Collaborative Forum

Expanding Engagement

Empowering Innovation
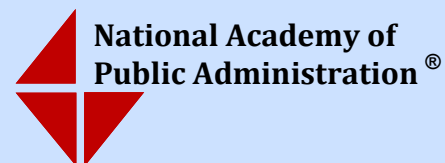
Emphasizing Results

OFFICE OF MANAGEMENT AND BUDGET

PARTNERSHIP FUND FOR PROGRAM INTEGRITY AND INNOVATION

COLLABORATIVE FORUM

November 2013

National Academy of Public Administration ®

ABOUT THE ACADEMY

The National Academy of Public Administration is a non-profit, independent organization of top public management and organizational leaders who tackle the nation's most critical and complex public management challenges. With a network of over 750 distinguished Fellows and an experienced professional staff, the Academy is uniquely qualified and trusted across government to provide objective advice and practical solutions based on systematic research and expert analysis. Established in 1967 and chartered by Congress in 1984, the Academy continues to make a positive impact by helping federal, state and local governments respond effectively to current circumstances and changing conditions. Learn more about the Academy and its work at www.NAPAwash.org.

FOREWORD

Reduced budgets, sequestration, furloughs, and shutdowns have all affected the federal government's ability to deliver on its important programs and services. This tough fiscal environment requires new and innovative approaches to carry out programs, meet statutory mandates, and provide needed services for its citizens. For this reason, Congress created the Partnership Fund for Program Integrity Innovation, and directed the Office of Management and Budget (OMB) to convene state and local stakeholders to address federal programs that have a substantial state role in eligibility determination and to identify potential ways to streamline administration or strengthen program integrity.

To meet this mandate, OMB created the Collaborative Forum as a means of stakeholder engagement. Key public and private sector stakeholders were brought together in the Forum under the aegis of the National Academy of Public Administration. The Academy's ability to provide an independent, objective, and nonpartisan environment allowed stakeholders to identify best practices that improve accuracy, service delivery, administrative efficiency, and reduce barriers to program access.

The Forum's activities have been instrumental in identifying innovative ideas to improve the stewardship of federal dollars and resulted in the creation of 11 funded projects designed to meet the mandates of the Partnership Fund. The Forum also engaged its membership on initiatives incorporating promising practices in harnessing evidence and innovation to improve performance; tackling data integration and cybersecurity challenges; and fully utilizing available administrative flexibilities—all with an eye toward improving delivery of services to the American public.

As a Congressionally chartered non-partisan and non-profit organization, the Academy brings together nationally-recognized experts from among its more than 800 Fellows to help public organizations address their most critical challenges. The Academy has greatly valued its role over the past two-and-a-half years as the Forum's administrator for OMB. The Academy project team assisted OMB with program management; website maintenance and oversight; and stakeholder outreach and membership development in order to identify new examples of program integrity innovation and outcome-based performance improvement. Academy Fellows provided strategic advice and shared their perspectives based on their experience in leadership positions. In administering the Forum, the Academy's goal was to connect the federal activities and initiatives with state and local implementation issues, spotlighting new, creative ways to strengthen quality and accountability at all levels of government.

I greatly appreciate the leadership of OMB and the participation of agency, state, and local stakeholders who provided ongoing partnership and perspective throughout the engagement. I thank the Academy Fellows who provided invaluable expertise and contributed to the engagements in a variety of ways and give special acknowledgment to the study team who provided critical project management support and leadership.

Dan G. Blair
President and CEO
National Academy of Public Administration

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Collaborative Forum

INTRODUCTION

The Consolidated Appropriations Act, 2010 provided the Office of Management and Budget (OMB) with $37.5 million[1] to manage the Partnership Fund for Program Integrity Innovation (Partnership Fund). The funding was to be used for pilot projects to improve the delivery of Federal assistance programs that were administered through state and local governments or programs in which Federal-state cooperation would otherwise be beneficial. The Act also required the creation of an interagency council consisting of representatives from Federal agencies, States, and other stakeholders to the serve as a consultative body to OMB.

The council, which was eventually named the Collaborative Forum (Forum), was formally established in November 2010. In September 2011, the National Academy of Public Administration (the Academy) assumed responsibility for soliciting Forum members and convening activities to identify pilot projects.

The Forum and OMB determined that the Partnership Fund pilots should be designed to achieve the following goals:

- Improve payment accuracy

- Improve administrative delivery

- Improve service delivery

- Reduce access barriers for eligible beneficiaries

The Forum currently has over 900 members with representatives from federal, state, and local governments and numerous non-governmental organizations. After the Forum completed its work on generating pilot ideas, the Forum has evolved into a dynamic learning community providing members with best practices and lessons learned from change agents and innovators who are seeking to improve program delivery in an era of constrained budgets. This learning occurs through a variety of communication methods – monthly face-to-face meetings, webinars, and other collaborative activities and presentations.

Area Codes of phone participants of the Forum Monthly Meeting in September 2013

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[1] The Act provided OMB with $37.5 million for the Partnership Fund. However, the Department of Defense and Full Year Continuing Appropriations Act, 2011 rescinded $5 million of the unobligated balances in the Fund. As a result, the total funding available to the Fund was $32.5 million.

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THE FORUM'S KEY ACTIVITIES

IDEAS COMMITTEE AND WORK GROUPS

Upon its establishment, the Forum immediately began to engage stakeholders and its growing membership to develop concepts for potential pilots that targeted crosscutting operational themes and innovative approaches to improving program integrity. To systematically harness the knowledge of the diverse Forum membership, the Ideas Committee was established to organize a series of brainstorming sessions to discuss different ways in which pilots could support meaningful innovations. The group generated high-level goals or concepts for potential pilot projects. As shown in Figure 1, work groups were established to refine or further develop the promising ideas into innovative, feasible pilot proposals.

These proposals were submitted to OMB for approval and approved funds were transferred to a lead federal agency that was responsible for implementation. In addition to this concept development function, these Ideas Committee calls served as additional opportunities to explore topics of interest and the Academy team had the opportunity to incorporate thought leadership presentations in order to provide additional context and idea sharing with the growing Forum membership. By incorporating expert perspective into these early discussions, work groups were able to begin the pilot concept development process better understanding the challenges and opportunities and were well prepared to refine concepts for consideration.

Figure 1: How an Idea Becomes a Partnership Fund Project
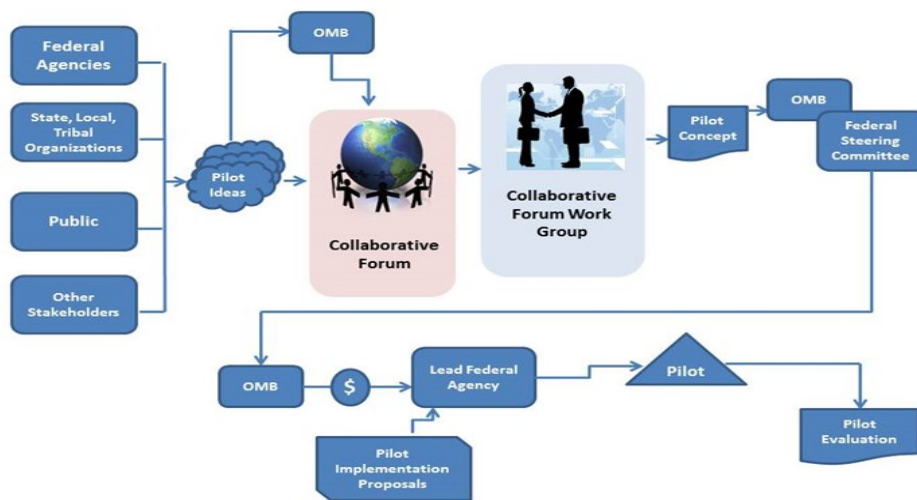
Adapted from OMB Partnership Fund for Program Integrity and Innovation, Second Semiannual Report, Oct 2010

In addition to the pilot-focused work groups, the Forum also convened a group to examine the importance of intergovernmental collaboration, particularly as all levels of government are facing constrained budgets. The group advocated broadening the Forum's focus beyond pilot projects to formally establishing it as an intergovernmental learning community. Specifically, it recommended that the Forum become a venue for all levels of government to work together to identify, evaluate, and solve intergovernmental challenges and develop an objective basis for determining whether programs are effective. The group forwarded these recommendations to then-OMB Comptroller, Daniel Werfel for consideration [See Appendix A]. These proposed recommendations continue to be discussed as an ongoing need.

FORUM FEATURE CALLS

An integral component of the Forum was the leadership and strategic direction of the Collaborative Forum Steering Committee. This group of seven involved and experienced Forum members representing state, local, and association membership reviewed pilot concepts, offered guidance and direction for their refinement and presented the pilot concepts to the Partnership Fund for consideration.

Once funding for pilots was fully obligated to the sponsoring agencies, the Steering Committee began to focus on the value of collecting data regarding the lessons learned from implementing the pilots. The Steering Committee directed the evolution of the Ideas Committee calls to the establishment of Forum Features call to provide additional opportunities to learn about the funded pilots, their progress, and what could be learned from the process. Figure 2 outlines the types of questions posed to funded pilot representatives that focus on broader, replicable best practices.

Forum Feature Calls

Designed to highlight the outcomes, challenges faced, lessons learned, as well as new developments of funded pilots, discussions revolve around several key questions:

- What are the short-term and long-term outcomes?

- How did you track and monitor progress toward the outcomes?

- Is there evidence that will convince policy makers that the pilot will lead to particular outcomes?

- Can you describe the tools that you are using for operating across agency boundaries?

