Open Government: Research Administration Data (OG:RAD)

FDP Meeting – Jan 2020

Co-Chairs

Stephanie Endy - Case Western, Admin

Avinash Tembulkar - NSF, Fed

Richard Fenger - University of Washington, Tech, Efficiency Advocate
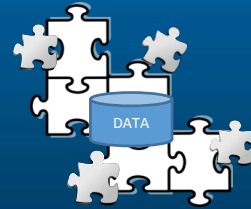
LOC Workgroup

Nate Martinez-Wayman - Duke University, LoC Workload Survey - Co-lead
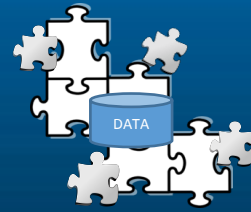
Chris Berner - NSF, LoC Workload Survey - Co-lead

- **Quick** OG:RAD Update

- Main Event: LOC Survey Update
  - *Presented by Chris Berner, NSF and Nate Martinez-Wayman, Duke University*
  - Background and Introduction
  - Update and Preliminary Findings

- **What's on our radar?**
  - Standard Notice of Award (NoA)
  - Federal Integrated Business Framework (FIBF) Data Standards
  - System Matrix Analysis (based on eRA)
  - GSA's DUNS replacement with Unique Entity Identifier (UEI)
- **Performance.gov**
  - President's Management Agenda (PMA)
  - Cross-Agency Priority Goals (CAP): #s 2,5,8
  - Quality Service Management Organization (Grants QSMO)
- **And More!** *(legislation such as GREAT Act & OPEN Act)*

OG:RAD: Fed Details
– Performance.gov

Performance.gov

Management Priorities ⌄   Agencies ⌄   About ⌄   News

Overview

The President's Management Agenda

Cross Agency Priority Goal Overview

Key Performance Indicators

Key Drivers of Transformation

IT Modernization

Data, Accountability and Transparency

People - Workforce for the 21st Century

Cross-Cutting Priority Areas

Improving Customer Experience

Sharing Quality Services

Shifting From Low-Value to High-Value Work

Functional Priority Areas

Category Management

Results-Oriented Accountability for Grants

Getting Payments Right

Federal IT Spending Transparency

Improve Management of Major Acquisitions

Mission Priority Areas

Modernize Infrastructure Permitting

Security Clearance, Suitability, and Credentialing Reform

Lab-to-Market

Other Initiatives

Reform Plan and Reorganization Recommendations

GEAR Center

Elimination of Unnecessary Agency Reports
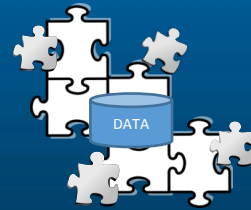
Reduce the Footprint Policy

Gears of Government Awards

[Dec Update](#) *(a lot of FIBF)*

WIP Grant QSMO

OG:RAD: Legislation
– via *Data Coalition*

DATA COALITION

POLICY ISSUES   MEMBERS   EVENTS

Policy Progress 2019

LEGISLATIVE PRIORITY

	House Bill Filed	House Committee Approved	House Passed	Senate Bill Filed	Senate Committee Approved	Senate Passed	President Signed
Evidence Act Foundations for Evidence-Based Policymaking Act	✓	✓	✓	✓	—	✓	✓	
GREAT Act Grant Reporting Efficiency and Agreements Transparency Act	✓	✓	✓	✓	✓	✓	Pending
AI in Gov Act AI in Government Act	✓	✓		✓	✓		
Right-To-Know Act Taxpayers Right-To-Know Act	✓	Pending		✓	✓		
FTA Financial Transparency Act	✓						

On December 30, 2019, the President signed the bill into law. The bipartisan GREAT Act transforms federal grant reporting for the modern era by directing federal agencies to modernize and improve grantee reporting.
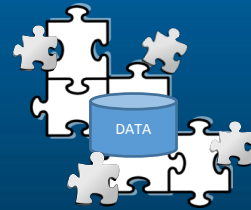
- ## 2:20 pm - NSF/Treasury LOC Demo
- Topic: Distributed Ledger Technology Demonstration from NSF/Treasury Join us to understand how **NSF and Treasury** are exploring the use of distributed ledger technology to **improve grant payment processes**.
- Speakers: Mike Wetklow - Deputy Chief Financial Officer & Director of the Division of Financial Management (DFM); Craig Fischer Innovation Program Manager at Treasury; Jennifer Hill Innovation Program Analyst at Treasury

