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Executive Summary
1.0 Executive Summary

1.1 Purpose and Background

The Department of State (Department) captures foreign assistance activity from budget planning and allocation through obligation and disbursement in multiple budget, financial, and program management systems. However, the Department does not fully utilize these systems to track or report on foreign assistance programs or funds at the level needed for recent transparency, congressional, or management purposes. The Foreign Assistance Data Review (FADR) working group was chartered September 2014 to understand and document these issues and recommend a path forward.

1.2 Methodology

FADR participants included representatives from the Office of the Deputy Secretary of State for Management and Resources (D-MR), Office of U.S. Foreign Assistance Resources (F), Office of the U.S. Global AIDS Coordinator (S/GAC), and Office of the Executive Secretariat (S/ES), as well as participants from Bureau of Administration (A), Bureau of Budget and Planning (BP), Bureau of the Comptroller and Global Financial Services (CGFS), Bureau of Information Resource Management (IRM), Bureau of East Asian and Pacific Affairs (EAP), Bureau of European and Eurasian Affairs (EUR), Bureau of Near Eastern Affairs (NEA), Bureau of Western Hemisphere Affairs (WHA), Bureau of Counterterrorism (CT), Bureau of Population, Refugees and Migration (PRM), Bureau of International Narcotics and Law Enforcement (INL), Bureau of Democracy, Human Rights, and Labor (DRL), and Bureau of International Security and Nonproliferation (ISN). The Office of Management Policy, Rightsizing and Innovation (M/PRI) coordinated the meetings and organized the research and analysis required. The group met approximately once per month between September 2014 and March 2015. Group members shared documents, mapped processes, and reviewed both central and local systems to identify ready-made solutions to common challenges.

1.3 Findings

FADR participants supported documentation of the current foreign assistance management process from budgeting through liquidation and reporting. The FADR working group identified gaps and challenges in tracking detailed information from budget to obligation to expenditure, understanding how bulk obligations are split, and responding to data calls for the status of appropriated funds (pipeline) and historic spending patterns. FADR was initially chartered to fulfill transparency needs for ForeignAssistance.gov; however, the group determined that it would be better prepared to meet current and future transparency mandates if it focused first on meeting internal requirements. Members of the group gathered information on systems integral to foreign assistance data tracking throughout the Department such as the Foreign Assistance and Coordination Tracking System (FACTS Info), Global Financial Management Systems (GFMS), State Asset Management System (SAMS), and the Integrated Logistics Management System.
(ILMS), as well as systems developed for one or more bureaus to use, such as PRM’s Population, Refugees, and Migration Enterprise System (PRiMES), or the NEA Assistance Coordination Performance Reporting System (ACPRS), originally developed to track Middle East Partnership Initiative data and recently expanded. By gaining a better understanding of local solutions and workarounds in place to meet these challenges, the group identified next steps and made recommendations to resolve the challenges at the enterprise level.

### 1.4 Recommendations

In Phase One of the Foreign Assistance Data Review, which took place between October 2014 and June 2015, the FADR working group identified three recommendations to help the Department improve its ability to track and report on foreign assistance activities. These recommendations will be implemented in three phases as outlined below. In Phase Two, FADR recommends establishing a standard business process for foreign assistance management, which will take place from January to March 2016. Phase Three, which will take place from March through June 2016, will involve identifying requirements to change existing systems and requirements for new systems. July to September 2016 will be spent initiating the implementation of system modifications recommended in the previous phases. After September 2016, ongoing work to complete Phase Four will be conducted as needed.

#### 1.4.1 Develop a standard foreign assistance management business process (Phase Two).

There is no standard process across the Department to manage foreign assistance funding. To improve our ability to gather and maintain foreign assistance information, we recommend developing a standard foreign assistance management business process (Phase Two of the FADR). Establishing and documenting a standard foreign assistance business model for use across the Department will involve further gathering of specific foreign assistance business process requirements for budget formulation, budget execution, monitoring and reporting.

This Phase will include a detailed review of all types of foreign assistance-related activity and transactions processed in the Department, identifying and documenting all business and data requirements, identifying sources for the identification and recording of all foreign assistance-
related data fields, and determining primary sources or owners of all data required in the business process. The business process should provide the capability for bureaus and posts to manage and track all foreign assistance projects across their full lifecycle, and allow for accurate reporting to internal and external sources.

The Department has already begun work to support Phase Two by gathering and incorporating data from previously untapped data sources, for example, activity-level programmatic data from bureau Operational Plans as well as results data. As part of Phase Two, the Department will continue to refine the integration of these data sources and will explore ways to identify other untapped data sources that can be incorporated into the standard business model.

Identifying standard foreign assistance business processes and developing standardized data sets that can be followed by all bureaus and posts will improve the quality and consistency of data collected. It will also eliminate the need for individualized and informal bureau systems and reduce inconsistent data.

FADR Phase Two is expected to take three to four months.

1.4.2 Identify changes to existing systems and new system requirements to meet this business process (Phase Three).

Budget formulation, financial, grant and procurement program systems within the Department each capture some of the data to meet today’s external reporting requirements; however, no system was designed to enable program officers to comprehensively track, manage, maintain, or report on foreign assistance activities. Department financial systems meet specific accounting needs, and individual bureau or office program systems meet the customized needs of a singular office but do not always enable interoperability or scaling.

Phase Three will identify foreign assistance system requirements to support the identified Phase Two business model. This will include reviewing bureau-specific program systems to determine “best in class” program system/s, and identifying the requirements for a consolidated foreign assistance reporting solution that supports all identified internal and external reporting requirements. Phase Three will also identify specific system enhancements for existing systems and any requirements for new systems.

By determining each system’s ability to support the standard foreign assistance business process and identifying gaps to be addressed, we will develop a costed management plan and timeline for the necessary system changes to supplement the business process improvement in managing foreign assistance.

Phase Three is expected to take six to seven months.
1.4.3 Develop an integrated system solution, including standards and governance, to meet all requirements of the foreign assistance business process (Phase Four).

When the business process is developed and system enhancements are identified in Phases Two and Three, the FADR working group will assess and analyze the potential impact to any systems or requirements for implementation. Once these requirements are identified, system owners will determine additional resources and/or priority changes required, if any. Bureau contacts will also review the recommended process to assess whether there are resource impacts to their staff, and they may conduct cost-benefit analyses in consultation with the Working Group of the compiled system and bureau resource impacts.

Phase Four will require close coordination across system owners to ensure the solution is developed correctly. This activity will include coordinated development and integrated testing of system enhancements and any new system requirements identified in Phase Three, pending cost-benefit analyses of the system and bureau processing impacts. System owners will identify potential new system requirements and/or priority changes based on the working group’s assessment and analysis. This phase will also include the application of standards and governance developed over the course of the FADR. Phase Four will provide a standard solution for bureaus and posts to manage and track all foreign assistance activities across their full lifecycle which will enable the Department to fulfill transparency reporting commitments, including IATI, and make more data-driven decisions.

1.4.4 Expected Impact

The Department anticipates the following phased outcomes and overall impacts from conducting the FADR effort.