- Were there any challenges in obtaining top-level commitment to the pilot? If so, how did you respond to this challenge?

![Collaborative Forum]

MONTHLY MEETINGS AND WEBINARS

The Academy team worked closely with OMB to identify topics or themes and appropriate speakers for convenings of the Forum, often tapping some of the Academy's distinguished fellows for ideas or to serve as moderators for panel discussions. The Forum convened 19 monthly meetings (face to face and/or virtual) that provided Forum members from across the country the opportunity to learn about and discuss innovative approaches to addressing a variety of program integrity and service delivery challenges. These discussions blended federal, state, and local perspectives and included input from private sector and non-profit partners as well. Working in conjunction with OMB, the Academy team also identified opportunities for a further exploration of the themes that were showcased during the monthly meetings. The Forum has sponsored over a dozen webinars that shared information members and provided additional opportunities for Forum members to connect and to learn about strategies and innovations for improving program administration as well as the importance of using evidence to justify budget and policy decisions. A complete list of the monthly themes is included in Appendix B. Monthly meeting discussion summaries are available on the Forum website.

 (http://
ideascomm.community.collaborativeforumonline.com/meeting-minutes)

THE COLLABORATIVE FORUM WEBSITE

The Collaborative Forum Web Site serves as an electronic engagement mechanism, information clearinghouse, and communication portal for all members and visitors. The public pages include general information on the Forum as well as the opportunity to view details of the funded pilots and other stakeholder engagement activities. Links to relevant topics within social media platforms such as Facebook and Twitter are available as well.
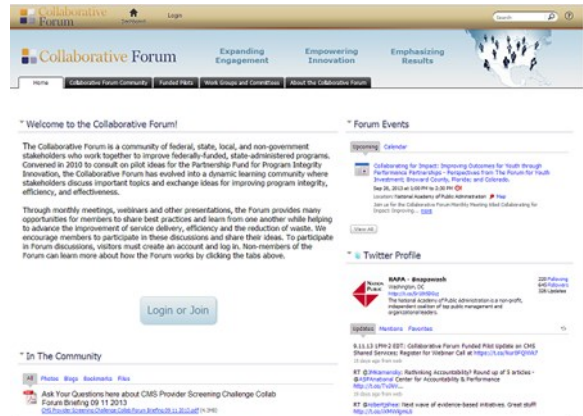
FUNDED PILOTS

Based on the work of the Collaborative Forum, OMB has approved 11 pilot concepts that advance the Partnership Fund's goals and show potential for high return on investment. If the pilots prove to be successful, these investments could potentially result in savings of over $200 million. The pilot results will also provide data about how federal agencies, as well as states and localities, can reduce improper payments, save money, and significantly improve service delivery and efficiency[2]. These pilots are sponsored by a diverse set of agencies and tackle innovative solutions to challenges such as data integration, ensuring integrity of service providers, and verifying identify in a virtual environment. A list of funded pilots can be found in Appendix C.

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[2] OMB Partnership Fund for Program Integrity Innovation: www.partners4solutions.gov

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WHAT HAVE WE LEARNED?

As the Forum evolved to its newly empha-sized role as a learning community, it be-gan to focus on how governments can drive performance improvements in times of constrained budgets and increased de-mands from citizens. Mary Ann Cooney, the Deputy Commissioner or the New Hampshire Depart-ment of Health and Human Services, summarized the current environ-ment well in the Forum webinar entitled *Transforming Hu-man Services Delivery System: Breaking down silos and building integration.* "Service delivery agencies are trying to re-spond to an increase in demand for ser-vices in an era of constrained budgets, fragmented service delivery systems, and underutilization of technology." Her presentation puts forward a new human service delivery model developed in New Hampshire to break down operational si-los, build program integration, and do better with less.

"Doing better with less" has become an overarching goal for government service delivery within the current resource-constrained environ-ment and a major focus of the Collabo-rative Forum.

Forum members had in-depth discussions on new approaches and strategies to help government increase operational efficiency, reduce costs, and improve program perfor-mance. Three key themes have emerged from Forum discussions.

- Focus on Evidence and Outcomes;

- Technology as an Enabler to Improve Program Performance; and

- Harnessing Innovation

1. FOCUS ON EVIDENCE AND OUTCOMES

As the federal, state and local governments continue to operate in a constrained budget environment, OMB has stressed the importance of utilizing evidence to inform decision making. This topic was addressed through numerous Forum events.

Outcome-Base Budgeting

At its Monthly Meeting in May 2013, the Forum held a discussion focusing on *Outcome Based Budgeting: Practical Ways to Apply Lessons Learned and Focus on Results.* Panelists with expertise in public budgeting at all levels of government explored the challenges and opportunities for improving program performance through developing outcome-oriented performance goals and making strategic funding decisions based on what works. States are still in the process of learning how to incorporate outcome-based approaches into their budget making process and panelists highlighted some key lessons learned from states thus far. They included keeping performance information simple and usable, ensuring long-term leadership commitment, providing technical training, and changing management culture in governments.

In order to take a deeper dive into this topic, the Forum hosted a webinar presentation on *Practical Steps for Implementing Budgeting for Results: Illinois Perspective and Lessons Learned* in August, 2013. Representatives from the state government of Illinois discussed their implementation of a comprehensive Budgeting for Re-

Not only has the State shifted its budget process to reflect outcomes at the program level, it has made the total budget available in line-item form, so that citizens can see exactly where public funds are being directed.

Outcome-Based Grant Evaluation

At the Forum's Monthly Meeting in June 2013, the Forum engaged a panel of experts in a discussion titled *Rethinking Grant Evaluation: Approaches to Drive Better Outcomes Bringing Stakeholders Together to Advance an Evidence-Based Grant Funding Process.* Panelists from the Department of Education, Center for Disease Control and Prevention, and the Center for Economic Opportunity introduced their ongoing efforts to implement outcome-based grant evaluation models and discussed their tools, processes, and how their success and lessons learned can be replicated in other programs. Their experiences show that an outcome-based approach is not only a "director's initiative," but requires the support from the entire organization. Utilizing existing data and programs is a low-cost way to implement the evidence-based model. Panelists also emphasized that as outcome-based grant evaluation is still in its infancy, there are no formal, well-thought-out guidelines to follow, and states are still exploring what works and what does not.

Tiered Evidence Model

The Forum held several discussions on the *Tiered Evidence Model*, one of the evidence-based initiatives launched in federal agencies since 2009. In this model, each tier represents a level of evidence of program effectiveness and outcomes, and programs with higher level tiers receive additional funds. Forum discussions featured the following two grant programs that adopted the tiered evidence model in their evaluation process.

Workforce Innovation Fund

The Forum's January 2013 Monthly Meeting titled *Frontline Stories from the Workforce Innovation Fund: Leading Evidence-Based Change* provided examples of incorporating data into outcome-based management, building knowledge about effective practices through rigorous evaluation, and translating "lessons learned" into improved labor market outcomes. Moderated by a program officer of the Department of Labor and highlighting two grantees from the City of Los Angeles and the State of Ohio, the presentation communicated the Fund's objective of supporting "projects that demonstrate innovative strategies or replicate effective evidence-based strategies that align and strengthen the workforce investment system in order to improve program delivery and education and employment outcomes for program beneficiaries."

Grant award amounts are tied to the level of evidence that exists regarding the expected impact or effectiveness. Award amounts are made on the basis of a tiered evidence model and grantees that can demonstrate a strong level of evidence and potential to scale a program to the national level receive more funding than grantees who are working in developmental areas where evidence is less prominent. Although the model awards higher amounts on the basis of evidence, it still fosters innovation by awarding grants to entities that may be embarking into new areas that have the potential for success, but lack evidence of impact. These discussions stressed the importance of both relying on evidence and rewarding innovation in order to improve program delivery initiatives.

Investing In Innovation (i3) Fund

The Department of Education's competitive i3 grant process also uses a tiered evidence model where grantees fall into "Development, Validation and Scale-Up" categories. These represent the different levels of evidence and degree of effectiveness that, again, seeks the dual purpose of finding unproven innovations and simultaneously seeking to scale what works. The Office of Innovation and Improvement within the Department of Education administers the i3 grant program. Associate Assistant Deputy Secretary Nadya Dabby presented at the Forum's monthly meeting in June 2013 and she shared her insights on how the i3 program is accomplishing this dual-purposed, seeking and scaling grant design. In spite of the implementation challenges, the Department of Education hopes to infuse similar tiered- evidence structures in other education funding streams.

Pay For Success

The discussion at the Forum's July 2013 monthly meeting focused on *Frontline Insights about Pay For Success: Service Providers' and Partner's Perspectives on a Cutting-Edge Policy Tool.* Pay for Success is an innovative public governance tool where up-front operational costs for programs are funded with private resources, and those costs are reimbursed with public resources when positive outcomes for program recipients are achieved. Panelists agreed that "Pay for Success" is appropriate for certain types of service delivery systems when there are measurable outcomes and demonstrable cost savings for government. The most significant challenge is identifying and negotiating on the outcomes to be achieved when data exist within multiple government agencies. The panelists also recommended some "first steps" to implement the Pay for Success model, providing Forum members context and deeper understanding of this innovative funding strategy.

Behavioral Insights

The panel discussion at the March 2013 monthly meeting *Using Behavioral Insights to Improve Program Performance, explored* the cutting edge use of behavioral economics in improving program performance. The Panel highlighted the pilot program *Behavioral Interventions to Advance Self-sufficiency* (BIAS) sponsored by the Administration for Children and Families in the U.S. Department of Health and Human Services. BIAS, building on the UK's Behavioral Insights Team Model, is the first program in the U.S. designed to apply a behavioral economics lens to programs that serve poor families and to build evidence for the effectiveness of behaviorally informed interventions. One of the BIAS grantees from Texas discussed how they use the BIAS funds to increase participation in child support modifications for incarcerated noncustodial parents, utilizing incremental behavioral changes to drive increased program efficacy.

