



Homeland Security

October 21, 2021

GRANT ALERT 22-02

Financial Assistance Performance Measurement and Performance Reporting Requirements in the Notice of Funding Opportunity (NOFO) Interim Policy

This Grant Alert notice is being transmitted to all DHS Program Offices (DHS POs) and DHS Financial Assistance Offices (DHS FAOs).

PLEASE DISSEMINATE TO WIDEST POSSIBLE AUDIENCE

Distributed by: Vincent Sprouls, Director, FAPO

Contact: Michael Pellegrino, (b)(6) (b)(6)

Background:

The Department of Homeland Security's (DHS) Administrative Regulations at 2 CFR § 200.301 Performance Measurement and § 200.329 Monitoring and Reporting Program Performance require DHS to measure recipients' performance to show achievement of program goals and objectives, share lessons learned, improve program outcomes, and foster adoption of promising practices. Performance measurement progress must be both measured and reported.

Currently, there is not an approved Office of Management and Budget (OMB) program performance report. Therefore, performance measure reporting requirements must be clearly articulated such that, where appropriate, performance during the execution of the federal award has a standard against which non-federal entities' performance can be measured.

FAPO, in coordination with the Program Analysis and Evaluation (PA&E) Division, developed the DHS Financial Assistance Performance Measure Definition Template (DHS FAPMDT) to assist in developing performance measures, and reporting outcomes. (See Attachment 1.) DHS POs and FAOs should consult with a subject matter expert (SME) for assistance in developing performance measures. The appropriate Component SME can be found in the DHS Performance Community Roster. (See Attachment 2.)

NOFO program performance measures and performance reporting requirements will be reviewed based on the DHS Completeness and Reliability Factors: Valid, Complete, Accurate, and Timely as identified in the DHS Performance Measure Verification and Validation Handbook.

Additional information can be found in the NOFO Performance Measures Toolkit located on FAPO's DHSConnect page in Document Library.

The DHS Grants Performance Measures Dashboard will be reviewed quarterly for each DHS financial assistance program as well as oversight reviews to ensure accurate and timely performance reporting.

Policy:

Effective immediately, DHS POs and DHS FAOs must complete and submit a DHS FAPMDT for developing performance measures in the NOFO. DHS POs must develop a performance measure for each allowable activity. A corresponding DHS FAPMDT must be completed and submitted with the NOFO.

Performance measures must: 1) communicate the value of the program, and 2) identify a clear scope¹ and consistent data collection methodology for reporting. Performance measures must also allow DHS financial assistance programs to assess the extent to which data collection processes consistently maximize data quality and minimize the potential for mistakes in the collection and reporting of performance information. Additionally, DHS financial assistance programs must be able to assess the extent to which performance data are collected and updated at established intervals to ensure informed appropriate decision making.

DHS POs should meet with their DHS performance community SME at established intervals to make sure performance measures continue to demonstrate program outcomes.

DHS POs may attach a performance report template to the NOFO Appendix outlining expected performance progress by the recipient (on a quarterly, semi-annual, or annual basis).

Once the NOFO package is received, FAPO verifies and validates the required data elements. FAPO coordinates its review with OMB. DHS FAOs may not publish a NOFO until they receive notification from OMB and FAPO that the NOFO is cleared for posting.

Applicability:

This Grant Alert applies to all DHS POs and DHS FAOs that award grants, cooperative agreements or other types of financial assistance unless otherwise stated.



Approved by
Vincent Sprouls, Director
Financial Assistance Policy and Oversight

10/19/20

Date

Attachments:

1. DHS Financial Assistance Performance Measure Definition Template
2. DHS Performance Community Roster
3. How to Complete the Scope of Data Section
4. How to Complete the Data Collection Methodology Section
5. How to Complete the Data Source Section
6. How to Complete the Measure Description Section

¹ A clear scope requires the financial assistance program to specify the unit of analysis (i.e., the individual “thing” being measured), the population of units to be measured, the set of attributes on which each unit is to be assessed, and the period of time that will be included in the calculation.)

DHS Financial Assistance Performance Measure Definition Template (FAPMDT)

For each allowable activity, a performance measure must be developed. A DHS FAPMDT for each performance measure must be completed and submitted with the NOFO.

