ARRA: New Model for Government-wide Reporting
The Era of Accountability and Transparency

Recovery Accountability and Transparency Board

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November 16, 2011

Overview

- The Reporting Paradigm Shift

- The Tools of Transparency and Accountability

- ARRA/Recovery Concepts

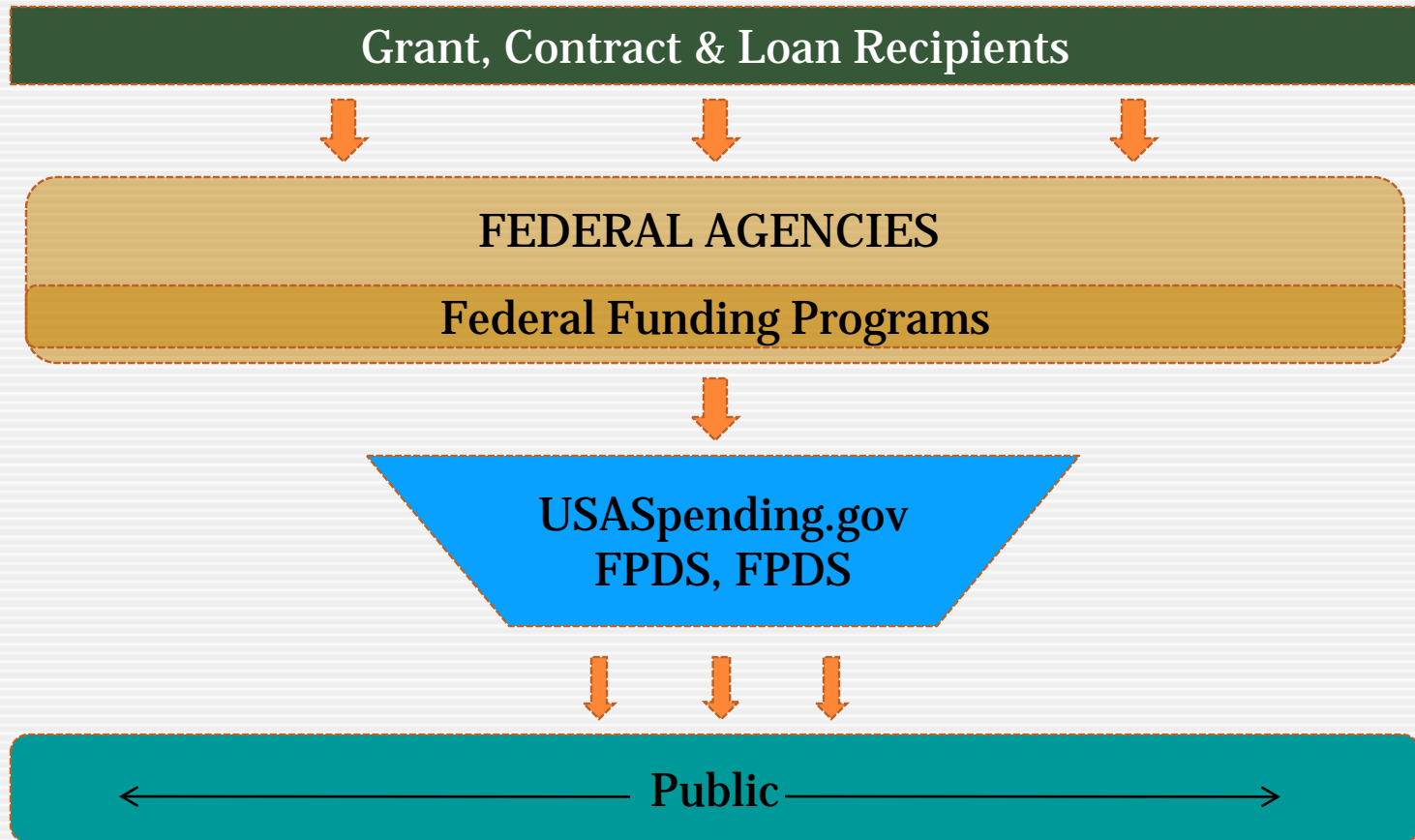- Recovery Operations Center

- Recovery Innovations

- Future…..