- Manage foreign assistance activities at the level needed for recent Administration, Congressional and international requirements.
- Respond to demands for more and better data to manage activities, coordinate with others, make data-driven decisions, and meet transparency commitments.
- Institutionalize processes to improve quality, efficiency and reliability of foreign assistance information.
Detailed Report
2.0 Purpose and Background

2.1 Problem Statement

The Department of State does not have a standard foreign assistance business process to capture foreign assistance activity from budget planning and allocation through obligation and disbursement in the Department’s multiple budget, financial, and program management systems. In addition, the current Department systems were not designed to track or report on these foreign assistance programs or funds at the level demanded by internal and external stakeholders. Thus, the Department is unable to respond to these data demands with the depth of detail or timeliness required, and has difficulty aligning its public budget allocation data with its public obligation and disbursement data. This impacts the Department’s ability to manage activities, coordinate with others effectively, make data-driven decisions, report accurately to external audiences, and meet transparency commitments.

In an attempt to bridge this gap, the practice of issuing labor-intensive, manual data calls across bureaus and to the field became widespread and reached such a burden that a Department-wide process was established to limit the number of new data requests, so as to relieve offices from undue reporting burdens. Some bureaus have spent significant resources to create ad hoc systems in an attempt to satisfy data requirements. The Office of U.S. Foreign Assistance Resources (F) has initiated the public reporting of Department budget, obligation and disbursement data through www.ForeignAssistance.gov, but the website has experienced challenges in linking all of the budget, obligation, and disbursement data.

A standardized business process and system solution to this Department-wide problem of aligning budget and allocation data with obligation and disbursement data at the required level of detail needs to be developed.

2.2 Background on Foreign Assistance Data at the Department of State

Over the past decade, the Department of State has played an increasing role in managing foreign assistance funding and projects. The Administration, Congress, and outside advocates continue to demand more and better data. Additionally, the Department must adhere to various domestic and international reporting requirements and continue its commitment to transparency and open government. Requirements for data have expanded from OMB Bulletin No. 12-01 (“Guidance on Collection of U.S. Foreign Assistance Data”) through the International Aid Transparency Initiative (IATI). Work is now underway to identify requirements for the DATA Act. However, the Department does not have a central standard to accurately track, maintain, analyze, and report on foreign assistance information and keep pace with these increasingly detailed requirements. With this in mind, the need arose to review the current status of the Department’s foreign assistance business process and data requirements and identify system improvements that allow the Department to make better use of its foreign assistance information.
2.3 Purpose and History of the Foreign Assistance Data Review

The Office of Management Policy, Rightsizing, and Innovation (M/PRI) and the Application and Data Coordination Working Group (ADCWG) established the FADR in partnership with the Office of U.S. Foreign Assistance Resources (F), Deputy Secretary for Management and Resources (D-MR), Bureau of the Comptroller and Global Financial Services (CGFS), and Bureau of Information Resource Management (IRM), as well as functional and regional Bureaus and Offices, to clarify the needs of key stakeholders, to develop a concept of operations for a data environment that meets those needs, and to define business process and system requirements or changes as needed to achieve stated objectives within the Department.

The FADR is an effort to better understand and document the Department’s current foreign assistance data environment. As a result, FADR set the following goals:

- To review the current Foreign Assistance business processes and identify process improvements in how and where data is captured;
- To identify information gaps in Department reporting of foreign assistance data, to identify existing data sources and content (i.e., data entry fields), and to make recommendations that improve the quality of the content;
- To develop foreign assistance data reporting parameters and processes that can be institutionalized and replicated for internal management, and current and future reporting as required for ForeignAssistance.gov, IATI, and the DATA Act; and
- To make recommendations for changes to existing systems or for the development of new ones to address remaining foreign assistance data gaps.

Broader system-wide and specifically foreign assistance-related steps taken prior to and since convening the Foreign Assistance Data Review include the following:

- **May 2012**
  - The ADCWG is chartered and organized to facilitate data standardization process.

- **September 2013**
  - Standardized Countries and Areas (Regions) dataset is approved.

- **August 2014**
  - M/PRI coordinates meetings with F and A/IM regarding system integration with Ariba.

- **October 2014 – June 2015**
  - The Foreign Assistance Data Review convenes to review current practices and systems.

- **August 2013**
  - Standardized Posts and Post Types dataset is approved for use enterprise-wide.

- **May – September 2013**
  - M/PRI and F conduct inter-bureau staff swaps (detailees) to define tactical steps to address foreign assistance challenges.

- **September 2014**
  - F formally names a representative to the ACDWG. M/PRI and F draft an interagency charter to conduct a Foreign Assistance Data Review.

- **August 2015**
  - Concludes Phase 1.
2.4 Assumptions and Constraints

As the Foreign Assistance Data Review worked to understand and document current systems and processes, a few areas were highlighted as important background assumptions and constraints, identified below:

- The Department has multiple systems that bureaus use to process and access foreign assistance-related operating plan, budget, financial, grant and procurement information. Some of the information that the Department may wish, or be required, to track and report upon in a standardized manner is not currently processed or tracked in a way that makes the data easily retrievable.
- For managing foreign assistance, the Department’s systems are rather fragmented: at times, completing a single research task requires one individual to access multiple systems. Those individuals who must access these systems seek simpler approaches.
- A related constraint is the common and likely scenario in which no one person is an expert in all of the systems, and therefore there are knowledge gaps, often requiring multiple people to reconcile data between multiple systems.
- Streamlining and improving the business process used within the Department to track and report upon foreign assistance-related budget, finance, grant, procurement, and performance data could potentially address the individual workarounds that offices and bureaus have developed, thereby reducing and consolidating the number of existing systems and functions contained in those systems, over the long-term.
- Maximizing the effective use of current systems could require retraining existing staff. Such training will take time to develop and implement and require new resources to pursue. However, conducting analysis at this point to develop a standard business process using standard systems would be a long-term improvement.
- For the Department to make better data-driven decisions, more data will need to be made available broadly.
- The Digital Accountability and Transparency Act (DATA Act) has an ambitious timeline. The Department’s FADR activities will not take precedence over DATA Act requirements, and in fact will likely benefit from DATA Act implementations.
3.0 Current Process

3.1 Budgeting

Foreign assistance budgets are formulated in Foreign Assistance Coordination and Tracking System (FACTS Info) by account, sector, and Operating Unit. The budget formulation process for foreign assistance funds, from Mission Resource Request (MRR) to Bureau Resource Request (BRR) to OMB submission to Congressional Budget Justification, is conducted jointly between the Department and USAID.

Following the budget formulation process, during which the Planning and Performance System (PPS) is the system of record for MRRs and FACTS Info is the system of record for all subsequent stages of the budget process\(^1\), every Operating Unit receiving foreign assistance funds creates and submits for F approval an Operational Plan (OP) that provides detailed, implementing mechanism-level information regarding planned spending. The implementing mechanism information in the OPs can, but does not always, include benefitting country, award names, award descriptions, awardees, and award dates. To date, most OPs are not maintained as “living” documents, which means they are not updated after their initial approval to show fund reprogramming, procurement decisions, or other reallocations. While the OP can be considered a budget execution document, any information included in an OP must be understood to be deliberative, and cannot be construed to represent actual U.S. commitments or obligations to a country, vendor, or program. Additionally, not all foreign assistance funds are covered in an OP. The Office of the U.S. Global AIDS Coordinator outlines details on planned spending for PEPFAR funding through Country Operating Plans (COP) or Regional Operating Plans that are entered into a separate FACTS Info module not combined with the OP.