"discuss next steps and explore how NSF, Treasury, Universities, and FDP can work together in the next phase of this project"

- ## 3:50 pm - RGM GDD Demo
- ReInvent Grants Management and the **Grant-Recipient Digital Dossier – Analyzing 500 Billion in Grant Funding to Assess Pre-Award Risk**
- Speakers: Mike Peckham, HHS/ReInvent Grants Management Lead; Christopher Verhoeven; HHS/ReInvent Grants Management Support

- Origin of survey
  - Community interest
  - Attempt to quantify the workload of using multiple systems for letter of credit drawdowns through the five primary Federal payment request systems
  - Discrete process that can lend itself to quantification
  - Starting point for electronic streamlining for post-award activities

- Survey working group included feedback from Federal and Institutional partners
  - Thanks for the hard work!

OG:RAD: LOC Workload Survey
– Update and prelim findings

- Survey open late August through December 2019
- 5~~9~~ responses - now 61!
  - Even distribution of public & private
  - Representing small (>$50M portfolio) to large (>$1B)
- Today's focus is an initial review of the quantitative data from the responses
- Qualitative analysis and recommendations will need more time - and volunteers!

LOC Systems

Survey scope included:

ACM$	National Science Foundation
ASAP	Energy, Agriculture, Commerce, Interior, EPA, DARPA, NRC, and USGS
G5	Education
GPRS	Justice
PMS	DHHS, Agriculture, State, Homeland Security, IRS, and NASA

LOC Responses

1) Approximately **how often** do you draw funds from each system?

	ACM$	ASAP	G5	GPRS	PMS
Daily	1	0	2	0	2
2-3/Week	1	1	1	0	1
Weekly	14	7	9	3	20
2-3/Month	16	18	18	6	18
Monthly	22	25	16	28	16
Other	3	4	4	4	2
# Responses	57	55	50	41	59

LOC Responses

1b) Approximately **how many awards** or projects do you draw for in each system?

	ACM$	ASAP	G5	GPRS	PMS
None	0	1	1	0	0
1-10	7	10	9	33	1
11-50	2	16	32	6	3
51-100	6	10	6	1	4
More than 100	41	17	2	0	50
# Responses	56	54	50	40	58

LOC Responses

2. **How familiar** are you with each system?

	ACM$	ASAP	G5	GPRS	PMS
Not at all	0	0	1	1	0
Occasional User	1	2	1	2	0
Somewhat Familiar	1	1	2	0	2
Familiar	17	17	11	14	13
Very Familiar	38	35	36	24	44
# Responses	57	55	51	41	59

LOC Responses

3) Overall, **how easy** is each system to use?

	ACM$	ASAP	G5	GPRS	PMS
I can't navigate or figure out where things go	0	0	0	1	0
Navigation and layout trip me up every time I log in	0	2	0	0	0
Navigation and layout trip me up occasionally	1	17	5	4	12
Navigation and layout are fairly easy	29	25	23	17	30
Navigation and layout are extremely easy	27	11	23	19	17
# Responses	57	55	51	41	59

LOC Responses

4) **How difficult is it to view** award and financial data in each system?

	ACM$	ASAP	G5	GPRS	PMS
Very difficult	0	4	0	3	2
Somewhat difficult	2	13	3	1	4
Somewhat standard	11	24	13	13	15
Somewhat easy	18	11	19	14	21
Very easy	26	3	16	10	16
# Responses	57	55	51	41	58

5) **How difficult is it to understand** the award and financial data with each system?

	ACM$	ASAP	G5	GPRS	PMS
Very difficult	0	1	0	0	2
Somewhat difficult	0	5	1	1	4
Somewhat standard	9	23	10	9	12
Somewhat easy	16	13	18	13	24
Very easy	32	13	22	18	17
# Responses	57	55	51	41	59

LOC Responses

6. **How available** is each system?

