

## P. L. 106 - 107 Monthly Report to the Grants Executive Board

**Reporting Period:** 08/25/2004 through 09/30/2004

**Report Date:** 9/30/2004

### Purpose:

To provide a monthly update on the various grants streamlining initiatives undertaken by the P. L. 106-107 inter-agency workgroups.

### Prepared by:

Robert Noonan and Andrea Brandon—P. L. 106 – 107 Government-wide PMO.

### Background:

The Federal Financial Assistance Management Improvement Act (P.L. 106 -107) mandated the streamlining and standardization of the federal grant-making process. In response to this mandate an interagency structure was established to analyze current policies and processes and recommend changes consistent with the goals and objectives of P. L. 106 -107. That structure consists of several workgroups, with a coordinating body led by the Department of Health and Human Services (HHS). Subsequent to the commencement of the P. L. 106-107 effort, the E-Grants initiative, one of the 25 initiatives under the E-Gov umbrella of the President's Management Agenda, began. E-Grants is now Grants.gov. Both initiatives operate under a Program Management Office (PMO) structure at HHS, and while separate resources accomplish the work of both initiatives, the PMOs coordinate the work.

### Notable Accomplishments

Accomplishments	Date
Received 16 comments on the Performance Progress Report (PPR) products from 14 of 26 agencies. Comments are being categorized and placed in a matrix for analysis by the workgroup.	September 30, 2004
The Mandatory Grants SF-424M cover page and instructions, which includes a supplemental form on page three of the document, the matrix of data elements associated with the cover page and the spreadsheet with the form analysis needed to develop the form at Grants.gov, were sent to Grants.gov for comment and forms factory use. The Mandatory Grants SF-424M cover page and instructions, which includes a supplemental form on page three of the document, will be presented to the Grants Executive Board for approval on 10/6/2004.	September 30, 2004
To date, OMB cleared 19 Agency-specific Annual Reports to Congress. NASA is in the clearance process. The following agencies are still outstanding: CNCS, DOT, SBA, Treasury, USAID, VA.	September 30, 2004
OMB approved Administrative Terms and Conditions prototype.	September 22, 2004
GAO successfully reviewed the P. L. 106-107 PMO and workgroup activities.	September 16, 2004

Accomplishments	Date
The Post-award workgroup, Real Property Reporting subgroup, has completed the PPR forms, instructions, data elements, and Policy Statement. The package was sent to the 26 agencies for informal comment.	September 15, 2004
Revised P. L. 106-107 Fiscal Year 2005 Funding Priorities presented to OMB.	September 13, 2004
P. L. 106-107 Fiscal Year 2005 Funding Priorities presented to OMB.	September 2, 2004
The Post-award workgroup, Performance/Progress Reporting subgroup, has completed the PPR forms, instructions, data elements, and Policy Statement. The package was presented to the Grants Executive Board for approval.	September 1, 2004
The Post-award workgroup, Performance/Progress Reporting subgroup, has completed the PPR forms, instructions, data elements, and Policy Statement. The package was sent to the 26 agencies for formal comment.	September 1, 2004

### Notable P. L. 106 - 107 Events and Activities

08/25/2004 through 09/30/2004

Date	Events and Activities
9/30/2004	The Mandatory Grants SF-424M cover page and instructions, which includes a supplemental form on page three of the document, the matrix of data elements associated with the cover page and the spreadsheet with the form analysis needed to develop the form at Grants.gov, sent to Grants.gov for comment and forms factory use then for Grants Executive Board Approval on 10/6/2004.
9/30/2004	Received 16 comments on the PPR products from 14 of 26 agencies. Comments are being categorized and placed in a matrix for analysis by the workgroup.
9/30/2004	19 Agency-specific Annual Reports to Congress were cleared by OMB. NASA is in the clearance process.
9/22/2004	Administrative Terms and Conditions prototype approved by OMB.
9/23/2004	Full Mandatory group reviews Policy Letter.
9/21/2004	Meeting of the Reports workgroup to discuss the status of each subgroup's activities and to plan tasks.
9/16/2004	GAO reviewed P.L. 106-107 PMO and Workgroups.
9/15/2004	Cover Page Subgroup met to create instructions for SF-424M and develop Policy Letter to publish in FR.
9/15/2004	Real Property Report (RPR) Policy statement and Federal Register Preamble developed and sent to agencies for informal comment.
9/15/2004	Personal Property Report (TPR) Policy Statement and Federal Register Preamble developed. Draft documents have been sent to Workgroup to review.