3.2 Appropriations

Congress enacts final appropriations or Continuing Resolutions for a fiscal year that may or may not equal the President’s budget request (also referred to as the Congressional Budget Justification). Most years, appropriation legislation is not passed and signed by the President until the fiscal year is well underway. Additionally, over the years the requirement for a report on the allocation of foreign assistance funds required in section 653(a) of the Foreign Assistance Act of 1961, as amended, has become more complex and lengthy, sometimes taking months to bring to closure. The process that has developed requires all foreign assistance country and program levels, by account, be submitted to Congress for review and approval before levels are considered final. However, this does not prevent funds from being made available for obligation. Continuing Resolution funds typically must be spent in the same way they were in the prior year, which may not completely align with the President’s budget request for the current fiscal year. Additionally, annual funding appropriation may also include restrictions on

\(^1\) In FY2018 and forward, FACTS Info will be the sole system of record for all stages.
the how the foreign assistance funds may be spent or institute additional notification or other pre-obligation requirements for specific countries or activities.

3.3 Congressional Notification

After appropriations have been passed into law, most foreign assistance funds require a Congressional Notification (CN), which is a detailed plan for the use of funds provided prior to obligation, unless previously justified in the Congressional Budget Justification. Congress is allowed a minimum of 15 days to review a CN. Congress may also place a hold on the obligation of funds notified in a CN, and resolving such holds can take a significant amount of time before final agreement from Congress is received. It is not unheard of to receive such permission as late as the final month of the fiscal year in which those funds expire.

3.4 Apportionment, Allotment, and Funds Distribution

After all required internal Departmental processes and Congressional requirements have been met, and funds have been apportioned by OMB to the Department, a bureau may submit an allotment of funds request to the Bureau of Budget and Planning (BP). If funds are available, BP will allot them, providing an advice of allotment memo to the bureau that either further allots the funds domestically for obligation or sub-allots them to an overseas post for obligation. An advice of allotment memo is used at each stage of the allotment process to track the purpose of the funds. The advice of allotment memo also provides the Budget Officer with the authorization needed to obligate the funds. Information included in the advice of allotment memo can be used to track financial reporting at the allotment, project or function level. It should be noted that some obligations made centrally/domestically are spent on behalf of programs, sectors and/or countries.

3.5 Obligation

An obligation commits the U.S. government to a certain action, usually payment of funds, in return for goods or services to the U.S. government. An obligation itself can be further defined as amounts of orders placed, contracts awarded, services rendered, and similar transactions during a given period requiring the expenditure of funds. Depending on the type of programs implemented, foreign assistance funds may be obligated either domestically or overseas in the form of Federal financial assistance, contracts, inter-agency agreements, letters of agreement, and other means. Programs are developed by regional bureaus, overseas posts, and functional bureaus. Obligation of the funds may occur at post, by the bureau on behalf of post, or through global or centrally managed units that are not post-specific. A bureau may create single obligations that benefit multiple posts, sectors or programs.

The term Obligation Document can refer to an instrument that evidences the obligation of funds or an amount established in GFMS to represent that legal liability. An Unliquidated (open) obligation or undelivered order are terms used to describe the amount of outstanding obligations; the value of goods/services ordered and obligated for which payment has not been made.
3.5.1 Federal Financial Assistance

Types of federal financial assistance include:

- **Grants** – principal purpose is the transfer of money, property, or services to accomplish a public purpose of support or stimulation authorized by federal statute when it is anticipated that there will be no substantial involvement between the agency and the recipient during performance.

- **Fixed Amount Awards** – also known as a Fixed Obligation Grant (FOG) is as an alternative assistance award for small grants issued primarily for overseas grants. It is a simplified award instrument with the terms and conditions incorporated. Individual Awards – a grant to an individual for travel, study or other similar purposes.

- **Cooperative Agreements** – analysis is in progress on a solution to integrate assistance instruments authorized by federal statute when it is anticipated that there will be substantial involvement between the agency and the recipient during performance.

- **Voluntary Contributions** – a voluntary contribution is discretionary financial assistance provided to foreign countries, Public International Organizations (PIOs), international societies, commissions, proceedings, or projects. Voluntary contributions are in the form of a letter or memorandum signed by a warranted Grants Officer.

Above the grant level, the Federal Program Information Act requires that Government-wide all Federal Assistance programs have an identification code that must be updated annually. These program codes provide information to the Catalog of Federal Domestic Assistance, which supplies a full listing of all Federal programs available to State and local governments (including the District of Columbia); federally-recognized Indian tribal governments; territories (and possessions) of the United States; domestic public, quasi-public, and private profit and nonprofit organizations and institutions; specialized groups; and individuals. Currently the Department has identified 70 separate programs from 38 offices within the Department. The Department is required to use these numbers when reporting agreement level data to USAspending.gov.

Domestic allotment grants issued by domestic bureaus are entered and tracked in SAMS (State Assistance Management System, the DOS instance of GrantSolutions). Financial data from each SAMS grant is interfaced as an obligation into GFMS, the Department’s system of record for all financial transactions. The Federal Award Identification Number (FAIN) and grant obligation number established in SAMS are loaded into GFMS.

Overseas allotment grants that are awarded by bureaus and posts are not tracked in a centralized program system; rather project level information is recorded in the official grant file maintained by the award’s Grants Officer at post. Financial data for each overseas grant is manually entered into RFMS by the post. Effective May 2015, the FAIN is required on federal financial assistance grant transactions entered into RFMS. Development is in progress on a real-time integration solution to process overseas grants into RFMS.

SAMS is also used as the electronic grant file, also known as DS-4012, which includes documentation for the entire lifecycle of the award.
The Grants Database Management System (GDMS) collects all grant information from bureaus/offices and posts that are required to be submitted to USAspending.gov. All non-grantsolution.gov awards’ program and financial data must be entered into GDMS within 5 days of award. GDMS reports all Department awards to USAspending.gov twice monthly. The GDMS information is reconciled against GFMS quarterly and error rates are reported to OMB, to ensure that accurate program and financial data is submitted to usaspending.gov.

3.5.2 Contracts

Domestic Contracts (or those that are processed by a domestic bureau):

A requestor enters the purchase request for procurement of goods or services into the Integrated Logistics Management System (ILMS)/Ariba, providing the details of the good or service being requested (e.g. units, rates, hours, items) and possibly the period of performance, if known. At the time of request, the vendor may not be known, and could be left unspecified. The purchase request is then sent to the budget officer who certifies funds are available and then enters the fiscal data on the purchase request, noting the appropriation that will fund the request (some bureaus have a more complex approval). When approved by the budget officer, a corresponding commitment is processed into GFMS through real-time integration so that funds are appropriately held in reserve to cover the request. Offices that do not have warrant authority for the procurement will send the purchase request to its AQM-assigned Contracting Officer, who then works through the solicitation process and any pre-award negotiations with the selected vendor. Once the contract has been awarded (i.e. it is signed and considered a legally binding obligation) then the Contract Officer approves the contract in ILMS/Ariba and an obligation is processed into GFMS through real-time integration, which closes the commitment, and obligates the funds. The obligation number for the contract is the contract award document number.

Overseas Contracts (or those processed by an embassy):

ILMS/Ariba replaced the paper procurement process at overseas missions with an automated web-based system that covers the entire procurement process from request, through solicitation, and award by the Contract Officer. However, Ariba and RFMS are not integrated for the commitment and obligation of funds at this time. Obligation documents must be recorded manually in RFMS. A/LM and CGFS have partnered to design and build a real-time integration capability between the ILMS/Ariba and RFMS. Pilot deployments are targeted to start in the fall of 2015, with full global deployment upon completion of the pilots.

