



Results-Oriented Accountability for Grants

Goal Leaders

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Federal Assistance Committee for E-Government Co-Chairs

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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 establish a robust marketplace of modern solutions that ease burden and drive efficiencies, respond to customer needs, and deliver on mission. Leverage data, including data produced by annual audits, to assess and manage recipient risk. Hold recipients accountable for good performance practices that support achievement of program goals and objectives and streamline burdensome compliance requirements for those that demonstrate results.



Leadership

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 government-wide 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 government-wide workgroups that inform each strategy.



Goal Structure

Strategy 1: Operationalize the Grants Management Standards

Operationalize and maintain the grants management standards to streamline recipient reporting, increase transparency, support the development of future shared solutions, and implement the GREAT Act.

Strategy 2: Establish a Robust Marketplace of Modern Solutions

Use standard business processes and data to establish a robust marketplace of modern solutions that ease burden and drive efficiencies, respond to customer needs, and deliver on mission.

Strategy 3: Manage Risk

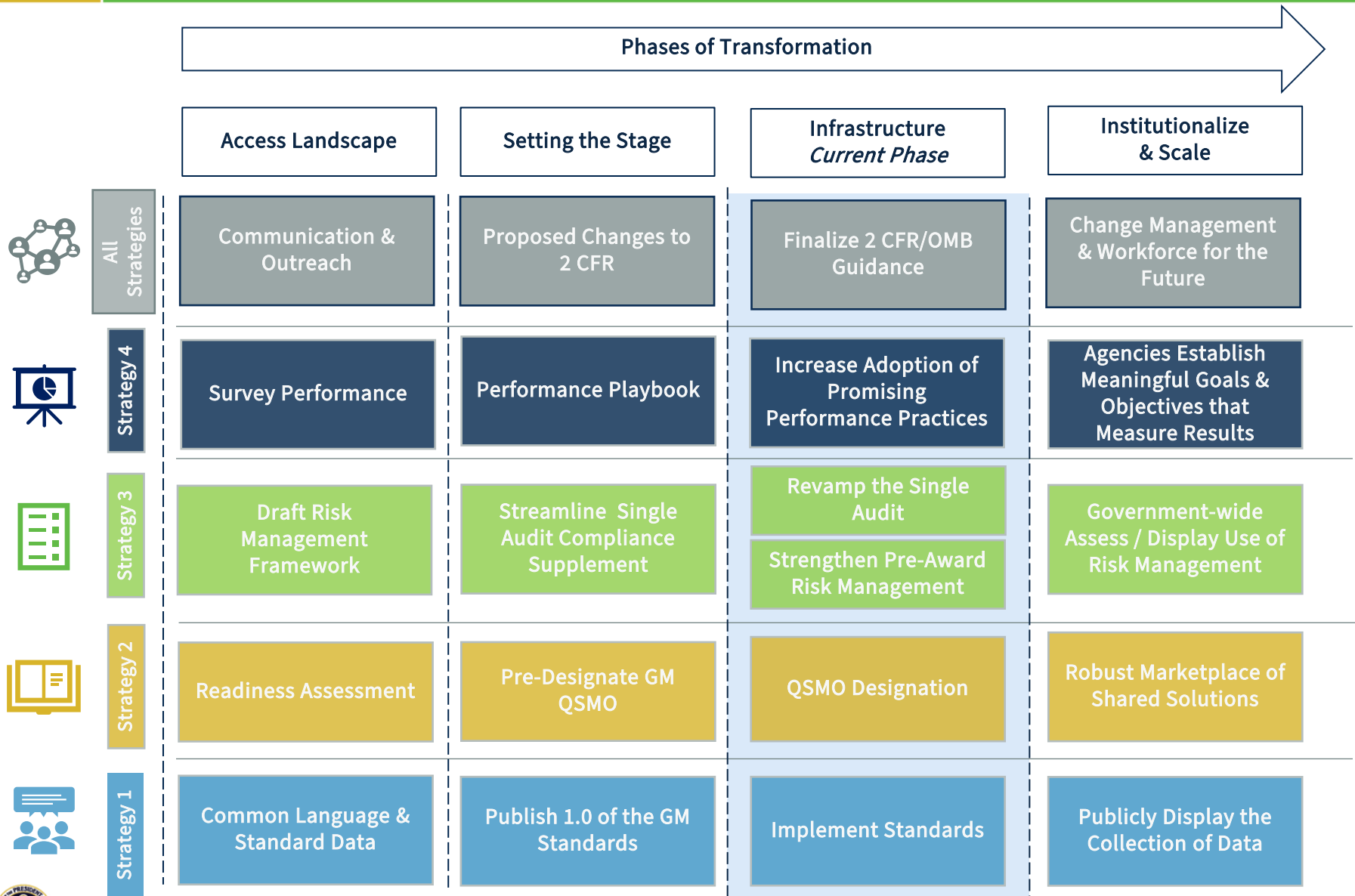
Leverage data, including data produced by annual audits, to assess and manage recipient risk.