Date	Events and Activities
9/13/2004	P.L. 106-107 Website meeting held with LMI to transition content and hosting to Grants.gov.
9/13/2004	Revised P. L. 106-107 Fiscal Year 2005 Funding Priorities presented to OMB.
9/2/2004	P. L. 106-107 Fiscal Year 2005 Funding Priorities presented to OMB.
9/1/2004	Performance/Progress Report (PPR) sent to Grants Executive Board for approval.
9/1/2004	Performance/Progress Report (PPR) sent to agencies for formal comment.
9/1/2004	Federal Financial Report workgroup meeting held to revise information in OMB Circulars A-102 and A-110 regarding financial reports. The language was modified to be consistent with the FFR.

**P. L. 106 - 107 Workgroups and Products—FY04 through FY07**

<b>Workgroup:</b> Inter-agency P.L. 106-107 Annual Report to Congress team —see attachment -1				
<b>Chairpersons:</b> Andrea Brandon Elizabeth Phillips		<b>Agencies:</b> HHS OMB		
<b>Goal:</b> To provide an annual report that describes performance in meeting the P.L. 106-107 goals and objectives for the reporting period of May 2003 through May 2004.				
Product	Executive Board Review	Status	Final Deliverable(s) for Board Review	
<i>2004 Inter-agency P.L. 106-107 Annual Report to Congress</i>		9-30-04 OMB cleared 19 agency-specific reports. NASA is in the clearance process. The following agencies are still outstanding: CNCS, DOT, SBA, Treasury, USAID, VA.		
		8-20-04 Final Government-wide report cleared OMB and send to agencies. 13 agency-specific reports received and 11 cleared by OMB.		
		8-4-2004 Grants Executive Board voted to send the Government-wide Annual Report to OMB for final clearance.		
	7-7-2004 - Sent to Grants.gov PMO for Grants Executive Board Review.	7-16-04 Grants.gov PMO sent Government-wide Annual Report to the Grants Executive Board. Comments due on 7-23-04.		<ol style="list-style-type: none"> <li>1. Government-wide section.</li> <li>2. Agency-specific template.</li> <li>3. Guidance to the agencies.</li> </ol>
	7-16-2004 - Sent to Grants Executive Board for review.	7-16-2004 P.L. 106-107 PMO sent Final Agency-specific template to agencies for their use.		
		7-7-2004 P.L. 106-107 PMO sent Government-wide section along with Agency-specific template to OMB for pre-review and comment.		
		7-7-2004 P.L. 106-107 PMO sent Government-wide section along with Agency-specific template to the Grants.gov PMO for Grants Executive Board for review and comment.		
		5-24-2004 Received input from the Mandatory workgroup.		

**P. L. 106 - 107 Workgroups and Products—FY04 through FY07**

<b>Workgroup:</b> Pre-award			
<b>Chairpersons:</b> Mark Herbst Elizabeth Phillips		<b>Agencies:</b> DoD OMB	
<b>Goal:</b> To reduce unnecessary burdens on applicants for, and recipients of, Federal grants.			
Product	Executive Board Review	Status	Final Handoff
1. <i>Award Face Sheet</i> <i>a. Notice</i>  <i>b. National policy terms and conditions</i>  <i>c. Administrative terms and conditions</i>	12-5-2005 (Estimated)	9-20-04 Prototype admin Ts and Cs discussed with few recipient representatives.	OMB (TBD if there is to be a grants.gov handoff also)
		8-22-04 Prototype admin Ts and Cs (and OMB guidance) approved by OMB.	
		8-20-04 Face sheet standards, national policy Ts and Cs, and admin Ts and Cs are being developed.	
2. <i>OMB Policy on Certifications and Assurances</i>	10-5-2005 (Estimated)	On hold pending the completion of Terms and Conditions per OMB GC.	OMB

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<b>Goal:</b> To reduce unnecessary burdens on applicants for, and recipients of, Federal grants.			
Product	Grants Executive Board Review	Status	Final Handoff
<i>Legislative Proposal on Lobbying Certifications</i>	10-5-2005 (Estimated)	Proposal still on hold (at OMB).	OMB/Congress

