



DATA Act Program Management Office

Federal Demonstration Partnership (FDP)

DATA Act Section 5 Grants Pilot Update and CDER Library Test Model Brief

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Purpose

To provide a summary of the DATA Act and the Section 5 Grants Pilot, as well as an update on the CDER Library 2 Test Model.

Discussion Topics

DATA Act Overview

Section 5 Grants Pilot Overview

Section 5 Grants Pilot Test Models

CDER Library 2 Test Model

Opportunities for Involvement

In May 2014, Public Law 113-101 Digital Accountability and Transparency Act of 2014 (DATA Act) was signed into law with the purpose to establish government-wide financial data standards and increase the availability, accuracy, and usefulness of federal spending information.



The goal of the Pilot is to implement Section 5 of the Digital Accountability and Transparency Act (DATA Act) of 2014, Pub. L. No. 113-101, which requires the Federal Government to, “establish a pilot program with the participation of appropriate Federal agencies to facilitate the development of recommendations for:



(A) standardized reporting elements across the Federal government (§5(b)(1)(A));



(B) the elimination of unnecessary duplication in financial reporting (§5(b)(1)(B));



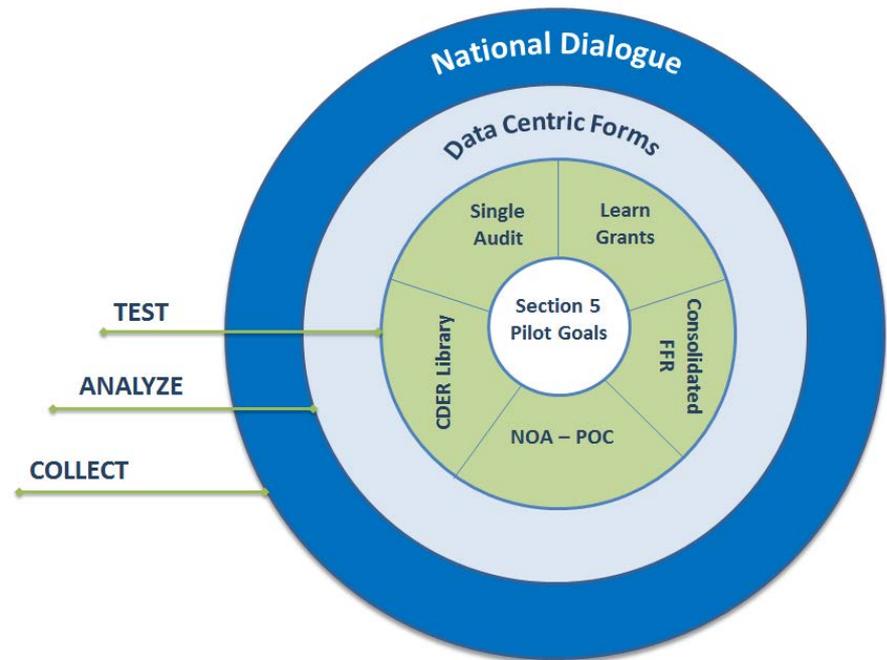
(C) the reduction of compliance costs for recipients of Federal awards (§5(b)(1)(C)).”

The Office of Management and Budget (OMB) has designated HHS to serve as the executing agent for the Section 5 Grants Pilot.

DAP created the Section 5 Grants Pilot Framework, which takes a holistic approach to meeting the Section 5 Pilot Goals by:

- *Collecting* feedback through the National Dialogue (<https://cxo.dialogue2.cao.gov/>).
- *Analyzing* data-centric forms.
- *Testing* models like the CDER Library, Consolidated FFR, Single Audit, NOA – POC, Learn Grants, and other models as appropriate.

Section 5 Grants Pilot Framework



Section 5 Pilot Goals

- ✓ Standardize reporting elements.
- ✓ Eliminate unnecessary duplication.
- ✓ Reduce compliance costs for Federal award recipients.

Single Audit

Single Audit is an organization-wide financial statement and federal awards' audit.

Learn Grants

Learn Grants is a tab on the Grants.gov website that provides grant recipients access to federal grants lifecycle information.

Consolidated Federal Financial Reporting (FFR)

Federal Financial Report (FFR) is a form that federal grant recipients are required to complete and submit to their grant-awarding agency.

Notice of Award – Proof of Concept (NOA – POC)

NOA – POC is a document containing information a grant recipient needs in order to perform routine accounting and finance operations.

Common Data Element Repository (CDER) Library

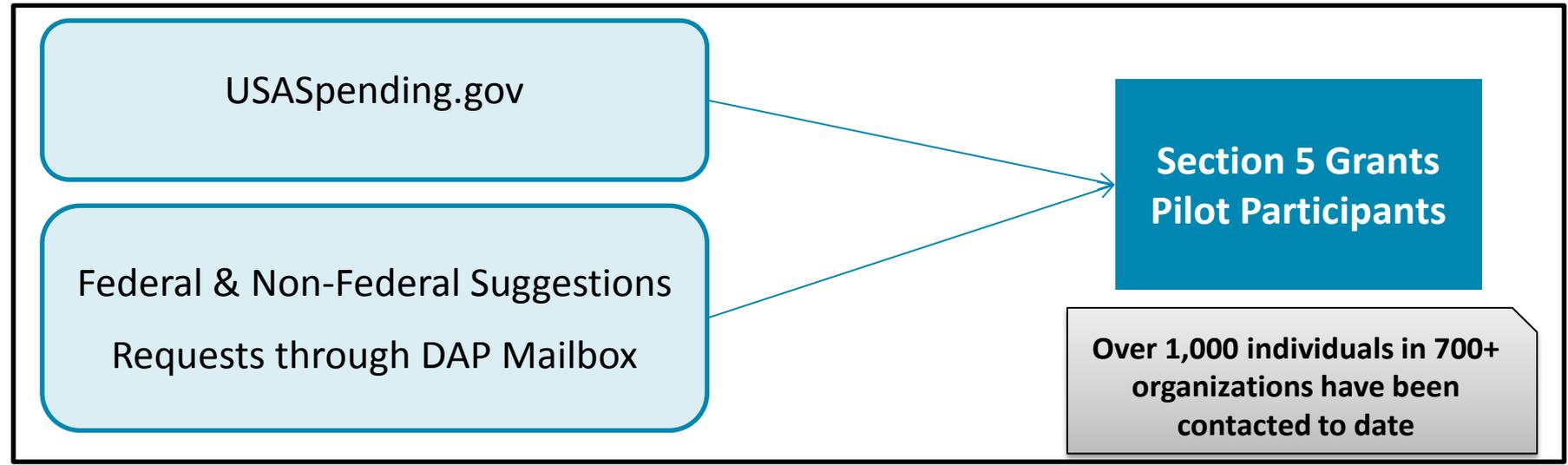
CDER Library is designed to be a federal-wide, online repository for grants-specific data standards, definitions, and context.