Strategy 4: Achieve Program Goals and Objectives

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



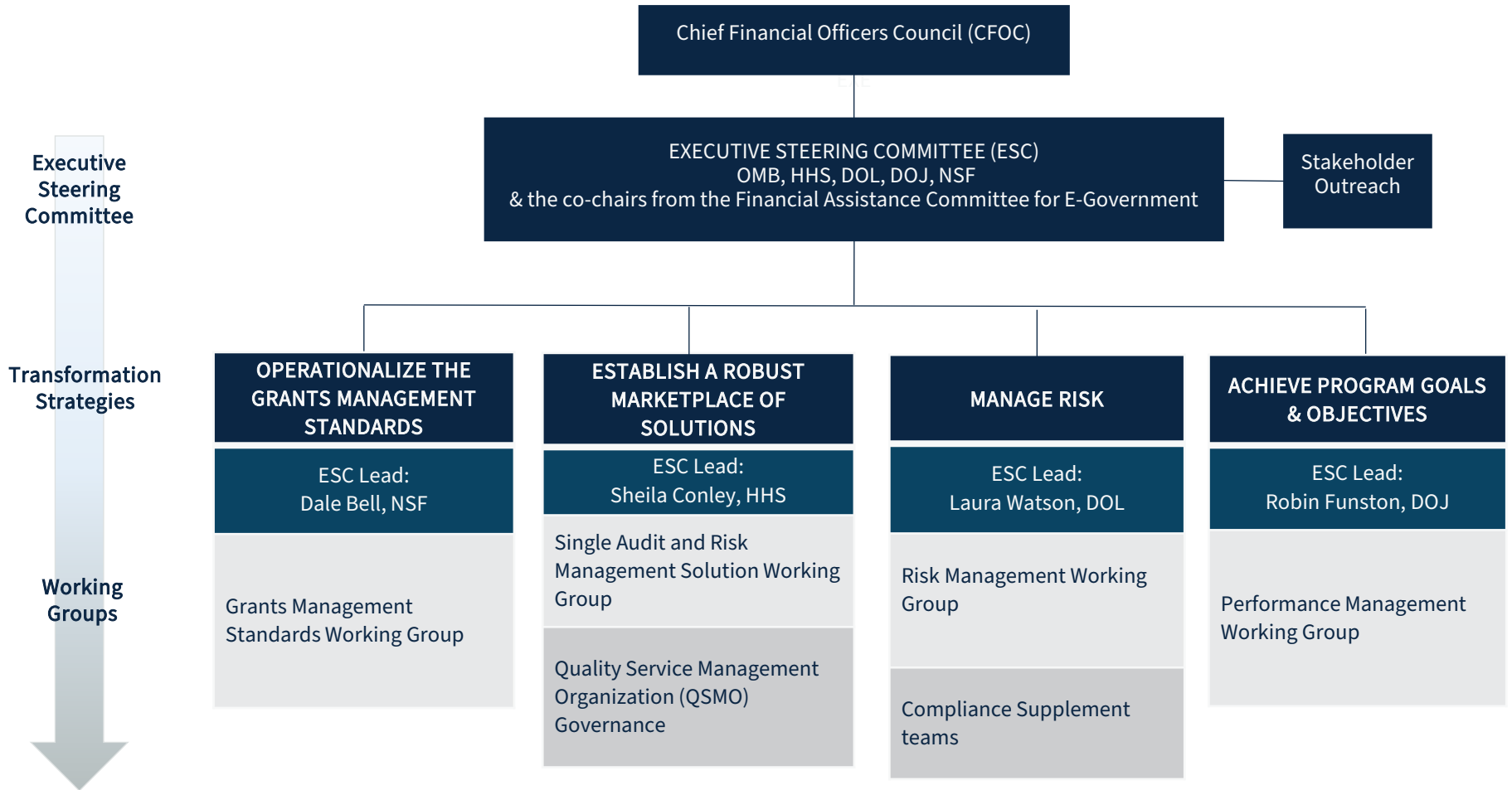
Phases of Transformation and Associated Milestones





2030 Outcomes







Significant Developments from Last Update

- Revisions to OMB Guidance (2 CFR) were implemented by Federal awarding agencies with an effective date for most provisions on November 12, 2020. These finalized and implemented revisions to OMB guidance set the stage for enhanced results-oriented accountability for grant program results.
- Under the work of strategy 4, Achieve Program Goals and Objectives, developed a change management strategy focused initially on dialogue and listening sessions with Federal stakeholders and the grants community.
- Official designation of HHS as the Standards Setting Agency, per the GREAT Act.
- Issuance of M-21-03, Improvements in Federal Spending Transparency for Financial Assistance, to support adoption of standard data elements.