Recovery Act Established--2009

The Paradigm Shift: Reporting for Transparency, Compliance and Accountability
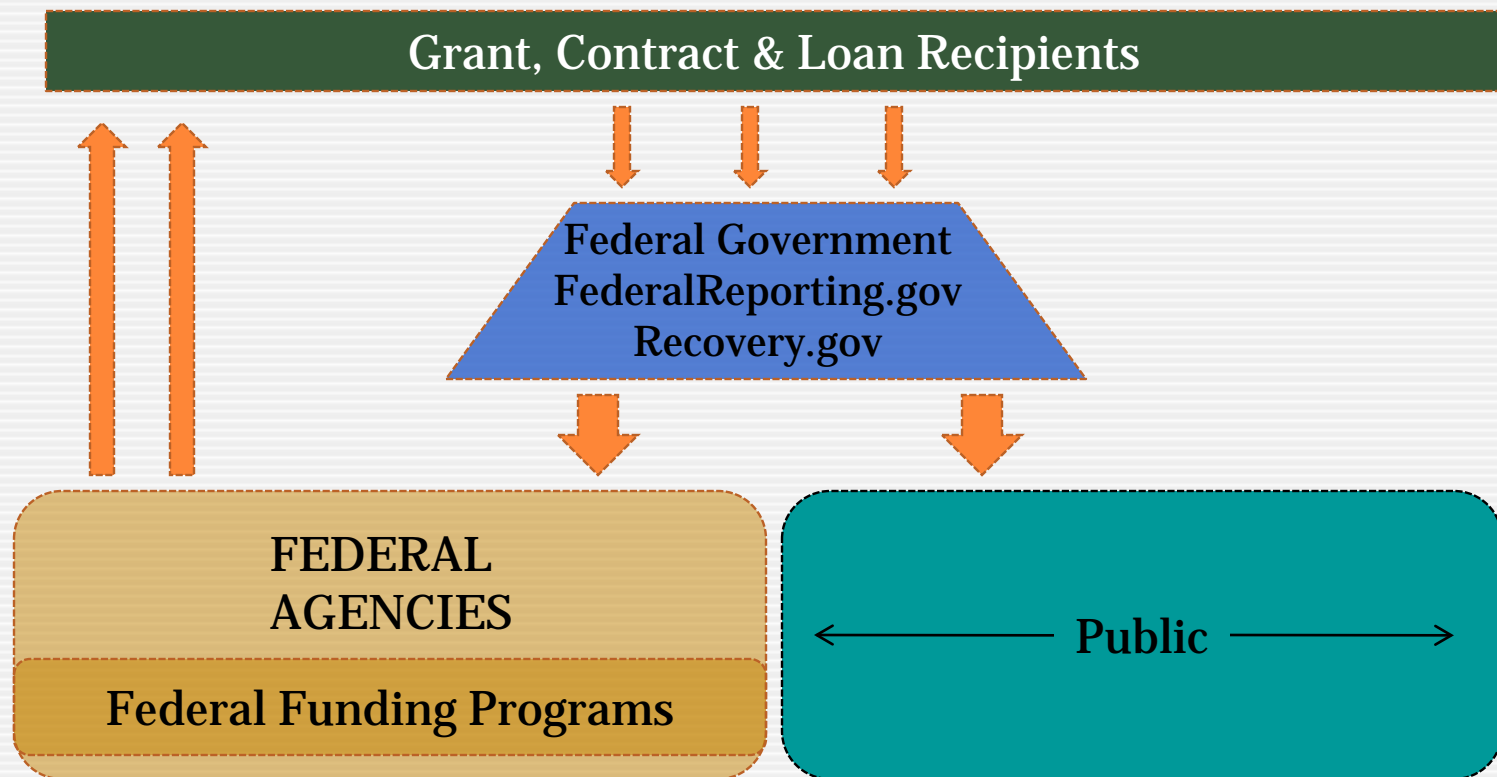
Federal Reporting Status Quo

Grant, Contract & Loan Recipients

⬇ ⬇ ⬇

FEDERAL AGENCIES

Federal Funding Programs

⬇

USASpending.gov
FPDS, FPDS

⬇ ⬇ ⬇

⟵ Public ⟶

The Reporting Paradigm Shift

Grant, Contract & Loan Recipients

Federal Government
FederalReporting.gov
Recovery.gov

FEDERAL AGENCIES

Federal Funding Programs

← Public →

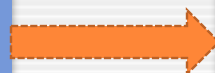# System Architecture for ARRA to Support Accountability and Transparency

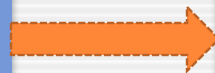## FederalReporting.gov
Recipient In-Bound Reporting

Database

- Recipient Registration
- Recipient Reporting
- Recipient Corrections
- Agency Validation
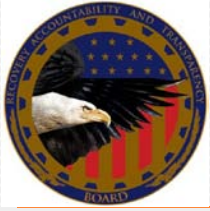- Reporting Activities Recorded for Audit Trail

