Overview
Do Not Pay Day
Dominique McCreary
May 25, 2021

Do Not Pay
Authorities

Do Not Pay is authorized and governed by the Payment Integrity Information Act of 2019 (PIIA), and several OMB memoranda and circulars*

The authorities generally belong to OMB, which delegated the operational aspects to the Department of the Treasury

PIIA repealed and replaced several laws and authorities

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What is the DNP Business Center?

A resource for **federal agencies** and **federally funded state administered programs** at **no-cost** to the agencies

Centralized access to relevant data sources for **verifying** payment or award eligibility

Customized data analysis to help agencies detect fraud, waste, and abuse and **strengthen** internal controls

Unique Approach of the DNP Solution

Solutions vary according to each agency partner's business problem.

Recommended actions based on the business problem can include…

Web-based Portal

- Verifying eligibility criteria through single or batch searches
- System to system interface with agency financial system for automation
- Source for resolution information to inform Annual Financial Reports

Data Analytics

- Identifying risk in payment processes
- Verifying and improving internal controls

Agency Support Center

- Payment process understanding
- Business problem identification
- Improper payment consultation and ongoing support

Pre-Award/
Pre-Payment Support

Free web-based Portal and central location for improper payment related data needs

Online Search
User can search an individual or entity and view matching records

Batch Matching
One-time bulk submission for screening grants or loan payments against specified data sources

Continuous Monitoring
Continuous screening for eligibility verification against specified data sources using a grantee or loan recipient listing

Web Service/API
A Web Service or Application Programming Interface (API) creates a connection with agency payment systems and the DNP Portal. This integrates the functionalities of the Portal within agency internal systems.

- **Single Query API** call contains the search criteria of one entity to be matched against your agency's approved data source(s). The DNP response will include data source match result(s) for that single entity.
- **Multiple Query API** call contains the search criteria of up to 100 entities to be matched against your agency's approved data source(s). The DNP response will include data source match result(s) for the searched entities.

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DNP Data Sources

The DNP Initiative

American InfoSource Death Data - Obituary/Probate - Commercial
- Commercial data source which contains information on deceased individuals obtained from more than 3,000 funeral homes and thousands of newspapers, as well as county-level probate records

Department of Defense Death Records - Public
- Contains records of individuals in active or reserve military duty, including whether an individual is deceased

Department of State Death Records - Public
- Contains records of American Citizens who are deceased or presumed deceased in foreign countries, as reported by U.S. embassies or consulates upon its receipt of a foreign death certificate or finding of death by a local competent authority

Death Master File (DMF) - Public (SSA)
- Administered by the National Technical Information Services (NTIS). Contains records of deceased individuals as reported by family members, funeral homes, hospitals, federal agencies, postal authorities, and financial institutions. Public version does not include state-reported deaths

Credit Alert System (CAIVRS) - Restricted (DOJ, HUD, SBA, & USDA)
- Contains records of individuals with federal debt in delinquent or default.
- Verify whether an individual is a delinquent federal borrower

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The DNP Initiative (cont.)

Treasury Offset Program (TOP) Debt Check - Restricted (Treasury)
- Contains records of individuals whose debt has been referred to Debt Management Services for collection.
- Verify whether a payee owes delinquent non-tax debts to federal government (and participating states)

List of Excluded Individuals and Entities (LEIE) (HHS OIG) - Public & Restricted
- Verify whether payments are to individuals and entities currently excluded from participating in federal health care programs

Office of Foreign Assets Control (OFAC) - Public (Treasury)
- Contains records of individuals, groups, and entities which are under sanction by the federal government and therefore ineligible for payment
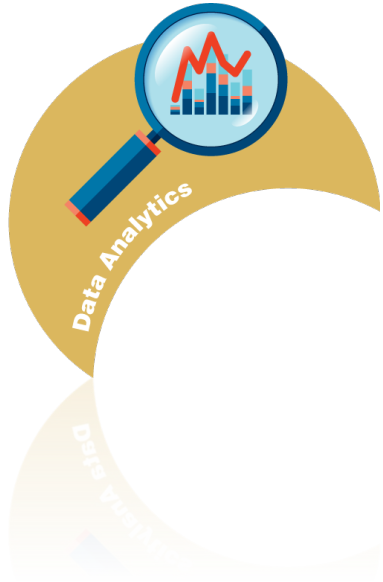
System for Award Management (SAM) Entity Registration Records - Restricted (GSA)
- Contains records of individuals and businesses authorized to enter into contracts with the federal government
- Verify that a vendor seeking to do business with the federal government has registered, in accordance with the Federal Acquisition Regulation (FAR)

SAM Exclusion Records - Public & Restricted - (GSA)
- Contains records of individuals and businesses currently debarred from entering into contracts with the Federal Government under specific exclusions or registered to conduct business with the federal government
- Verify whether payments are to debarred individuals

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DNP Analytics

Ensure Payment Integrity

Data Quality
TIN
Name
Address

Eligible Recipients
Program Eligibility Requirements
Valid Identity

Accurate Payments
Non-Duplicative
Correct Amount

Risk Mitigation
Valid Internal Controls
Strong Business Processes

The right payment to the right recipient at the right time for the right purpose.

Data Sources Available

In addition to data sources available in the Portal, Analytics also has access to:

Internal Revenue Service's Tax-Exemption Lists
- Contains records of organizations eligible and ineligible to receive tax-deductible charitable contributions and grants targeting tax-exempt entities.
    - 990-N (e-Postcard) – Authorized organizations with under $50,000 in contributions
    - Publication 78 – Authorized organizations with over $50,000 in contributions
    - Automatic Revocation of Exemption List – Organizations whose tax-exempt status has been revoked

Agency
Support Center

Consultation

Outreach Actions

Understand the problems and issues present in your payment processes.

Educate about available services and resources for agency use.

Facilitate discussion to align solutions to your business problems.

Agency Benefits

Identify **opportunities** to strengthen internal controls to prevent improper payments.

Understand **capabilities** that address the improper payment problems in payment processes.

Promote **progress** for implementing improvements to payment processes

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Provides customized outreach and business processes solutions based upon agency needs:

- **Onboarding to DNP Pay Portal**
- **Agency Financial Report Review**
- **Training**
- **Business Process Mapping**
- **Focus Groups**
- **User Community Events**
  - **Best Practices Forum**
  - **Grants Management Forum**
  - **Do Not Pay Day**
- **Help Desk Support**

Agency Support Center

What's New?

As of May 12th, OMB published approval in the Federal Register for DNP to begin using 12 new data sources

New Data Sources

- The United States Postal Service (USPS) Delivery Sequence File
- The Census Bureau Federal Audit Clearinghouse
- The Do Not Pay (DNP) Agency Adjudication Data
- Fiscal's Payments, Claims, & Enhanced Reconciliation (PACER) database
- Bureau of Prisons (BOP) Incarceration Data
- Digital Accountability and Transparency Act (DATA Act) data
- Census Bureau's American Communities Survey (ACS) Annual State and County Data Profiles
- Veterans Affairs' (VA) Beneficiary Identification Records Locator Service (BIRLS)
- Department of Agriculture's National Disqualified List (NDL)
- Center for Medicare and Medicaid Services (CMS) National Plan and Provider Enumeration System (NPPES)
- Internal Revenue Service's (IRS) Statistics of Income (SOI) Annual Individual Income Tax ZIP Code Data, and
- The U.S. Securities and Exchange Commission's (SEC) Electronic Data Gathering, Analysis, and Retrieval (EDGAR) System

https://www.federalregister.gov/d/2021-10025

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What's New?

This year, DNP was able to work with the Small Business Administration (SBA) leveraging authorities given in the Payment Integrity Information Act of 2019 (PIIA)

- Reduced the time required for SBA to begin fully using DNP
- Enabled SBA to fully screen American Rescue Plan related payments
  - Paycheck Protection Program (PPP)
  - Economic injury disaster loans (EIDL)
  - Restaurant Revitalization Fund (RRF)
  - Shuttered Venue Operators Grant (SVOG)

- Addressed key customer pain point – time and CMA requirements

Read about the *Paycheck Protection Program Loan Recipients on the Department of Treasury's Do Not Pay List*

Contact Information

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Processes
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For more information, visit our website:
https://fiscal.treasury.gov/dnp/

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Agency Assignments

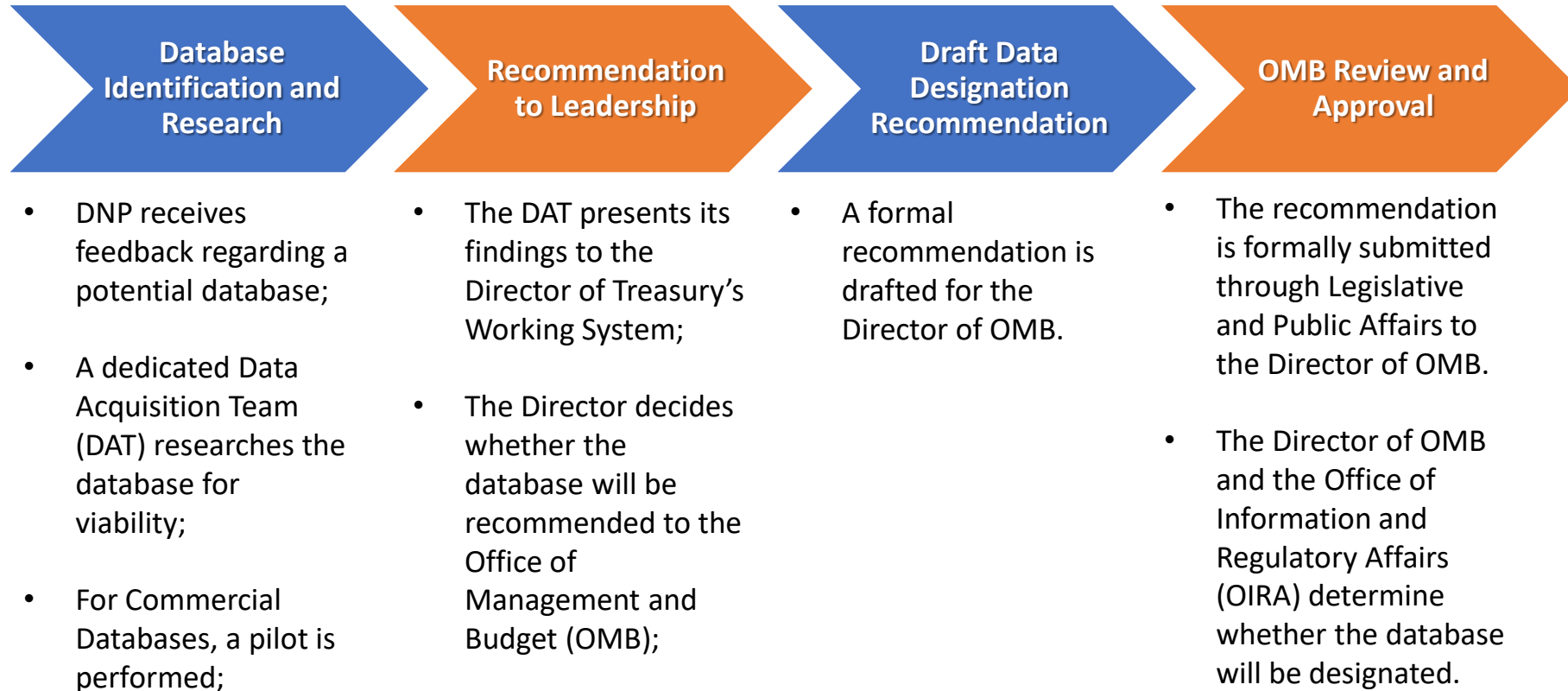| Agency	Treasury Agency Lead	STL Agency Specialist	STL Onboarding Specialist
Department of Agriculture (USDA)	Dominique	Drew	Marva
Department of Housing and Urban Development (HUD)	Dominique	Josh	Marva
Department of Education (ED)	Jon	Kristofer	Marva
Department of Energy (DOE)	Jon	Kristofer	Marva
Department of Health and Human Services (HHS)	Jon	Josh	Marva
Environmental Protection Agency (EPA)	Jon	Kristofer	Marva
Nuclear Regulatory Commission (NRC)	Jon	Kristofer	Marva
Department of Justice (Justice)	Lori	Kristofer	Marva
Department of Labor (DOL)	Lori	Shannon	Marva
Department of Transportation (DOT)	Lori	Drew	Marva
National Aeronautics and Space Administration (NASA)	Lori	Kristofer	Marva
National Science Foundation (NSF)	Lori	Shannon	Marva
Office of Personnel Management (OPM)	Lori	Drew	Marva
Small Business Administration (SBA)	Lori	Shannon	Marva
Social Security Administration (SSA)	Lori	Josh	Marva
Department of Commerce (Commerce)	Stephanie	Shannon	Marva
Department of Defense (DoD)	Stephanie	Kristofer	Marva
Department of Homeland Security (DHS)	Stephanie	Shannon	Marva
Department of State (State)	Stephanie	Shannon	Marva
Department of the Interior (DOI)	Stephanie	Kristofer	Marva
Department of the Treasury (Treasury)	Stephanie	Josh	Marva
Department of Veterans' Affairs (VA)	Stephanie	Shannon	Marva
General Services Administration (GSA)	Stephanie	Drew	Marva
U.S. Agency for International Development (USAID)	Stephanie	Shannon	Marva