Strategy 1: Operationalize the Grants Management Standards

This strategy recognizes that recipient burden (such as excessive compliance requirements) can be reduced if the Federal government standardizes the grants management business process. Prior milestones under this strategy are completed and the focus has shifted to operationalizing the grants management standards in support of GREAT Act Implementation. This strategy was formally known as “Standardize the Grants Management Business Process & Data”, see Appendix for additional details.

Key Milestones	Milestone Due Date	Milestone Status	Change from last quarter	Owner	Anticipated Barriers or other Issues Related to Milestone Completion
Initiate and finalize transfer of FIBF standards to the standards lead	FY2020 Q2	Complete	Change	OMB & HHS	Completed in FY2021 Q1.
Develop a draft plan for governance, implementation, and maintenance of FIBF standards (aligned with CAP Goal 5)	FY2020 Q2	Complete	Change	OMB & HHS	Completed in FY2021 Q1.
Issue OMB proposed guidance to support adoption of standard data elements	FY2020 Q2	Complete	No change	OMB & CFOC	OMB issued proposed guidance to support adoption of standards.
In conjunction with standards lead, establish cadence for review of standards	FY2020 Q4	Complete	Change	OMB & Standards Setting Agency	
Finalize OMB guidance requiring agencies to adopt standards in future and/or updates to existing information collection requests	FY2020 Q4	Complete	Change	OMB	
Establish standard report intake for Single Audit to support GREAT Act Implementation	FY2021 Q1	In progress	No change	OMB	
Engage with outside stakeholders to prioritize standards adoption to support GREAT Act implementation	Critical long-term milestone	In progress	Change	OMB, Standards Setting Agency, & CFOC	
Develop long-term plan for operationalization of standards based on stakeholder feedback and QSMO needs	Critical long-term milestone	Not started	No change	OMB, HHS & CFOC	
Publically display the collection of standard data elements	Critical long-term milestone	Not started	No change	OMB & CFOC	





Strategy 2: Establish a Robust Marketplace of Modern Solutions

Leverage standards to identify opportunities that establish a robust marketplace of modern solutions, reducing administrative burden and improving the user experience. Future solutions will increase access to and use of data to support powerful analytics, setting the stage for risk-based performance management. This strategy was formally known as “Build Shared IT Infrastructure” and supports the Sharing Quality Services CAP Goal. Additional details regarding completed milestones associated with this strategy are available in the Appendix.

Key Milestones	Milestone Due Date	Milestone Status	Change from last quarter	Owner	Anticipated Barriers or other Issues Related to Milestone Completion
Finalize acquisition plan for development and implementation of standardized single audit solution for grants management	FY2020 Q2	Delayed	No change	CFOC	Delayed. Milestone is under reassessment in light of COVID-19 response activities.
Award contract for the development of a single audit and risk management solution	FY 2020 Q3	Delayed	No change	CFOC	Delayed. Milestone is under reassessment in light of COVID-19 response activities.
ESC approve Guiding Principles and Long-Term Vision for Grants Technology Modernization	FY2020 Q3	Complete	No change	ESC	
Final Grants QSMO Designation	FY2021 Q1	Delayed	No change	OMB	Shifted from FY2020 Q3 to FY2021 Q1 due to COVID-19.
Publish Marketplace 1.0 to provide transparency into existing Federal Grants Service Providers	FY2020 Q4	Complete	Change	Grants QSMO	Federal document.
Host QSMO Marketplace Day to promote feedback on new tools (e.g. beta.grants.gov, beta.sam.gov, risk management tool, and recipient seamless user experience prototype)	FY2021 Q2	Not Started	No change	Grants QSMO	
Develop Recipient Seamless User Experience prototype (through Recipient User-Centered Design workshops)	FY2021 Q2	In Progress	Change	Grants QSMO	Delayed due to approval of funding; expected to be complete in FY2021 Q4.
Initiate government-wide Grants Customer Satisfaction Survey	FY2021 Q2	Not Started	No change	OMB/GSA	Dependent on timeline and budget of GSA's Customer Satisfaction survey.
Implement a Single Audit solution with multiple agencies	FY2022 Q2	Not Started	No change	CFOC	





Strategy 3: Manage Risk

Agencies need to actively manage risk to assess the 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 proposed updates to OMB 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 also recognizes there is an opportunity to reform the Single Audit requirements and process to improve the management of risk.