Section 5 Grants Pilot – Participant Population

The Section 5 Grants Pilot sample aims to satisfy three requirements:

- Aggregate award value between \$1 & \$2B – for both grants and procurement tracks.
- A diverse group of recipients.
- Recipients of federal grants from multiple programs.

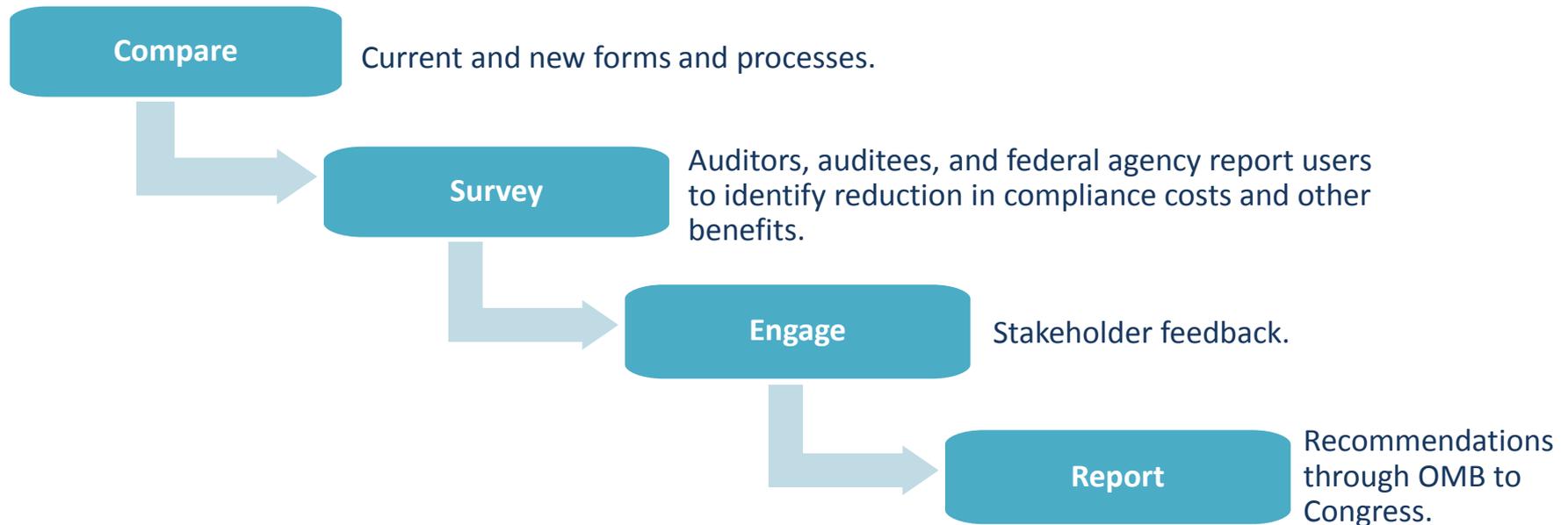
The following graphic shows the sources of the Pilot participant pool.



Pilot Participants have been solicited from:

- State Governments
- County Governments
- City/Township Governments
- Special District Governments
- Independent School Districts
- State Controlled Institutions of Higher Learning
- Indian Tribes
- Other Nonprofit Organizations
- Private Higher Education Institutions
- Individuals
- For-profit Organizations
- Small Businesses
- Other organizations not covered in these categories

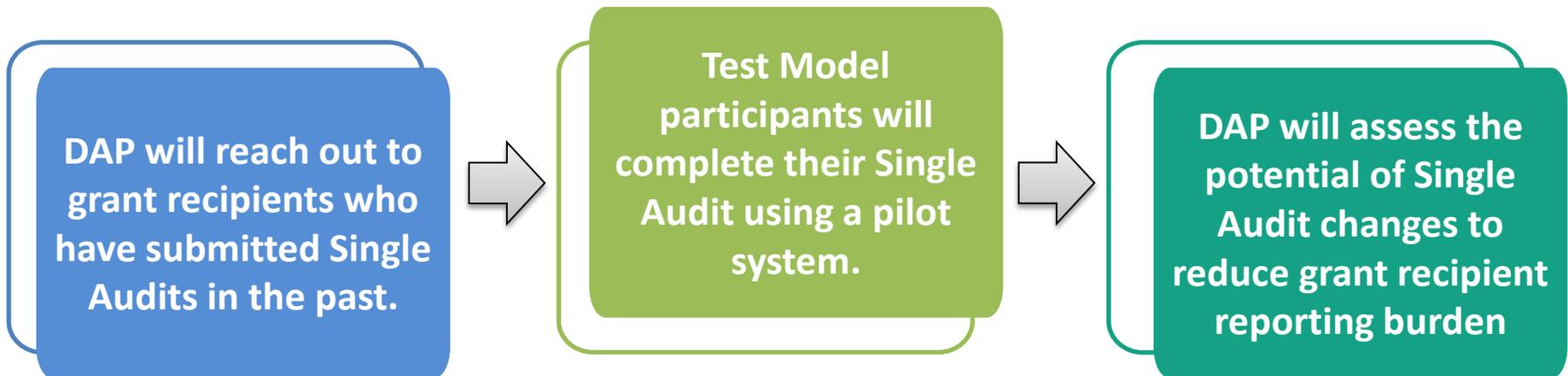
Single Audit, previously known as the OMB Circular A-133 audit, is an organization-wide financial statement and federal awards' audit of a non-federal entity that expends \$750,000 or more in federal funds in one year. It is intended to provide assurance to the Federal Government that a non-federal entity has adequate internal controls in place, and is generally in compliance with program requirements. Non-federal entities typically include states, local governments, Indian tribes, universities, and non-profit organizations.