Data Designation Process and Newly Proposed Databases

05/06/2021

Do Not Pay Business Center

Data Designation Process

Database Identification and Research

- DNP receives feedback regarding a potential database;

- A dedicated Data Acquisition Team (DAT) researches the database for viability;

- For Commercial Databases, a pilot is performed;

Recommendation to Leadership

- The DAT presents its findings to the Director of Treasury's Working System;

- The Director decides whether the database will be recommended to the Office of Management and Budget (OMB);

Draft Data Designation Recommendation

- A formal recommendation is drafted for the Director of OMB.

OMB Review and Approval

- The recommendation is formally submitted through Legislative and Public Affairs to the Director of OMB.

- The Director of OMB and the Office of Information and Regulatory Affairs (OIRA) determine whether the database will be designated.

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DNP's Newest Designation

Multi-Use

Database	Owner	Description
DNP Adjudication Data	Fiscal Service	Payment records within DNP indicating whether an agency has found a payment to be improper.
Payments, Claims, and Enhanced Reconciliations (PACER)	Fiscal Service	Post-Payment data includes action that has taken place after a payment has been made, including offset, debt referral and reclamation from a bank.
Beneficiary Identification Record Locator Service (BIRLS)	VA	Master list of VA beneficiaries, including address, death indicator, whether the individual is active/reserve and other information.

Eligibility/Debarment

Database	Owner	Description
National Plan and Provider Enumeration List (NPPES)	CMS	Contains information on approved health care providers and plans.
National Disqualified List	VA	Contains information on providers that are ineligible to receive federal funding for a meals program.

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DNP's Newest Designation

Death

Database	Owner	Description
DNP Adjudication Data	Fiscal Service	Currently, all adjudicated improper matches were death matches.
Payments, Claims, and Enhanced Reconciliations (PACER)	Fiscal Service	Post-Payment data includes reclamation data from banks, which may indicate the account belongs to a deceased individual
Beneficiary Identification Record Locator Service (BIRLS)	VA	BIRLS includes deceased individuals

Incarceration

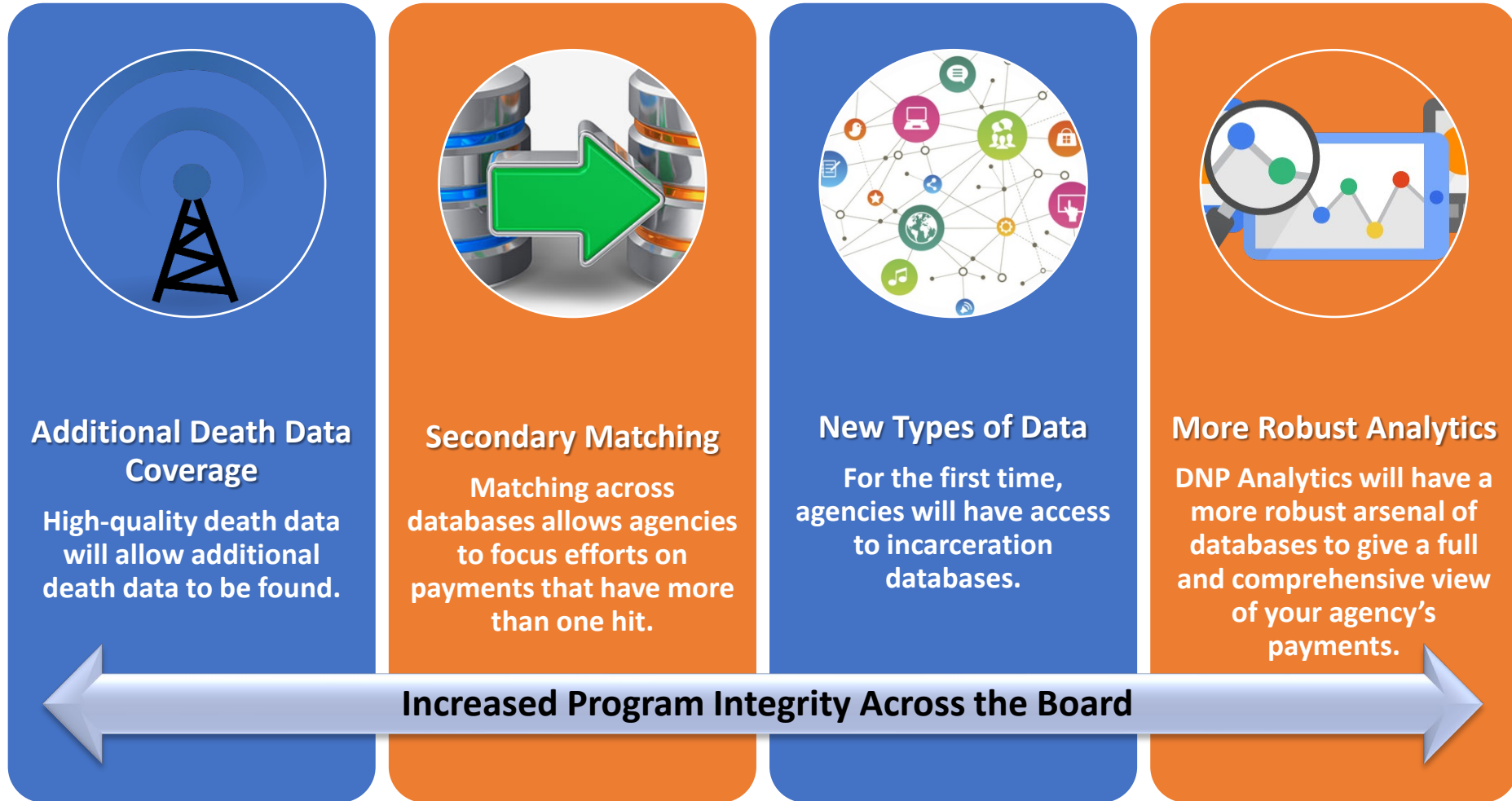| Database	Owner	Description
Bureau of Prisons Data	BOP	Contains information on incarcerated individuals under the jurisdiction of the US Attorney General.

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DNP's Newest Designation

Aggregated (summary) – Analytics Only

Database	Owner	Description
Federal Audit Clearinghouse	Census	Audit Results and information on open findings.
Digital Accountability and Transparency Act	Fiscal Service	Granular detail into contractors, subcontractors, and all individuals and entities receiving federal funds.
American Communities Survey*	Census	Self-reported household characteristics such as income, veterans status, and employment status.
Statistics of Income*	IRS	Data embedded in tax filings from individuals, corporations, tax exempt entities, and estates.
SEC Company Filings	SEC	Information from public company filings regarding financial information and operations.
Delivery Sequence File	USPS	Information regarding US Postal Addresses.

*DNP would not use any data involving protected status, nor any elements that do not pertain to Improper Payments

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The Benefits To You

Additional Death Data Coverage

High-quality death data will allow additional death data to be found.

Secondary Matching

Matching across databases allows agencies to focus efforts on payments that have more than one hit.

New Types of Data

For the first time, agencies will have access to incarceration databases.

More Robust Analytics

DNP Analytics will have a more robust arsenal of databases to give a full and comprehensive view of your agency's payments.