3.5.3 Memoranda of Understanding

A Memorandum of Understanding (MOU) or Memorandum of Agreement (MOA) is an agreement between U.S. government agencies and is not an assistance instrument. According to 4 FAH-3 H-600, an MOU or MOA (in this context) is an Economy Act agreement representing a valid obligation number against the ordering agency’s appropriations under 31 USC Section 1535, which authorizes one agency to perform services or provide items to another agency either directly or by contract with a private party. Such a MOU/MOA is equivalent to an Interagency
Acquisition Agreement (IAA) and thus represents a contractual agreement between agencies for the acquisition of goods or services.

### 3.5.4 Inter-Agency Agreements

Sections 632(a) and 632(b) of the Foreign Assistance Act of 1961 are the authority for the Department to provide foreign assistance funds only to other U.S. agencies within certain parameters.

- **Section 632(a)** allows a non-expenditure transfer of funds to the implementing agency. The recipient Federal agency assumes program and financial responsibility and may use the requesting agency and/or its own authority in obligating the funds. However, neither an allocation nor a transfer using a 632(a) agreement constitutes an obligation of funds by the requesting agency. Instead, the funds must be obligated by the recipient agency, in accordance with applicable laws using an appropriate obligating mechanism (e.g., grant, cooperative agreement, etc.). A 632(a) transaction constitutes a legal augmentation of the recipient agency’s appropriation. The Department budgetary resources are reduced and the implementing agency resources are increased. Under a section 632(a) agreement, the Department does not record obligations and relies upon the implementing agency to track and report on the funding. However, the recipient agency may provide periodic financial reports to the requesting agency and may also report when funds are obligated.

- **A 632(b) transaction** is the authority to provide foreign assistance funds to utilize the services and facilities of any agency. The requesting agency acquires, on a reimbursable basis, the services or supplies of the servicing agency. Posts may not directly accept MOU/MOA or IAA transfers/agreement, reimbursement requests, or use other Federal agencies’ fiscal strips. The requesting agency must provide a written request to the proposed receiving bureau, office or post, which then decides whether to accept a funding transfer from the requesting agency. All obligations are recorded, tracked, and reported in the Department’s financial system.

### 3.5.5 Letters of Agreement

A Letter of Agreement (LOA) is equivalent to a bilateral/multilateral agreement. It is an agreement between the U.S. government and foreign government(s) under the terms of which a specific project is carried out. Such agreements reflect the commitments made by all parties to accomplish the project objectives. The LOA legally obligates executive agency funds to finance an activity and includes a summary of the total project and its expected results as agreed upon by the U.S. government and one or multiple foreign government(s). An LOA is an umbrella agreement between the U.S. government and one or multiple foreign government(s) to establish the framework of an agreement for a specific program purpose. Once the LOA is established, multiple grants (and, in many cases, contracts) are awarded to various organizations to fulfill the program purpose within the framework of the agreement.
In these cases, funds are bulk obligated through bilateral LOAs. LOAs are legally binding and are considered obligating documents. Bulk obligations are recorded in the accounting system, although bulk-obligated money must be sub-obligated before it can be spent.

3.5.6 Other costs

In addition to grants, contracts, inter-agency agreements, or letters of agreement, and where there is authority to do so, foreign assistance funds may be used for other costs including payroll, travel, and other costs.

3.5.6.1 Payroll
U.S. Government Direct Hires (USDH) are paid centrally. They may be paid from Foreign Assistance Funds if they are expressly dedicated to a Foreign Assistance program, or they may be paid from Diplomatic Engagement funds. If a diplomat is working on several programs, regardless of the source of funding, reflecting the portion of pay and benefits to attribute to a program is done on an ad hoc reporting basis. USDH overseas receive allowances, e.g., educational allowance for accompanied children, from fund sources at post. Some USDH are paid from multiple program funds reimbursed into the central salaries account. Systems involved with payroll are CAPPS and GEMS. The financial results of payroll are interfaced to GFMS. Locally employed staff (staff hired to work at an embassy from the local economy) are paid by funds provided to posts. Systems involved with locally employed staff payroll are FSNPay and GFACS. The financial results of locally employed staff payroll are interfaced to RFMS.

3.5.6.2 Travel and other costs
Travel, equipment and other costs expended on behalf of the USDH or Locally Employed Staff may be associated with foreign assistance programs. Where a diplomat – assigned domestically or overseas – travels on behalf of several programs, reporting the travel costs by program is ad hoc. Equipment provided to a program may have been purchased for general post use or purchased specifically with foreign assistance funds for a specific program. Systems involved with these costs are Global eTravel, Ariba, GFMS and RFMS.

3.6 Liquidation

Grants – in the case of most domestically obligated grants, most payments are initiated and tracked in HHS’s Payment Management System (PMS). These payments are interfaced daily from PMS to GFMS and then from GFMS to SAMS. Once a payment is approved and paid the liquidation transaction will interface with GFMS and reflect as an expenditure of funds against the award’s obligation. However, some domestic grants, and all post funded grants, are paid via the SF-270 form, and liquidations are recorded manually in GFMS and are interfaced to ILMS daily. Overseas grant payments are processed manually in RFMS.

Contracts – many domestically funded contracts are paid using a paper invoicing process, or via a Bureau Invoice Processing System (BIPS) that tracks invoices using an electronic invoice form. Contract payments can also be processed manually into GFMS.
**Inter-Agency Agreements** – under a section 632(a) Inter-agency agreement, the Department does not record obligations in GFMS and therefore relies upon the implementing agency to track and report on the expenditure of funds. However, for 632(b) inter-agency agreements reimbursements are processed through Treasury’s Intra-Governmental Payment and Collection (IPAC) system. Withdrawals and/or credits are processed via an SF-1080 form submitted by the agency requesting reimbursement. This request initiates a transfer of funds from the reimbursing agency’s appropriation to the requesting agency’s appropriation.

### 3.7 Reporting

There are many demands for foreign assistance data. Those demands include regular requests from Congress, from OMB, from stakeholders, from other agencies, and for internal management purposes.

To improve foreign assistance transparency and to streamline a number of the external data requests, [www.ForeignAssistance.gov](http://www.ForeignAssistance.gov) was established in December 2010 to collect and make available to the public standardized foreign assistance data from U.S. government agencies that manage or implement foreign assistance. The data fields sought by ForeignAssistance.gov cover all the necessary fields for the U.S. Overseas Loans and Grants (the Greenbook) report to Congress, the report to the Organization for Economic Co-operation and Development (OECD) Development Assistance Committee (OECD/DAC), the International Aid Transparency Initiative (IATI), and others. The Department, led by F, manages this website. OMB Bulletin 12-01 has established the process for reporting to the website and codified the numerous data fields required.

To facilitate the Department’s reporting to [www.ForeignAssistance.gov](http://www.ForeignAssistance.gov), F staff pulls financial reports from GFMS using all Treasury Account Symbols that are designated for foreign assistance funding. Once the report is generated, data from the GFMS fields is reformatted to align to the U.S. standardized format. This data crosswalk methodology was developed in collaboration with the system owners of GFMS. The reports from GFMS have allowed the Department to report summary obligation and liquidation amounts on [www.ForeignAssistance.gov](http://www.ForeignAssistance.gov). Most of the foreign assistance program data fields, including benefitting country, sector, and award description, sought by ForeignAssistance.gov are not available in GFMS. The Department’s financial systems were designed as accounting systems, not as foreign assistance program management systems. Additionally, some funding streams are appropriated for regional or sub-regional programs, making it a challenge to attribute funds to a particular benefitting country. As a result, the Department’s publicly available budget planning/allocation data is not currently aligned with its publicly available obligation and disbursement data. The Department’s domestic obligation and disbursement data, as well as selected OP data, is being made available on [www.ForeignAssistance.gov](http://www.ForeignAssistance.gov) at this point.