Test: Provide non-federal entities with the draft 2016 expanded Single Audit Concept Form (SF-SAC only), and collect participant feedback on a more streamlined approach for SF-SAC/SEFA reporting.

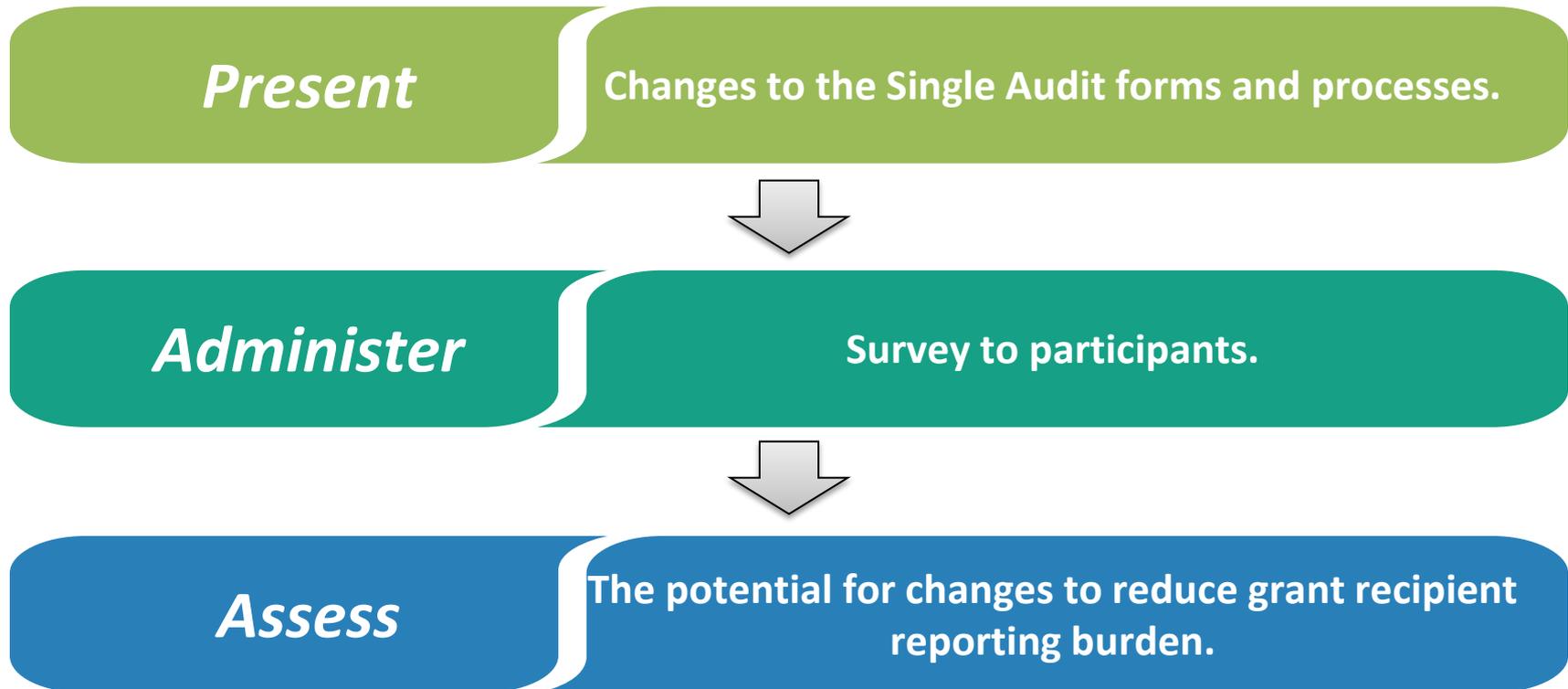
Discussion: Present the draft expanded Single Audit form and allow participants to comment upon the SF-SAC changes in a live setting.

The purpose of the Single Audit Form Completion Test Model is to assess the potential of Single Audit changes to reduce burden. DAP has developed this pilot program around OMB's new Single Audit concept form SF-SAC. Auditees will input information directly into a SEFA Template, which will be uploaded into the SF-SAC. The SF-SAC generates the SEFA to be included in the audit report.



The purpose of the **Single Audit Facilitated Discussion** is to review the new concept SF-SAC and survey participants on the potential to reduce grant recipient reporting burden

- DAP conducted the inaugural Single Audit Facilitated Discussion at the end of March.



Learn Grants is a tab located on the Grants.gov website, which promotes knowledge sharing among the grants community by providing access to grants lifecycle information, grant opportunities, and application tracking capabilities.



Access Learn Grants:

<http://www.grants.gov/web/grants/learn-grants.html>

Since May 2015, Learn Grants has received, on average, 57,000 visits per month. On average, at least 60% of responding users continue to rate the tool 8 out of 10 or higher in its ability to answer their questions.

Fosters greater public transparency into the grants lifecycle and community engagement.

Designed to reduce stakeholder burden associated with trying to learn, find, and apply for federal grants.

Provides a comprehensive point of reference to access federal grants lifecycle information.

Test: Determine Learn Grant's effect on participant grants lifecycle knowledge by administering a quiz.

The purpose of the Learn Grants Test Model is to determine if grant recipients are supplied with grants lifecycle information in one website, then they will have increased access to the grants resources and knowledge of the grants lifecycle process.