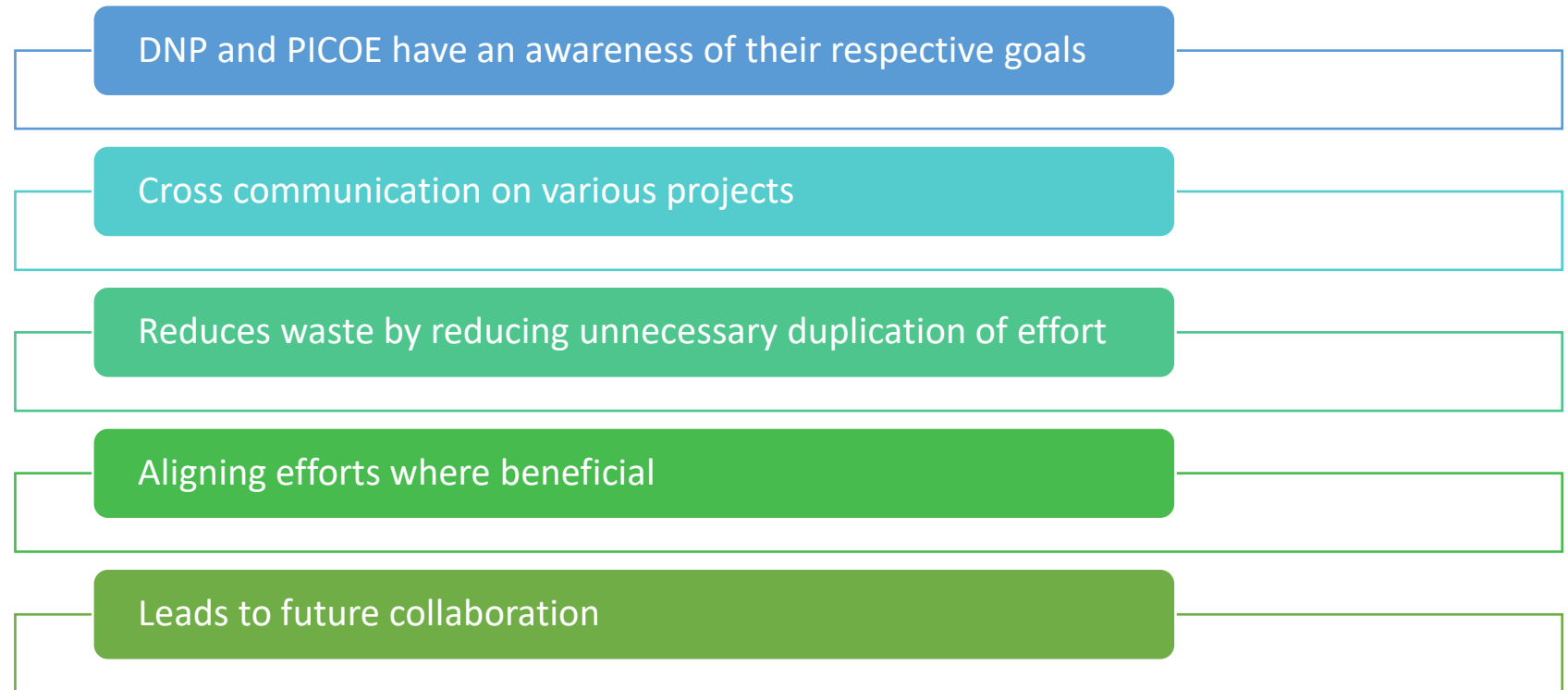**Increased Program Integrity Across the Board**

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DNP and PICOE Cooperation

DNP and PICOE Collaboration

- This starts with the leadership communicating objectives
  - The benefits:

DNP and PICOE have an awareness of their respective goals

Cross communication on various projects

Reduces waste by reducing unnecessary duplication of effort

Aligning efforts where beneficial

Leads to future collaboration

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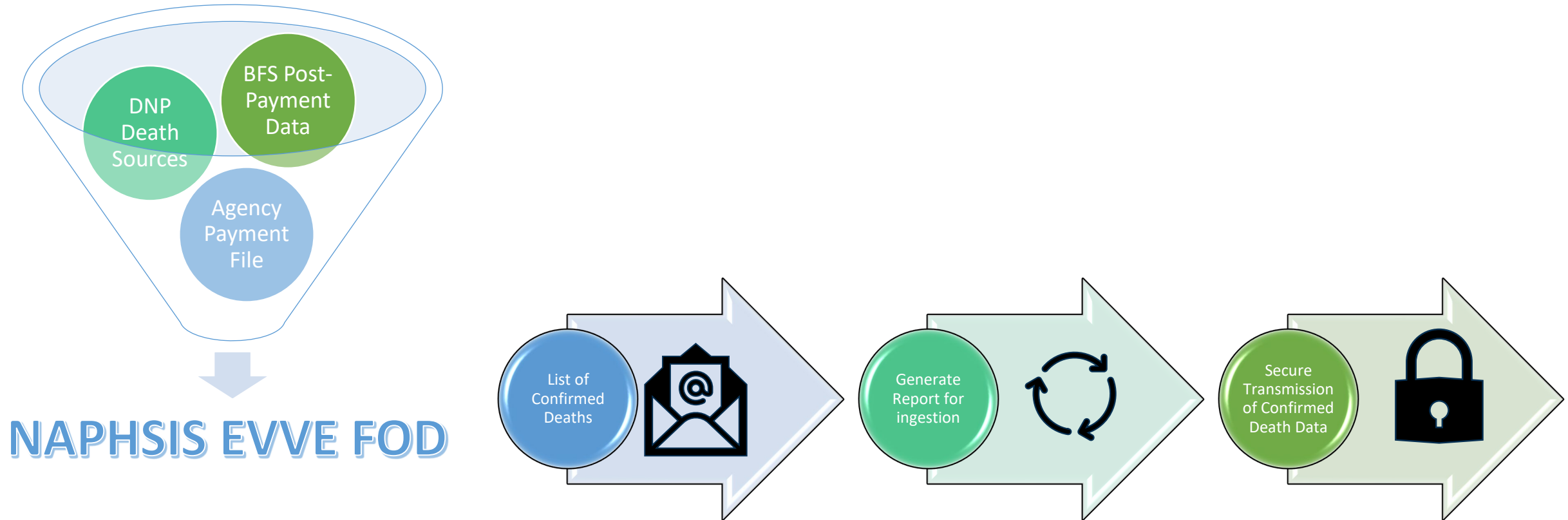Fiscal Service
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ACH Recovery Tool

The ACH Recovery Tool is a self-service tool that gives agencies the ability to request the recall or account owner information of ACH payments by logging into a secure portal within the Treasury Check Information System (TCIS).

Fiscal Service Non-Receipt area receives and processes the request utilizing existing operationalized processes

PTR (Payment Trace Request)

The Recovery Tool provides a secure link between the Agency and Fiscal Service by utilizing the existing secure connection provided by the existing TCIS infrastructure

Agency logs into TCIS, identifies the payment to be recalled, and places a "stop" on the payment thereby identifying it to Fiscal Service as a payment to be recalled or researched

BFS

The response is provided to the agency

Agency

The Agency receives the response

The recovery tool records the request and saves it in the case management system

The response from the Financial Institution is verified and recorded

The request for information is provided to the Financial Institution

The recovery tool entry is provided to Fiscal Service for the Non-Receipt agents to process the request

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Working Towards Preventing Improper Payments

NAPHSIS EVVE FOD

- List of Confirmed Deaths
- Generate Report for ingestion
- Secure Transmission of Confirmed Death Data

Funnel sources: DNP Death Sources, BFS Post-Payment Data, Agency Payment File

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DNP Analytics: Support for Stimulus Activity

May 25, 2021

Data Analytics: Our Services

Consultation

As improper payments experts, we provide **Consultation** to help identify business problems and remediate solutions.

Through consultation we will:
- Partner to understand your business processes
- Identify areas of opportunity to meet your goals
- Design analytical solutions
- Gain stakeholder buy-in
- Regular alignment throughout execution

We do this through:
- Knowledge of landscape
- Critical thinking skills
- Years of experience and analytics expertise to design custom analytical solutions

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Scope

Data Analytics

Ensure Payment Integrity

Data Quality
TIN
Name
Address

Eligible Recipients
Program Eligibility Requirements
Valid Identity

Accurate Payments
Non-Duplicative
Correct Amount

Risk Mitigation
Valid Internal Controls
Strong Business Processes

The right payment to the right recipient at the right time for the right purpose.

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Analytics Transforms Data to Insight

Example: Program X wants to know if process controls (e.g., requiring valid TIN) are effective.

Wisdom
Applying knowledge into action
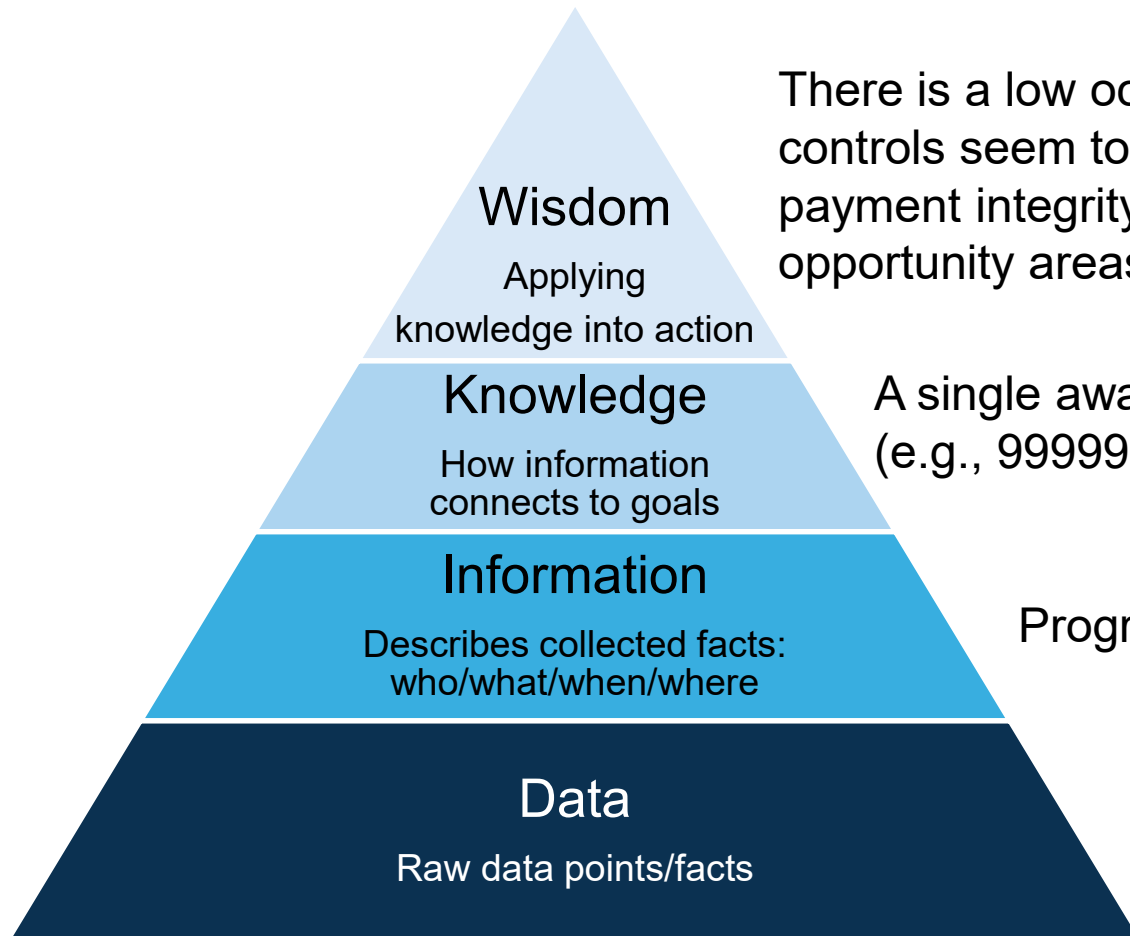
There is a low occurrence of awardees with invalid TINs. Thus, the process controls seem to be working as expected and currently pose a low risk to payment integrity. Program X should focus resources on other high impact opportunity areas.

Knowledge
How information connects to goals

A single awardee (0.001% of awardees) had an invalid TIN (e.g., 999999999).

Information
Describes collected facts: who/what/when/where

Program X awarded funds to 100,000 applicants.