The aforementioned report does not capture the majority of embassy-related foreign assistance program data, which is recorded in greater detail in RFMS, the Department’s overseas accounting system. Although transactions recorded in RFMS, including obligations and expenditures, interface into GFMS, many key details are not carried forward into GFMS. The
financial reporting system for RFMS is COAST, and it serves a similar reporting function as GFMS.
4.0 Findings, Gaps, and Challenges

4.1 Overview

The FADR effort revolves around a rules-based framework for standardizing foreign assistance data (both program and financial), understanding the interactions between data fields, developing an enterprise service for sharing common data tables, and systematically standardizing data elements. Through the initial set of Department-wide meetings, this effort noted the following:

- The Department has inconsistent business processes for foreign assistance program management. However, the process for handling a data call is relatively similar across bureaus except in cases where the information is not related to grants and contracts; Foreign assistance data is largely stored in central systems, although bureaus have also created their own ad hoc systems for storing and/or analyzing missing data;
- A sizable portion of foreign assistance financial data can be found in the GFMS and the RFMS;
- A sizable portion of foreign assistance appropriation and budget allocation data can be found in the Central Resource Management System (CRMS);
- A sizable portion of foreign assistance program data can be found in the SAMS and the ILMS/Ariba;
- Foreign assistance budget formulation and program data can be found in the FACTS Info;
- There is a Department-wide challenge to maximize the effective use of existing systems for foreign assistance data capture and reporting since there is limited integration between systems. Maximized use would decrease or eliminate the workarounds that individual offices and bureaus have developed;
- Much of the overall data required to both manage and transparently report foreign assistance is available somewhere, but it can be hard to find and map to data in other systems. However, because the transactional information required by OMB Bulletin No. 12-01 is so much more detailed than the Department’s existing financial and program systems can handle, there are also still substantial data gaps; and
- Centrally/domestic funded activities are more complicated to report by country or sector.

Gaps and challenges exist throughout the foreign assistance information management processes: Many of these are specified above, but some are more thematic in nature and are described below.

4.2 ForeignAssistance.gov

The Department has not yet been able to provide complete data on foreign assistance activities via the ForeignAssistance.gov website, which it maintains on behalf of the Federal Government. Currently, GFMS and FACTS Info are the only Department sources being used to assemble Department reporting to ForeignAssistance.gov. While GFMS is a capable accounting system, it was not designed with the purpose of tracking foreign assistance data according to the current international transparency standards or demands. Furthermore, these data challenges are not
unique to the Department; they are experienced to some extent by all agencies using financial systems to produce data reports for transparency purposes.

Significant data gaps and challenges for ForeignAssistance.gov exist in using FACTS Info and GFMS as the sole source for information, including:

- Absence of program-related data fields such as benefitting country and sector classifications. This results in significant amounts of Department funding being reported as “Worldwide” programs that support “Multi-Sector - Unspecified” programs.
- Lack of definition and standards for text fields to provide meaningful foreign assistance-related qualitative data. For example, the Document Title field in GFMS is optionally used by the bureaus to provide unedited information about the financial transaction. While the field includes values that are useful for the financial aspects of the bureau, there is little to no activity information entered into this field. Therefore, this field cannot be used in researching the qualitative characteristics of the transaction.
- Personally Identifiable Information (PII) such as State employee names appear frequently in systems of interest, especially in GFMS. This information must be removed before data is released publicly, which currently requires manual data review.

In addition, much of this data is also made available through USASpending.gov. Optimally, this data should be consistent and come from the same sources through the same processes.

4.3 Budget to Obligation to Expenditure

Some of the detailed information that is attached to budget planning and allocation levels (such as benefitting country information and sectoral breakdowns) currently does not carry forward into the obligation and disbursement processes, due to the limitations noted earlier in this report. However, during the obligation and disbursement stage additional details are added that did not yet exist during the budget planning and allocation phases (e.g., vendor and other award-specific information). Analysts and program officers are then challenged to connect the dots between budget “apples” and obligation/disbursement “oranges.” The detailed information that is attached to budget planning and allocation levels is not well retained once those funds are obligated and disbursed.

Further, linking a project or program to obligation and expenditure requires a high level of subject matter expertise, including experience with multiple systems and the reports available within those systems, to locate and comprehend the obligation and expenditure data available. Additionally, tying obligation and expenditure information to a specific project often requires the reformulation of data to meet external formatting requirements. Most users have access to financial data relevant to only their office or bureau. Obtaining obligation and expenditure information for a specific country or initiative often requires a data call to the field, including other offices, bureaus, and/or agencies. The collating of this obligation and expenditure data, across multiple foreign assistance accounts and projects, is largely a manual process. Additionally, data calls to the field require assistance from several sections at post to tie specific
projects to their respective obligations based on the data pulled by the financial section out of COAST, the reporting system for RFMS.

4.4 Bulk Obligations

Understanding how bulk obligations are split, and therefore to which countries and sectors funding is applied, is limited to mostly manual records that are maintained locally. While bulk obligations can be itemized into sub-obligations, there is a risk of double-counting money depending on how the sub-obligations are recorded. Capturing LOAs in the same data set can lead to duplication because the funds are also captured when obligated and when the grant or contract is recorded. Additionally, when funds are sub-obligated, nothing forces the system to automatically reduce the bulk obligation by the same amount.

4.5 Pipeline Reviews and Requests that Pre-Date Existing Systems

Both spending anticipation and historic requests are difficult to track in systems that primarily reflect the immediate present.

Pipeline reviews (reviews of expenditures of previously obligated activities), or requests for financial information in anticipation of expenditure, require complicated accounting and careful cross-tabulation, and these are also conducted through a primarily manual process. It can be exceedingly challenging for analysts to readily tie allocated funds to their status through a system generated report. Therefore many bureaus track pipeline through offline bureau-specific records and via data calls.

When requests are made to analyze information that pre-dates systems that currently exist, personnel must typically review local records and spreadsheets, though sometimes records are retrievable via centralized systems. To respond to requests for cumulative U.S. government assistance budget totals, bureaus must blend their older historical data with more recent data available in current systems and/or other sources. Access to historical budget planning/allocation, obligation, and expenditure data can be limited to that stored locally by posts or bureaus, and typically is maintained in Excel spreadsheets or Access databases.

4.6 For Further Consideration

4.6.1 Bureau Systems

While FADR recognizes the difficulty of maintaining a very detailed view of the funds through the budget formulation, 653(a), OMB apportionment, allotment, and obligation/liquidation processes, some workarounds to solving the foreign assistance data transparency problem already exist. Some bureaus have solved the problem with ad hoc internal processes. While these bureaus’ approaches have not yet been adopted as part of a coordinated, Department-wide policy, they are worthy of consideration as the Department moves forward to develop a standard business process.
4.6.2 ForeignAssistance.gov Standards

The interagency has worked to develop a list of data fields that meet many different reporting requirements. These data fields have been codified in OMB Bulletin 12-01 and include code lists and a standardized format in Excel or XML (preferable), primarily drawn from IATI, to standardize data elements.

4.6.3 IATI Standard

The goal of IATI is to provide information on international development and humanitarian spending to the public in an easy to access, use and understand format, in part by providing a common standard by which that spending is reported. The U.S. has been a signatory to IATI since 2011, and IATI data standard requirements will soon be met by OMB Bulletin 12-01. ForeignAssistance.gov is the U.S. mechanism for reporting to IATI.