2. TECHNOLOGY AS AN ENABLER TO IMPROVE PROGRAM PERFORMANCE

Technology provides tools to government and its private sector and nonprofit partners to break down program silos, deliver services effectively across organizational boundaries, and improve government program performance. Integrating technology into service delivery at all levels of government has been a significant element of the Collaborative Forum's work since its establishment. Examples of Forum discussions in this area include:

Identity Verification in a Virtual World

Recognizing the need to balance online data security concerns with the desire to provide more effective service delivery, the Forum held a series of discussions on the issue of virtual identity verification. At the Forum's Monthly Meeting in December 2011, a distinguished panel of Academy Fellows led a robust discussion on a number of central issues surrounding identity verification, including program delivery, cybersecurity and risk management; public ambiguities and trust; and intergovernmental collaboration. In March 2012, the Forum invited National Institute of Standards and Technology's Jeremy Grant to present the National Strategy for Trusted Identities in Cyberspace Initiative (NSTIC), a White House initiative to build secure, privacy-enhancing, and convenient online transaction environment. Meeting participants explored the overlaps between NSTIC and the Forum's identity verification work and how they can support each other. A Collaborative Forum Work Group, comprised 46 Forum members, consolidated the thoughts and feedback
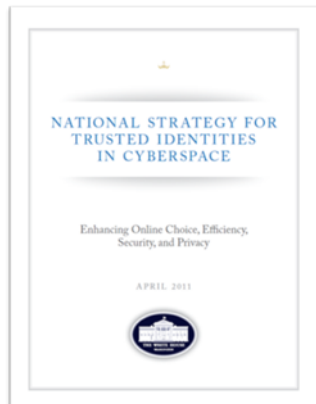
In March 2013, OMB announced the award of a pilot *Trusted Online Credentials for State Agencies* to provide competitive grants to use identity solutions aligned with the NSTIC standards to improve virtual identity management in benefits programs.

Michigan Enterprise Data Warehouse

The Michigan Enterprise Data Warehouse represents a best practice for data sharing at the state level. The Forum invited stakeholders from Michigan to introduce this model and discussed piloting a concept that could expand the Michigan's approach. The Enterprise Data Warehouse, first implemented within the Michigan Department of Community Health (MDCH), enabled the agency to link person-level records from one database to another and to monitor the cost and care associated with a single individual across multiple programs. The Data Warehouse has transformed the state's health care program management and generated significant cost-savings. Shortly after its implementation by MDCH, a number of state agencies in Michigan also began to use the Enterprise Data Warehouse to analyze and monitor their programs.

3. HARNESSING INNOVATION: INNOVATIVE SOLUTIONS TO SERVICE DELIVERY

The Collaborative Forum has served as an important venue for states, local governments, federal agencies, and other stakeholders to introduce and spread innovative approaches to improving government program performance.
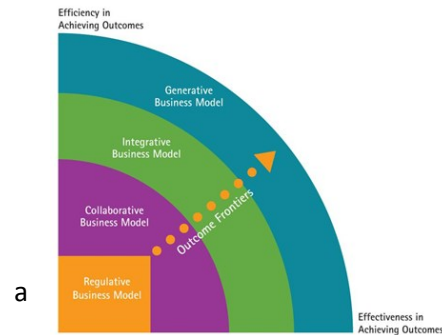
PerformanceStat

Government budgetary and managerial decision making should be supported by credible and useful performance information. *The PerformanceStat approach to municipal leadership is one … by which reform-minded mayors can wring better performance out of snarled municipal bureaucracies. Since its popularization in Baltimore, the strategy has spread to more than a dozen U.S. cities and the "-Stat" suffix has been appended to programs at local school districts and at many state and federal agencies[3].* The Forum's monthly meeting in September 2012 focused on the design, implementation, and impacts of PerformanceStat and panelists described Performance Stat as "a series of regular, frequent, and integrated meetings during which leadership and staff use current data to analyze specific, previously defined aspects of each unit's past performance." Leadership commitment plays an integral part in the success of the PerformanceStat strategy and is a unique aspect of this innovative approach too performance management. Maryland has established itself as a national leader in the PerformanceStat movement. The success of the Baltimore CitiStat and Maryland StateStat has highlighted the strengths and challenges revolving around leadership accountability and collaborative, evidenced-based management approaches. Frequent Stat meetings, timely and accurate data processing have led to increased accountability and improved performance in Maryland.

Innovation and Service Providers – How Data Drives Frontline Results

At the Forum's October 2012 Monthly Meeting, a

Source: http://www.accenture.com/us-en/Pages/insight-cultivating-change-human-services-value-curve.aspx

panel of experts presented the *Human Services Value Curve Model [4]*, a new business model proposed at the 2012 Human Services Summit to improve government human services performance in the 21st century. The panelists described this model as a framework designed to guide government leaders to transform business models to increase the service delivery capacity of their organizations. As an organization progresses along the curve, its service delivery and governance model becomes more integrated across program and organization boundaries. State officials from Ohio and DC discussed their experiences in using the *Human Value Curve* model to integrate state service delivery and stressed the enhanced program integration in their organizations has led to improved service delivery.

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3 Smart Cities: PerformanceStat at 15: The case for performance management in city government, fifteen years after the popularization of "Stat"; October 2010; www. http://www.oracle.com/us/industries/public-sector/oracle-stat-15-wp-301230.pdf
4 Details of the Human Services Value Curve Model can be found in the Panel's presentation slides, which can be accessed on the Forum website.

Innovative Data Management: Harnessing Data to Develop and Demonstrate Effective Homelessness Intervention

At the August 12, 2012 monthly meeting, the Forum invited a panel of experts share their experiences in implementing innovative data management practices to improve outcomes for various types of homelessness interventions. Panelists said that U.S. cities were inconsistent in their approaches to data collection about the extent of homelessness. Cities that used data from their administrative systems were doing a better job in addressing homelessness than those that did not use this type of data. Through a collaborative effort between the National Alliance to End Homelessness, OMB, and Congress, the Department of Housing and Urban Development (HUD) began requiring recipients for federal aid to collect data on homelessness. This innovative and collaborative approach developed a common vocabulary that outlined shared terminology on homelessness and housing stability – thus putting stakeholders on the same page. They also created common data standards in order to more effectively collect and record housing status of beneficiaries and ultimately improve outcomes.

Los Angeles County also had success in integrating administrative records across three systems—corrections, human services, and child welfare—to help evaluate the effectiveness of its pilot housing subsidy program to provide services to 900 adults experiencing homelessness.

The pilot revealed that the county's integrated database created a strong mechanism for evaluating pilot outcomes across programs (homeless prevention, employment, and public assistance costs). The U.S. Interagency Council on Homelessness has been promoting data transparency and data standardization through a number of ways. Their experiences have shown that adopting a common homelessness vocabulary and data standards has led to improved understanding and coordination of services, and measurement of outcomes.

Collaborative Forum

CRITICAL SUCCESS FACTORS FOR IMPLEMENTING NEW WAYS OF DOING BUSINESS

The Forum's activities showcased how innovators and change agents were developing new ways of doing business to achieve results during a time of constrained budget resources. Collaboration—either through building informal networks or establishing formal partnership agreements—was a key feature of these new approaches. Various champions formed these collaborative mechanisms to achieve a common goal, outcome, or initiative. The mechanisms occurred:

- Within a single governmental level or department;

- Across multiple levels of government; and/or

- Between governmental institutions and the private sector/non-profit organizations.

Several different critical success factors (CSFs) contributed to the effectiveness of these collaborative mechanisms and their ability to achieve results.

Many of the CSFs for building these collaborative mechanisms are no different from the CSFs that are needed to successfully implement any major management change. Public administration literature is replete with CSFs for managing change and implementing collaborative partnerships. For example, Kathryn Newcomer has identified the importance of leadership, culture, strategic management, and performance measurement when considering an organization's capacity to manage change[5].

GAO cites similar areas and others in its report on issues to consider for implementing interagency collaboration mechanisms[6]. The Department of Health and Human Services (HHS) developed a resource guide for nonprofit organizations on how to develop and maintain partnerships. The guide includes various "tips" such as:

- Identify and consult with all relevant stakeholders

- Obtain commitment from senior managers in affected organizations

- Ensure stakeholders participate from the earliest opportunity

- Establish clear objectives and accountability for achieving them

- Agree to a performance management process[7]

In addition to these "tips", the Academy team observed that champions of these collaborative mechanisms developed methods for transparent communication and were flexible in their thinking and approach.

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5 Kathryn Newcomer, The Trachtenberg School of Public Policy and Public Administration, Stewardship of Change in the Public Interest: Diagnosing Challenges and Managing Risks, May 8, 2012.
6 The seven key issue areas are (1) outcomes and accountability, (2) bridging organizational cultures, (3) leadership, (4) clarity of roles, (5) participants, (6) resources, and (7) written agreements. See Government Accountability Office, MANAGING FOR RESULTS: Key Considerations for Implementing Interagency Collaborative Mechanisms, September 2012, GAO-12-1022
7 Department of Health and Human Services Compassion Capital Fund National Resource Center, Partnerships: Frameworks for Working Together, 2010.