Data Replication

Recovery.gov
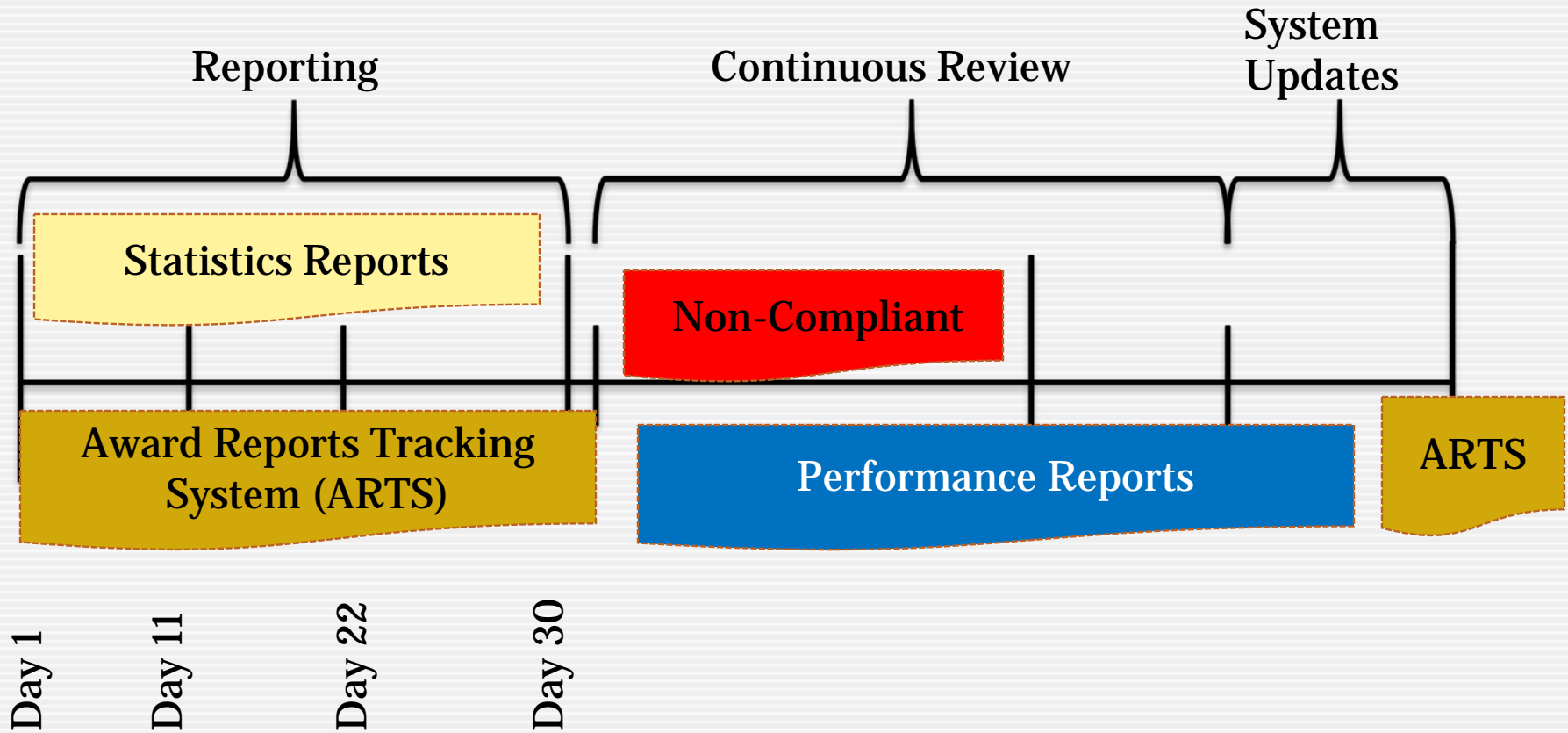### Public Out-Bound Reporting

Database

- Public Web Portal
- Data Storage
- Data Visualization/Presentation
- Content Management
- Pre-Complied Reports
- Download of Raw Data

Timeline of a Reporting Quarter

Reporting

Continuous Review

System Updates

Statistics Reports

Non-Compliant

Award Reports Tracking System (ARTS)

Performance Reports

ARTS

Day 1

Day 11

Day 22

Day 30

FederalReporting.gov Provides

- Daily extracts of recipient data for agencies
- State extracts
- Ability for bulk reporting from recipient

ARRA Reporting Tracking System (ARTS):

- Designed to identify when recipients report or not--based on initial submission
- Tracks until reports are marked "final and complete"

Review and Changing Data

- Review and comment period during reporting
- Continuous review between reporting periods—change data
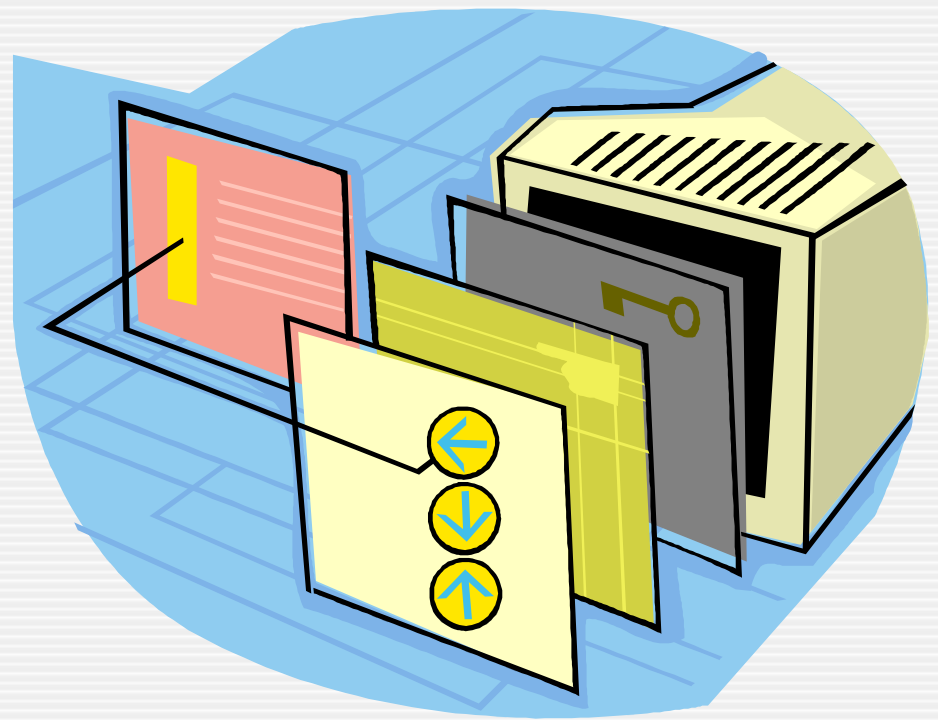- Automated Data Change request tool