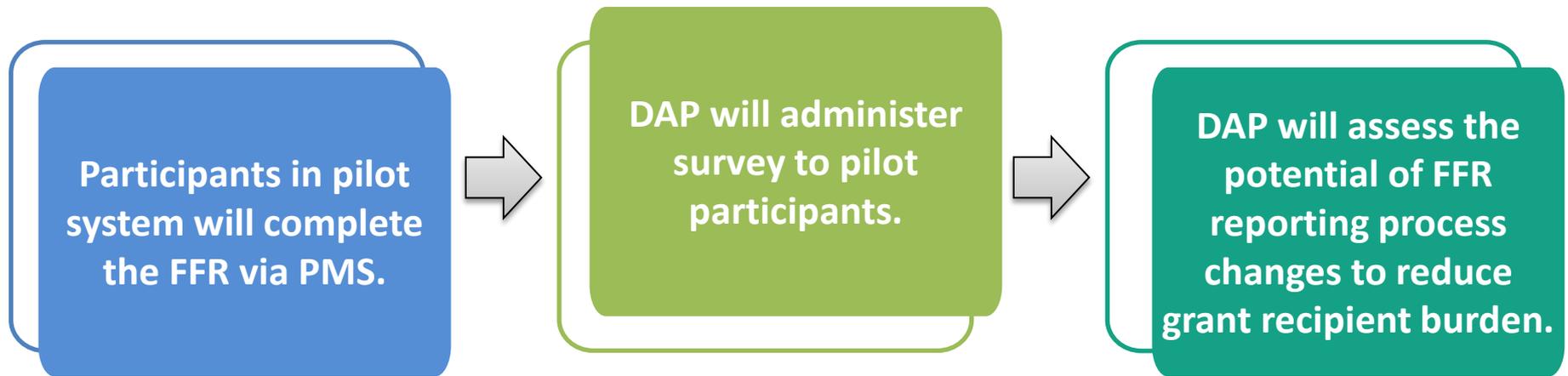
The **Federal Financial Report (FFR)** is a form that federal grant recipients are required to complete and submit to their grant-awarding agency. The Consolidated FFR process will allow grant recipients to submit all information related to the FFR in one system, rather than in multiple entry points. The Consolidated FFR Test Model is intended to identify reductions in burden for both recipients and the Federal Government.

Test: Provide grant recipients with a consolidated process for submitting the FFR to identify potential time savings and/or improved accuracy by entering all information through one system and submitting a survey.

Discussion: Review the changes to the new Consolidated FFR process and allow for questions/feedback and a survey submission.

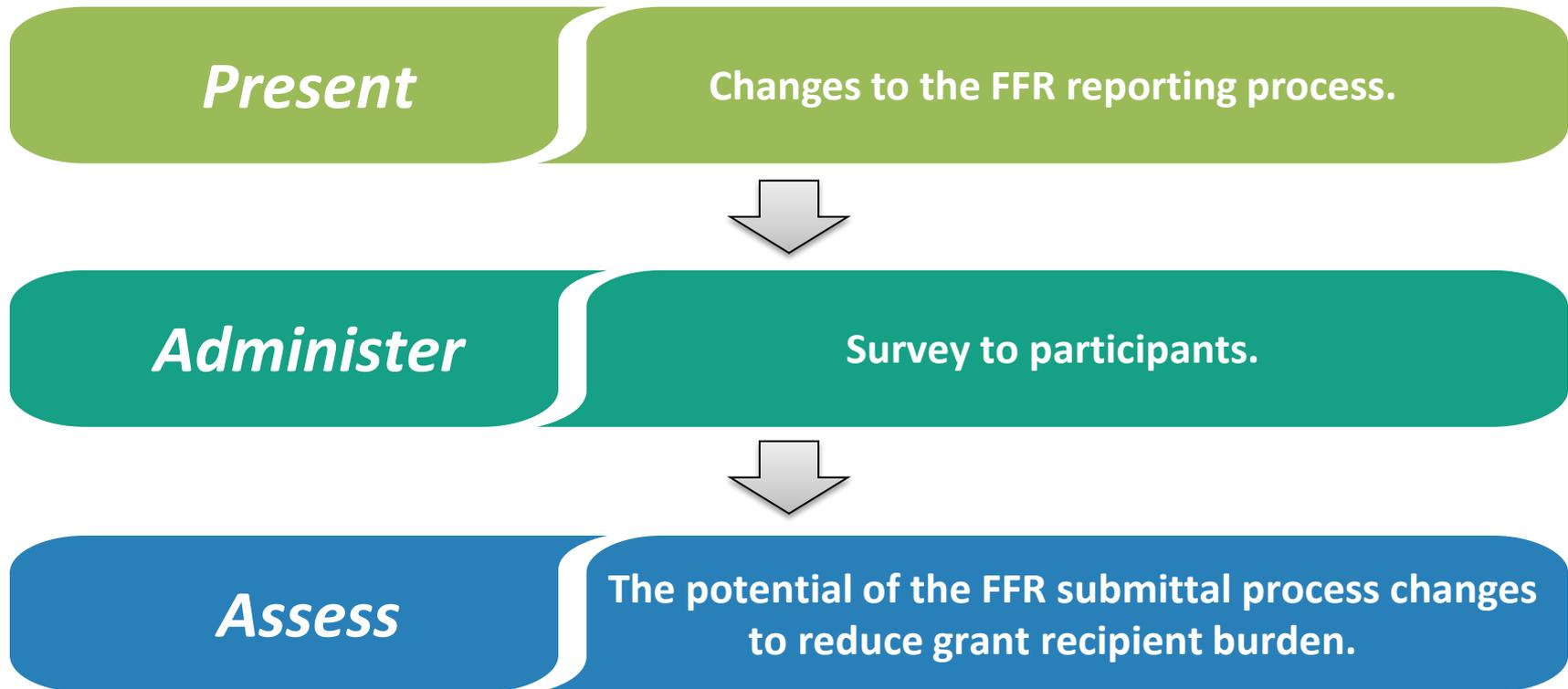
The [GRIP](#) June 2013 recommends a pilot using standard data elements for the FFR/SF-425 to further test the objective of centralized reporting for grant recipients. DAP will collaborate with Payment Management System (PMS) and the Administration for Children and Families (ACF) to execute this selected Test Model.

The purpose of this Test Model is to assess the potential of FFR reporting process changes to reduce grant recipient burden. DAP is collaborating with ACF to survey their grant recipients who are currently using the consolidated process.



The purpose of the Consolidated FFR Facilitated Discussion is to review changes to the FFR submission process and obtain input from participants to assess the potential to reduce grant recipient burden.

- HHS DAP will conduct its first Consolidated FFR Facilitated Discussion in July.