Table 1 shows examples of the strategies aimed at several of the aforementioned tips and CSFs. Many of these strategies surfaced during FY 2013 Forum meetings as the Forum's focus shifted from developing ideas for pilot projects to sharing information about innovation and best practices across all levels of government. Given the breadth of the Forum's activities, the intent is not to itemize a strategy for every CSF but to illustrate the types of strategies that champions employed to achieve results. The table demonstrates that the CSFs were important regardless of who the ultimate beneficiaries were for a particular initiative or whether the initiative focused on technology, service delivery, or budget improvements.

WHAT'S NEXT ?

The funded pilots have begun to render promising results and illustrate some early best practices for innovative program integrity and performance initiatives. The progress reports from the pilot program administrators demonstrate potential for positive return on investment and a deeper understanding of the value of coordinating across agencies and sectors in order to provide citizens with the highest quality service delivery. The Academy Team continues to provide updates of funded pilot operations well as key activities in the evidence and innovation arena that broaden the Forum's understanding of how to best delivery federally funded, state and locally administered services to the American public.

TABLE 1: CSFS FOR NEW WAYS OF DOING BUSINESS THROUGH PARTNERSHIPS

Champion: Initiative Collaborative Forum Event	CSF	Strategies Employed
Washington DC: Reduce backlog in sheltering homeless families by addressing departmental silos *Innovation and Service Providers – How Data Drives Frontline Results* (October 24, 2012 CF monthly meeting)	Stakeholder involvement and continued participation Clear objectives	• Staff were reassigned from various offices within Department of Human Services to establish a new Homeless Services Intake Unit • Staff developed new guideless by focusing outcomes rather than process
Los Angeles: Align multiple youth service programs to combat high school dropout rate and address youth employment challenges *Frontline Stories from the Workforce Innovation Fund: Leading Evidence Based Change* (January 17, 2013 CF monthly meeting)	Stakeholder Involvement and continued participation	• The Los Angeles Reconnections Career Academy (LARCA) built a coalition of stakeholders, including staff from the Mayor's Office, various workforce boards, support services, and local school boards to gain support for new alignment • LARCA developed information sharing agreements and collocated of Los Angeles city staff at schools and Youth WorkSource Centers to obtain access to student data to address data privacy concerns
Delaware: Develop an enterprise-level climate of ownership and accountability for the confidentiality, integrity, and availability of information assets *How Can States Prepare to Meet Cybersecurity Challenges Now and In the Future*((April 25, 2013 CF monthly meeting)	Commitment of senior managers Stakeholder involvement and participation Transparent communication Performance management	• Governor served as a "cheerleader" for cyber security initiative and empowered staff to achieve results • Chief Security Officer (CSO) collaborated with and leveraged existing national partnership with the Multi-State Information Sharing Analysis Center and other partnerships to avoid "reinventing the wheel" • CSO's office developed training and awareness programs, including the annual cyber security public exercise and cyber security bus to publicize cyber security risks CSO's office developed a scorecard for biennial cyber security assessments

Champion: Initiative Collaborative Forum Event	CSF	Strategies Employed
Illinois: Implement Statewide Budgeting for Results to allocate resources based on government-wide goals instead of historical funding levels *Practical Steps for Implementing Budgeting For Results: Illinois' Perspective and Lessons Learned* (August 20, 2013 CF webinar)	Commitment from senior managers Stakeholder involvement and continued participation Performance management	• Illinois' Governor established a cross-sector budget reform commission, including representatives from the private sector, to help identify government-wide outcomes • State Office of Management and Budget and Program Directors sought implementation buy-in by selecting a diverse group of 60 Chief Results Officers (CROs) across government • CROs led performance reporting and change management efforts
Illinois: Create a State-wide enterprise approach to healthcare and human services by developing an overarching framework encompassing three components--governance, planning, and engagement *Partnership Fund Project*: *Interoperability Innovation Grants* (August 6, 2013 Forum Feature Call)	Transparent communication Stakeholder involvement and continued participation	• An Executive Committee (EC) was established to oversee development of the framework. • Members of the EC recognized the need to function as health and human services enterprise rather than seven siloed agencies • The Steering Committee introduced the framework to all stakeholder groups and solicited feedback for design and priorities through town hall conversations, focus groups, and virtual conversations, which involved more than 400 stakeholders
Centers for Disease Control (CDC): Require grant proposals include a logic model that describes measurable expected outcomes for CDC's non-research grants; establish consistent grant evaluation approaches *Rethinking Grant Evaluation: Approaches to Drive Better Outcomes Bringing Stakeholders Together to Advance ad Evidence-Based Grant Funding Process* (June 27, 2013 CF monthly meeting)	Transparent communication	• CDC's Office of the Associate Director for Program sought to achieve a significant culture shift and gain buy-for this new approach through "gently engaging" in collaboration—at no additional cost and limited staff resources • Collaboration involved working inside the agency and with affected stakeholders, such as states and localities, to communicate the plan, achieve buy in, and provide technical assistance

Champion: Initiative Collaborative Forum Event	CSF	Strategies Employed
Centers for Medicaid and Medicare Partnership Fund Pilot: Improving Medicaid Provider Integrity through State Shared Services *Partnership Fund Pilot: Improving Medicaid Provider Eligibility through State Shared Services* (September 11, 2013 Forum Feature Call)	Flexible thinking and approach	• CMS and Minnesota developed a multi-sector collaborative network consisting of CMS, NASA, the Minnesota Department of Human Services, HHS, and private sector companies to identify shared services solutions to screen Medicaid providers • The pilot team used NASA's crowdsourcing technique to identify possible software solutions through "contests" The iterative and nimble nature of this approach identified two different types of software solutions at a much lower cost than traditional software development approaches

APPENDIX A: PROPOSAL ON THE FUTURE OF INTERGOVERNMENTAL RELATIONS
Intergovernmental Collaboration Work Group
The Collaborative Forum

SUMMARY

Members of the Collaborative Forum (Forum) recently examined its work to determine what worked well and what lessons the group has learned. This candid and objective examination revealed that the Forum is meeting its charge by generating ideas for pilot projects that test innovations in how the federal government and states operate federally-funded assistance programs. The examination also clarified the importance of intergovernmental collaboration and discussion. The Intergovernmental Collaboration Work Group (Work Group) brought together the perspectives of federal, state, local, and non-government organizations in examining the Forum's work. The Work Group recognizes the value of the Collaborative Forum as a means of fostering innovation and intergovernmental cooperation and makes the following recommendations, which are explained in greater detail later in this document.

Recommendations
The Work Group recommends that the Forum should:
- Be expanded to provide an ongoing dialogue among the levels of government and that it become a venue for officials to work together in identifying, evaluating and solving intergovernmental challenges.
- Help develop an objective basis for determining whether programs are effective.
- Streamline the approval process for pilot initiation and evaluation with OMB providing greater direction and oversight.

BACKGROUND

The Forum is a community of stakeholders who work together to generate and review ideas for pilot projects that test innovations in how states administer and operate federally-funded assistance programs. Funding for the pilots is provided by the Partnership Fund for Program Integrity Innovation, which is a federal program operated by the U.S. Office of Management and Budget (OMB).

The Need for an Intergovernmental Collaborative Forum

Participants in the Forum created the Work Group to develop a structure and approach for improving intergovernmental relations. The Work Group sought to improve communication, cooperation, and collaboration among federal, state, and local agencies in the delivery of services. On average, almost 40 percent of the states' dollars are derived directly from the federal government.[1] And, while the federal government sends more than $600 billion a year to the states, there is currently no neutral, nationally-recognized body devoted to advancing the relationships among federal, state and local governments.

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[1] *Intergovernmental Financial Dependency: A study of Key Dependency Measures for the 50 States,* CliftonLarsonAllen, LLP, 2012, page 2.

As governments become more dependent on the resources of other levels of government, they begin to lose control over their boundaries. A recent report by Paul Posner of George Mason University and Anthony McCann of the University of Maryland submits that "the federal government has become increasingly reliant on the energies of thousands of private contractors and state and local governments to participate in federal programs. While the federal government gains new expertise and workforces, they also lose autonomy by relying on other sectors with independent priorities and agendas."[2] Increased interdependency could increase tensions and competition for scarce resources, which would heighten the need for a neutral venue that can act as an impartial broker of trust across all levels of government. A neutral venue could help resolve tensions that are likely to emerge as governments vie for resources while striving to maintain service levels.

Taxpayers fund the priorities and agendas of all governments. According to Posner and McCann, federal spending only accounts for 60 percent of the public sector's revenues and 69 percent of spending. "State and local governments, employing nine times as many employees as the national government, have become vital partners in implementing most major domestic federal programs, including those involving welfare, health care and environmental protection."[3] Officials across all levels of government should work together in developing a common definition of success and a mutually-agreeable process for assessing program effectiveness.

The nation's current fiscal situation makes it more important than ever for government agencies to use taxpayer dollars in more effective and cost-effective ways. Governments must work together in a way that is smarter, better, and more effective in delivering results for the American people.

An impartial convener of government representatives becomes more important in an era where modern technology is driving the need for commonality across governments. The need for common data elements, data standards and other specifications is increasingly important as governments communicate electronically. All levels of government should have a say in developing common requirements that form the foundation of electronic communication.

The Work Group discussed various models for intergovernmental cooperation. One model was a policy forum model similar to the Advisory Commission on Intergovernmental Relations (ACIR), which provided a venue for high-level officials from all levels of government to share perspectives from 1959 to 1996. Another model was the administrative forum model, which could include, for example, a somewhat informal arrangement among federal managers and their state and local government counterparts. Given current fiscal constraints, the approaching elections and the complexity of establishing a wholly independent organization, the Work Group concluded that this is not the appropriate time to create a new ACIR-like, independent policy forum. Because the Collaborative Forum is a known entity that already has professional, non-partisan staff, a defined structure, and experience in convening a broad cross-section of stakeholders, it is well positioned to serve as an administrative forum.