Data
Raw data points/facts

Information provided on applications, such as name, TIN, date of application, etc.

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DNP Analytics Addresses Business Problems

Examples of business problems DNP Analytics can help answer:

- Did deceased or otherwise ineligible individuals receive/apply for funds?
- Did debarred or otherwise ineligible businesses receive/apply for funds?
- Did applicants provide inaccurate/potentially false information?
- Did the applicant receive multiple forms of assistance across programs?
- Did non-existent businesses (or non-existent prior to the pandemic) receive funds?
- Did previously debarred entities develop new identities (e.g., formed a new entity by changing name/EIN/identifying features) so that they could receive funds?
- Which applicants/awardees present risk so that I can prioritize resources?
- Can we predict potentially fraudulent applicants/activity?

…..and more.

Schedule a consultation to discuss your specific improper payment or fraud/waste/abuse challenge.

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Capabilities – Eligibility Verification

Helps to provide insight into if deceased, debarred, or otherwise ineligible individuals or businesses received/applied for funds.

Data Matching
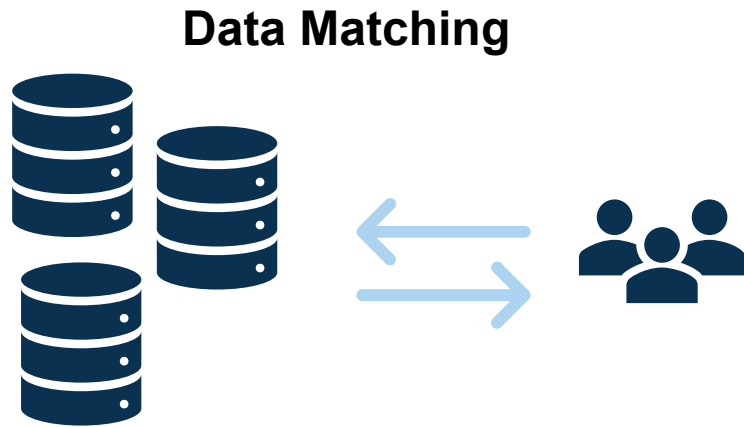
Results

Priority	Payee	Payment Date	Date of Death	Date of Birth	Data source	Confidence
1	Person C	3/1/2021	1/1/2021	1/1/1940	DMF, AIS	High
2	Person A	3/1/2021	2/1/2021	2/1/1940	DMF	Moderate
3	Person B	3/1/2021	3/15/2021	3/1/1940	DMF, AIS	High
…	…	…	…	…	…	…

Benefits:

- Flexibility to use a variety of matching algorithms to identify applicants within data sources.
- Point-in-time capability to check if applicant appears in eligibility source within a specific timeframe.
- Ability to return relevant data points from data source to assist program in case development.
- Ability to prioritize results based on confidence & impact (e.g., size/frequency/timing of payment).

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Capabilities – Identity Validation Risk Assessment

Helps to answer if applicants provided inaccurate or potentially false information.
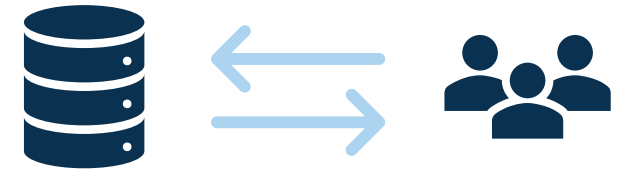
Data quality analysis

SSN	Result
123456789	High risk
999999999	High risk
121212121	High risk
12345678	Invalid
a12345678	Invalid

Network analysis

Person A   Person B

SSN: 123456789

Person C
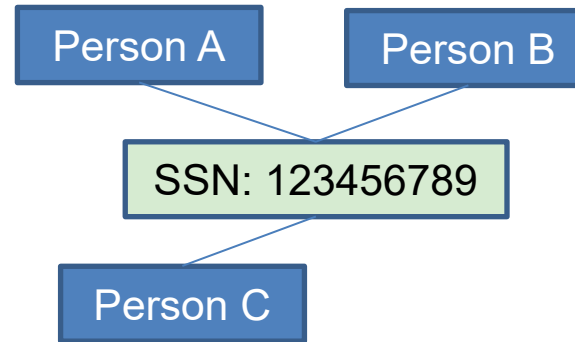
- Multiple individuals sharing a TIN
- Multiple TINs associated with a single individual

Anomaly detection

- SSN associated with deceased individual
- Business address differs from SAM registration

Benefits:

- Identify unexpected patterns in data that suggest inaccuracy may exist.
- Ability to highlight instances with discrepancies between applicant provided data and data sources.
- Ability to prioritize results based on impact (e.g., size/frequency of payment).

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Capabilities – Cross Government Analysis

Helps to answer if applicant receive multiple forms of assistance across programs.

Data Matching

Agency A
Awardees

Agency B
Awardees

Agency A

Overlap

Agency B
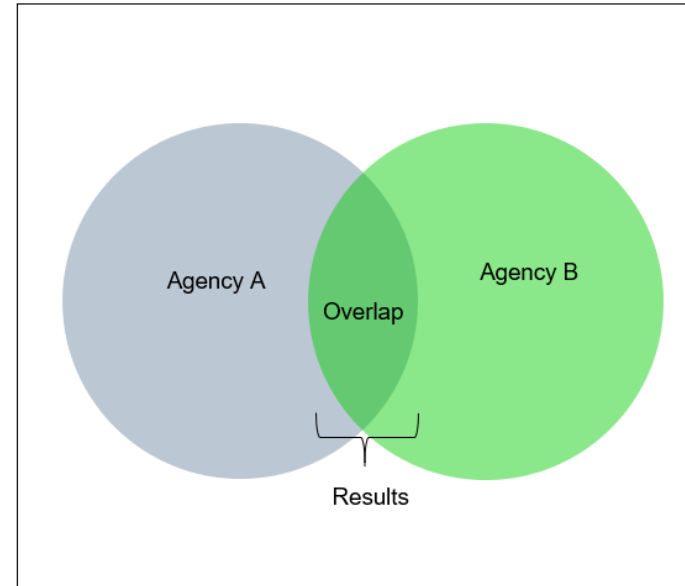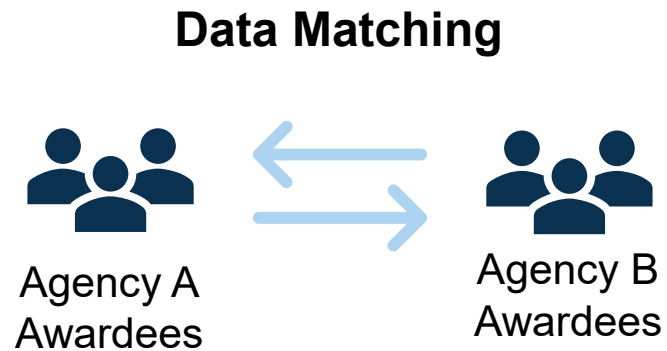
Results

Benefits:

- Flexibility to use variety of matching algorithms to identify applicants across programs.
- Identify instances where applicants/awardees overlap with other programs.
- Ability to prioritize results based on impact (e.g., size/frequency of payment).

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Capabilities – Business Risk Assessment

Helps to answer if businesses pose risk of not meeting requirements or providing other inaccurate or misleading data.
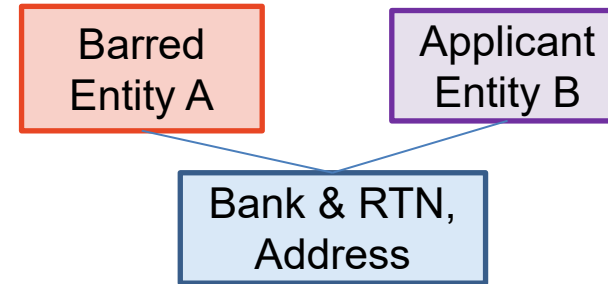
Data Matching
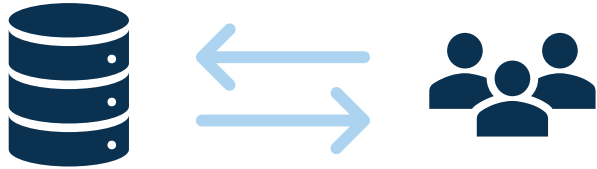
- Flag instances of businesses that are/are not listed in data sources
- Proxy operation date relative to application date

Network analysis

| Barred Entity A | Applicant Entity B |

| Bank & RTN, Address |

Entity shares key features, such as; name, TIN, bank account, address; with debarred entity

Benefits:

- Provides supporting data points/details to assist in validating applications/awards.
- Ability to highlight instances with discrepancies between applicant provided data and data sources (e.g., employee counts, address).
- Ability to prioritize results based on impact (e.g., size/frequency of payment).
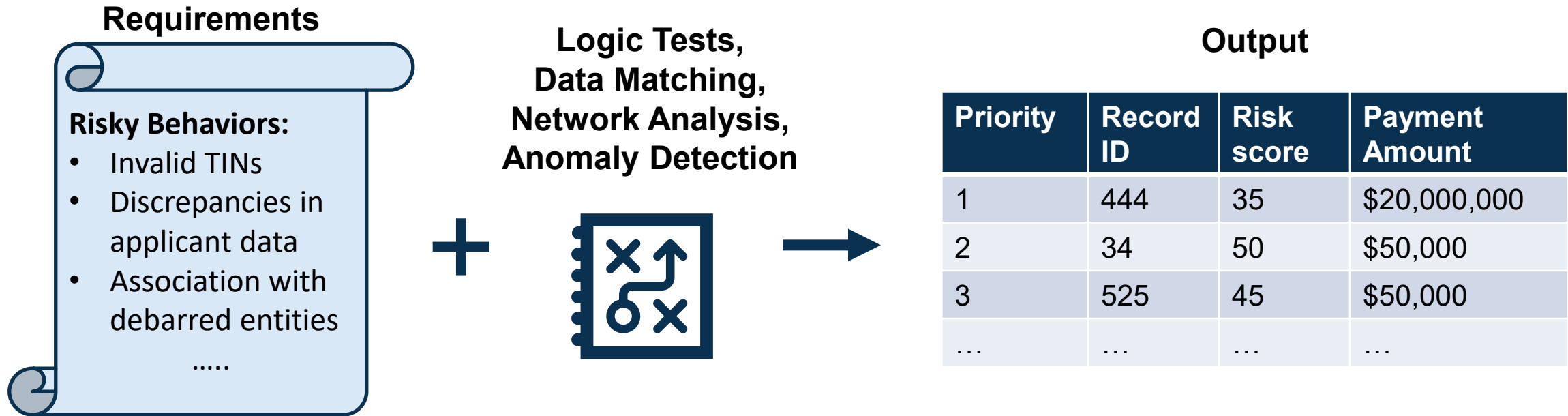
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Capabilities – Customizable Risk Assessment

Helps to prioritize resources based on what your program deems as risk.

Requirements

Risky Behaviors:
- Invalid TINs
- Discrepancies in applicant data
- Association with debarred entities

.....