4.6.4 Master Reference Data

M/PRI maintains Master Reference Data (MRD) lists which have been mandated for use by all Department systems. Some of the fields required by OMB Bulletin 12-01 are already available in the MRD (Country, most importantly), but Sector, Agency, and Vendor reference data sets have not yet been adopted.

4.6.5 Project Codes

The development and disciplined use of project codes in GFMS that include embedded values for benefitting country (or region) and sector, as well as other areas, may assist in tracking and reporting foreign assistance funds. One bureau has had some success in this regard, establishing a link between their letter of agreement, interagency agreement, and grant transactions to their respective benefitting country and sector data. The major drawback with this approach, however, is that the payroll system does not currently support project codes. Therefore, HR costs cannot be tracked by project code, and a major cost center may be left out of the calculation. Refining the use of project codes also impacts bureaus that are using project codes for other financial purposes.
5.0 Recommendations

5.1 Scope of Recommendations

Although the scope of this effort is necessarily broad, some areas are clearly outside the scope, such as changing legislative or regulatory requirements and the budget process for foreign assistance prior to the allocation phase.

Foreign assistance activities are primarily funded through foreign assistance accounts, though some are also funded in Diplomatic Engagement accounts. Therefore, the scope cannot be limited to one account group or another, but is related to foreign assistance activities in any account.

Areas that should be considered within the scope of this effort include:

- Reviewing and documenting all foreign assistance-related project/program requirements (program identification through reporting) so a standard business process can be followed by all bureaus and posts;
- Identifying data requirements and their standard characteristics for each stage of the foreign assistance management process;
- Identifying primary and secondary sources/owners of foreign assistance data for each stage of the business process;
- Reviewing all foreign assistance-related system capabilities to support the standard business process;
- Reviewing existing fiscal strip attributes (tags to financial accounting codes) for opportunities to include foreign assistance-related program data, such as sector or benefitting country;
- Reviewing bureau-specific foreign assistance management systems to determine their ability to meet requirements across all bureaus;
- Identifying business process requirements able to be met with existing systems and any system change requests to improve capabilities to support the business process;
- Identifying business process requirements not able to be met with existing systems and determining system options to meet these requirements;
- Scheduling, designing, developing, funding, testing (internal development team testing and integration testing across systems), and implementation of system changes; and
- Ensuring consistency in the foreign assistance data provided to all internal and external sources. This includes ensuring consistency with broader requirements for spending data, such as USASpending.gov and the DATA Act.
5.2 Timeline for Implementation

In Phase One of the Foreign Assistance Data Review, which took place between October 2014 and June 2015, the FADR working group identified three recommendations to help the Department improve its ability to track and report on foreign assistance activities. These recommendations will be implemented in three phases as outlined below. In Phase Two, FADR recommends establishing a standard business process for foreign assistance management, which will take place from January to March 2016. Phase Three, which will take place from March through June 2016, will involve identifying requirements to change existing systems and requirements for new systems. July to September 2016 will be spent initiating the implementation of system modifications recommended in the previous phases. After September 2016, ongoing work to complete Phase Four will be conducted as needed.

5.3 Establish a Single Foreign Assistance Business Process (FADR Phase Two)

There is no standard process across the Department to manage foreign assistance funding. To improve our ability to gather and maintain foreign assistance information, we recommend a standard business process for foreign assistance management be developed. This effort will include a detailed review of all types of foreign assistance-related activity and transactions processed in the Department, identifying and documenting all business and data requirements, identifying sources for the identification and recording of all foreign assistance-related data fields, and determining primary sources or owners of all data required in the business process. M/PRI, D-MR, and F, in collaboration with the data users and system owners, will facilitate this effort. Each data type may require a separate set of actors, but CGFS and A will be key stakeholders. The business process should provide the capability for bureaus and posts to manage and track all foreign assistance projects across their full lifecycle, and allow for accurate reporting to internal and external sources.

FADR has identified some data requirements, though this list is not prioritized or exhaustive: benefitting countries and regions, sectors, benefitting population, precise geographic locations, vendor, and others. Additional data requirements may be identified as the data users are consulted.
Within this effort, various data sets should be standardized for inclusion in existing and new systems. Additionally, available data fields can be reviewed to determine their potential to assist users track data using the current systems. Standardization and increased use of existing fields will make tracking more streamlined.

Identifying standard foreign assistance business processes and developing standardized data sets that can be followed by all bureaus and posts will improve the quality and consistency of data collected. It will also eliminate the need for individualized and informal bureau systems and reduce inconsistent data.

FADR Phase Two is expected to take three to four months.

5.3.1 Standardize Sector, Agency, and Vendor Names

Standardizing data sets will provide a consistent reference for all foreign assistance project managers and financial analysts to track, maintain, and report on activities. The Standardized Program Structure and Definitions (SPSD), which is in the process of being updated, provides a common set of terms and definitions to describe the Department’s foreign assistance programs. The SPSD dataset can be made a more consumable dataset for system and business owners and further codified within the Department. Agency and common grantee and/or vendor names could also benefit from standardization, and various relevant systems would correspondingly benefit from using these datasets.

5.3.2 Project Titles

The Department currently lacks a standard naming convention for foreign assistance projects facilitating how they would appear in financial and program systems. A policy on what constitutes a “well-formed” project title could be implemented to help bureau and F analysts attribute transactions to the proper sector and country. This could start with defining what constitutes a foreign assistance project, and in this phase the group can create a list of definitions for related terminology beyond the scope of the Foreign Assistance SPSD.

5.4 Identification of a System Solution for Foreign Assistance Management (FADR Phase Three)

Department financial systems have met accounting needs, but they were not designed to enable program officers to comprehensively track, manage, maintain, or report on foreign assistance project information. Individual bureau or office program systems were not designed to anticipate the data infrastructure requirements to meet today’s external reporting requirements. Budget formulation, financial, grant and procurement program systems within the Department each capture some of this information. There are bureau-specific systems that have also been put in place as well to capture additional information. Automated solutions unifying these existing systems to meet the requirements of a foreign assistance business process should be created.
Within this activity, a more detailed review of each system will be conducted to determine its ability to support the foreign assistance business process, including reviewing bureau-specific systems to determine their ability to support standard processing for all bureaus and posts. User-defined fields within all systems would also be reviewed to determine their ability to store and share foreign assistance data. An outcome of this activity would be the identification of business process requirements able to be met with existing systems, and the identification of any system change requests to improve their capabilities to support the business process. This activity would also identify business process requirements not able to be met with existing systems so that a determination can be made on system options to meet these requirements. For any planned data integration, steps and processes to support systems assurance and accuracy would also be identified.

By determining each system’s ability to support the standard foreign assistance business process and identifying gaps to be addressed, we will develop a costed management plan and timeline for the necessary system changes to supplement the business process improvement in managing foreign assistance.

Phase Three is expected to take six to seven months.

5.4.1 GFMS Project Codes

One bureau has created a project code structure to use within the financial system (GFMS) that includes metadata for sector and benefitting country. The bureau is currently revising its use of project codes in GFMS to provide additional context to financial data. As the project code appears at the transaction level in the accounting system, extending this practice to all bureaus managing foreign assistance could provide a useful (if somewhat improvised) way to track obligation/liquidation transactions by country and sector. This solution should be reviewed in more detail, noting whether other bureaus managing foreign assistance funds are using this field and any related fields, and determine if a solution can be identified that would work for all bureaus managing foreign assistance funds. Consideration for budgeting by project code would enforce usage of project codes on GFMS transactions, but will require additional budget setup and processing as well.