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[2] *Budget and Financial Reporting: Toward Greater Integration and Relevance*, Paul L. Posner, George Mason University and Anthony McCann, University of Maryland, submitted to the Academy for Government Accountability, July 12, 2012, p. 3.
[3] Posner and McCann, p. 12.

Benefits of the Collaborative Forum

An effective intergovernmental body should:
- Have a clear mission;
- Be neutral, non-partisan and independent;
- Have professional staff;
- Be independent, stable and widely known;
- Possess stature and standing; and
- Foster cross fertilization across agencies.

The Forum possesses a number of these attributes and it has improved intergovernmental relations in a number of ways. As explained in more detail, below, the Forum has not only funded a number of pilots but has demonstrated the value of intergovernmental collaboration by:

Providing Funding for Innovative Ideas

The Forum has funded nine pilots to test ideas that could have a significant impact on the ability of governments to work collaboratively in providing services, reducing improper payments, fighting fraud, improving efficiency and cutting costs. Attachment A provides more detail on the pilots. The pilots range from one targeting youth in or at high risk of entering the juvenile justice system to one designed to foster interoperability and integration in eligibility, enrollment and other systems. The pilots have largely been within the human services field.

Demonstrating the Value of Intergovernmental Collaboration

The Forum has demonstrated the value of intergovernmental collaboration by:

- Serving as a Convener and Learning Community. Through the secretariat services provided to the Forum under a contract with OMB, meetings and conference calls have been coordinated to focus on a wide variety of issues. The Forum has convened a broad cross-section of people to vet pilot proposals, participate in educational webinars and discuss topics of emerging interest to all levels of government.

- Including a Broad Cross-section of Participants. Participation in the Forum has come from a broad cross-section of federal, state and local government officials. Given the growing importance of technology in producing administrative and programmatic efficiencies, streamlining the provision of services to customers, and improving methods of monitoring and fraud detection, the Forum benefits significantly from representation and participation by all stakeholders, including the private sector.

- Creating a Virtual Community. The Forum's secretariat hosts an interactive website that facilitates communication among participants. Anyone can register to use the website and can then post comments on pilot ideas, register for webinars and work group calls, access key documents and monitor the Forum's calendar. It promotes an "open source" attitude among participants and leverages networking technology.

- Tapping Associations and Other Organizations. Associations and other organizations representing government officials, non-profits and other members of the stakeholder community have played an important role in the Forum. These organizations have consolidated the views of their members and affiliates and have spoken with a unified voice. They have also added structure and cohesion to the Forum.

- Educating Stakeholders. Information and webinars provided by the Forum have helped educate participants so they are able to approach issues from a common base of knowledge, as well as better understand potential alternatives and solutions.

- Providing a Point of Contact. State and local officials are knowledgeable about federal government contacts within their program area, but they may not know who to contact about cross-cutting issues or innovations developed by other programs. OMB staff associated with the Forum have been helpful in responding to questions from state and local governments, bringing experts with needed knowledge and experience into the discussions and in fielding issues that involve or affect more than one agency.

- Maintaining a Manageable Size. Even though there were no limits on who could join the Forum, it was small enough to promote a productive dialogue among participants.

Information on areas in which the Forum has fostered intergovernmental discussion is contained in Attachment B.

RECOMMENDATIONS

Funding for the Forum expires at the end of FY 2013. The Work Group recommends that the Forum be continued through FY 2015. It is recommended that the Forum continue its role in assessing and funding pilots and convening intergovernmental and private sector discussions. Specifically, we recommend that the Forum:

Expand Its Scope. The Forum was initially established to identify, evaluate and fund pilots. The Forum should continue in this role. It should also be expanded to become a "feedback loop" and a place where those with an interest in government operations can identify intergovernmental challenges and work together in developing common solutions.

The Work Group further recommends that:

- Future pilots place more emphasis on effectiveness and customer satisfaction. Many of the current pilots are focused on improving program integrity.

- Through monthly meetings, regular webinar presentations, and weekly group discussions, the Forum should continue to provide opportunities for members to share best practices and learn from one another while helping to advance the pilots.

- The Forum should be expanded beyond a learning community to a proactive, problem-solving community. Since its creation in 2010, the Forum has evolved into a learning community where stakeholders discuss important topics and exchange ideas. Much could be gained by building on

the Forum's evolution into a learning community. The development of white papers could expand the Forum beyond a learning community and proactively target issues across government levels. The white papers could provide needed analysis, ideas, alternatives and best practices for consideration. Development of such papers would leverage the thought leadership and talents of the Forum's members to focus on challenges as well as recommendations for resolution, including possible funding options and key next steps to transform good ideas into action.

Possible topics for action include:
  ◊ Assessing program effectiveness and operational efficiency;
  ◊ Promoting the interoperability of identity or other systems;
  ◊ Reducing inconsistent, overlapping and conflicting requirements;
  ◊ Promoting program transparency;
  ◊ Determining the effectiveness of information technology and other investments; and
  ◊ Reducing program and investment duplication.

- The Forum's evaluation component should be strengthened. Its work should be grounded in research on the outcomes of the pilots and other innovations. The Forum itself should be assessed based on outcomes.

- The Forum should actively promote vertical communication among the levels of government, as well as cross-jurisdictional and program collaboration.

Help in Assessing Programs' Effectiveness. In keeping with the recommended focus on outcomes, the Forum can help develop an objective basis for determining whether a program is effective. It could help governments answer a number of questions, including "How are we doing" and "How we can do better?" It can be proactive in helping governments move from theory to practice in developing a common definition of a program's effectiveness. While developing a mutually-agreeable process for assessing program effectiveness will be difficult, the interdependent nature of governments means that collaboration and consultation is critical in reaching agreement on how to assess and drive better program outcomes. If the federal deficit and debt are to be reduced, the interdependent nature of governments means that state and local governments will be directly affected by reductions in federal spending. The Forum could promote the use of evidence to inform policy and rigorous evaluation to determine whether programs are working effectively.

Expedite Pilot Initiation and Evaluation. The current Forum processes surrounding the translation of good ideas into pilots are time consuming. Multiple levels of approval are needed before a sponsoring federal agency can release a solicitation. As a result, an award may not be made for a year or more after a concept paper is submitted, thereby delaying lessons learned from pilot evaluation. The Work Group believes that the current processes should be streamlined to reduce the required layers of approval and to expedite pilot initiation and evaluation.

In addition, OMB should be more directly involved in providing pilot direction and oversight. OMB can help agencies understand what the pilots are trying to accomplish and help ensure that pilot participants are disciplined in their delivery. OMB can be instrumental in reviewing what works and what does not work on the ground. Then, it can help speed the adoption of best practices.

CONCLUSION

It is critical that all levels of government and non-governmental organizations work together in determining how the public can be better served in both the short and long term. The Forum has been a good first step in facilitating this discussion. It is important to build on the Forum's work, process and progress. The Forum was established to obtain intergovernmental input on pilot ideas and it has succeeded in initiating a number of worthwhile and innovative pilots. A broadening and reemphasis of the Forum's scope would leverage the government's investment in the Forum, while providing a vehicle to improve intergovernmental relations. It could be an initial step toward a neutral, nationally-recognized body devoted to advancing the relationships among federal, state and local governments.

ATTACHMENT A: FUNDED PILOTS

The Collaborative Forum activities have resulted in a number of concrete and measurable outcomes, most specifically, the funded pilots. As ideas for improving program integrity, service delivery, and administrative efficiency are submitted to the Forum for consideration, the collaborative process of developing and refining these ideas has afforded stakeholders a variety of opportunities to test innovative solutions.

- **Do Right by Youth: A Comprehensive Strategy for Juvenile Justice Reform and Reinvestment** *(DOJ).*

  This pilot will enable DOJ and three state or local agencies to develop, implement and test an integrated scorecard tool to realign how decisions will be made about resources and services for youth in or at risk of entering the juvenile justice system based on evidence of impact and cost-effectiveness. Pilot goals include: 1) reduced recidivism rates for juvenile offenders through provision of more effective services and 2) cost savings and/or neutrality for Federal, state, and county juvenile justice systems, such as through decreased high-cost confinement for youth better served by detention alternatives.

- **Interoperability Innovation Grants** *(Health and Human Services (HHS), Administration for Children and Families (ACF))*

  This pilot provides competitive grants to up to four states to develop and implement improved information technology (IT) systems interoperability and integration in eligibility and enrollment, case management, and other related systems. States receiving a grant would be required to produce a public report to inform other states as they consider similar systems issues. The report would detail the architecture used, programs involved, privacy and confidentiality framework developed to support appropriate data sharing, outcomes, and a "road map" for implementation by other states.

- **Identifying State Innovations for Improving Temporary Assistance for Needy Families (TANF) Program** *(HHS, ACF)*

  TANF gives states significant flexibility in how to help needy families achieve self-sufficiency. Based on their specific priorities and requirements, states are best positioned to identify how new or existing data sources and quality control frameworks can prevent TANF improper payments while better identifying very poor families needing assistance. To identify state best practices, ACF will release a TANF program integrity grant announcement inviting states to submit proposals to test new solutions.

- **Automating the Provider Enrollment Process for Risk Assessment and Comparative Analysis** *(Centers for Medicare & Medicaid Services (CMS))*

  The pilot will test an automated tool to screen Medicaid providers for potential fraud by cross-checking their credentials, background, and history among states and with Federal Medicare data.