	ACM$	ASAP	G5	GPRS	PMS
Available 0-50% of the time	0	0	0	0	0
Available 51-70% of the time	0	0	0	0	0
Available 71-80% of the time	1	1	1	2	2
Available 81-90% of the time	6	14	9	7	7
Available 91-100% of the time	50	40	41	32	50
# Responses	57	55	51	41	59

LOC Responses

7. How satisfied or dissatisfied are you with **customer support** for each system?

	ACM$	ASAP	G5	GPRS	PMS
Very dissatisfied	0	2	0	3	3
Somewhat dissatisfied	0	6	1	1	6
Somewhat satisfied	8	19	7	10	20
Very satisfied	30	17	25	9	27
I haven't had to contact customer support	19	11	18	18	3
# Responses	57	55	51	41	59

8) **How many of your staff** *(count each person as 1)* are involved in each of the following aspects of the drawdown:

    a) Preparation
    b) Submission
    c) Reconciliation

LOC Responses

8a) How many people are involved in the **preparation** of data file/points to submit to each system?

	ACM$	ASAP	G5	GPRS	PMS
1	26	23	20	22	17
2	22	17	22	17	24
3	7	9	8	2	13
4	1	4	1	0	4
5	1	2	0	0	0
6	0	0	0	0	1
# Responses	57	55	51	41	59

8b) How many people are involved in the **submission** of data file/points into each system?

	ACM$	ASAP	G5	GPRS	PMS
1	33	28	26	28	28
2	18	14	18	11	17
3	5	7	6	2	9
4	1	4	1	0	3
5	0	2	0	0	0
6	0	0	0	0	2
# Responses	57	55	51	41	59

LOC Responses

8c) How many people are involved in the **reconciliation** for each system, or other post-draw actions?

	ACM$	ASAP	G5	GPRS	PMS
1	22	19	17	19	16
2	25	19	23	18	22
3	6	8	5	3	10
4	3	5	5	0	8
5	1	2	0	0	1
6	0	1	0	0	1
7	0	0	0	0	0
8	0	0	0	0	0
9	0	0	0	0	0
10	0	0	0	0	1
# Responses	57	54	50	40	59

9) **How much time** (in hours across all people) is devoted to each of the following aspects of each cash draw:

   a) Preparation
   b) Submission
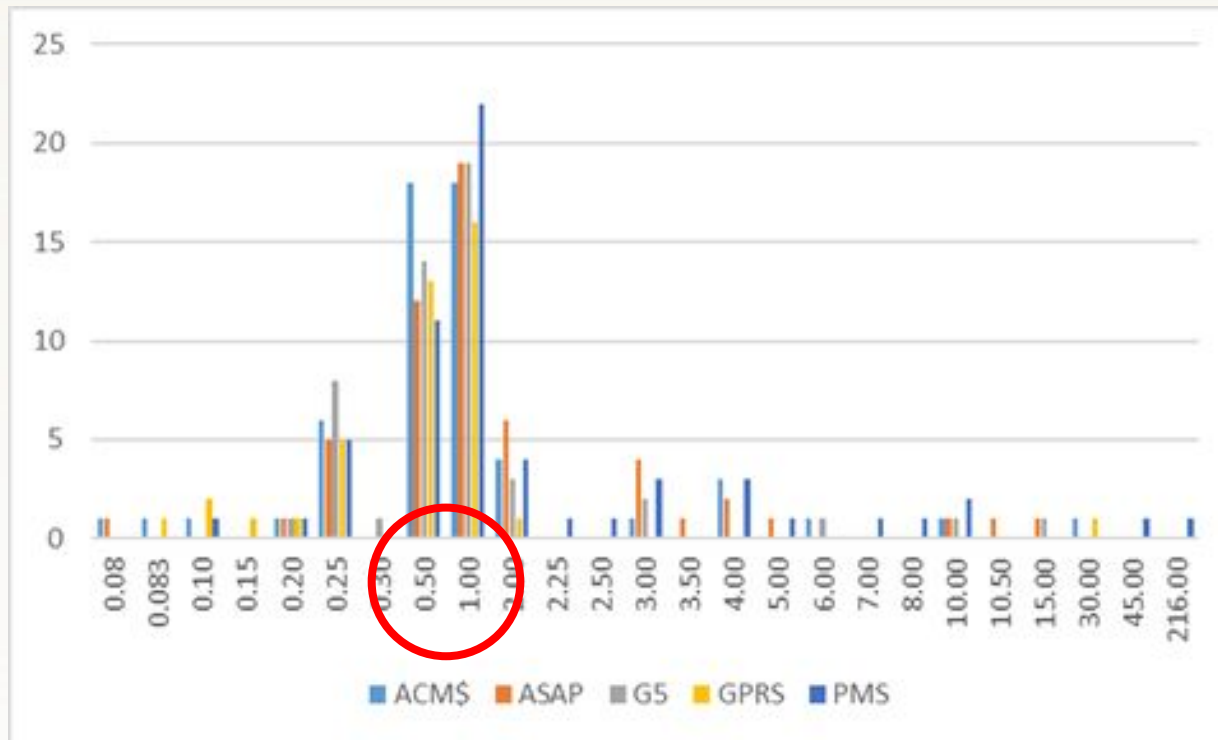   c) Reconciliation