+

Logic Tests, Data Matching, Network Analysis, Anomaly Detection

→

Output

| Priority	Record ID	Risk score	Payment Amount
1	444	35	$20,000,000
2	34	50	$50,000
3	525	45	$50,000
…	…	…	…

Benefits:

- Customizable definition of risk specific to your program.
- Ability to prioritize results based on impact (e.g., size/frequency of payment) and risk so you can determine where to allocate resources.

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Capabilities – Predictive Modeling

Helps to identify potential fraud so that the program can apply preventative measures to reduce fraud.

Was this transaction fraudulent?
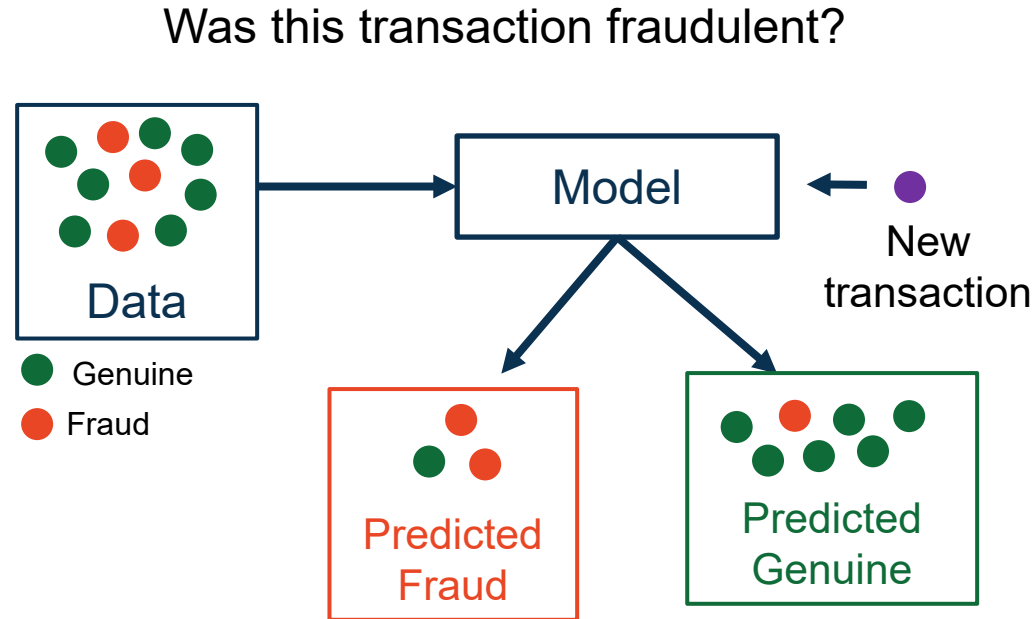
Benefits:
- Identify records that indicate possible fraudulent activity.
- Flag instances that are at higher risk for fraud.

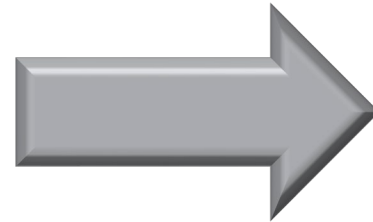BUREAU OF THE
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DNP Analysis of Paycheck Protection Program Loans
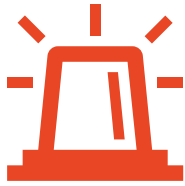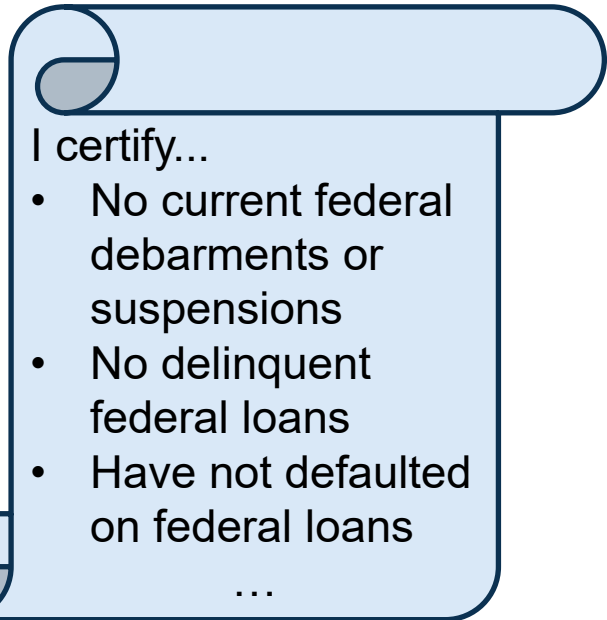
SBA OIG received complaints of fraud regarding PPP loans

5.2M PPP loans totaling $525B issued as of August 8

Collaboration with DNP
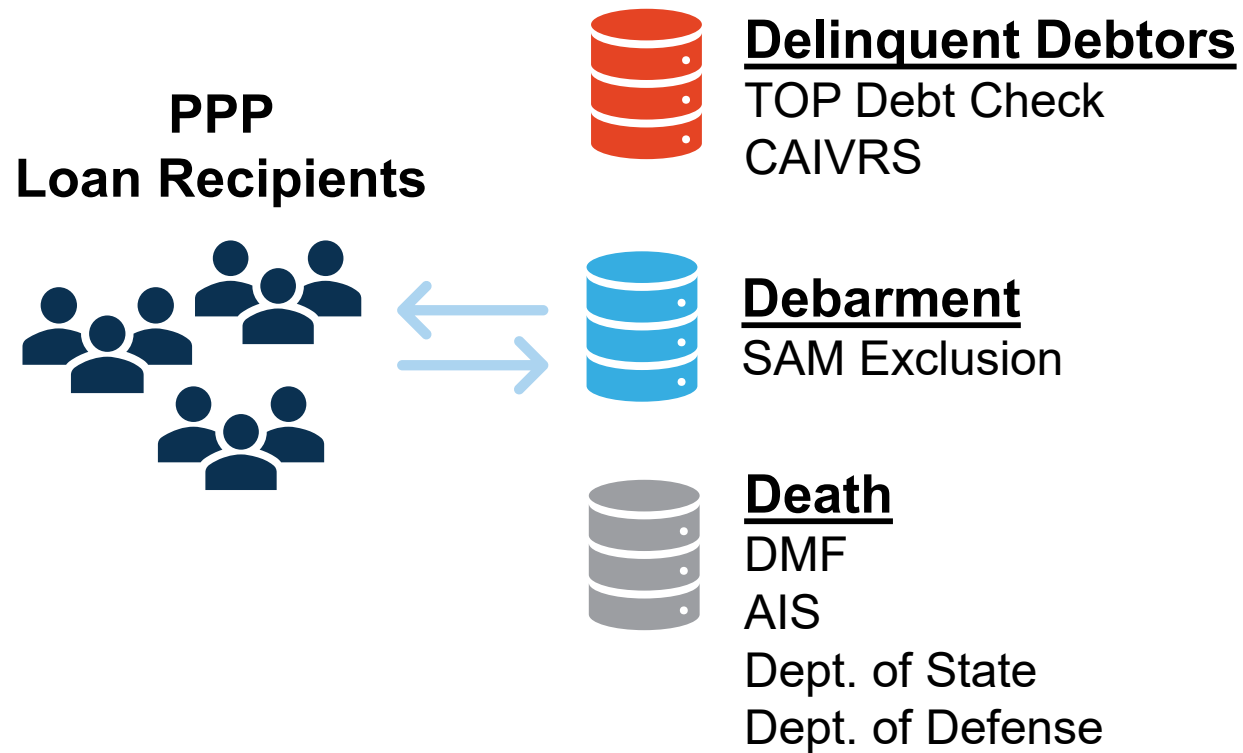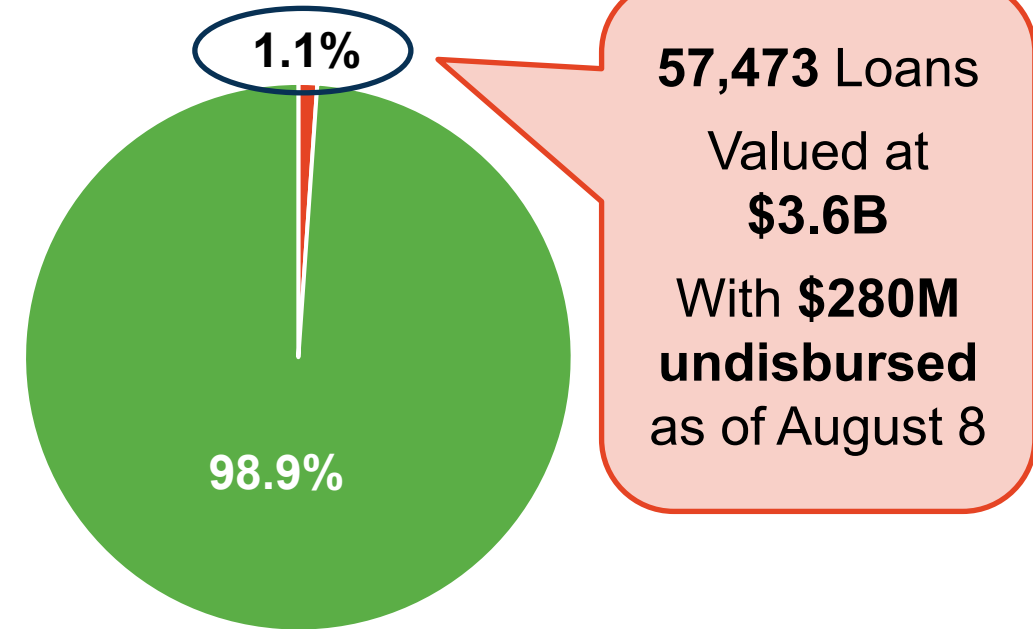
I certify...
- No current federal debarments or suspensions
- No delinquent federal loans
- Have not defaulted on federal loans

…

Scope derived from self-certification requirements

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Findings

SBA OIG and DNP discussed the matching parameters to ensure that results were consistent with PPP eligibility provisions