The pilot evaluation will address potential savings from fraud reduction for states and CMS, the feasibility of integrating Medicare and Medicaid provider files for joint risk assessment, and potential administrative efficiencies from better targeting follow-up actions. CMS will complete the pilot and evaluation within one year.

- **Improving Medicaid Provider Program Integrity through State Shared Services (CMS Pilot Award)** *(Centers for Medicare and Medicaid Services (CMS))*

  This pilot will produce and evaluate a prototype shared services solution for states to verify Medicaid provider eligibility. This solution is a component of the Medicaid Management Information System, which each state currently builds and maintains separately. The pilot will test how open source technology reduces fraud and administrative costs to states and the Federal government by enabling multiple states to check Medicaid provider eligibility.

- **State Debt Recovery via the Treasury Offset Program (Treasury Pilot Award)** *(Department of the Treasury, Financial Management Services (FMS))*

  This pilot will simulate the improved debt collection effects of increased authority for states and Treasury to recover adjudicated overpayments from state programs that have a Federal financial component through the Treasury Offset Program (TOP). This simulation will inform the potential gains associated with increased authority to address specific programs such as TANF. Through TOP offset, states could avoid costlier recovery efforts while recovering larger amounts.

- **Accessing Financial Institutions' Data for Employment Detection (Labor Pilot Award)** *(Department of Labor, Employment & Training Administration (ETA))*

  This pilot will measure improvements to program integrity in programs such as unemployment insurance by accessing transaction information from financial institutions. Using monitoring services currently used by financial institutions to identify suspicious account activity, program staff can conduct timely follow-up with beneficiaries who receive direct deposits marked as payroll to see whether they remain eligible for benefits.

- **National Accuracy Clearinghouse (USDA Pilot Award)** *(Department of Agriculture, Food and Nutrition Service (FNS))*

  This pilot will test gains to program integrity and administrative efficiency by allowing states to check, in real or near-real time using a cloud-based solution or shared data clearinghouse, whether an applicant is already receiving benefits elsewhere. The pilot will test both increased accuracy in eligibility determinations as well as states' ability to issue benefits on one another's behalf in disaster situations.

- **Assessing State Data for Validating EITC Eligibility (EITC Pilot Award)** *(Department of the Treasury)*

  This pilot will assess the availability, quality, completeness, and overall usefulness of state-administered benefits data, as well as state benefits screening processes, to help validate eligibility for the Earned Income Tax Credit (EITC). The pilot will address whether state data

could identify both ineligible individuals who receive improper EITC payments and eligible individuals who are not claiming the EITC.

- **Trusted Online Credentials for State Agencies*** *(Department of Commerce, National Institutes of Standards and Technology (NIST))*

  This pilot will provide competitive grants to two sites (States, State consortia, or non-profits) to enable multiple human services programs to use trusted online credentials meeting the four guiding principles of the National Strategy for Trusted Identities in Cyberspace (NSTIC). The pilot states will demonstrate how identity solutions aligned with the NSTIC can be used to overcome barriers to integrated and effective virtual identity management and provide a foundation for improvement of public benefits administration. Priority will be given to projects which demonstrate the potential for interoperability of an identity credential from a private identity provider with both State and Federal programs.

- **Supporting Permanent Placements of Foster Care Children through Electronic Records Exchange*** *(Department of Health and Human Services, Administration for Children and Families (ACF))*

  This pilot implements real-time, on-line data exchange for States to share records and other information to support permanent placements of foster care children in homes across state lines. The Association of Administrators of the Interstate Compact on the Placement of Children (AAICPC)1 has identified current paper-based processes as causing excessive delays. Children may wait an unnecessarily long time for the paperwork for placement in a permanent home to be manually executed. Anecdotally, States have indicated that mailing documents back and forth alone can take about two months.

*The last two pilots were funded after this proposal was developed. They were not included in the proposal submitted to OMB in January 2013.

ATTACHMENT B: AREAS OF INTERGOVERNMENTAL DISCUSSION

In addition to developing ideas for funded pilots, the Collaborative Forum also serves as a venue for Federal, state, local, and non-government stakeholders to discuss common challenges and share ideas. Through monthly meetings, webinars, and work group discussions, the Forum members continue to learn from each other on a number of innovative practices to improve program integrity, efficiency, and effectiveness. Recent topics of discussion include:

- **Cost Effectiveness**

  The Forum has launched a series of sessions on Measuring Cost Effectiveness in State-Administered Federal Programs. Through these sessions, the Forum engaged panels of experts from the Federal government and NGOs to speak about the benefits of using evidence in budgetary and programmatic decision-making and how agencies and legislatures can make better use of information by integrating existing administrative data and outcomes to maximize program investments and results. Many of these discussions looked at cost effectiveness from the perspective of specific program areas, such as harnessing cost-effectiveness data to improve outcomes for disconnected youth. As Federal, state, and local policymakers are forced to make difficult decisions on spending, the Forum will continue to highlight and discuss innovative strategies for measuring program cost-effectiveness and using this information to produce better program results.

- **Data Management and Integration**

  The management and integration of data has been an ongoing focus of the Forum since its inception. Several of the pilots funded by the Partnership Fund and developed by the Forum center on the efficiencies realized through improved data management and integration. The Forum has held numerous meetings, webinars, and work group discussions that explored both new ideas and existing initiatives that increase program efficiency and reduce fraud by integrating data across silos, programs, and levels of government. Hosting multiple engagements on the value of data integration has allowed the Forum to examine the challenges and benefits of data integration from several different perspectives, such as how data integration an analysis can improve the outcomes of homelessness intervention. The Forum continues to engage its members on this topic and provide opportunities to discuss best practices for data integration across silos to enhance program efficiency and effectiveness.

- **Trusted Identity in a Virtual Environment**

  The development of a system for trusted identity in a virtual environment has been a frequent theme of conversation on the Forum. A series of discussions on the Forum have focused on the central issues surrounding virtual trusted identity, including program delivery, cyber-security, risk management, public ambiguities and trust, and intergovernmental collaboration. In one such engagement, staff from the National Institute of Standards and Technology led a discussion on how the National Strategy for Trusted Identities in Cyberspace (NSTIC) initiative's private-sector approach could inform identity verification efforts in the public sector. The Forum has also heard about state initiatives to find innovative solutions for identity verification in a virtual environment. The establishment of a virtual trusted identity system continues to be of great interest to the Forum, federal, state, and local government, and the private sector. The Forum

looks forward to engaging with the many public, private, and non-profit stakeholder groups that continue to work toward the development of a trusted virtual identity system.

APPENDIX B: COLLABORATIVE FORUM MONTHLY MEETINGS AND WEBINARS
October 2011-September 2013

Topic	Participants	Relevant Title	Relevant Organizational Affiliation
Opportunities and Challenges of Intergovernmental Collaboration	Robert Shea	Former Associate Director for Administration and Government Performance	OMB
Verifying Identity in a Virtual World	Dan Chenok	Former Branch Chief for Information Policy	OMB
	Gary Christopherson	Former Senior Advisor to the Chief Operating Officer, Centers for Medicare and Medicaid Services	U.S Department of Health and Human Services & U.S Department of Veteran Affairs
	Dave Mader	Former Acting Deputy Commissioner for Modernization and CIO	Internal Revenue Service
	Paul Posner	Director, Department of Public and International Affairs	George Mason University
Developing a Framework for Cost-Effectiveness in State-administered Federal Programs	Shelley Metzenbaum	Associate Director for Performance and Personnel Management	OMB
	Kathy Stack	Deputy Associate Director, Education, Income Maintenance, and Labor Branch	OMB
	Dan Tangherlini	Assistant Secretary of the Treasury for Management, Chief Financial Officer, and Chief Performance Officer	U.S. Department of the Treasury
Results First	Sara Dube	Manager, Results First	Pew Center on the States at The Pew Charitable Trusts
Building a Framework for Measuring Cost-Effectiveness	Barry Anderson	Deputy Director	National Governors Association
	Ron Haskins	Senior Fellow, The Economic Studies Program and Co-Director, Center on Children and Families	The Brookings Institution
National Strategy for Trusted Identities in Cyberspace	Jeremy Grant	Senior Executive Advisor for Identity Management	National Institute of Standards and Technology
Managing Data to Achieve Optimal Results	Christopher Sullivan	Director, DoD Accounts	Teradata

Topic	Participants	Relevant Title	Relevant Organizational Affiliation
Benefits.gov	Al Sloane	Program Director, Benefits.gov	U.S. Department of Labor
	Scot McGinn	Porgram Administrator Lead Associate, Benefits.gov	Booz Allen Hamilton
American Public Human Services Association's National Workgroup on Integration	Larry Goolsby	Director of Strategic Initiatives	American Public Human Services Association
Treasury Do Not Pay Program	Thomas Gates	Analyst, Office of Federal Financial Management	OMB
Data Standards Bill	Anne DeCesaro	Professional Staff	U.S. Congress, House Committee on Ways and Means
Transforming our Human Services Delivery System - Breaking Down the Silos and Building Integration	Mary Ann Cooney	Deputy Commissioner, Department of Health and Human Services	New Hampshire
Aligning Federal, State, and Local Strategies to Improve Outcomes for Disconnected Youth	Elizabeth Gaines	Director of Policy	Forum for Youth Investment
	Johan Uvin	Deputy Assistant Secretary for Vocational and Adult Education	U.S. Department of Education
	Tim Burch	Director, Department of Social Service	Clark County, Nevada
	José Esquibel	Director of Interagency Prevention Systems for Children and Youth, Department of Public Health and Environment	Colorado
	Steve Michael	Program Planner, Executive Office, Department of Human Rights, Division of Criminal and Juvenile Justice Planning	Iowa
	Cyndee Odom	Director, Office of Adoption and Child Protection, Executive Office of the Governor	Florida
	Cindy Arenberg Seltzer	President and CEO, Children Services Council	Broward County, Florida