**P. L. 106 - 107 Workgroups and Products—FY04 through FY07**

<b>Workgroup:</b> Pre-award			
<b>Chairpersons:</b> Mark Herbst Elizabeth Phillips		<b>Agencies:</b> DoD OMB	
<b>Goal:</b> To reduce unnecessary burdens on applicants for, and recipients of, Federal grants.			
Product	Grants Executive Board Review	Status	Final Handoff
<i>Other Pre-award Portions of OMB Guidance for 2 CFR</i>	10-4-2006 (Estimated)	5-20-04 Schedule dependant on adoption of 2 CFR, subchapter C—Not started.	OMB/OFFM

<b>Workgroup:</b> Pre-award			
<b>Chairpersons:</b> Mark Herbst Elizabeth Phillips		<b>Agencies:</b> DoD OMB	
<b>Goal:</b> To reduce unnecessary burdens on applicants for, and recipients of, Federal grants.			
Product	Grants Executive Board Review	Status	Final Handoff
<i>Announcement Format Phase 2 (Revised Funding Opportunity Announcement standard template)</i>	2-28-2007 (Estimated)	6-23-03 Phase 1 published in Federal Register. <hr/> <hr/> 5-21-04 Schedule must be coordinated with— <i>Other Pre-award Portions of OMB Guidance for 2 CFR</i> —Not started.	OMB

**P. L. 106 - 107 Workgroups and Products—FY04 through FY07**

<b>Workgroup:</b> Mandatory Grants			
<b>Chairpersons:</b> Chris Lipsey Tyson Whitney Elizabeth Phillips		<b>Agencies:</b> USDA USDA OMB	
<b>Goal:</b> To reduce unnecessary burdens on applicants for, and recipients of, Federal Mandatory grants.			
Product	Executive Board Review	Status	Final Handoff
<i>Mandatory Grants Application/Plan Cover Page(s)</i>	8-4-2004	9-30-2004 Mandatory Grants SF-424M cover page, which includes a supplemental form on page three of the document, the matrix of data elements associated with the cover page and the spreadsheet with the form analysis needed to develop the form at Grants.gov, sent to Grants.gov for comment and forms factory use then for Grants Executive Board approval on 10/6/2004.	Grants.gov/ OMB
		8-04-04 Mandatory Grants workgroup and Grants.gov agreed on a version 1 face sheet and also approved four optional forms. A subgroup will convene to work on instructions for the SF-424-M face sheet.	
		7-29-04 Mandatory application cover data elements submitted to the Grants.gov PMO.	
		6-24-04 Finalized data elements for application cover. Data attribute worksheet and draft form in development.	
<i>Instructions to accompany Cover Page</i>	10-6-2004	9-30-2004 Instrtuctions sent to Grants.gov for comment and for Grants Executive Board approval.	Grants.gov
		9-22-04 <ul style="list-style-type: none"> <li>• Full group reviewing document</li> <li>• Burden estimates need to be made; need agency to sponsor this data collection.</li> </ul>	
		9-15-04 Cover Page Subgroup met to create instructions for SF-424M and develop Policy Letter to publish in FR.	

**P. L. 106 - 107 Workgroups and Products—FY04 through FY07**

<b>Workgroup:</b> Mandatory Grants			
<b>Chairpersons:</b> Chris Lipsey Tyson Whitney Elizabeth Phillips		<b>Agencies:</b> USDA USDA OMB	
<b>Goal:</b> To reduce unnecessary burdens on applicants for, and recipients of, Federal Mandatory grants.			
Product	Executive Board Review	Status	Final Handoff
<i>Mandatory Grants Policy</i>		9-22-04 Policy Letter currently under work group review.	OMB
		7-21-04 Currently under development.	



**P. L. 106 - 107 Workgroups and Products—FY04 through FY07**

<b>Workgroup:</b> Post-award <b>Subgroup:</b> Invention Report			
<b>Chairpersons:</b> Trudy Wood Elizabeth Phillips		<b>Agencies:</b> DOE OMB	
<b>Goal:</b> To streamline and simplify Federal grant reporting requirements and procedures and associated business processes to reduce unnecessary burden on recipients and to improve the timeliness, completeness, and quality of the information collected.			
Product	Executive Board Review	Status	Final Handoff
<i>Unified Invention Report</i>	Grants Management Committee Approval received July, 2003	<u>Awaiting OMB clearance.</u> <hr/> 8-20-2003 Final recommendation provided to OMB (Data Elements only). Implementation Policy Guidance to be developed.	OMB