5.4.2 Expand use of SAMS Sector and Country

Other bureaus are successfully using sector and country codes in SAMS, the grants management system. Providing guidance to other bureaus and offices on using these fields, and then enforcing their use, will prepare all stakeholders for future analysis and provide needed grant information.

5.4.3 Prototype data viewer

To assist in the confirmation of reporting requirements and the identification of potential views of data for the multiple user roles related to foreign assistance data, prototypes will be developed as necessary in Phase Three. These prototypes will be useful in verifying data field mappings.
necessary to tie data from multiple Department systems together and support visual reporting designs required for Phase Four.

### 5.5 Development and Implementation of the System Solution (FADR Phase Four)

When the business process is developed and system enhancements are identified in Phases Two and Three, FADR will assess and analyze the potential impact to any systems or requirements for implementation. Once these requirements are identified, system owners will determine additional resources and/or priority changes required, if any. Bureau contacts will also review the recommended process to assess whether there are resource impacts to their staff, and they may conduct cost-benefit analyses in consultation with the Working Group of the compiled system and bureau resource impacts. Upon receiving any necessary approvals, work can begin on developing an automated solution to consolidate foreign assistance data from multiple Department program, budget, and financial systems. This will require close coordination across system owners to ensure the solution is developed correctly. This activity will include all steps to schedule, design, develop, test and implement the necessary system updates. Data entry and data integration requirements will need to be clear. Any new systems may require prototype work to prove the intended capabilities are possible. All systems must be tested both internally and with integration tests across multiple systems. Any standards or governance required to further support these activities will be implemented at this time.

Phase Four will provide a standard solution for bureaus and posts to manage and track all foreign assistance activities across their full lifecycle which will enable the Department to fulfill transparency reporting commitments, including IATI, and make more data-driven decisions.

### 5.6 Expected Impact

The Department anticipates the following impacts from conducting the FADR effort.

- Manage foreign assistance activities at the level needed for recent Administration, Congressional and international requirements.
- Respond to demands for more and better data to manage activities, coordinate with others, make data-driven decisions, and meet transparency commitments.
- Institutionalize processes to improve quality, efficiency and reliability of foreign assistance information.
6.0 Appendices

6.1 Glossary

A: Bureau of Administration

**ADCWG**: Application and Data Coordination Working Group

**BP**: Bureau of Budget and Planning

**CGFS**: Bureau of the Comptroller, Global Financial Services

**CT**: Bureau of Counterterrorism

**DATA Act**: Digital Accountability and Transparency Act

The Digital Accountability and Transparency Act of 2014 is a law that requires the U.S. Department of the Treasury to establish common standards for financial data provided by all government agencies and to expand the amount of data that agencies must provide to the government website, USASpending.

**D-MR**: Office of the Deputy Secretary of State for Management and Resources

**DRL**: Bureau of Democracy, Human Rights, and Labor

**EAP**: Bureau of East Asian and Pacific Affairs

**EUR**: Bureau of European and Eurasian Affairs

**F**: Office of U.S. Foreign Assistance Resources

**FACTS Info**: Foreign Assistance Coordination and Tracking System

See System Reference

**FADR**: Foreign Assistance Data Review

The working group established by M/PRI to better understand and document the Department’s current foreign assistance data environment.

**FAIN**: Federal Award Identification Number

Required by OMB since October 2013, each Federal agency must assign a Federal Award Identification Number (FAIN), unique within the Federal agency, to each financial assistance award.

**GFMS**: Global Financial Management System

See System Reference

**GDMS**: Grants Database Management System

**IAA**: Interagency Agreement

See “Inter-agency Agreement” Section
IATI: International Aid Transparency Initiative
IATI is a voluntary, multi-stakeholder initiative that seeks to improve the transparency of aid, development, and humanitarian resources. At the center of IATI is the IATI Standard, a format and framework for publishing data on development cooperation activities, intended to be used by all organizations in development.

ILMS: Integrated Logistics Management System
See System Reference

INL: Bureau of International Narcotics and Law Enforcement

IRM: Bureau of Information Resource Management

ISN: Bureau of International Security and Nonproliferation

LOA: Letter of Agreement
See “Letters of Agreement” Section

MOA: Memorandum of Agreement
See “Memoranda of Understanding” Section

MOU: Memorandum of Understanding
See “Memoranda of Understanding” Section

M/PRI: Office of Management Policy, Rightsizing and Innovation

NEA: Bureau of Near Eastern Affairs

PMS: Payment Management System
See System Reference

PRM: Bureau of Population, Refugees and Migration

OMB Bulletin No. 12-01: Guidance on Collection of U.S. Foreign Assistance Data
This bulletin provides information on the statutory requirement to provide foreign assistance data from all U.S. Government (USG) agencies. It provides the detailed data requirements and instructions for agencies on how to submit the required data.

OP: Operational Plan
Operational Plans are documents that describe the programs that will be executed using funds for a given financial year. They are budgetary documents that F coordinates.

PPR: Planning and Performance Report

PPS: Planning and Performance System
See System Reference

RFMS: Regional Financial Management System
See System Reference

SAMS: State Assistance Management System
See System Reference

S/ES: Office of the Executive Secretary

S/GAC: Office of the U.S. Global Aids Coordinator

SPSD: The Standardized Program Structure and Definitions provides a common set of terms and definitions to describe the Department’s foreign assistance programs.