LOC Responses

9a) How much time (in hours across all people) is devoted to the **preparation** of data file/points to submit to each LOC system?
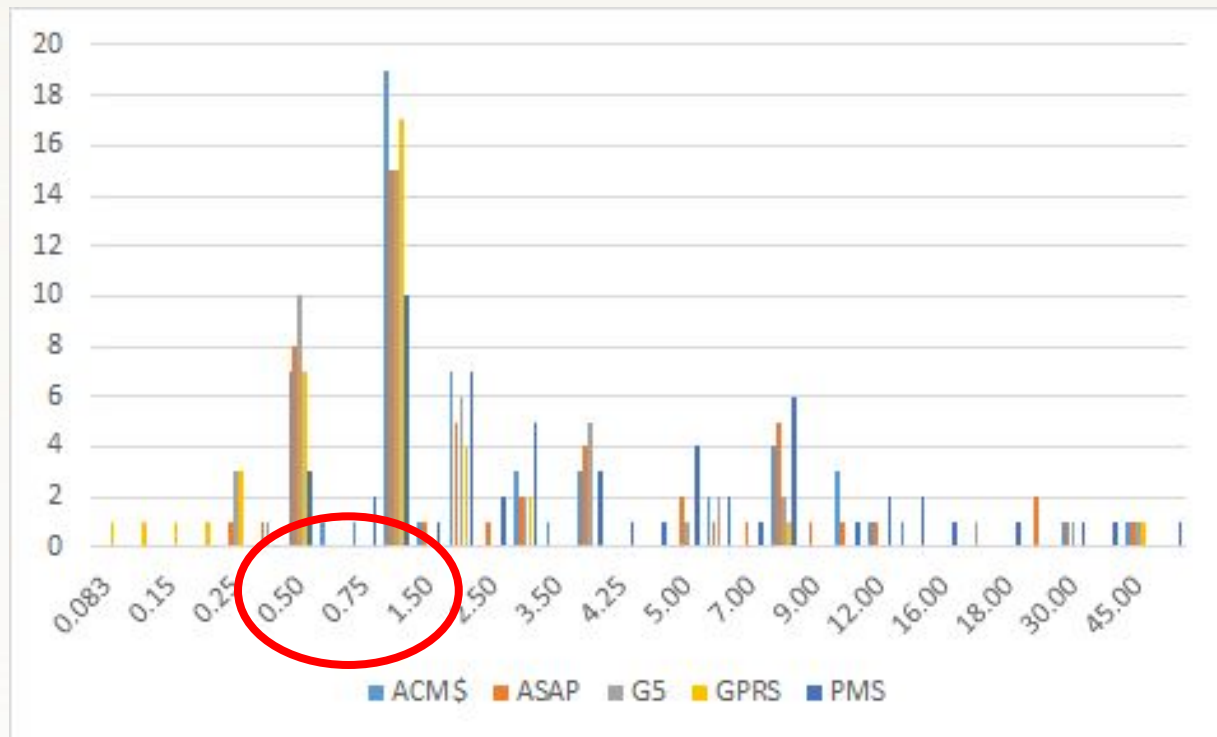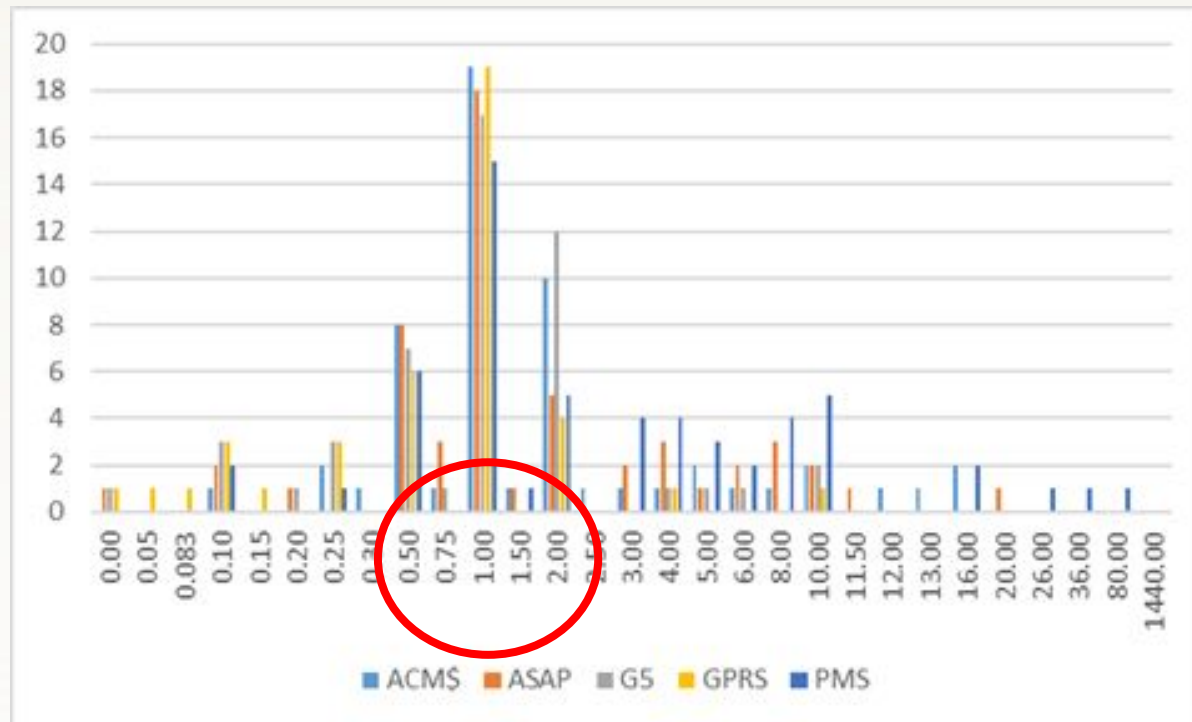
LOC Responses