PPP Loan Recipients

Delinquent Debtors
TOP Debt Check
CAIVRS

Debarment
SAM Exclusion

Death
DMF
AIS
Dept. of State
Dept. of Defense

Loans With Recipients Listed On DNP Data sources

1.1%

98.9%

■ Potentially Ineligible Loans ■ Loans without matches

57,473 Loans

Valued at **$3.6B**

With **$280M undisbursed** as of August 8

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Findings Continued

57,473 Potentially Ineligible Loans
Valued at **$3.6B**

3,403
Loan Servicing
Locations

10 High Risk
Locations

**Potentially Ineligible Loans
by Service Location**

Loan
Volume **49%**

Loan
Amount **28%**

0%   50%   100%

■ 10 Locations   ■ All Other Locations

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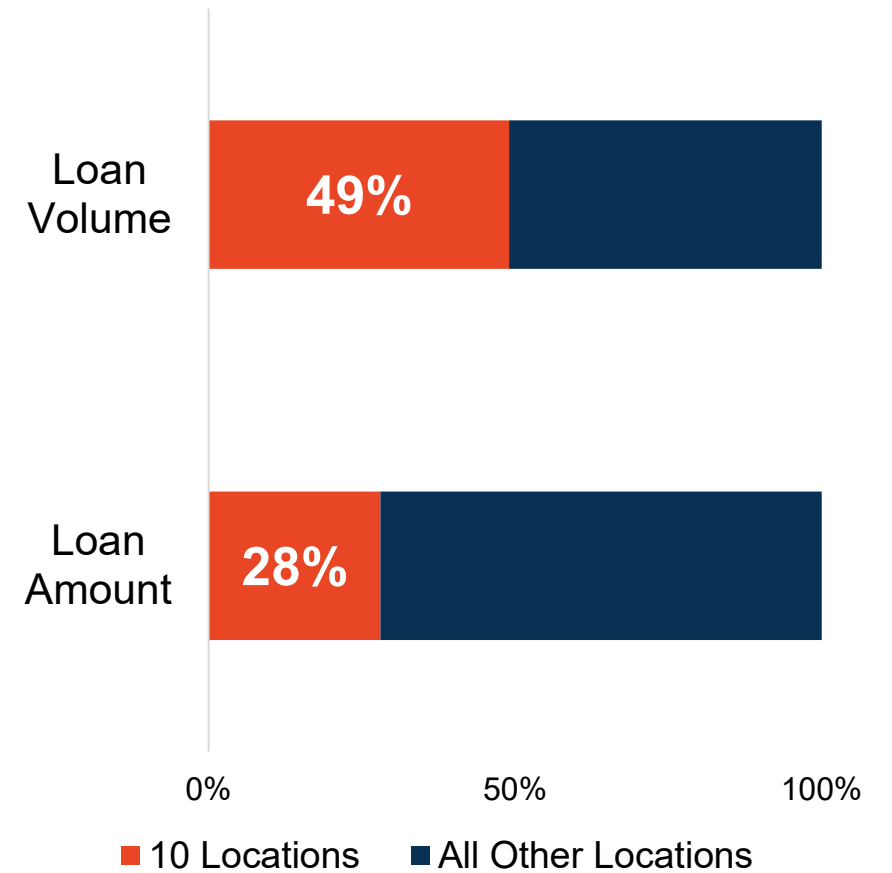
Outcome

Analysis enabled agency to:

Prevent Future Improper Payments

➤ Direct focus to loans associated with potentially ineligible lenders that had undisbursed funds

➤ Direct focus to loans associated with potentially ineligible recipients during loan forgiveness review or further disbursements

Evaluate & Strengthen Controls:

➤ Identified opportunity to strengthen controls in loan forgiveness process

➤ Identified how DNP portal can prevent improper payments prior to award or release of funds for future PPP iterations

"Treasury's analysis of potentially ineligible recipients demonstrates the importance of front-end controls…"

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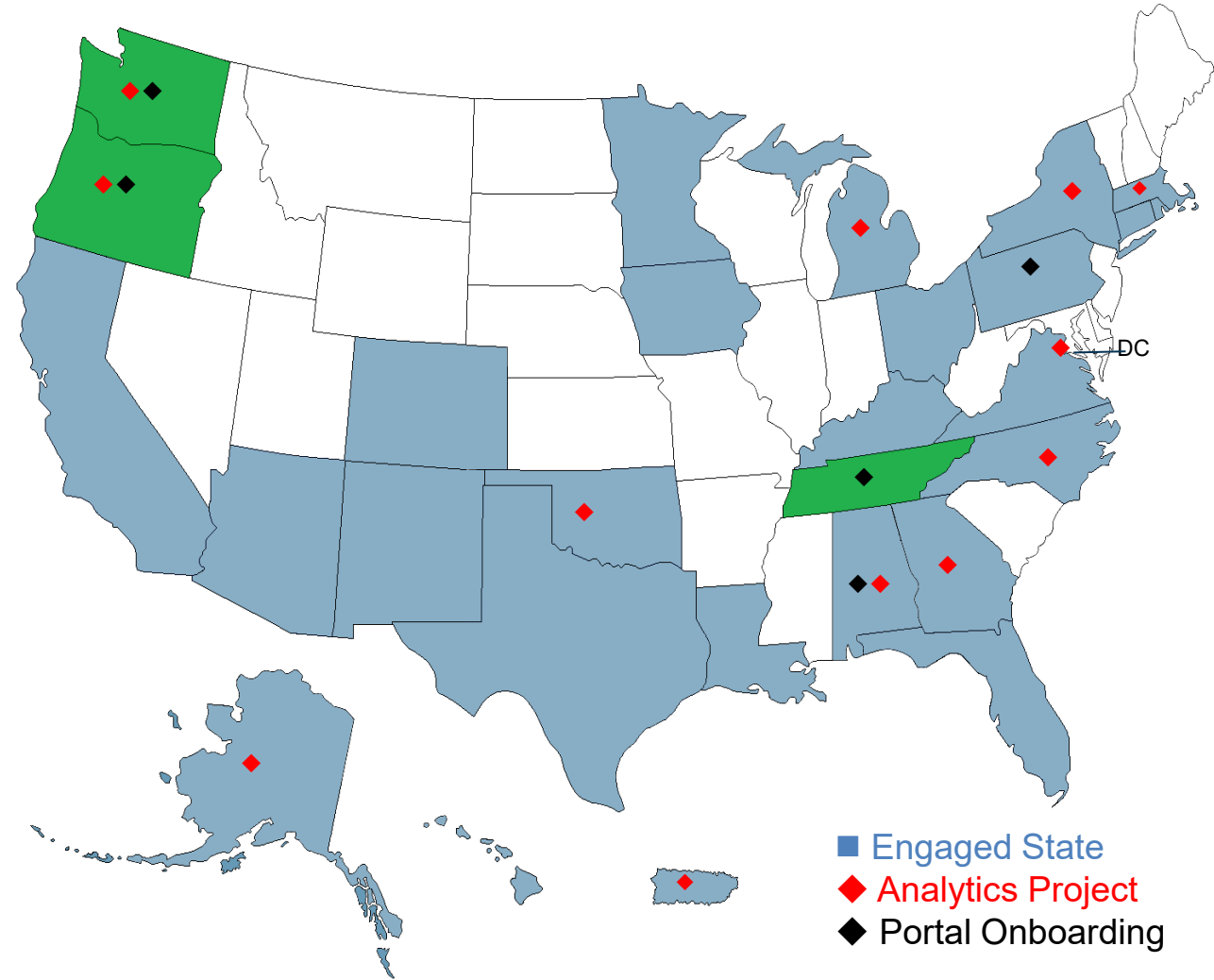**Fiscal Service**
U.S. DEPARTMENT OF THE TREASURY
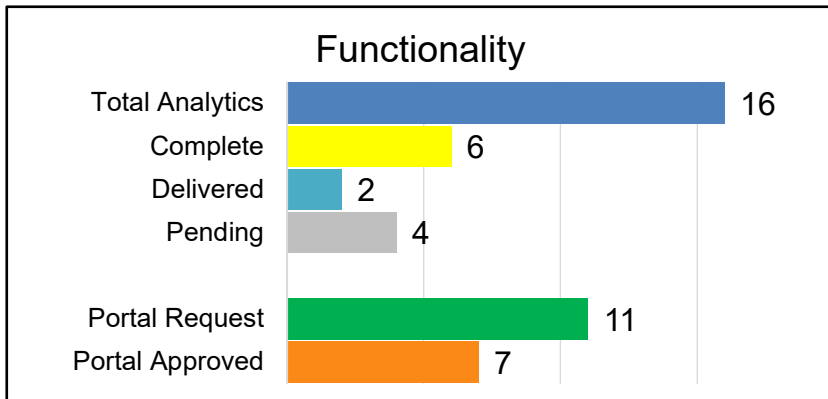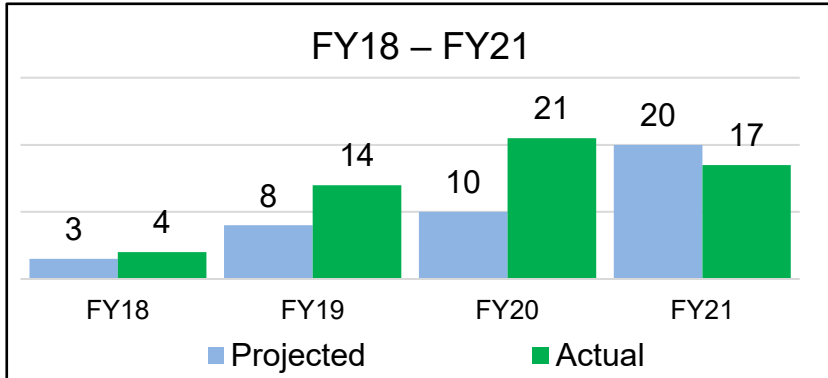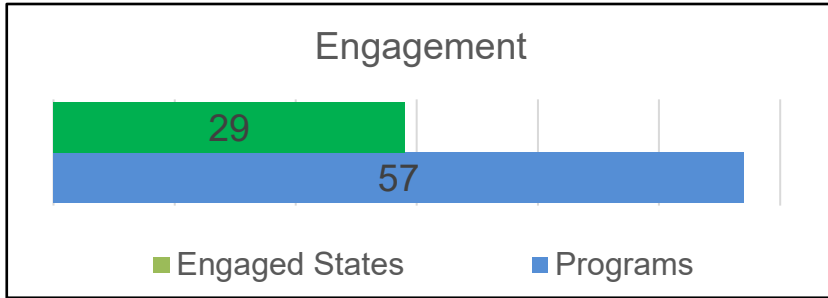
Do Not Pay
State Engagement

May 2021
Jon Ortiz

Contents

- Current Program Engagement Metrics
- Working Together
- State Program Approach
- Improper Payment Origins
- Eligibility and Dual Enrollment Tools
- CARES Act
- Success Story
- Onboarding and Project Paths
- Improper Payment Impact

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Current Program Engagement Metrics

Engagement

- 29 — Engaged States
- 57 — Programs

FY18 – FY21

	FY18	FY19	FY20	FY21
Projected	3	8	10	20
Actual	4	14	21	17

Functionality

Total Analytics	16
Complete	6
Delivered	2
Pending	4
Portal Request	11
Portal Approved	7