Topic	Participants	Relevant Title	Relevant Organizational Affiliation
Innovative Data Management: How Do We Drive Better Decision Making and Service Delivery?	Dan Rosenbaum	Senior Economist, Economic Policy Division	OMB
	David Patterson	Section Chief, Health and Demographics, Office of Research, South Carolina Budget and Control Board	South Carolina
	Demetra Smith Nightingale	Chief Evaluation Officer	U.S. Department of Labor
Innovative Data Management: Harnessing Data to Develop and Demonstrate Effective Homelessness Intervention	Nan Roman	President and CEO	National Alliance to End Homelessness
	Dennis Culhane, PhD	Professor, Dana and Andrew Stone Chair in Social Policy	University of Pennsylvania
	Manuel Moreno	Research Director, Office of the CEO	Los Angeles County
	Barbara Poppe	Executive Director	U.S. Interagency Council on Homelessness
Florida Interstate Compact on the Placement of Children System Database	Carla Fults	Division Director	The American Public Human Services Association
	Stephen Pennypacker	Compact Administrator, Department of Children and Families	Florida
PerformanceStat at the Federal, State and Local Levels: A Leadership Tool To Improve Results	Andrew Feldman	Special Advisor for Intergovernmental Performance Management	OMB
	Robert Behn	Lecturer in Public Policy, Faculty Chair of the Executive Education Program on Government Performance	Harvard Kennedy School
	Matthew Gallagher	Chief of Staff, Governor	Maryland
	Lisa Danzig	Director, Office of Strategic Planning and Management	U.S. Department of Housing and Urban Development

Topic	Participants	Relevant Title	Relevant Organizational Affiliation
Innovation and Service Providers- How Data Drives Results	Antonio Oftelie	Fellow and Executive Director, Leadership of a Networked World	Harvard University
	Greg Moody	Director of Health Transformation	Ohio
	David Berns	Director, Department of Human Services,	Washington, D.C.
Virginia Electronic Health and Human Resources program	Mark Farnsworth	Special Advisor for Electronic Health and Human Services Integration, Commonwealth Authentication Services, Department of Motor Vehicles	Virginia
	Joe Grubbs	Commonwealth Data Governance Service Lead and Administrator for the Health Information Technology Standards Advisory Committee, Virginia Information Technologies Agency	Virginia
	Mike Wirth	Special Advisor on Electronic Health and Human Services Integration, Department of Health and Human Services	Virginia
Building a Trust Framework to Support Enterprise Information Exchange	Joe Grubbs	Commonwealth Data Governance Service Lead and Administrator for the Health Information Technology Standards Advisory Committee, Virginia Information Technologies Agency	Virginia
Pew Center for the States- Results First Program Update	Sara Dube	Manager, Results First	Pew Center on the States at The Pew Charitable Trusts
Frontline Stories from the Workforce Innovation Fund: Leading Evidence-Based Change	Gina Wells	Policy Analyst, Office of Workforce Investment, the Employment and Training Administration	U.S. Department of Labor
	Robert Sainz	Assistant General Manager, Economic and Workforce Development	Los Angeles
	Mark Birnbrich	Project Director, Electronic "Ohio Means Jobs".com, Department of Jobs and Family Services	Ohio

Topic	Participants	Relevant Title	Relevant Organizational Affiliation
Technology and Innovation Driving Improved Service Delivery and Evidence-Based Decision Making	Alan Shark	Executive Director	Public Technology Institute
	Justin Herman	New Media Manager, Center for Digital Government	General Services Administration
	Mike Powell	Chief Innovation Office	Maryland
Lessons Learned from the State of Utah: Demonstrating Value in Information Technology Investments	Dave Fletcher	Chief Technology Officer	Utah
Using Behavioral Insights to Improve Program Performance	Emily Schmitt	Social Science Research Analyst, Office of Planning and Research, Administration for Children and Families	U.S. Department of Health and Human Services
	Maya Shankar	Post-doctoral research fellow in cognitive science	Stanford University
	Michael Hayes	Deputy for Family Initiatives in the Child Support Division, Office of the Attorney General	Texas
Urban Institute: With Charity fro All: Are Nonprofits Delivering on Their Promises?	Elizabeth Boris	Director, Center for Nonprofits and Philanthropy	Urban Institute
	Ken Stern	Former CEO	National Public Radio
	Sonal Shal	Senior Fellow	Case Foundation
	Thomas Harvey	Director, Nonprofit Excellence Program	University of Notre Dame
How Can States Prepare to Meet Cybersecurity Challenges Now and In the Future?	Thomas MacLellan	Director, Homeland Security and Public Safety Division	National Governors Association
	Doug Robinson	Executive Director	National Association of State Chief Information Officers
	Elayne Starkey	Chief Security Officer	Delaware

Topic	Participants	Relevant Title	Relevant Organizational Affiliation
A Policy Reasoning Engine: Innovations for the Department of Homeland Security Data Privacy Research and Development Program	K. Krasnow Waterman	Visiting Fellow	Massachusetts Institute of Technology
	Micheline Casey	Former Chief Data Officer	Colorado
	Karyn Higa-Smith	Program Manager, Science and Technology Directorate, Advanced Research Projects Agency, Cyber Security Division	U.S. Department of Homeland Security
National Governors Association's Cohort Technical Assistance: A New Model for Supporting Innovation and Continuous Improvement in Government Services	Garrett Groves	Senior Policy Analyst	National Governors Association
Outcome Based Budgeting - Practical Ways to Apply Lessons Learned and Focus on Results	Jitinder Kohli	Director	Deloitte Consulting
	Scott Pattison	Executive Director	National Association of State Budget Officers
	Steve Redburn	Former Project Director	Peterson-Pew Commission on Budget Reform
Rethinking Grant Evaluation: Approaches to Drive Better Outcomes Bringing Stakeholders Together To Advance an Evidence-Based Grant Funding Process	Jitinder Kohli	Director	Deloitte Consulting
	Ann O'Connor	Chief, Program and Planning and Advancement, Office of the Associate Director for Program	Centers for Disease Control and Prevention
	Nadya Dabby	Associate Assistant Deputy Secretary, Office of Innovation and Improvement	U.S. Department of Education
	Carson Hicks	Director of Programs & Evaluation, Center for Economic Opportunity	New York City

Topic	Participants	Relevant Title	Relevant Organizational Affiliation
Frontline Insights about Pay For Success: Service Providers' and Partner's Perspectives on a Cutting-Edge Policy Tool	Jitinder Kohli	Director	Deloitte Consulting
	Lili Elkins	Chief Strategy and Development Officer	Roca (non profit)
	Deb DeSantis	President and CEO	CSH - The Source for Housing Solutions
	Megan Golden	Fellow, Graduate School of Public Service	New York University
Practical Steps for Implementing Budgeting For Results: Illinois' Perspective and Lessons Learned	Gregg Wass	Senior Advisor to the Governor	Illinois
	Jacob Stuckey	Management analyst, Office of Management and Budget	Illinois
	Brad Broughton	Budget analyst, Office of Management and Budget	Illinois
Collaborating for Impact: Improving Outcomes for Youth through Performance Partnerships	Johan Uvin	Deputy Assistant Secretary for Vocational and Adult Education	U.S. Department of Education
	Elizabeth Gaines	Vice President of Policy Solutions	Forum for Youth Investment
	Danielle Evennou	Policy Manager	Forum for Youth Investment
	José Esquibel	Director of Interagency Prevention Systems for Children and Youth, Department of Public Health and Environment	Colorado
	Cindy Arenberg Seltzer	President and CEO, Children Services Council	Broward County, Florida

PARTNERSHIP FUND FOR PROGRAM INTEGRITY INNOVATION: PILOT FUNDING, DESCRIPTIONS, AND EXPECTED OUTCOMES [*]

Pilot (Federal Agency)	Allocation/ Obligations[1]	Description and Status	State Participants	Evaluation Phase
Pilot approved January 2011				
Assessing State Data for Validating Earned Income Tax Credit (EITC) Eligibility (Department of the Treasury)	$1.25 million / $980,000	Determine the availability, quality, completeness and usefulness of state's benefit data, such as dependent residency, and screening processes to **help validate EITC eligibility and reduce improper EITC payments**. Compares IRS's actual EITC eligibility determinations to simulated results using state data from the Supplemental Nutrition Assistance Program (SNAP) and Temporary Assistance for Needy Families (TANF). The EITC has an improper payment rate of approximately 23 percent.	Wisconsin provided TANF data and Florida is providing TANF and SNAP data.	The evaluation assesses the potential implications of using state data for the EITC, particularly in light of results of the pilot and provides quantitative and qualitative information on the cost and level of effort required to access data across 50 different state systems under a national program.
Pilots approved May 2011				

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[1] Obligation data is not current.