9b) How much time (in hours across all people) is devoted to the **submission** of data file/points into each LOC system?
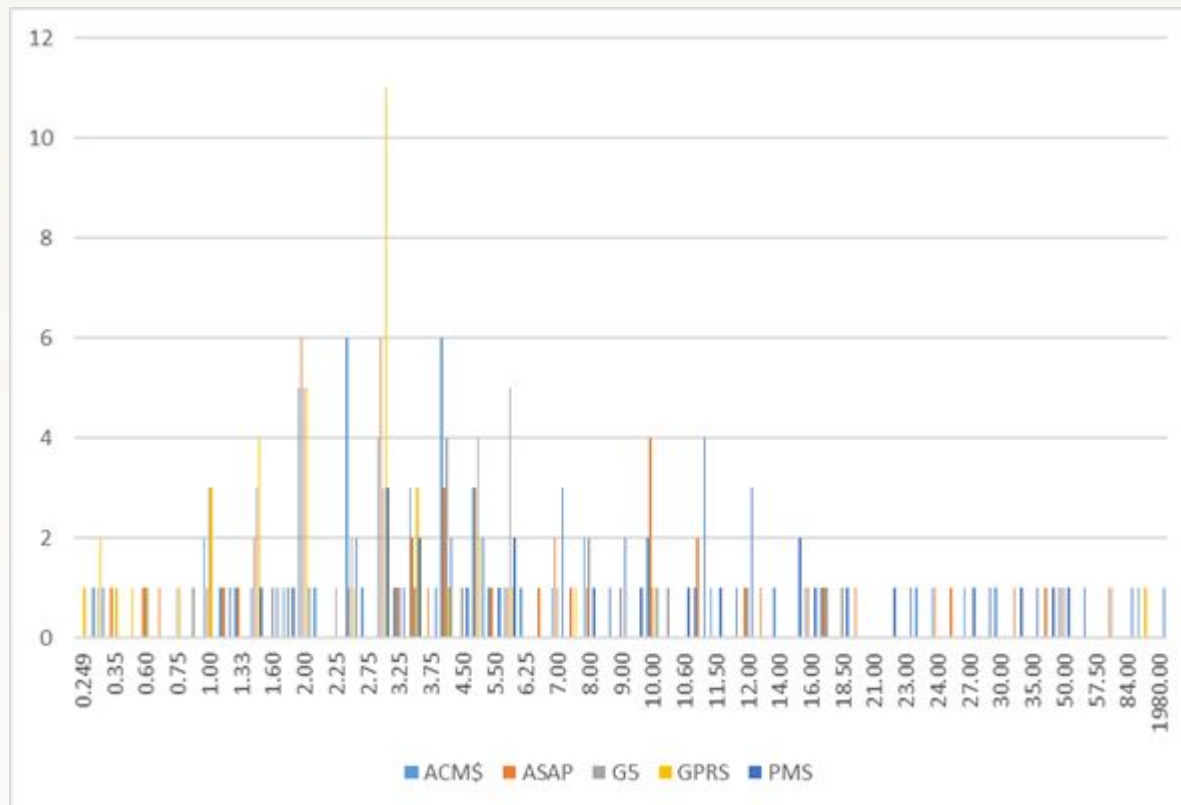