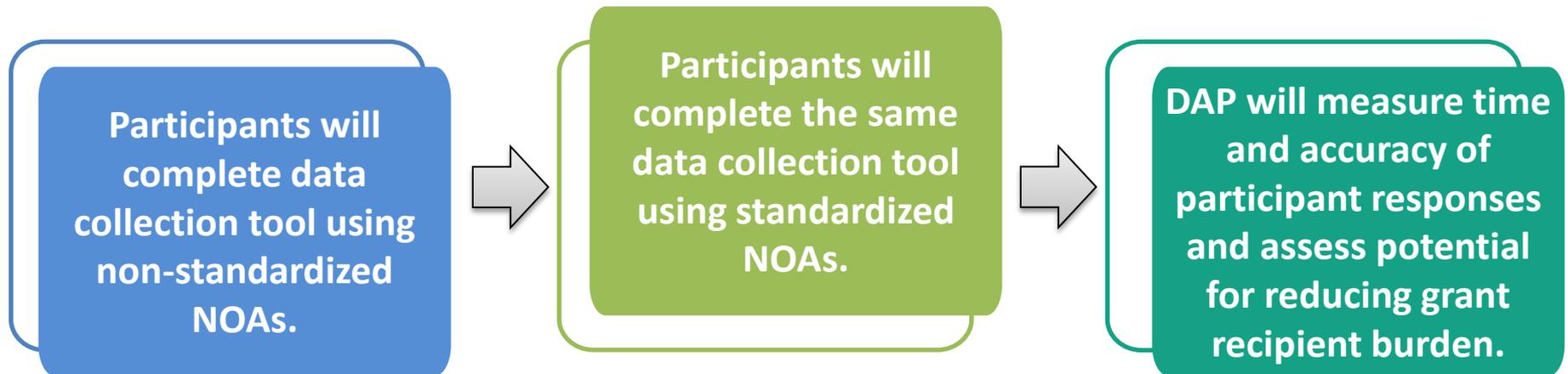


The **NOA** is a document that contains information that grant recipients need in order to perform routine accounting and finance operations. NOAs often differ in format and content across both departments and agencies. For grant recipients with funding from various government sources, this becomes a burden when searching for information across awards.

The standardized NOA – POC will be used for testing purposes only and is not intended to be adopted for Government-wide use.

Test: Provide grant recipients with a standardized NOA – POC cover sheet for federal awards to populate a data collection tool. Identify how standardizing the NOA could result in efficiencies for grant recipients.

The purpose of the NOA – POC Test Model is to measure the effect of standardized NOAs on grant recipient accuracy and speed when performing routine accounting and finance operations. This Test Model will also assess the potential of standardized NOAs to reduce grant recipient burden.



On April 11, 2016, DAP received FDP's Findings and Recommendations on the standardized NOA, which will be considered when finalizing this Test Model.

Forming the Standardized NOA

Developing the Data Collection Tool

Creating the survey for the NOA – POC Test Model

The **Common Data Element Repository (CDER) Library** is designed to be a federal-wide online, searchable repository for grants-specific data standards, definitions, and context. The CDER Library provides a forum to engage federal and public stakeholders in further defining federal financial and business terms/definitions inclusive of agreed-upon standardized data elements.

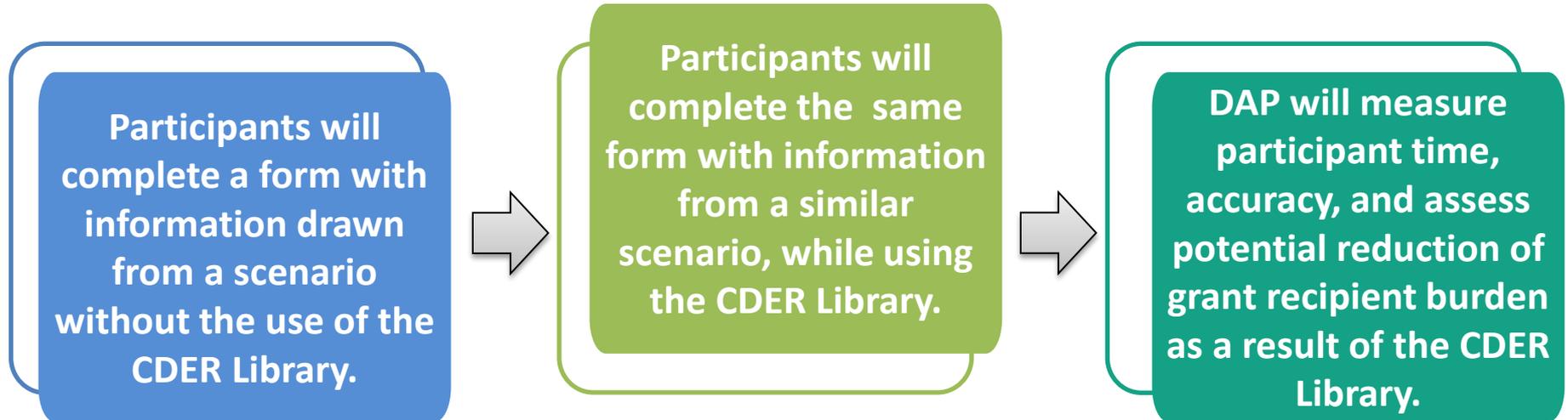


Access the CDER Library: <https://repository.usaspending.gov/poc-tool/>

Test 1: Provide grant recipients with data element definitions to identify potential changes in accuracy and speed of grants lifecycle form completion.

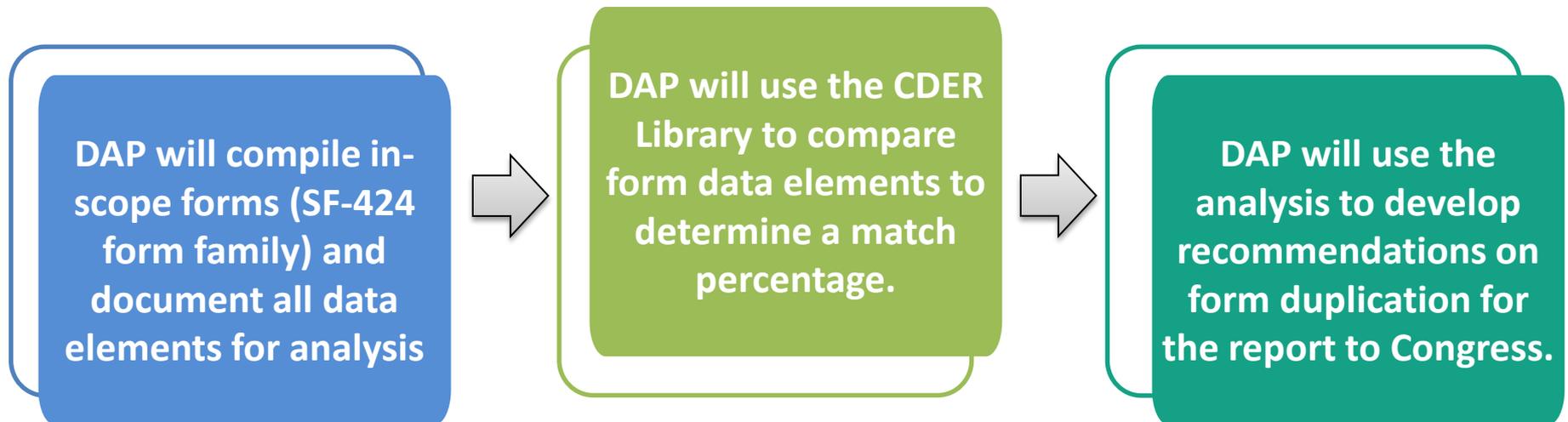
Test 2: Identify form duplication and update/reduce forms to reduce grant recipient burden.