[*]More detailed information on the funded pilot is available on the Forum Website.(http://fundedpilots.community.collaborativeforumonline.com/)

APPENDIX C:

PARTNERSHIP FUND FOR PROGRAM INTEGRITY INNOVATION: PILOT FUNDING, DESCRIPTIONS, AND EXPECTED OUTCOMES[*]

Pilot (Federal Agency)	Allocation/ Obligations[1]	Description and Status	State Participants	Evaluation Phase
Improving Medicaid Provider Program Integrity through State Shared Services

(Centers for Medicare & Medicaid Services (CMS)) | $2.5 million / $2.3 million | Develop and evaluate a shared services solution for states' Medicaid Management Information System (MMIS) that will be used for verifying Medicaid provider eligibility. A shared services solution could significantly **reduce state and federal development costs for MMISs**, which are currently developed and maintained in each State. Data sharing on provider eligibility may help prevent provider fraud. CMS is using a "Challenge" approach whereby the federal government identifies the information technology goal without prescribing the approach. CMS executed an interagency agreement with the National Aeronautics Space Administration to administer the Challenge program.

More than 140 Challenge Contests have been completed. CMS has been working with their partners and Minnesota to review proposed solutions and run the final Challenge Contests. | Minnesota serves as the "State Champion" and has helped to develop the approach for continued state engagement. | The evaluation measures both administrative efficiencies available to states and CMS from the model as well as savings from increased program integrity. |
| State Debt Recovery via the Treasury Offset Program (TOP)

(Department of the Treasury) | $650,000 / $577,000 | Evaluate how the Treasury Offset Program (TOP) could be used to **increase recoveries of hard-to-collect state debt** by offsetting federal payments, such as tax refunds. State-submitted debt information is matched to federal payment information to simulate the potential increase in recoveries in programs such as TANF, Medicaid, and Child Care.

FMS has contracted with GR-Systems to analyze and interpret the test results and simulate offsets using State data. | Arkansas, Illinois, Kansas, North Carolina, Texas, Washington, and Wisconsin provided debt data. | The simulation looks at which state-managed programs should be referred, which payments should be offset, the potential amount of recovered funds, and the costs/benefits of this method of debt recovery. As a simulation, no actual offsets are processed. |

PARTNERSHIP FUND FOR PROGRAM INTEGRITY INNOVATION: PILOT FUNDING, DESCRIPTIONS, AND EXPECTED OUTCOMES [*]

Pilot (Federal Agency)	Allocation/ Obligations[1]	Description and Status	State Participants	Evaluation Phase
Accessing Financial Institutions' Data for Employment Detection (Department of Labor, Employment & Training Administration)	$600,000 / $600,000	Evaluate through simulations the usefulness and efficacy of using financial institution monitoring tools, such as those already widely employed by banks, to (1) **identify unemployment insurance (UI) beneficiaries who are actually employed and (2) speed the identification of claimants who have gone back to work to help reduce the UI improper payment rate**, which is approximately 11 percent. States are reviewing the research data. The data indicate that monitoring tools increase the detection of the number of improper payments and the speed of detection beyond the states' current processes.	Maryland, Missouri, and Illinois	The evaluation compares the usefulness and efficacy of financial institution transaction data versus current data sharing in preventing improper payments in the UI program.
National Accuracy Clearinghouse (Department of Agriculture, Food and Nutrition Service)	$2.5 million/ $2.5 million	Evaluate whether an information data exchange among several states **eliminates duplicative or improper SNAP payments** in states and whether states can issue Disaster SNAP on behalf of other states. A shared data clearinghouse would allow states to check, in real or near-real time, whether an applicant is already receiving benefits in another state, which may **speed the identification of improper payments.**	Mississippi (lead state) Alabama, Florida, Georgia, and Louisiana	The evaluation assesses whether states can readily provide the data, the utility of the data, and the potential to use the data to facilitate enrollment for individuals and families that move from one state to another and reduce duplicative or improper payments across state lines.
Pilots approved October 2011				

PARTNERSHIP FUND FOR PROGRAM INTEGRITY INNOVATION: PILOT FUNDING, DESCRIPTIONS, AND EXPECTED OUTCOMES [*]

Pilot (Federal Agency)	Allocation/ Obligations[1]	Description and Status	State Participants	Evaluation Phase
Automating the Provider Enrollment Process for Risk Assessment and Comparative Analysis (CMS)	$2.9 million / $2.7 million	Evaluate an automated tool to screen Medicaid providers to identify potential fraud by cross-checking their credentials, background, and enrollment histories in states with federal Medicare data. The tool is expected to **reduce provider fraud, which could lead to significant savings at the state and federal levels**. Initially, the pilot was to focus on 4 states, but CMS is working with 48 states to validate findings on potential high-risk Medicaid providers. CMS is also continuing internal validation findings for Medicare. CMS is working across the 48 states to disseminate findings, recommendations, and implementation strategies.	Texas, California, Arizona, Arkansas, Washington, Tennessee, Oregon, Minnesota, New Mexico, North Carolina, and New Jersey	The evaluation addresses potential savings from fraud reduction for states and CMS, the feasibility of integrating Medicare and Medicaid provider files for joint risk assessment, and potential administrative efficiencies from better targeting follow-up actions.
Pilots Approved May 2012				
Do Right by Youth: A Comprehensive Strategy for Juvenile Justice Reform and Reinvestment (Department of Justice, Office of Juvenile Justice and Delinquency Prevention OJJDP)	$3.45 million / $3.45 million	Develop, implement, and evaluate the effectiveness of a scorecard tool that uses information about youth development, risks and needs, and program effectiveness allow state and local agencies to support **more cost-effective contracting decisions**. Program staff will better be able to divert young offenders away from high-cost incarceration into less expensive alternatives that lead to **better rehabilitation outcomes.** OJJDP is working with the three pilot sites, the evaluator, and the training and technical assistance grantee to conduct site visits and training.	Iowa, Delaware, and the City of Milwaukee, W Pilot sites are working with the TA provider and local isconsin	The evaluation tracks both system-level and youth-level outcomes, including recidivism rates, cost effects for all levels of government, and implications for youth such as service availability and behavioral changes in substance abuse, school attendance and/or academic improvement. The evaluation also informs adoption and implementation of the scorecard by other states and potential adaptation to other types of programs. OJJDP and their partners have completed a cross-site implementation plan that serves as a "living document" to guide responsive implementation

PARTNERSHIP FUND FOR PROGRAM INTEGRITY INNOVATION: PILOT FUNDING, DESCRIPTIONS, AND EXPECTED OUTCOMES[*]

Pilot (Federal Agency)	Allocation/ Obligations[1]	Description and Status	State Participants	Evaluation Phase
Interoperability Innovation Grants Health and Human Services, Administration for Children and Families	$8.5 million / $8.5 million	Provides competitive planning grants to develop IT "road maps" that describe the design, implementation options, appropriate data sharing, and potential outcomes and impacts for new solutions that will **improve interoperability and integration in eligibility and enrollment, case management, and other related functions across human services and other programs**. Seven grantees are working together to discuss lessons learned and best practices. ACF is conducting quarterly technical assistance visits with each of the grantees.	Colorado, New York, Oklahoma, Illinois, Indiana, California, and Montgomery County, Maryland	Grantees are required to produce a public report to inform other states as they consider similar systems issues that details the architecture used, programs involved, privacy and confidentiality framework developed to support appropriate data sharing, outcomes, and a "road map" for implementation by other states. Grantees continue to share their latest progress and discuss how best to present findings for use by other states and incorporate these products into their interoperability tool kit.
Improving Temporary Assistance for Needy Families (TANF) Program Integrity (ACF)	Up to $3.5 million / 0	Provides states with innovation grants to identify how new and existing data sources and quality control frameworks can **prevent and reduce improper payments in the TANF program.**	Up to three states	The evaluation provides information to states about the effectiveness of various approaches to reduce improper payments in TANF and improve performance. Lessons learned from the pilots are being used to improve internal efficiency and provide guidance to others state human service agencies looking to improve program integrity.
Pilots Approved March 2013				
Supporting Permanent Placements of Foster Care Children through Electronic Records Exchange Health and Human Services, Administration for Children and	$1.25 million / $0	Implements real-time, **on-line data exchange for States to share records and other information** to support permanent placements of foster care children in homes across state lines. The pilot tests whether an automated system **reduces the time to process such cross-state exchanges to determine whether a placement is safe and suitable.** The process is currently manual and paper-based, which can cause excessive delays.	TBD	The pilot evaluation measures timeliness of communication, expeditious exchange of case documentation and similar immediate outcomes as well as utilization and adherence to streamlined ICPC processes. Additional questions, such as those related to the permanency of child placements and the associated savings, may be addressed if it is feasible and results can inform further adoption of the system across states.

PARTNERSHIP FUND FOR PROGRAM INTEGRITY INNOVATION: PILOT FUNDING, DESCRIPTIONS, AND EXPECTED OUTCOMES [*]

Pilot (Federal Agency)	Allocation/ Obligations[1]	Description and Status	State Participants	Evaluation Phase
Families (ACF)		ACF is working to determine the best way to include partners in the pilot.		
Trusted Online Credentials for State Agencies Commerce, National Institute for Standards and Technology (NIST)	Up to $4 million / $0	Provides competitive grants to two sites (States, State consortia, or non-profits) to **enable multiple human services programs to use trusted online credentials** meeting the four guiding principles of the National Strategy for Trusted Identities in Cyberspace (NSTIC). The pilot states will demonstrate **how identity solutions aligned with the NSTIC can be used to overcome barriers to integrated and effective virtual identity management** and provide a foundation for improvement of public benefits administration.	TBD	The evaluation determines how well the pilot solutions improve program integrity, administrative efficiency, and service delivery in keeping with the NSTIC principles, and serves to generate recommendations for states and Federal agencies regarding broader adoption.

Project Study Team

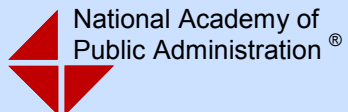**Joseph P. Mitchell, III,** *Director of Project Development*

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