Automated Report Tracking System (ARTS)

| award_key	oct2009primes	OCT2009_Final	jan2010primes	jan2010_Final	apr2010primes	apr2010_Final	jul2010primes	jul2010_Final	oct2010primes	OCT2010_Final
5	YES	N	YES	N	YES	N	YES	N	YES	N
6	YES	N	YES	N	YES	N	YES	N	YES	N
7	YES	N	YES	N						
8	YES	N	YES	N	YES	N	YES	N	YES	N
9	YES	N	YES	N	YES	N	YES	N	YES	N
13	YES	N	YES	N	YES	N	YES	N	YES	N
14	YES	N	YES	N						
20	YES	N								
21	YES	N	YES	N	YES	N	YES	N	YES	Y
104	YES	N	YES	N	YES	N	YES	N	YES	N
105	YES	N	YES	Y						
106	YES	N	YES	N						
107	YES	N	YES	N	YES	N	YES	N	YES	Y
85540			YES	N	YES	N	YES	N	YES	N
85541			YES	N	YES	N	YES	Y		
85542			YES	N	YES	N	YES	N	YES	N
85543			YES	N	YES	N				
85544			YES	N	YES	N	YES	N	YES	N
85545			YES	N	YES	N	YES	N	YES	Y
85546			YES	N	YES	N	YES	N	YES	N
85547			YES	Y	YES	N	YES	N	YES	Y
85549			YES	N	YES	N	YES	N	YES	N

Data Change Process

- Identify errors
- Submit change request through ADC tool
- View requests
- Evaluate requests
- Process requests
- Receive notifications
- Track requests
- Publish requests

Automated Data Change (ADC) Tool
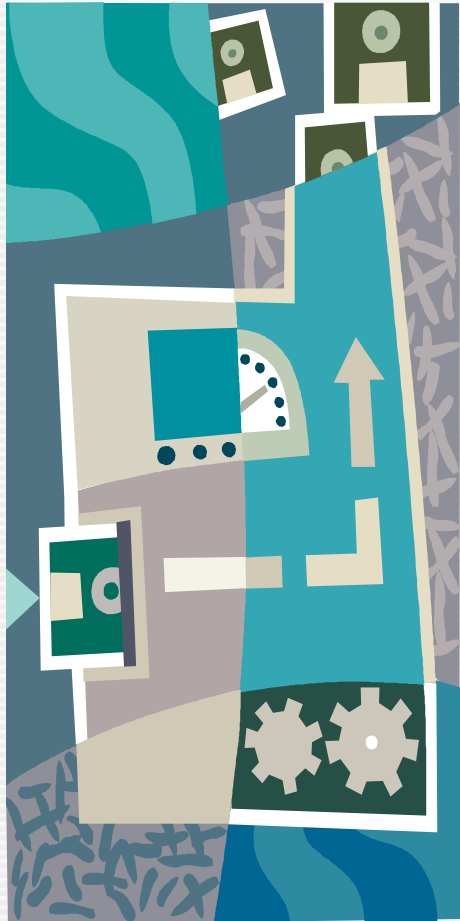
- Provides access through FederalReporting.gov

- Allows request changes only on existing reports

- Provides feedback, approvals, and denials directly to requestor

- Tracks requests throughout the process trail

- Generates notifications at key milestones

What Changes Can Be Requested?

- Deactivate

- Link Reports

- Mark as 'Final'

- Other

  - Changes to any other data fields can be requested, except…
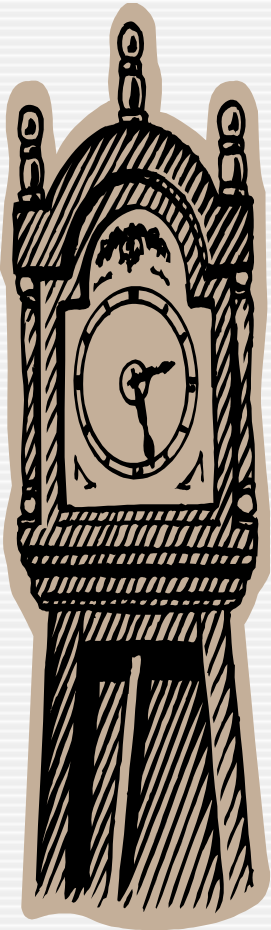
  - Job Numbers → cannot be changed

Why Make Data Changes

- Change records that your recipient will no longer address

- Change data to reflect correct awarding agency, Treasury Symbol, CFDA because report is final and project is complete

- Deactivate non-ARRA reports

- Eliminate duplications
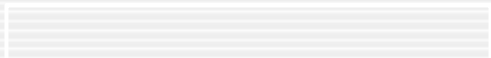
When to Make Changes

- ADC should not be used to make changes that can be made in the current quarter (e.g., updates to the award amount).