The purpose of the CDER Library 1 Test Model is to determine if grant recipients are provided with definitions of data elements using the CDER Library, then they will be able to accurately complete forms in a timelier manner.

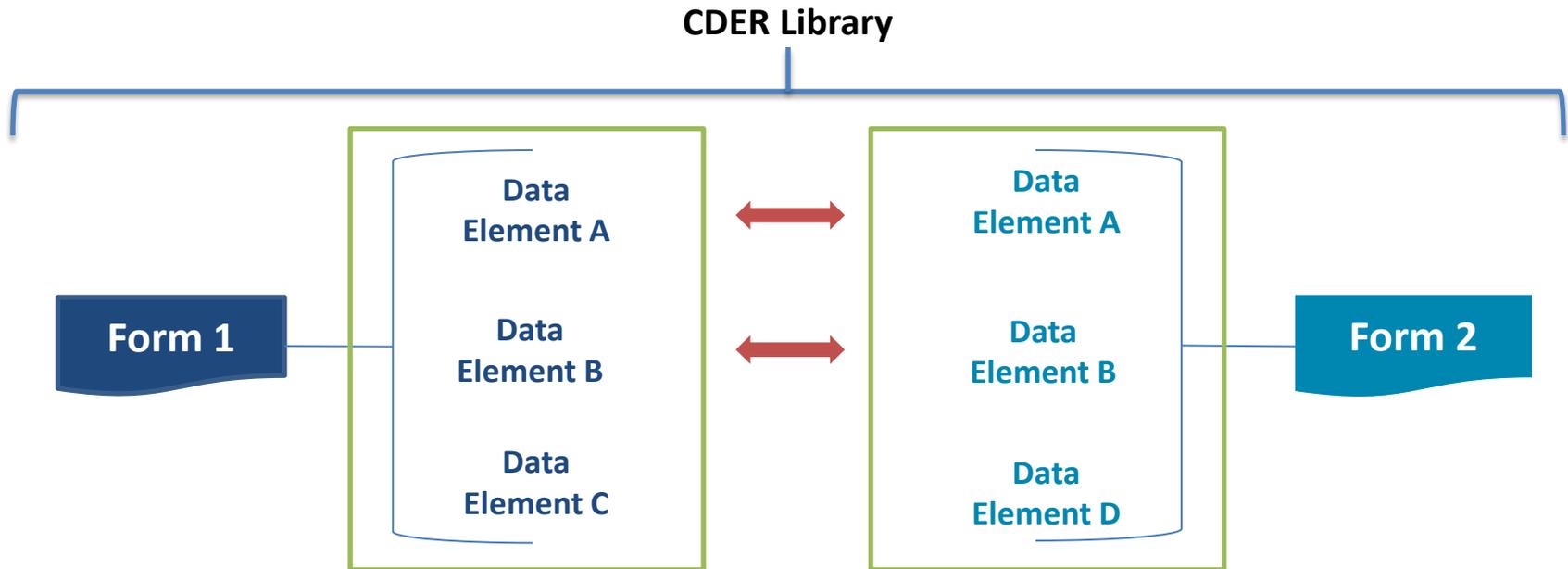


The purpose of the CDER Library 2 Test Model is to test the hypothesis that if duplication across forms can be identified using the CDER Library, then agencies can update/reduce forms to reduce grant recipient burden.

- The CDER 2 Analysis is based on data elements in the CDER Library, which come from the Uniform Grants Guidance (UGG), OMB Circular A-11, and the Federal Acquisition Regulation (FAR).



By providing a structured environment in which data elements can be stored, the CDER Library facilitates the comparison of data elements across several different forms.



The comparison of data elements across forms will highlight areas of duplication and potential opportunities to reduce forms.

The CDER Library can significantly impact the ways in which forms are used, and reduce the burden grant recipients experience throughout the grants lifecycle process.

Reduction in Duplication

When agencies use the CDER Library during the form creation process, they may be able to view potential data element redundancies between forms.

Reduction in Forms

If a potential form is highly duplicative of another existing form, then agencies may decide to not move forward with the form for public use.

Reduction in Burden

With agencies publishing fewer forms, grant recipients may spend less time completing government forms during the grants lifecycle.

In order to determine the extent to which two forms are duplicative, the following questions are considered:

How many data elements in Form A are also in Form B?

How many data elements in Form B are also in Form A?