Map Legend:
- ■ Engaged State
- ◆ Analytics Project
- ◆ Portal Onboarding

DC

May 13, 2021

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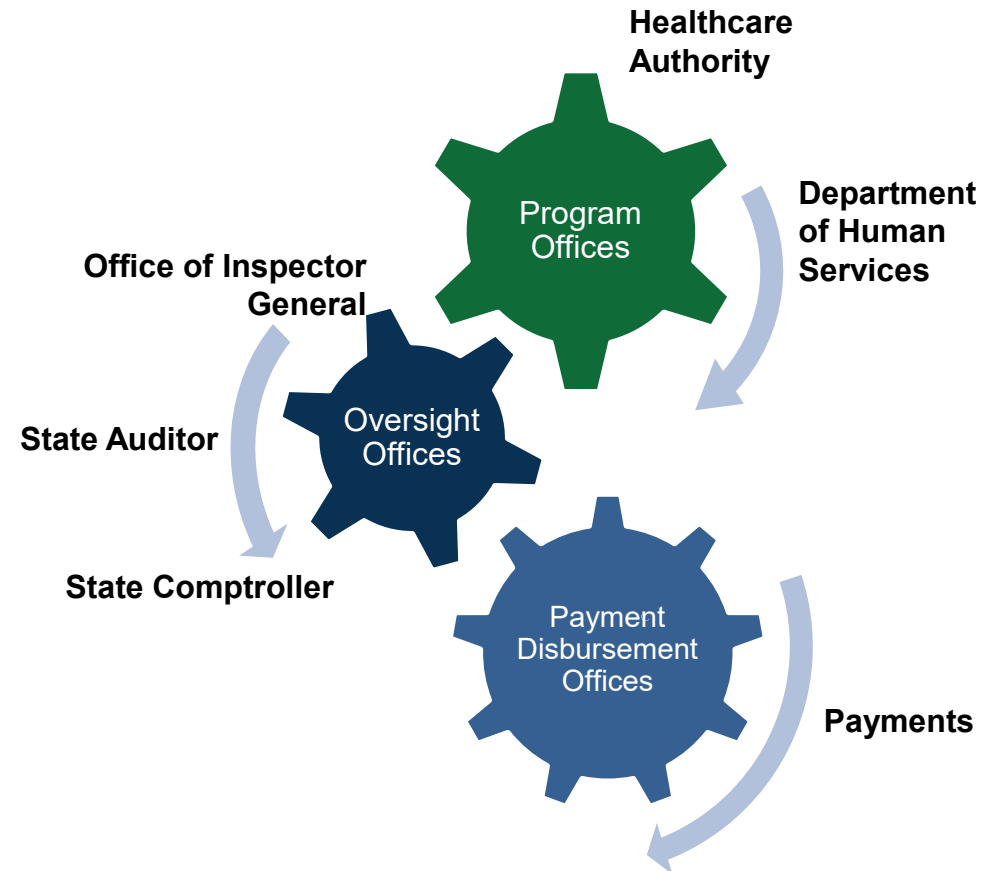
Working Together

Stakeholder Needs

- DNP adapts to state customer's specific needs based on their customer type

Providing Value

- Assess state's existing controls
  - Death Verification
  - Identification of Risky TINs
  - Data Quality
- Identifies the risk of overpayments associated with duplicate beneficiaries or providers

Developing a Reusable Solution

- Program Eligibility and Verification
- Dual Enrollment
  - Across Multiple States
  - Within a State
- Administrative Errors
  - Duplication

Healthcare Authority

Program Offices

Department of Human Services

Office of Inspector General

Oversight Offices

State Auditor

State Comptroller

Payment Disbursement Offices

Payments

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State Program Approach

Targeted outreach approach
- Medicaid
- CARES Act/ Pandemic Assistance
- Unemployment Insurance
- SNAP

DNP is approaching these efforts by
- Leveraging existing partners
- Targeting new partners based expected impact

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SNAP and Medicaid Improper Payment Origins

DNP building analytics solutions to help resolve improper payments stemming from:

- Program Eligibility
  - Medicaid (Providers & Clients) $2.3B
  - SNAP (Recipients & Merchants) $371M

- Medicaid Claim/Billing Errors & Fraud (Providers & Clients) $11.0B

- Misuse of SNAP Funds (Recipients & Merchants) $887M

- Dual Enrollment
  - Medicaid (Clients) $5.5B
  - SNAP (Recipients) $116M

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Eligibility Verification Tool

What does it do?

– Identifies if your applicants/payees are listed on eligibility sources (death, debarred providers, registered providers, & delinquent debtors)

– Identifies the extent that data quality is impacting your ability to effectively screen payees
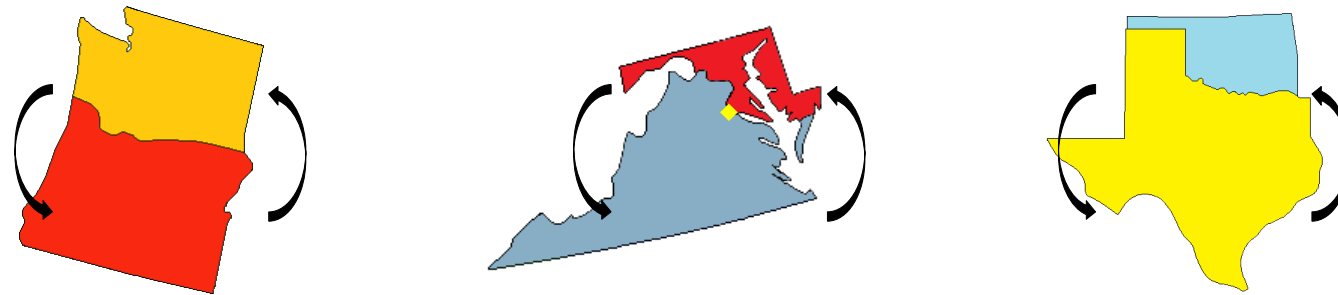
What will it tell me?

– Determines if payees meet/fail eligibility requirements

– Tests how well current data quality & eligibility procedures are preventing improper payments

– Pinpoints potential opportunity areas to improve

FirstName	MName	LastName	DOB	SSN/TIN
Mickey	T	Mouse	11/18/1928	999-99-9999
GeorgeandJane	Q	Jetson	April 15 62	123-45-6789
Bugs	Wabbit	Bunny	7/27/1940	121-21-2121
DeceasedGeorge		Washington	2221732	

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Dual Enrollment Tool

What will it do?

- Use techniques to identify and prioritize cases of dual or duplicate enrollment across states.
- Use standardization procedures to account for formatting differences across states' systems.

What will it tell me?

- Provides prioritized list of duplicate enrollment cases
- Provides insight into relevant details necessary for adjudication such as likely state of current residency & coverage dates

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CARES Act

The Coronavirus Aid, Relief, and Economic Security (CARES) Act (2020) is a $2.2 trillion economic stimulus bill that provided fast and direct economic assistance in response to the COVID-19 pandemic. The CARES Act was passed by Congress and signed into law in March 2020.

<u>Oregon Audit Division</u>
- Analytics: Unemployment Insurance
  - $198,913 (confirmed)
  - $65,756 (potential)

- Identified 502 unique matches to a death data source.
- Identified 626 individuals as having a data quality issue.

- 10 claimants with confirmed improper payments totaling $93,869
  - $55,655 being funded as part of the PUA and FPUC

- 30 claimants with known improper payments totaling $105,044
  - $96,157 being funded by the PUA and FPUC

https://sos.oregon.gov/audits/Documents/2021-13.pdf

> ❖**State #2 Audit Division**
> ➤ Unemployment Insurance
>
> ❖**State #3 Audit Division**
> ➤ All State Vendors and Contractors

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State Success: Turning No into Yes

The Oregon Healthcare Authority developed a white paper indicating DNP Services would not be beneficial.
(FY 2018)

DNP conducted analysis of Oregon's Medicaid, SNAP and TANF programs.
(FY 2019)

Oregon Office of Payment Accuracy and Recovery (centralized program that oversees Medicaid payments across Oregon) is taking steps to onboard to use DNP.
(FY 2020)

No

Yes

DNP worked with Oregon Audit Division to prove DNP benefits.
(FY 2019)

$780K in cost avoidance/recovery as result of DNP Analysis.
(FY 2020)

"Working with Do Not Pay was a great experience!
The detailed analytics DNP provided, at no charge, helped our state identify numerous improper payments. We look forward to opportunities to work together again."
Ian Green
Principal Auditor, Oregon Audits Division
State of Oregon

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Oregon Outcome & Impact

Scope
- Securely transferred data from Medicaid, SNAP, TANF, and ERDC
    - 1.4M client records
    - 66K provider records
    - 17K surviving spouse records

Outcome
- DNP identified 98 additional cases of deceased participants/providers
- DNP identified 2 records with a typo in end coverage date "2108"
    - OR estimated this error had the potential to result in $6M in improper payments over 89 years

Impact
- DNP identified **$790,000 in recoupment, cost avoidance**, and improper payments
- Out-of-state & In-state death matching
- Data quality assessments

"Using Do Not Pay generated a **return on investment of $286 in savings for every $1 spent**" - Oregon Secretary of State, Report 2020-05 (p.6)

https://sos.oregon.gov/audits/Documents/2020-05.pdf

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Associated Costs
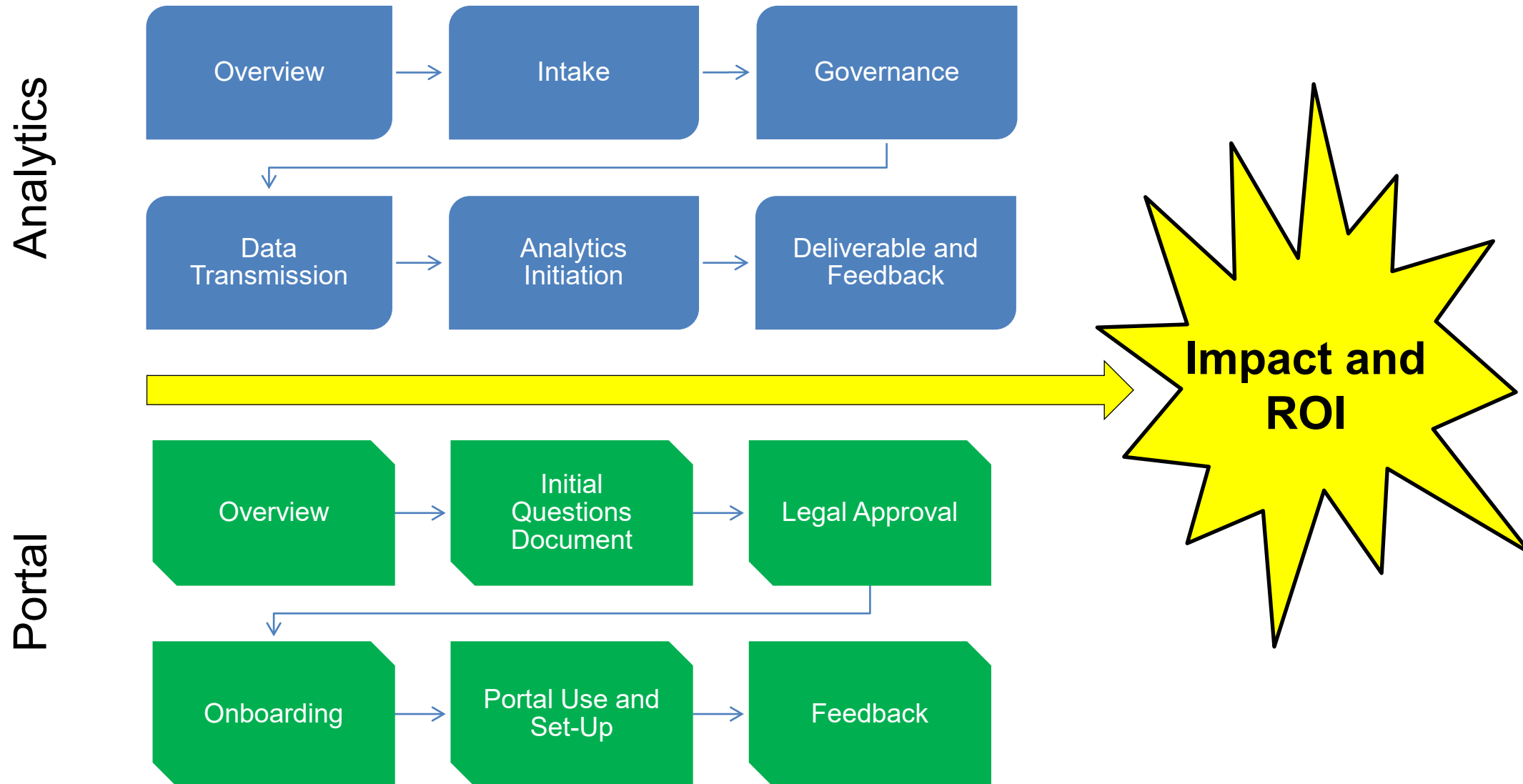
All DNP services are FREE, however there is a time and resource commitment that is needed.

