 28 Federal agencies award grants each year. They are responsible for implementation, measuring program success, and assessing financial impact.

AMERICAN TAXPAYERS

American citizens support grants programs through taxes that benefit programs in their communities.

FUNDING RECIPIENTS

Recipients receive Federal Grant funding each year to operate mission-driven programs.

INDUSTRY PARTNERS

Industry partners include groups such as associations, nonprofits, and vendors with vested interests in grants management.

OPPORTUNITIES

- Partner with stakeholders on initiatives to advance the strategies of the Grants CAP Goal that may include identifying promising practices, developing playbooks, and testing prototypes

- Continue to grow and engage with the membership of the Grants Community of Practice

JOIN US FOR MONTHLY GRANTS INNOVATION EXCHANGE SESSIONS
SESSIONS ARE HELD THE 4TH THURSDAY OF THE MONTH FROM 12:00 PM TO 12:45 PM

HAVE AN INNOVATION YOU WOULD LIKE TO SHARE? EMAIL GrantsTeam@omb.eop.gov

STAY INFORMED BY JOINING THE GRANTS COMMUNITY OF PRACTICE
https://www.performance.gov/CAP/CAP_goal_8.html

Indicators will be developed to monitor progress towards standardizing data; leveraging digital tools and streamlining requirements to reduce recipient and agency burden; and improved risk-based performance management. Such as:

- Number of agency OMB approved information collection requests for grants reporting

- Number of recipient burden hours attributed to agency information collection requests

- Use of self-assessment data, such as percentage of Federal agency and recipient time dedicated to administrative and financial compliance requirements as compared to analyzing data to monitor results

The following organizations are supporting the accomplishment of the CAP goal:

- American Institute of Certified Public Accountants (AICPA)

- Association of Government Accountants (AGA)

- Council of the Inspectors General on Integrity and Efficiency (CIGIE)

- Council on Governmental Relations (COGR)

- Data Coalition

- Federal Demonstration Partnership (FDP)

- National Association of Public Administration (NAPA)

- National Association of State Auditors, Comptrollers and Treasurers (NASACT)

- National Grants Management Association (NGMA)

- Nearly 700 members of the Results-Oriented Accountability for Grants Community of Practice