Form A



20 Data Elements

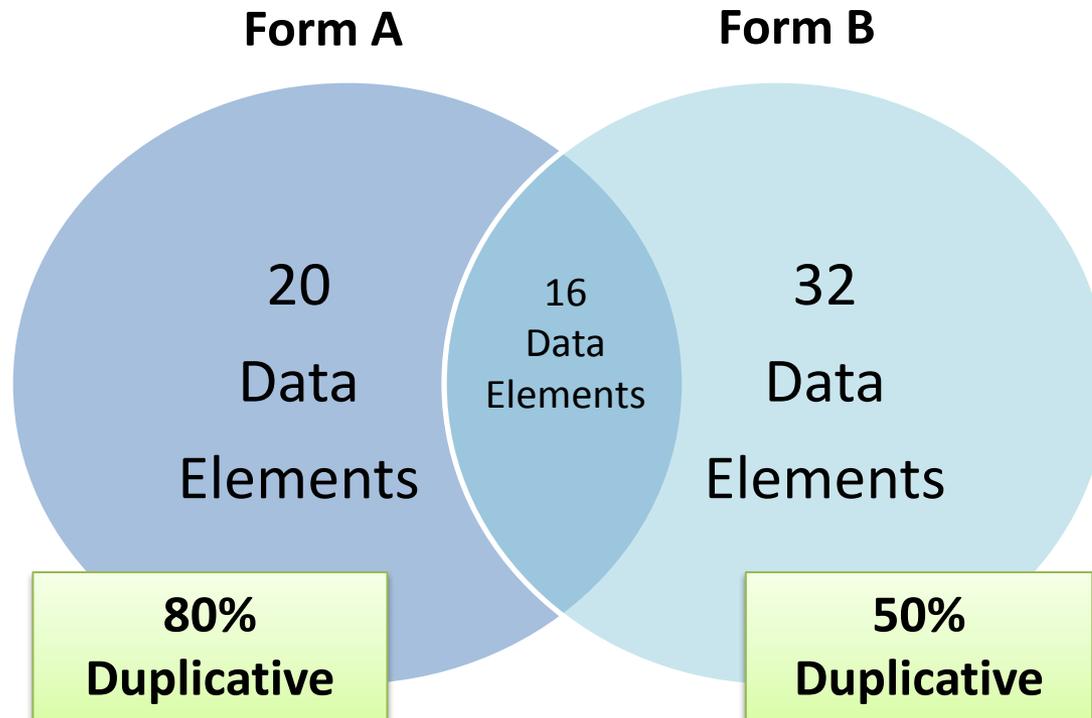
Form B



32 Data Elements



The percent duplication is then calculated based on the number of common data elements found in each form.



Of the 20 data elements in Form A, 16 are duplicative of Form B

Of the 32 data elements in Form B, 16 are duplicative of Form A

For the CDER Library 2 analysis, a “High Match Set” results when:

- Form A has a duplication percent of 80% and above.
- Form B has a duplication percent of 50% and above.

Why not use one percentage?

- Forms have different quantities of data elements.
- Using two percentages gives a comprehensive view of duplication.

Why do 80% and 50% designate a “High Match Set?”

- Duplication percentages of 50 or more capture scenarios where forms have similar scope.
- Ensures that both forms have several data elements to compare.

A form within a High Match Set is designated as a **High Match Form**.

Of the 115 forms in this analysis, 30 unique forms were part of at least one High Match Set. Below is a subsection of this analysis.

Form B

Form A

	SF424-4	SF424-6	SF424-18	SF424-19	SF424-20	SF424-21	SF424-30	SF424-37	SF424-39
SF424-4		19%	91%	100%	3%	4%	4%	4%	11%
SF424-6	31%		31%	31%	9%	12%	12%	12%	25%
SF424-18	71%	15%		71%	3%	3%	3%	3%	8%
SF424-19	100%	19%	91%		3%	4%	4%	4%	11%
SF424-20	44%	78%	44%	44%		78%	78%	78%	11%
SF424-21	56%	100%	56%	56%	78%		82%	82%	11%
SF424-30	56%	100%	56%	56%	78%	100%		100%	11%
SF424-37	56%	100%	56%	56%	78%	100%	100%		11%
SF424-39	52%	76%	52%	52%	4%	4%	4%	4%	

Below is an example of a High Match Set.

Form B

	SF424-4	SF424-6	SF424-18	SF424-19	SF424-20	SF424-21	SF424-30	SF424-37	SF424-39
SF424-4				100%					
SF424-6									
SF424-18									
SF424-19	100%								
SF424-20									
SF424-21									
SF424-30									
SF424-37									
SF424-39									