- Recipients and agencies should concentrate on the current quarter reporting.

- Changes should be to past quarter records.

- ADC was deployed on April 2011

Recovery.gov

o Recovery.gov is Transparent and Accountable
- o Identifies reporters and non-compliers
- o Identifies funded projects
- o Uses maps to identify location of projects
- o Downloadable data for use—updated on a regular basis
- o Searchable information
- o Recipient Profile—New Feature

NAVIGATING TO RECIPIENT PROFILE SEARCH FROM RECOVERY.GOV

Step 1: Where Is The Money Going?

•**Hover over or click on: "Where Is The Money Going?"**

•**Select:
Recipient Reported Data**

Step 2: Recipient Reported Data

RECIPIENT REPORTED DATA

All data in the Recipient Reported Data section comes from the recipients of federal contract, grant, and loan awards (entitlements and tax benefits paid under Recovery are not included). In this section, you will see the cumulative data for February 17, 2009 -- September 21, 2011.

The job data reported by recipients is for Quarter 2, 2011 (April 1, 2011 -- June 30, 2011) only.

Projects Map – Recipient data geocoded to the project's place of performance.

Recipient Profile Summary – See all the information about each recipient, including number of awards, amount awarded, and relationships to other recipients.

Quarterly Summary – Funds awarded and received, number of jobs, and completion status of projects by quarter.

State/Territory Summaries – Recipient information by state, including total funds received, jobs, top zip codes, and more.

Jobs Summary – Top agencies, programs, and contracts that funded jobs

State/Territory Totals by Award Type – State-by-state breakdowns by federal contract, grant, and loan awards

State/Territory Totals by Agency – The breakdown of the number and amounts of awards and the jobs funded by each federal agency.

Late Reporters – Information on how many recipients reported after the close of reporting.

Changed Reports – Changes made to reports from the July 2011 reporting period.

See how jobs are calculated.

For information on recipients of Education Jobs Fund awards, visit educationjobsfund.gov.

Recipient Profile Summary

Direct Navigation to Recipient Profile Search

Recipient: American University

RECIPIENT PROFILE

New Search

AMERICAN UNIVERSITY

DUNS Number: 077795060
WASHINGTON, District of Columbia 20016
Congressional District: 98

$1,968,093   **3**
Total Funds Awarded   **Awards**
                    See All Awards

As Prime Recipient
Number of Awards   2
Total Funds Awarded $1,934,648

As Sub Recipient
Number of Awards   1
Total Funds Awarded $33,445

as of October 2011

Top Awards

Project Title	Award Amount
NSF Teaching Fellowship and Master Teaching Fellowship (TF/MTF) Awards Math for America Washington, DC Partnership	$1,498,042
Student Financial Assistance-FWS	$436,606
Influence of human gene variants on the effects of developmental MeHg	$33,445

All data is from the Recovery award recipient; sub-recipients are not required to report Job Numbers, Amount Received, or Completion Status. If you believe data is incorrect, please review your report on FederalReporting.gov ⊠. Changes can not be made through Recovery.gov.

Total Funds As Prime Recipient

Total Funds Awarded — $1,934,648
Total Funds Received — $1,124,106
Total Funds Expended — $1,126,376

0                    $2M
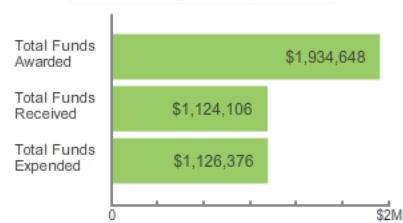
More Details about Total Funds

Estimated Jobs By Quarter

Jobs Funded: 5 (Q3/10), 0 (others)
Q2/10 Q3/10 Q4/10 Q1/11 Q2/11 Q3/11
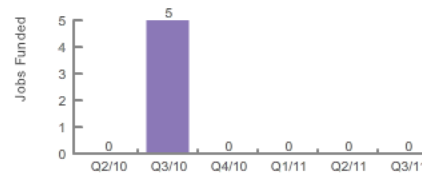
More Details about Estimated Jobs

Completion Status For Prime Awards

Awards: 1, 1

Are you a Recipient?
To make corrections to your Recipient Profile
Visit FederalReporting.gov