Key Milestones	Milestone Due Date	Milestone Status	Change from last quarter	Owner	Anticipated Barriers or other Issues Related to Milestone Completion
Vet draft 2020 Single Audit Compliance Supplement	FY2020 Q1	Complete	No change	OMB	
Issue 2020 Single Audit Compliance Supplement	FY2020 Q2	Complete	No change	OMB	
Collaborate with stakeholders to assess input received for risk management framework with a focus on pre-award risk	FY2020 Q3	Complete	Change	OMB	
Stakeholder engagement and outreach to identify opportunities to improve the Single Audit report intake (linked to efforts under Strategy 1)	FY2020 Q4	Delayed	Change	OMB & CFOC	In progress. Estimated completion in FY2021 Q1.
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	In progress. Estimated completion in FY2021 Q2.
Identify major COVID-19 programs and complete Compliance Supplement Addendum for them.	FY2021 Q1	Complete	Change	OMB	Project started in July 2020.
Identify core grants risk data points applicable to most recipients for use in shared pre-award grants risk management solutions.	FY 2021 Q2	On Track	No change	OMB & CFOC	
Agencies adopt risk management solution that incorporates the risk management framework (linked to efforts under Strategy 2)	Critical long-term milestone	Not Started	No change	OMB & CFOC	
Develop a new framework for the Single Audit process, focusing on program performance and results	Critical long-term milestone	Not Started	No change	OMB & CFOC	
Share collection of successful risk management strategies to improve risk management practices government-wide	Critical long-term milestone	Not Started	No change	OMB & CFOC	



Strategy 4: Achieve Program Goals & Objectives

It is a challenge to show that Federal dollars are spent wisely and that those dollars have the intended impact and produced value to the taxpayer. Strategy 4 aims to tell the American people the value for the funds spent on Financial assistance. Strategy 4 is a long-term strategy focused on demonstrating grant program results by assessing the landscape of current performance practices, promoting a common understanding of performance practices and tools, proposing revisions to guidance, developing and implementing a change management strategy, launching a national dialogue, and producing a centralized location for performance data for consumers.

Key Milestones	Milestone Due Date	Milestone Status	Change from last quarter	Owner	Anticipated Barriers or other Issues Related to Milestone Completion
Publish the first version of a performance playbook that promotes a common understanding of performance practices that includes promising practices to improve grant recipient and program performance	FY2020 Q2	Complete	No change	OMB, CFOC	
Propose revisions to OMB guidance in 2 CFR to emphasize promising performance practices	FY2020 Q2	Complete	No change	OMB, CFOC	
Develop a change management strategy to include a dialogue, listening sessions with Federal stakeholders and the grants community.	FY2020 Q4	Complete	Change	OMB, CFOC	
Finalize revisions to OMB guidance in 2 CFR that emphasize promising performance practices (this supports all strategies)	FY2020 Q4	Complete	No change	OMB, CFOC	
Plan, organize, and launch stakeholder feedback and listening sessions to increase adoption of promising performance practices	FY2021 Q2	On track	No change	OMB, CFOC	
Develop resources to increase adoption of promising performance practices	FY2021 Q4	On track	No change	OMB, CFOC	
Identify programs as early adopters that demonstrate promising performance practices for each Federal grantmaking agency	FY2022 Q1	On track	No change	OMB, CFOC	
Track progress of early adopters; promote broad awareness; share success stories and lessons learned; and consider future changes or update OMB guidance	Critical long-term milestones	On track	No change	OMB, CFOC	





Key Stakeholders



- 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



Key Indicators – CAP Goal Progress Indicators

As this CAP goal transitions into the infrastructure phase, the ESC will develop future indicators to monitor progress towards the following outcomes:

- Results under Federal grants are understandable and transparent to the American public.
- Federal and non-Federal grant managers spend less time on administrative compliance activities and more time achieving and advancing program results.
- Competency-based skilled grants management workforce.
- Efficient mission support delivery.



The following organizations support this 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)
- Over 2,000 members of the Results-Oriented Accountability for Grants Community of Practice



Appendix



Strategy 1: Standardize the Grants Management Business Process and Data

Below are the completed milestones associated with Strategy 1, currently known as Operationalize the Grants Management Standards.

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	
Issue OMB proposed guidance to support adoption of standard data elements	FY2020 Q2	Complete	Change	OMB, CFOC	OMB issued proposed guidance to support adoption of standards



Strategy 2: Build Shared IT Infrastructure

Below are the completed milestones associated with Strategy 2, currently known as Establish a Robust Marketplace of Modern Solutions.

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	



Strategy 3: Manage Risk

Below are the completed milestones associated with Strategy 3.

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	



Strategy 4: Achieve Program Goals & Objectives

Below are the completed milestones associated with Strategy 4.

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	