9c) How much time (in hours across all people) is devoted for the **reconciliation** to each LOC system, or other post-draw actions?
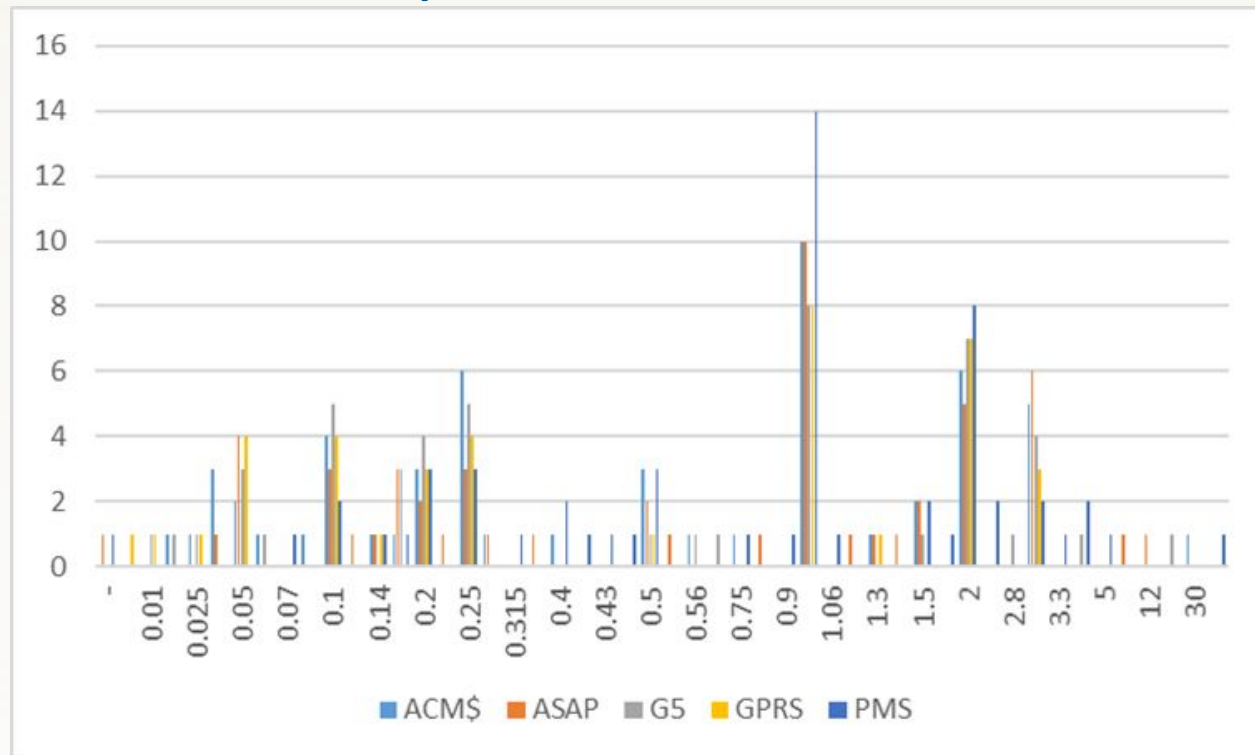
LOC Responses