Program Name	List the Program Name
Program Goal	List the Program Goal
Program Objective	List the Program Objective
Allowable Activity	List the Allowable Activity
Performance Measure Name	<p>List the name of the measure starting with: Number of....Percent of....Average....</p> <p>Use terms that can be easily understood by the public. No acronyms or special characters should be used in the measure name. Names should be short and descriptive.</p> <p>If measuring Number of..., identify the relevant context for minimal or significant.</p>
Performance Measure Description	<p>Begin your description with a sentence that explains the specific aspect of performance being assessed (e.g., This measure assesses the effectiveness at ..."). Do not use jargon and spell out all acronyms on first use. The next sentence should define any program-specific terms used in the measure name (e.g. <i>Category X airports represent the nation's largest and busiest airports as measured by the volume of passenger traffic and are potentially attractive targets for criminal and terrorist activity.</i>"). Next, identify programmatic activities that impact the measure results (e.g., "The program impacts facility compliance by conducting inspections, providing guidance ..."). If the linkage is not obvious, add a sentence to explain how the activities impact the results (e.g., "penalties impel compliance and guidance helps facilities understand how to improve"). Identify the users of the results (e.g., senior leadership, field staff, etc.) and how they use the results (e.g., inform decisions, make judgements, take actions). Identify the agency or program goals to which the measure aligns (e.g., "The measure aligns to ...") and why the performance being assessed is important (e.g., "which prevents harm to the public..."). List primary external factors that could adversely impact the results (e.g., "Facility turnover may decrease compliance and lower the results ...").</p> <p><i>To see numerous examples of well-written measures, go to the DHS public website at https://www.dhs.gov/publication/annual-performance-report-fiscal-years-2019-2021, and select Appendix A: Measure Descriptions, Data Collection Methodologies, and Verification and Validation Information.</i></p>

Measure Targets		FY21	FY22	FY23	FY24	FY25	FY26	FY27
Target fields should contain numerical values <i>only</i> , no symbols (<>) or text.	Target	List target	List target	List target	List target	List target	List target	List target
	Result	List result if known						
Note: Make sure the selections below match the value listed above.								
Target Category	Number, Percent, Currency	Target Decimal Places	0, 1, 2 – do NOT select precisions that are not reasonable	Target Modifier	N/A, <, ≤,			
Reporting Frequency	Select frequency for reporting results: Quarterly, Semi-Annual, Annual							
Performance Reporting Requirements Description	Describe how data will be reported and collected. If the DHS financial assistance program has a system, identify it. Currently, there is not an approved Office of Management and Budget (OMB) program performance report. Therefore, performance measure reporting requirements must be clearly articulated such that, where appropriate, performance during the execution of the federal award has a standard against which non-federal entity performance can be measured. DHS program offices may attach a performance report template to the Appendix of the NOFO outlining expected performance progress by the recipient (on a quarterly, semi-annual, or annual basis).							
Measure Type	Select: Input, Output, Process, Outcome	Data Type	All measures must be cumulative, and results reported inclusive across (quarterly, semi-annual, annual) reporting for the fiscal year.					
Verification and Validation (V&V):	The Verification and Validation fields are used to describe the methods to collect, analyze, report, and review the results at a high-level. Component program managers are responsible for developing internal comprehensive processes, documentation, data collection tools, and oversight and control methods in order to report results consistently, accurately, and timely.							

<p>Scope (Range) of Data</p>	<p>Describe what the unit of analysis is and what it encompasses. The Unit of Analysis is the individual “thing” – an object, circumstance, event, action, relationship, process, result, etc. – being observed, scored, and counted in order to produce the reported result. The unit of analysis is a single member of the population. Provide guidelines for counting a unit of analysis (e.g., facilities at different sites are counted separately) and/or how to tell where one unit of analysis ends and another begins (e.g., each import has its own import entry line). Next, indicate what the population includes (e.g., all facilities). Supplement this information by explaining any limits of the population (e.g., only facilities above a certain size are included) and/or units of analysis that are not included in the population (e.g., facilities with an open inspection at the end of the period are excluded). If a sample is used, explain how the units in the sample were selected. Finally, describe the attribute/characteristic the unit of analysis must possess to be counted in the results. The Attribute is the property or characteristic of the unit of analysis that is being measured – and is the basis for determining whether a particular unit of analysis is counted toward the results. Explain the range of scores that may be given on the attribute (e.g., pass/fail, 1 to five, etc.) and how the scores are assigned to the units of analysis (e.g., via a safety inspection). Be sure to explain what score (e.g., must be rated as satisfactory or better) or combination of scores (e.g., must pass 8 out 10 standards) is needed for the unit of analysis to be counted toward the results.. The attribute can be any characteristic or property on which the unit of analysis may vary (e.g., height, weight, in compliance, processing time).</p>
<p>Data Source</p>	<p>Begin with a sentence that identifies the specific system(s) where data are stored (e.g., Data for this measure are stored in the XYZ system ...”). Spell out systems commonly referred to with acronyms.). Identify data stored in the system (e.g., “The system contains data on when a facility was inspected, inspection results, location of facilities...”). The Data Source should identify when data entered in the field is consolidated into a central database and by whom (e.g., “On a monthly basis, an IT analyst executes a query that compiles the data from the field offices and transfers it into the XYZ system”). It should also state any periodic transfer and/or transformation of the data (e.g., “Each quarter, an analyst exports the data to CFO where it is cross-referenced with financial information and used to analyze and prepare division budgets.”). Identify the office managing the data system(s) (e.g., “ABC Office manages the XYZ system and downloads data into the ABC spreadsheet”) and the office reporting the results (“e.g., DEF Office reports quarterly results”).</p>