Relationships To Other Recipients

More Details about Relationships

Primes Vs. Sub Recipient Awards

1   **2**
as Sub-Recipient   as Prime Recipient
$33,445 $1,934,648
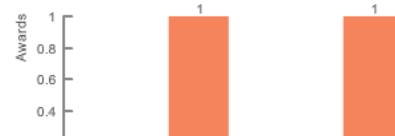
Awards Breakdown By Type

	Contracts	Grants	Loans
Number of Awards as **Prime Recipient**	0	2	0
Number of Awards as **Sub Recipient**	0	1	0

Note: Message to change data

Select in each graph More Details

Recipient Profile Search Screen

Text -A A +A   Google Translate 🗗   RSS Feeds 📶

REPORT FRAUD, WASTE & ABUSE

RECOVERY.GOV
TRACK THE MONEY

Recovery.gov is the U.S. government's official website that provides easy access to data
related to Recovery Act spending and allows for the reporting of potential fraud, waste, and abuse.

Connect With Us   f t ▶ •• Blog

🔍 Search   Go

Advanced Data Search

Looking For ?   HOME   ABOUT   ACCOUNTABILITY   WHERE IS THE MONEY GOING?   OPPORTUNITIES   NEWS   FAQS & RESOURCES   CONTACT US   SITE INDEX

Home > Where is The Money Going? > Recipient Reported Data > Recipient Profile Search

›› Overview of Funding

›› Recipient Reported Data

   Awards Map

   Recipient Profile

   Quarterly Summary

   State/Territory Summaries

   Jobs Summary

   State/Territory Totals by
   Award Type

   State/Territory Totals by
   Agency

   Late Reporters

   Changed Reports

›› Recovery Explorer

›› Maps

›› Agency Reported Data

›› Images of Recovery

RECIPIENT PROFILE SEARCH

Search by Recipient Name and State

[   ]

-- All States -- ▼   Go

Search by DUNS Number

[   ]   Go

USEFUL LINKS

›› State/Territory Summaries

›› Agency Reports

›› Advanced Search

Relationships of Recipient: American University

See Where the Money Is Going

>> Go to the Recipient Reported Data Map

RECIPIENT RELATIONSHIPS

AMERICAN UNIVERSITY
DUNS Number: 077795060
WASHINGTON, District of
Columbia 20016

Back to Recipient Summary

Are you a Recipient?
To make corrections to
your Recipient Profile

Visit FederalReporting.gov

The Recipient you searched for received awards from the Prime Recipients listed below.

1 PRIME RECIPIENT, TOTAL FUNDS AWARDED: $878,148

Recipient	Funds Awarded
UNIVERSITY OF WISCONSIN SYSTEM (627906399)	$878,148

The Sub-recipients below received awards from the Recipient you searched for.

1 SUB-RECIPIENT, TOTAL FUNDS AWARDED: $1,121,600

Recipient	Funds Awarded
CARNEGIE INSTITUTION OF WASHINGTON (072641707)	$1,121,600

Required Plug-ins

SHARE/PRINT

More Information as a Sub

SUB-AWARD TRANSACTIONS

Sub-Award 103405506 - AMERICAN UNIVERSITY

Sub-Award Amount	$33,445
Sub-Award Date	12/10/2009
Sub-Awards Disbursed	17224.09
Project Location – City	Washington
Project Location – State	DC
Project Location – Zip Code	200168001
Project Location – Congressional District	98
Sub-Recipient DUNS Number	077795060
Sub-Recipient Address	4400 MASSACHUSETTS AVE, NW
Sub-Recipient City	WASHINGTON
Sub-Recipient State	District of Columbia
Sub-Recipient Zip Code	200168001
Sub-Recipient Congressional District	98
Required To ReportTop 5 Highly Compensated Officials	No

ROC / Accountability Module Initial Risk Assessment

All recipients are put through a risk model using variables that are constantly being monitored for relevancy.

ROC Process Flow:

ROC Process Flow

External

Internal

Hotline

Intake Unit

Observations

No Action Taken

Referral

Analysis
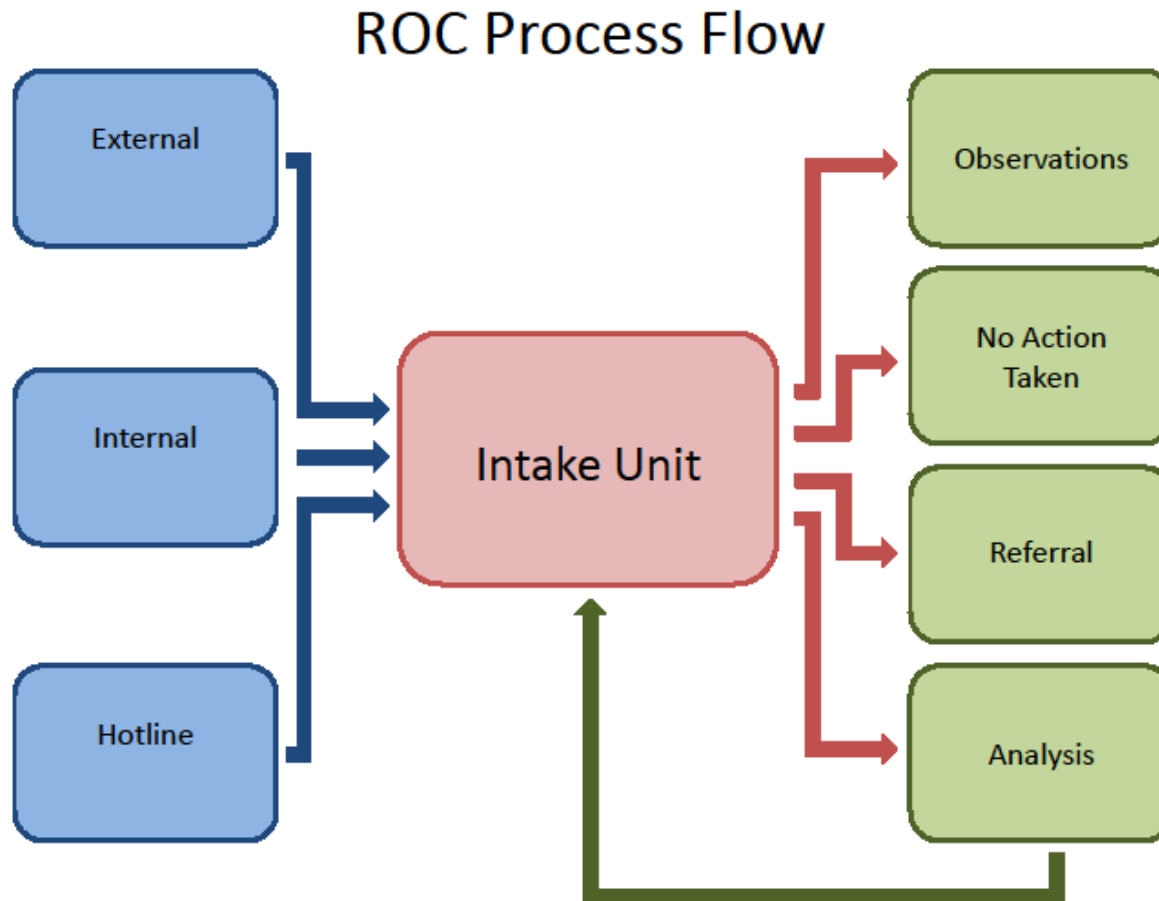
As of 2/2/11

Accountability

- Hotline
- ROC evaluations and referrals to IGs
- Non-compliers
- Special projects
- Proactive prevention efforts by Board, Agencies, and Inspectors General – identify and prevent fraud at an early stage – FastAlert (in development)

Key Processes in the ROC:

Three key processes:
- **Screening**
- **Analyses**
- **Predictive Modeling**

- **We incorporate an in-depth fraud analysis capability, utilizing the vast amount of public information about companies receiving Recovery funds in order to identify non-obvious relationships between legal entities.**

- **These relationships will unveil facts that may not have been transparent to government officials at the time of contract or grant award. These relationships may result in leads and observations for investigations and audits, identifying an added risk factor, or identifying excluded parties receiving Recovery funds.**
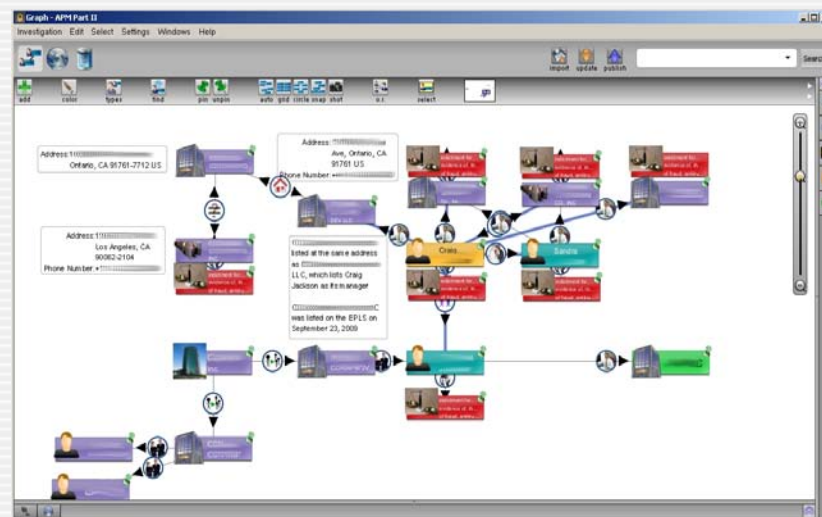
ROC Analytics: Sample Case

Subject Company 1 currently has a pending TCAP grant for millions.

Government Agency

Recovery Grant

The following companies are listed at the same residential address of Subject 1

Witness

According to a news article, Subject Company 2 and Subject 1 formed Subject Company 1 as a joint venture.

Subject Company 1

Subject 1

Company A   Company B   Company C   Company D

FEDERAL TAX LIEN: 11/4/2008

Subject Company 2

Company E   Company F   Company G   Company H

Company I   Company J   Company K   Company L

indictment or oth... evidence to sus... commission of a...