9) Total number of hours across all 3 functions:

10) In total across people and hours, please estimate the **annual # of FTEs** involved in all aspects of the drawdowns for each system.

11) For each system, do you have **additional software or tools** to assist in managing each drawdown that you have purchased, developed, or received from another institution?

Software or tools include any Excel workbooks or worksheets that you have saved as templates and use formulas or macros to validate, arrange, match, or change values that you rely on for the drawdown process.

	ACM$	ASAP	G5	GPRS	PMS
Yes	54	47	45	30	56
No	3	8	6	11	3
# Responses	57	55	51	41	59

12) For each system, do you **upload a data file** to request cash for each draw (as opposed to manually keying each data point)?

	ACM$	ASAP	G5	GPRS	PMS
Yes	45	2	9	0	47
No	12	53	42	40	12
# Responses	57	55	51	40	59

LOC Responses

15) For each system, what types of **supporting documentation** are required to be provided with the drawdown requests?

	ACM$	ASAP	G5	GPRS	PMS
None	50	47	47	37	53
General Description	2	3	2	3	3
Detailed list of expense categories and amounts	2	5	2	3	2
Copy of purchasing/ordering/contracting documents	0	0	0	0	0
Other	1	0	0	0	0
# Responses	55	55	51	43	58

LOC Responses

16) For each system, on average **how long for confirmation** of agency review/approval of drawdown request?

	ACM$	ASAP	G5	GPRS	PMS
No review or approval	14	17	17	8	16
Up to 1 government day	26	25	25	12	31
1-5 government days	14	11	8	14	10
6-10 government days	1	1	1	5	1
11-19 government days	1	0	0	0	0
More than 20 government days	0	1	0	1	0
# Responses	56	55	51	40	58

17) For agencies that send confirmation of review/ approval of the drawdown request, **how is it sent**?

	ACM$	ASAP	G5	GPRS	PMS
In-system message	5	29	6	26	34
Email	44	8	34	5	5
Phone	0	0	0	0	0
Fax	0	0	0	0	0
Postal Mail	0	0	0	0	0
Other	0	4	1	0	4
# Responses	49	41	41	31	43

LOC Responses

18) For each system, what is the **average time to receive funds** after the submission of the drawdown request?

	ACM$	ASAP	G5	GPRS	PMS
No review or approval	0	1	0	0	0
Up to 1 government day	15	32	27	8	35
1-5 government days	38	17	20	22	22
6-10 government days	1	1	2	6	0
11-19 government days	1	1	0	2	1
More than 20 government days	0	1	0	2	0
# Responses	55	53	49	39	58

Additional Analysis

What does it take to request funds in each system?