	<p>Begin your writeup with a sentence that explains how the observation and assessment of the units of analysis takes place (e.g., “Auditors conduct annual onsite review of financial statements”). As needed, indicate how the scores are initially documented (e.g., “Auditors use digital recorders to document their assessments”). Describe how the raw data is entered into the IT system (e.g., “Administrative staff transcribe the recordings onto a local spreadsheet which is then uploaded into the audit database”). Next describe how the data is retrieved (e.g., “an analyst uses a .SQL file to retrieve ...”) and prepared for analysis (e.g., “The SQL creates a CSV file that the analyst manually imports into a local Excel spreadsheet ...”). Describe the how the result is calculated (e.g., “HQ analysts use spreadsheet functionalities to calculate the reported percentage”) as well as any analyses performed on the raw data (e.g., the ratings on each standard are averaged to produce and overall facility score”). Use the last sentence to describe equation used to calculate the results in narrative form (not written as a formula).</p>
<p>Results Validation (Reliability Check)</p>	<p>Describe the process, office(s), and roles of those involved in the data validation process to double-check that the results are verified independent from the individuals producing the information. Checks may include a higher-level review by program management or leadership or by an independent office to remedy potential anomalies, errors, or gaps in data collection, analysis, and ensure results appear reasonable compared to current experiences being observed. Identify any gaps in the data or errors that may impact the usefulness of the results.</p>
<p>Last modified by:</p>	<p>Each time this template is updated, change this information to indicate the last person(s) who made the changes, office, and date of the update to assist with version control.</p>

DHS Performance Community Roster						28-Sep-21
Component	Position	Member	Title	Phone	Email	
CIS	PIO	Azmat (Syed) Nasir	Chief, Planning & Budget Formulation	(b)(6)	(b)(6)	
	Performance Team Rep	(b)(6)	Management and Program Analyst	(b)(6) (cell)	(b)(6)	
	Performance Team Rep	(b)(6)	Management and Program Analyst	(b)(6)	(b)(6)	
CWMD	PIO	Anthony Antognoli	Chief of Staff		(b)(6)	
	Performance Team Rep	Kathleen Olsen	Supervisory Budget Officer	(b)(6)	(b)(6)	
	Performance Team Rep	(b)(6)	Analyst		(b)(6)	
	Performance Team Rep	Shannon Goodwin	Special Assistant to the Secretary	(b)(6)	(b)(6)	
				Send CWMD taskings also to:		(b)(6)
FEMA	PIO	(b)(6)	Associate Administrator, Office of Policy and Program Analysis	(b)(6)	(b)(6)	
	Performance Team Rep	(b)(6)	Program Analyst, Office of Policy and Program Analysis	(b)(6)	(b)(6)	

DHS Performance Community Roster						28-Sep-21
Component	Position	Member	Title	Phone	Email	
ICE	PIO	Stephen Roncone	Chief Financial Officer	(b)(6)	(b)(6)	
	Performance Team Rep	Shilonda Holmes	Assistant Budget Director & Evaluation Officer	(b)(6)	(b)(6)	
	Performance Team Rep	Ivey Miller	Performance Analysis & Evaluation, Section Chief	(b)(6)	(b)(6)	
	Performance Team Rep	(b)(6)	Performance Analyst	(b)(6)	(b)(6)	
CISA	PIO	Vacant				
	Performance Team Rep	(b)(6)	Senior Program Analyst	(b)(6)	(b)(6)	
	Performance Team Rep	(b)(6)	Program Analyst	(b)(6)	(b)(6)	
S&T	PIO	Ronnyka Fitzpatrick	Director for Finance and Budget Division	(b)(6)	(b)(6)	
	Performance Team Rep	Joyce Jogie	Chief, Budget and Performance Branch	(b)(6)	(b)(6)	
	Performance Team Rep	(b)(6)	Performance Analyst	(b)(6)	(b)(6)	

DHS Performance Community Roster						28-Sep-21
Component	Position	Member	Title	Phone	Email	
USCG	PIO	RADM Meredith Austin	Deputy for Operations Policy & Capabilities	(b)(6)	(b)(6)	
	Acting PIO/Performance Team Rep	Stephen Walters	Deputy, Program Analysis and Evaluation (CG-8-PAE-D)	(b)(6)	(b)(6)	
	Performance Team Rep	CDR Andrew Madjeska	Chief of Staff, Program Analysis and Evaluation	(b)(6)	(b)(6)	
	Performance Team Rep	Nicole London	Program Analyst, Office of Performance Management and Assessment	(b)(6)	(b)(6)	
USSS	PIO	Vacant				
	Acting Deputy PIO	Steven Scott	Branch Chief, Enterprise Analytics, Office of Strategic Planning and Policy	(b)(6)	(b)(6)	
	Performance Team Rep	Shelley Penman	Performance Metrics Advisor, Enterprise Analytics in the Office of Strategic Planning and Policy	(b)(6)	(b)(6)	