WHA: Bureau of Western Hemisphere Affairs
## 6.2 Systems Studied

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<thead>
<tr>
<th>System</th>
<th>Scope/Purpose</th>
<th>Information Gap(s)</th>
<th>Used By</th>
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</table>
| **PPS**  
*Planning and Performance System* | This system is currently used to formulate and submit Mission Resource Requests (MRRs), though this will be updated to be included in FACTS Info in FY2018.                                                                 | State and USAID data is intermingled and it’s often not possible to separate data by agency.                                                                                                                   | Posts/Missions                              |
| **FACTS Info**  
*Foreign Assistance Coordination and Tracking System* | The system used to formulate State and USAID foreign assistance budgets, submit and update annual Operational Plans (OPs), and annual Performance Plans and Reports (PPRs).                                                                 | The data is only foreign assistance accounts – no State Ops accounts. State and USAID data is intermingled and, with the exception of OP data, it’s often not possible to separate data by agency. The system does not interface with other systems. Data is point-in-time, and many fields labeled “Actual” are not the final actuals. (Only FACTS Info’s NOA Tracking Reports reliably reflect the most current actuals.) | State and USAID headquarters, Bureaus, and Posts/Missions. |
| **CRMS**  
*Central Resource Management System* | Manages all steps of funds distribution that take place between enactment by Congress (appropriation) and execution fund allocation. These steps include OMB Apportionment, Allocation, Allotment, and Sub-Allotment. | CRMS distributes all funds that are obligated by the Department of State, including all Foreign Assistance Funds. Some funds distributed in the Department are transferred from The Executive Office of the President or USAID. CRMS does not support Foreign Assistance strategic information at any level. CRMS is a legacy system and a replacement system is | BP, State Bureaus                           |
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<tr>
<td>GFMS</td>
<td>GFMS is a COTS product based on CGI Federal’s Momentum system that provides financial accounting, funds control, and management accounting processes. GFMS complies with federal accounting standards, the U.S. Standard General Ledger, and Joint Financial Management Improvement Program (JFMIP) requirements for core financial systems. GFMS supports the use of the account code structure in 4FAH. GFMS is the system of record for all DOS financial data domestic and overseas. There is a daily interface from GFMS to RFMS for overseas budget/allotment data processed in GFMS and overseas allotment activity processed in GFMS. The GFMS Data Warehouse is the corresponding tool for generating reports. Managed by CGFS.</td>
<td>GFMS supports the use of transaction-level project codes which could be used to track foreign assistance strategic data, however, bureau use of project codes is optional, and use varies, depending internal bureau policy.</td>
<td>State Bureaus</td>
</tr>
<tr>
<td>RFMS</td>
<td>RFMS is a COTS based on CGI Federal’s Momentum product that provides financial accounting, funds control, and management accounting processes. RFMS complies with federal accounting standards, the U.S. Standard General Ledger, and Joint Financial Management Improvement Program (JFMIP) requirements for core financial systems. RFMS supports the use of the account code structure in 4FAH. System for overseas obligation/liquidation transactions. There is a daily interface to GFMS for domestic allotment transactions processed in RFMS and all overseas allotment transactions. COAST is the corresponding tool</td>
<td>Financial information on overseas procurements and grants is interfaced to GFMS.</td>
<td>State Posts</td>
</tr>
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<td>System</td>
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<tr>
<td>BFEM</td>
<td>for generating reports. SHIFTS is used to transfer files for COAST reporting. Managed by CGFS.</td>
<td>DOS uses BFEM for Diplomatic Engagement budget formulation only (no foreign assistance budgeting because FACTS Info is used instead).</td>
<td>BP</td>
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| **BFEM**
| **Budget Formulation and Execution Manager** | Owned by Department of the Treasury, BFEM is a budget formulation platform used by numerous Federal agencies. It is the system that State uses to create the final draft of the Diplomatic Engagement Congressional Budget Justification (CBJ). |                                                                                                                                                                                                                   |                     |
| OMB MAX          | OMB MAX is used to support OMB’s government-wide management and budget processes. Collects high-level agency budget information (A-11 Data Entry) for creation of the annual President's Budget. Managed by OMB. | The data collected by OMB MAX is high-level, mostly formulation-only. There are several applications in the OMB MAX family. The system that collects information for the President’s Budget must balance with Treasury information for the “Prior Year,” – the fiscal year just completed. MAX A-11 requires correlation between prior year agency and Treasury execution data at a relatively high level. | Pan-USG             |
| **OMB MAX**
| **OMB MAX Information System** |                                                                                                                                                                                                 |                                                                                                                                                                                                                   |                     |
| ILMS / Ariba     | Requisitions for domestic and overseas contracts all start in ILMS Ariba. Overseas requisitions are completed within Ariba. Managed by A/LM.                                                                    | Project codes are supported, optionally.                                                                                                                                                                             | Executive Offices Department-wide, Bureaus, Posts |
| **ILMS / Ariba**
| **Integrated Logistics Management System** |                                                                                                                                                                                                 |                                                                                                                                                                                                                   |                     |
| SAMS             | The Department’s instance of GrantSolutions, a grant line of business product offered by HHS. Tracks grants from competition to award to expenditure. Managed by A/LM.                                            | Place of Performance (Benefitng Country) and Sector codes are supported, optionally. Project codes are also supported.                                                                                              | State Bureaus       |
| **SAMS**
<p>| <strong>State Assistance Management System</strong> |                                                                                                                                                                                                 |                                                                                                                                                                                                                   |                     |
| GDMS             | This system collects all grant information from bureaus/offices.                                                                                                                                                                                                       | The GDMS information is reconciled against GFMS                                                                                                                                                                   | Bureaus/Offices/P   |
| <strong>GDMS</strong> |                                                                                                                                                                                                 |                                                                                                                                                                                                                   |                     |</p>
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<tr>
<td>Grants Database Management System</td>
<td>and posts that are required to be submitted to USAspending.gov. All non-grantsolution.gov awards’ program and financial data must be entered into GDMS within 5 days of award. GDMS reports all Department awards to USAspending.gov twice monthly.</td>
<td>quarterly and error rates are reported to OMB, to ensure that accurate program and financial data is submitted to usaspending.gov.</td>
<td>osts</td>
</tr>
<tr>
<td>ACPRS</td>
<td>SAMS information is imported into ACPRS with additional details (benefitting countries, sector, monitoring and evaluation, etc.). Data is reconciled manually with GFMS. Managed and operated by NEA; enhanced and updated from the Middle East Partnership Initiative Database</td>
<td>Bureau-specific.</td>
<td>NEA/AC</td>
</tr>
<tr>
<td>IPAC</td>
<td>Department of Treasury’s official system for billing the Department for Inter-agency Agreements, provides a standardized interagency fund transfer mechanism.</td>
<td>Utilized for 632(b) agreements.</td>
<td>Pan-USG</td>
</tr>
<tr>
<td>CT—PAMS</td>
<td>A project management tool, similar to ACPRS. Managed and operated by CT. Used to track data at the transaction level and tie transactions to sub-account, CN, and obligating documents.</td>
<td>Bureau-specific. GFMS data cannot be imported into PAMS. Expenditure data must be manually requested from CT/EX.</td>
<td>CT</td>
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<tr>
<td>NDF Project Management System</td>
<td>A Program/Project Management Organization (PMO) system, structured as a double entry commitments-based accounting system. Its data and functions are audited annually by OIG – usually requiring between 1,000 and 3,000 man audit hours each year. NDF can track projects to obligations to specific expenditures on all projects since the inception of the NDF in 1994. In recent years,</td>
<td>Bureau-specific. Currently working with CGFS to automate the reconciliation of data between our system and GFMS – the reconciliation system is in beta testing.</td>
<td>ISN/NDF</td>
</tr>
<tr>
<td>System</td>
<td>Scope/Purpose</td>
<td>Information Gap(s)</td>
<td>Used By</td>
</tr>
<tr>
<td>---------------------</td>
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<tr>
<td>NDF c</td>
<td>NDF can track specific expenditures to each task order or modification of a contract. It can also track foreign donations and track multiple colors of monies for each project.</td>
<td></td>
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</tr>
<tr>
<td>PRiMES</td>
<td><em>Population, Refugees, and Migration Enterprise System</em> A project management tool in development, similar to ACPRS. Managed and operated by PRM.</td>
<td>Bureau-specific</td>
<td>PRM</td>
</tr>
<tr>
<td>Phoenix</td>
<td><em>Phoenix Financial Management System</em> Used to analyze, manage and report on foreign assistance funds. USAID's accounting system of record, based on the same platform as GFMS. Not used by State.</td>
<td></td>
<td>USAID</td>
</tr>
<tr>
<td>GLAAS</td>
<td><em>Global Acquisition and Assistance System</em> The USAID system that automates the procurement processes from planning to award closeout. Interfaces with Phoenix. Not used by State.</td>
<td></td>
<td>USAID</td>
</tr>
<tr>
<td>AidTracker Plus</td>
<td>A new portfolio management tool USAID is piloting with 18 missions in order to track performance monitoring indicator for all awards.</td>
<td></td>
<td>USAID</td>
</tr>
<tr>
<td>DIS</td>
<td><em>Development information Solution</em> A USAID concept. A solution that accesses and manages data to strengthen strategic planning, design, budgeting, procurement, implementation, monitoring, evaluation and reporting.</td>
<td></td>
<td>USAID</td>
</tr>
</tbody>
</table>