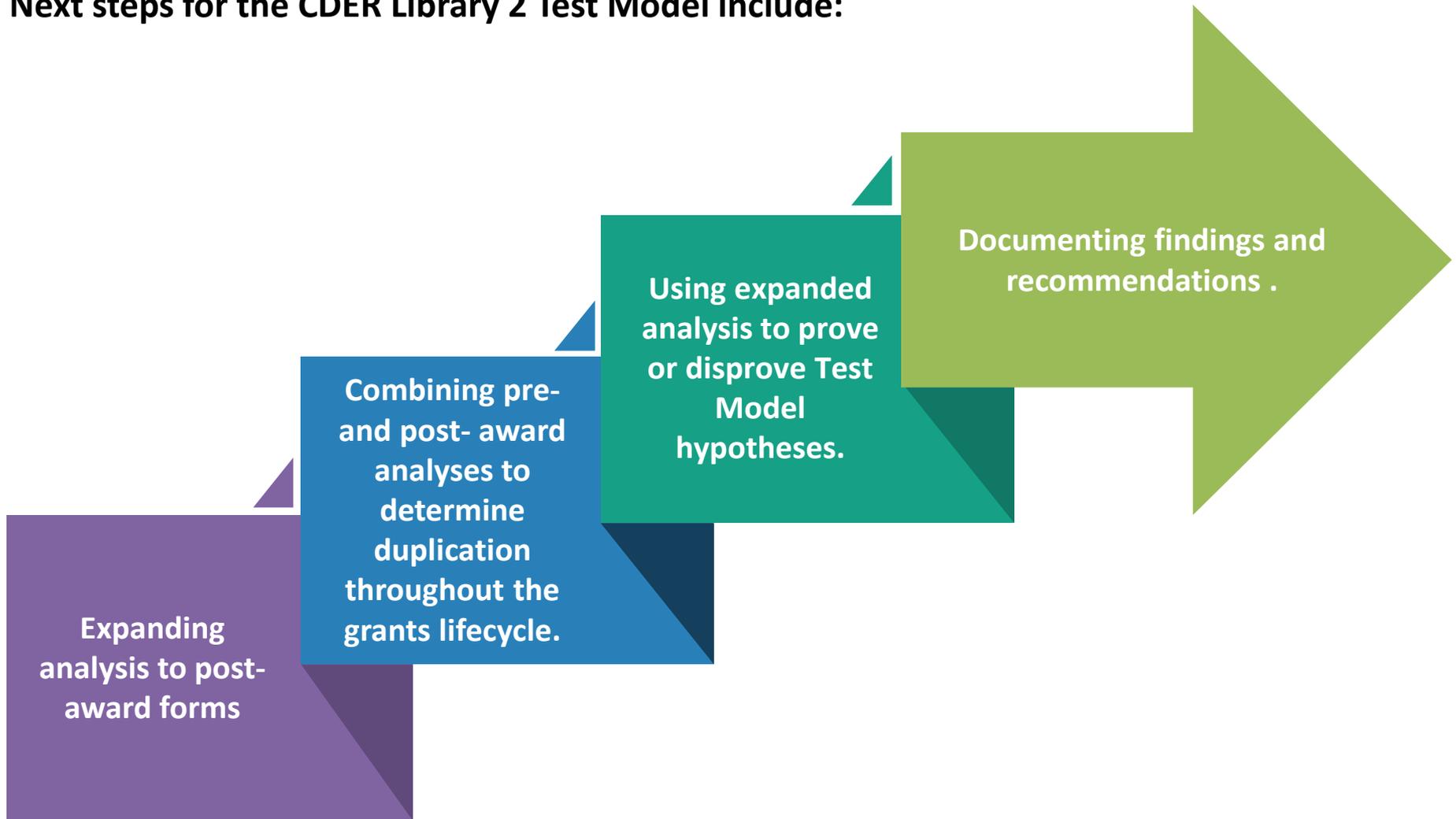
Form A



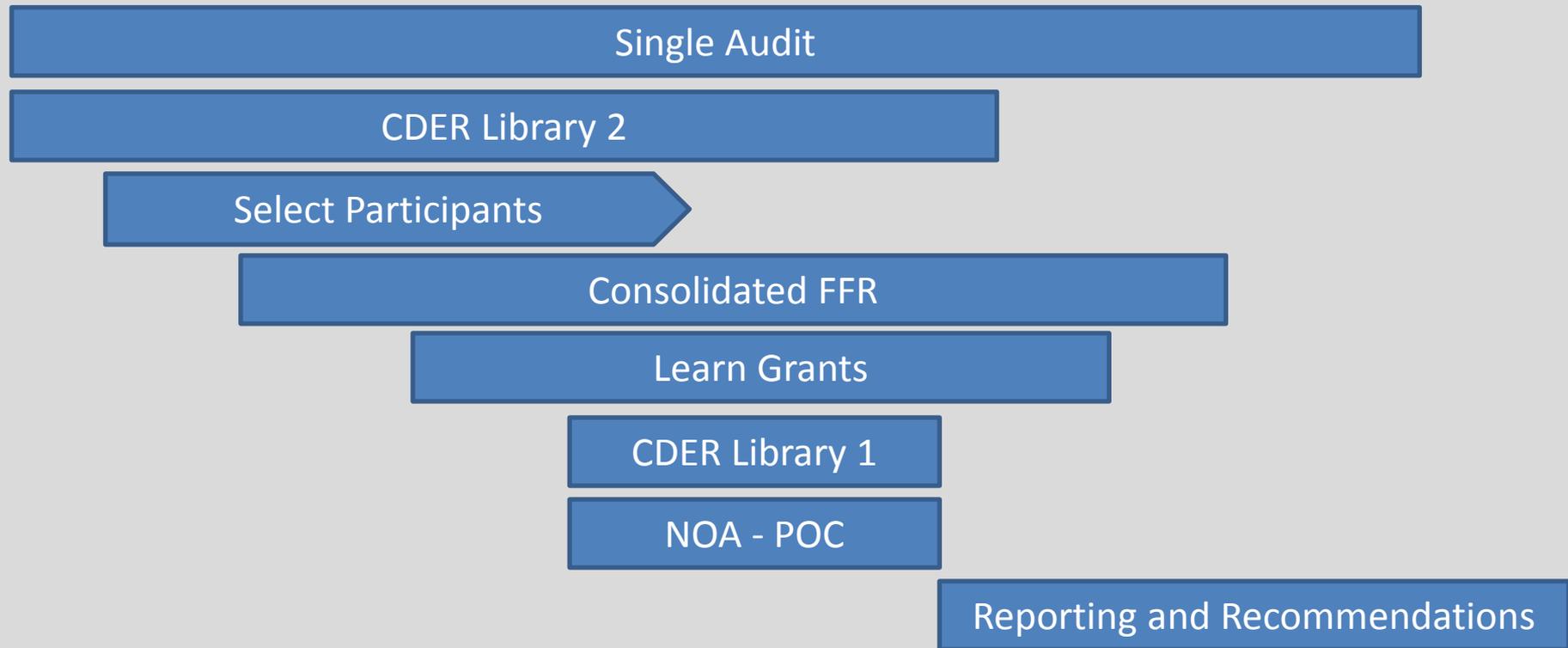
The initial conclusion from the CDER Library 2 Test Model analysis is:

**26% of the in-scope forms
have the potential to
reduce duplication of
forms.**

Next steps for the CDER Library 2 Test Model include:



Opportunities for Involvement – Timeline for Test Models





If you would like to volunteer to participate in a Test Model, please send an email with the subject **“Test Model Volunteer,”** along with the name of the Test Model that interests your organization to **DATAActPMO@hhs.gov**.

There are several ways to participate in DATA Act activities.



Send inquiries and feedback to
DATAActPMO@hhs.gov.



Visit the DAP Website at
www.hhs.gov/dataactpmo.



Follow DAP on Twitter at
www.twitter.com/HHS_DAP.



Access Learn Grants at
<http://www.grants.gov/web/grants/learn-grants.html>.



Visit the CDER Library at
<https://repository.usaspending.gov/poc-tool/>.



Join the National Dialogue at
<https://cxo.dialogue2.cao.gov>.



For more information on the DATA Act, visit
<https://www.usaspending.gov/Pages/Data-Act.aspx>.

Appendix

Q: Even though no funds are available for the pilot, might you be able to make experts available to the participants in implementing the pilot. Will any type of technical assistance be available?

A: DAP will be available to assist Pilot participants through out the test process.

Q: What is the intent of the Section 5 Grants Pilot?

A: The intent of the Section 5 Grants Pilot is to test tools/methods/forms/models to meet DATA Act's Section Pilot 5 Pilot requirements.

Q: What will be expected of Section 5 Grants Pilot participants?

A: Depending on the Test Model, Pilot participants will be expected to complete surveys, forms, and/or participate in tests and/or focus groups. Participants will be expected to share data on burden hours and any other data that may assist DAP in making recommendations to Congress.

Q: What is the timeframe for the Section 5 Grants Pilot?

A: An approximate timeline can be found on Slide 34.

Q: What is the expected time commitment?

A: As DAP finalizes Test Model details, we will refine our time commitment estimates.