Subject 2

Subject 2

indictment or oth... evidence to sus... commission of a...

Subject 3

Subject 3   Subject 4   Subject 5

Four executives of Subject Company 2 were indicted for embezzling money from the company.

News articles

Datasets Currently Used by the ROC

1. **Regulatory Data Corp (RDC)-over 13 million risk relevant global public records**
2. **Recovery.gov recipient and agency reporting information**
3. ***RATB Fraud Hotline complaint information**
4. ***Recovery IG complaint information**
5. ***RATB internally-generated procurement issues and observations**
6. **Central Contractor Registration (CCR)**
7. **Excluded Parties List System (EPLS)**
8. **Health and Human Services (HHS) Excluded Entities List**
9. **Death Master File**
10. **IRS Auto-Revocation List (ARL)**
11. **Federal Procurement Data System (FPDS)**
12. **USASpending.gov**
13. **Federal Assistance Award Data System (FAADS)**
14. **Dun and Bradstreet (D&B) Data- over 192 million records**
15. Accurint/LexisNexis
16. Online Representations and Certifications Application (ORCA)
17. Public Access to Court Electronic Records (PACER)
18. *FinCEN
19. CLEAR
20. Small Business Administration – Dynamic Small Business Search
21. State Records
22. Social Networking sites – FaceBook & Linked-In

* Denotes Law Enforcement Sensitive Datasets

In the Works

➤FastAlert
➤Unstructured Text Search Tool
➤Legislation

FastAlert

High-Level Accountability Process Flow

Databases → Data Management → Data Mining → Analysis → FederalAccountability.gov

Data Management: Structured and unstructured data is consumed from numerous data sources and normalized (Via Data Management Teams and SAP HANA).

Data Mining: A variety of processes and automated discovery tools applied to data (examples include ESRI, Palantir, Risk Scorecard; SAP Business Objects, etc.). Data anomalies are then forwarded to Board analysts.

Analysis: Board analysts using tools (such as Endeca, ESRI, Palantir, SAP Recovery Explorer, SAS, etc.) generate alerts, observations, and leads that are either sent directly to the appropriate entity or accessed directly via FederalAccountability.gov.

Law Enforcement User

Non-Law Enforcement User

Unstructured Text Search Tool

➢**iConnex**

Contact Information
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ARRA:New Concepts for the Future

Moving into the Future

with

The Recovery Model

Universal Award ID Concept

o IG Paper on ARRA Data Quality—recommends use of standard award ID for ARRA awards to improve data quality
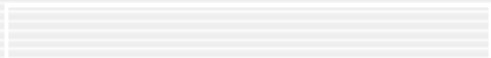
o Recovery Board white paper further outlines the need for a government-wide award ID that is:

- o standard in format
- o easily identified
- o applied to all funding awards
- o does not intrude on current agency systems/processes
- o may be generated from a central point

GATB Reviewing Universal Award ID Concept
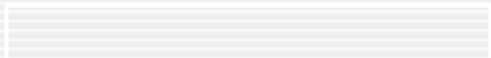
ARRA Completely Transparent
Close-Out

o **Developing a public close-out or reconciliation for ARRA Awards**

  o Publish when an award is "closed-out"

  o Allows the public to see the final reconciliation for the awards

o **Identifying "close-out"**

  o Reports marked "final and complete" from the recipient can identify the beginning of "close-out"

  o Include agency acceptance

o **Completes the life-cycle of an ARRA award**

ARRA Innovation for the Future

ARRA and Recovery Board the innovative model shows:

➢ Government-wide reporting can be done
➢ Basic standard data and central collection can reduce reporting burden
➢ Central reporting reduces timeframe for public and management receiving decision-making information
➢ Can make spending data available in useful formats for all stakeholders
➢ Innovative and flexible technology can be quickly implemented
➢ Areas for standardization (award IDs)
➢ Sub-recipients can report & with amount awarded
➢ Data quality techniques can be established government-wide
➢ Data review and correction tools available for stakeholders
➢ Public knowledge of Federal funding activities
➢ Technology supporting fraud, waste and abuse
➢ Developing risk and common due diligence capabilities (ROC)

ARRA: The Changed Reporting Paradigm

1. Proven that government-wide reporting can happen—high compliance rate—can continue
2. Government can provide a useable reporting tool that can be enhanced for recipients—can continue
3. Government can publish quality data that links expenditures to obligations for each award--can continue
4. Agencies have proven that report reviews can be timely—if given the proper tools—can continue
5. Categorized awards into functional areas from various agencies—similar programs to similar programs—can continue
6. Sub-recipients are reporting is important to understanding funding and performance of awards—can continue
7. Basic performance information can help manage awards, programs and departments' priorities—using the 99 data elements—can continue

The Future is Here

Recovery tackled:

      Newer technology for government to offer
      more support to stakeholders
      Simplified government-wide reporting requirements
      Timely reports to timely published information

Reality for the Future:

      Data Act more explicit
      Creation of GATB
      New Federal Assistance Reform Council

Needed for the Future:

      Universal Identification and Standardization

Questions/Comments

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