Legend: Median Total # of FTE Required (orange), Median Total Hours to Draw Funds (blue)
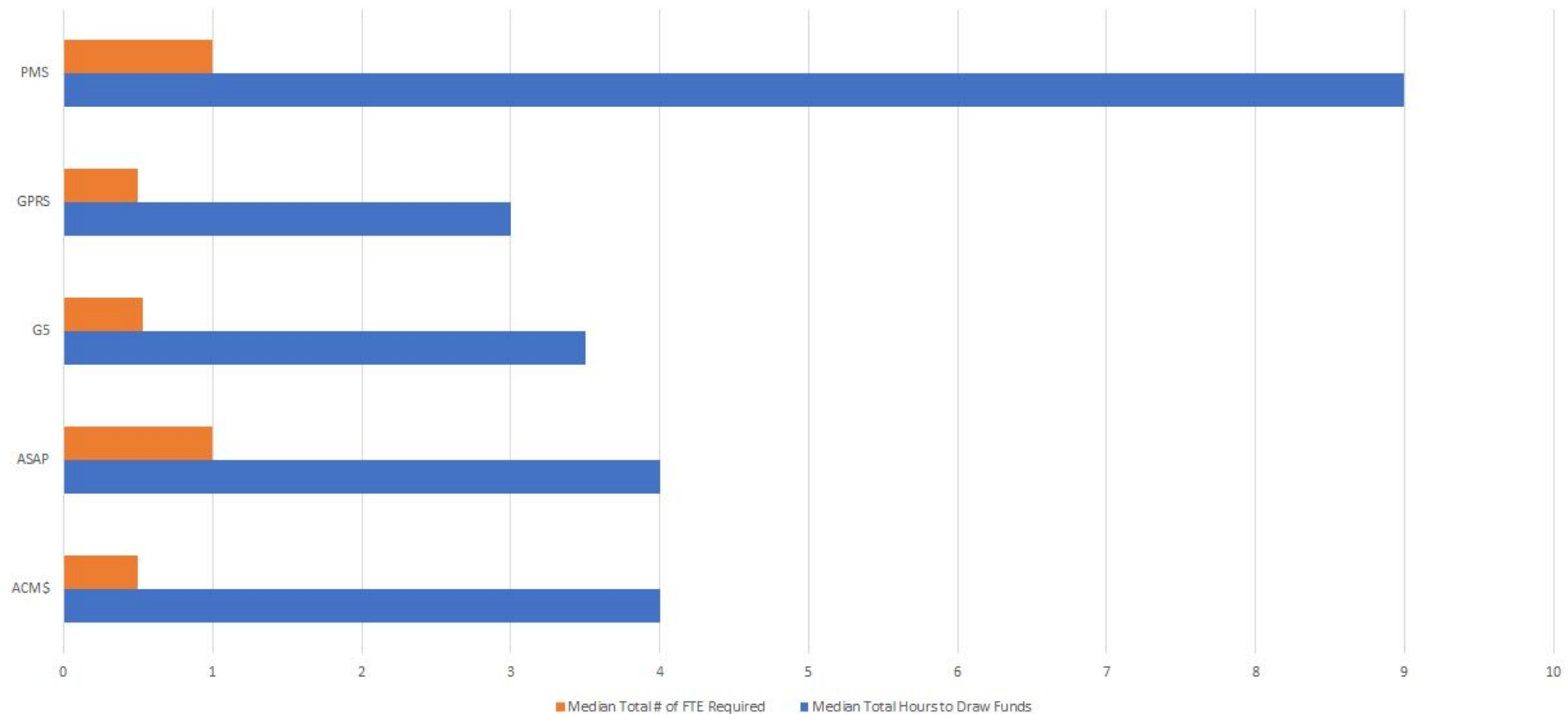
How often are funds being requested across all systems?

Additional Analysis

What tools are you using to assist in the drawdown process?
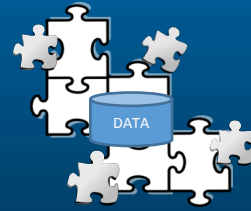
Next Steps

- Data collection is officially closed
- Moving into full analysis mode (incorporating institutional demographics; commonalities/ outliers identified from qualitative data; etc.)

Seeking volunteers!

- Questions? Discussion?

OG:RAD: Resources

OG:RAD [weblink](#) *(includes copy of the LOC survey)*

Generally:

- Partnering with the government (in the FDP tradition)
- Advocate for the use of administrative data between collaborators and funders
- Viewing data as a strategic asset and cornerstone for reducing workload

thefdp.org/default/mailing-lists/

   FDP-Open-Gvmnt-L