<b>Workgroup:</b> Post-award <b>Subgroup:</b> Federal Financial Report (FFR)			
<b>Chairpersons:</b> Joanne Suttington Elizabeth Phillips		<b>Agencies:</b> DOJ OMB	
<b>Goal:</b> To streamline and simplify Federal grant reporting requirements and procedures and associated business processes to reduce unnecessary burden on recipients and to improve the timeliness, completeness, and quality of the information collected.			
Product	Executive Board Review	Status	Final Handoff
<i>Unified Federal Financial Report (Combines SF-269 and SF-272 Data and Forms)</i>	10-6-2004 (Estimated)	9-1-04 Meeting held to revise information in OMB Circulars A-102 and A-110 regarding financial reports. The language was modified to be consistent with the FFR. <hr/> 8-24-04 Policy being developed. <hr/> 7-21-04 On hold, waiting for related policy revisions.	OMB

**P. L. 106 - 107 Workgroups and Products—FY04 through FY07**

<b>Workgroup:</b> Post-award <b>Subgroup:</b> Real Property Report (RPR)			
<b>Chairpersons:</b> Eric Gauff Elizabeth Phillips		<b>Agencies:</b> HUD OMB	
<b>Goal:</b> To streamline and simplify Federal grant reporting requirements and procedures and associated business processes to reduce unnecessary burden on recipients and to improve the timeliness, completeness, and quality of the information collected.			
Product	Executive Board Review	Status	Final Handoff
<i>Unified Real Property Report</i>	10-6-2004 (Estimated)	9-15-04 Policy and Federal Register preamble developed. Draft documents have been sent to Workgroup to review and provide comments by 9/21/04. ----- 8-24-04 Policy being developed. ----- 7-21-04 Data elements and RPR Form in final review by workgroup.	OMB

<b>Workgroup:</b> Post-award <b>Subgroup:</b> Personal Property Report (TPR)			
<b>Chairpersons:</b> Michael Kelly Elizabeth Phillips		<b>Agencies:</b> ONR OMB	
<b>Goal:</b> To streamline and simplify Federal grant reporting requirements and procedures and associated business processes to reduce unnecessary burden on recipients and to improve the timeliness, completeness, and quality of the information collected.			
Product	Executive Board Review	Status	Final Handoff
<i>Unified Personal Property Report</i>	10-6-2004 (Estimated)	9-15-04 Policy and Federal Register preamble developed. Draft documents have been sent to Workgroup to review. ----- 8-24-04 Policy being developed. ----- 7/21/04 Data elements under review by workgroup.	OMB

**P. L. 106 - 107 Workgroups and Products—FY04 through FY07**

<b>Workgroup:</b> Post-award <b>Subgroup:</b> Performance/Progress Report (PPR)			
<b>Chairpersons:</b> Sandra Manning Elizabeth Phillips		<b>Agencies:</b> CDC OMB	
<b>Goal:</b> To streamline and simplify Federal grant reporting requirements and procedures and associated business processes to reduce unnecessary burden on recipients and to improve the timeliness, completeness, and quality of the information collected.			
Product	Executive Board Review	Status	Final Handoff
<i>Unified Performance Progress Report (Non-Research)</i>	9-1-2004	9-30-04 Received 16 comments on the PPR products from 14 of 26 agencies. Comments are being categorized and placed in a matrix for analysis by the workgroup.	OMB
		9-1-04 PPR sent to the Grants Executive board for approval. Board suggested that it should go out for formal agency comment. PPR is awaiting formal agency comment.	
		8-24-04 Product prepared for clearance process.	
		7/21/04 PPR Instruction being revised. PPR form and data elements completed.	
		6-21-04 Agency comments received, consolidated, and analyzed.	

<b>Workgroup:</b> Audit <b>Subgroup:</b> Compliance			
<b>Chairpersons:</b> Tawana Webb Gil Tran		<b>Agencies:</b> OMB OMB	
<b>Goal:</b> To ensure that audits provide useful and reliable information to Federal agencies, pass-through entities, and that recipient audits are in compliance with Federal audit requirements.			
Product	Executive Board Review	Status	Final Handoff
<i>Revision to 2005 OMB Circular A-133 Compliance Supplement</i>	Not Required	6-16-2004 Kick-off of the 2005 Circular A-133 Compliance Supplement revision process.	OMB