- Time Commitment
  - Overview and Collaboration discussions
  - Complete governance/ approval processes
  - query and transfer data
  - portal usage

- Adjudicate results

- Feedback

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Onboarding and Project Paths

Analytics

Overview → Intake → Governance

Data Transmission → Analytics Initiation → Deliverable and Feedback

Impact and ROI

Portal

Overview → Initial Questions Document → Legal Approval

Onboarding → Portal Use and Set-Up → Feedback

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Impact to Improper Payments 2018 - 2021

Chart showing DNP Overall, Portal, and Analytics improper payments:
- DNP Overall: Confirmed Improper Payments $1,630,070; Potential Improper Payments $4,386,294
- Portal: $75,645
- Analytics: Confirmed Improper Payments $1,554,425; Potential Improper Payments $4,310,649

Legend: ■ Confirmed Improper Payments ■ Potential Improper Payments
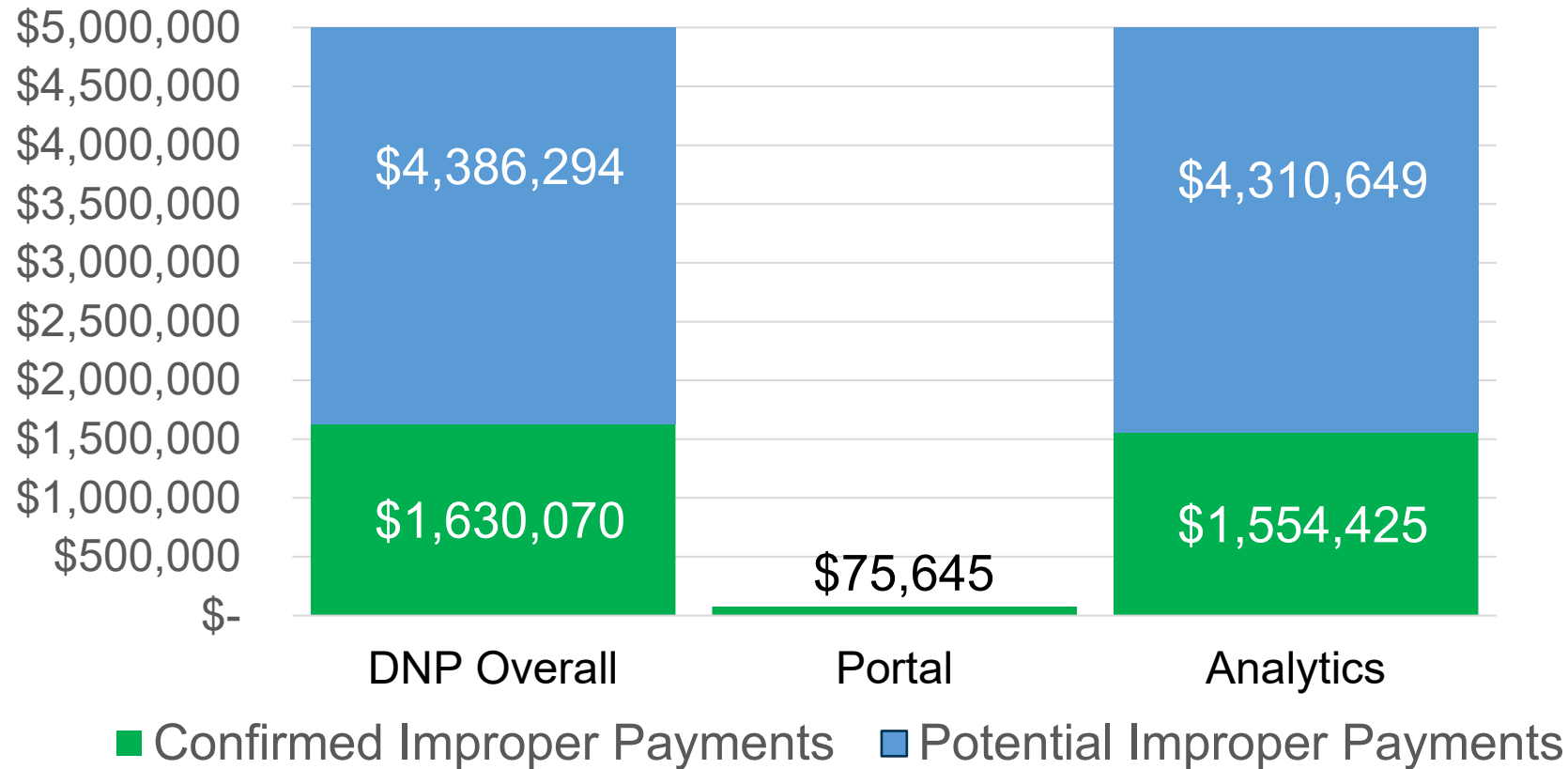
Note:
Potential Improper Payments are those that the customer has confirmed has broken a rule and would therefore be considered improper, but has not yet adjudicated the record.

Confirmed Improper Payments are those that the customer adjudicated as improper.

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Questions and Contact Info

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For more information, visit our website:
    https://fiscal.treasury.gov/dnp/

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Q&A
Break
15 Minutes

Do Not Pay Day 2021

Financial Management Quality Service Management Office
Eric McCoy, FM QSMO

May 25, 2021

Guiding Principles and Shared Goals for the Future

Guiding Principles

- Focus on customer experience

- Maximize the strategic value of data

- Deliver progress using agile processes

Shared Goals

- Standardize processes and data

- Reduce operation and maintenance costs

- Modernize and automate processes

- Improve customer satisfaction

Treasury Strategic Vision:
The Future of Financial Management

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A New Approach to Financial Management
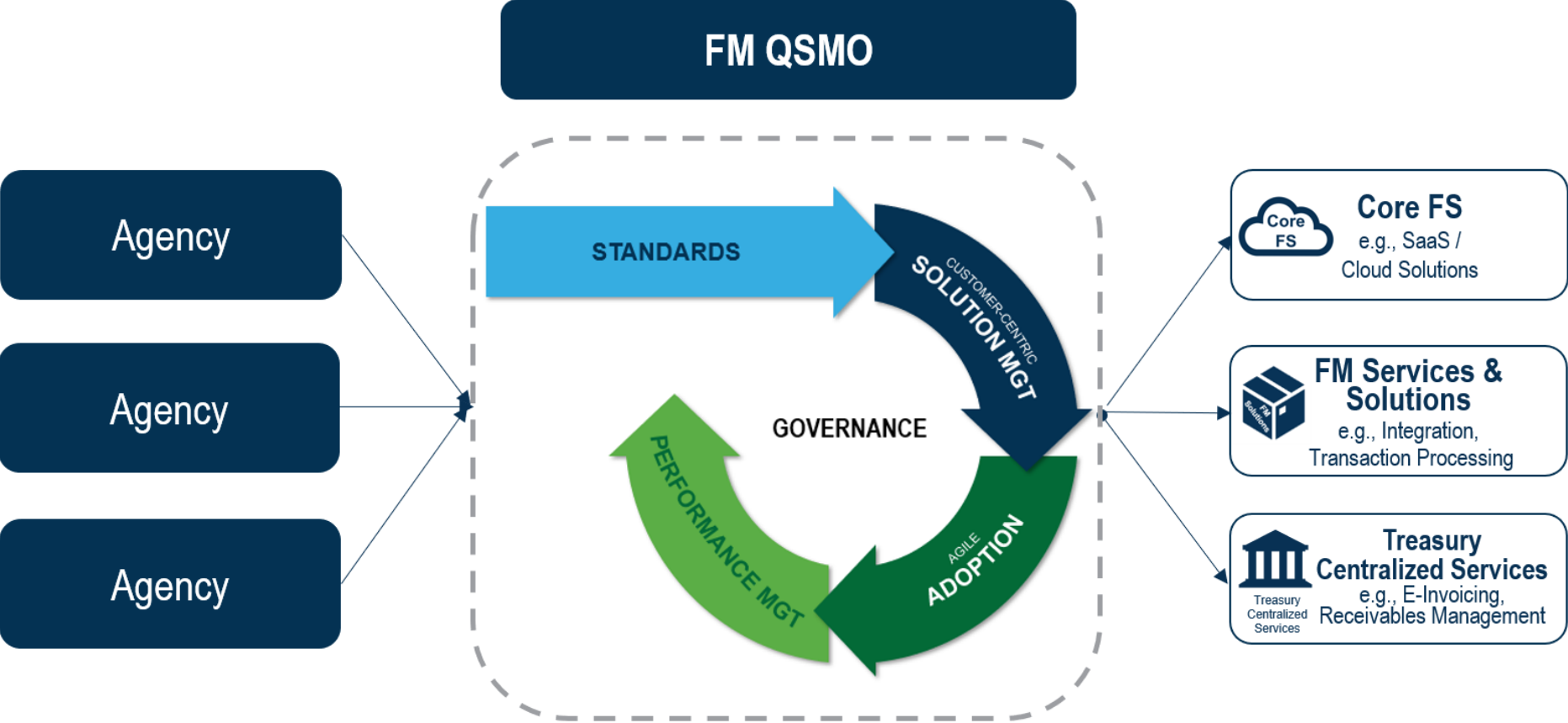
In the Future State, the FM QSMO acts as the broker between agencies and commercial and federal solutions. Solutions are centrally coordinated; standards are embedded in solutions and there is a unified effort to achieve goals.

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What is Different Now?

The FM QSMO will…

1. Create a marketplace that is customer-centric rather than provider-centric
2. Design the marketplace with customer input
3. Facilitate access to marketplace with choice and flexibility - not a single provider
4. Offer government-wide contract vehicles with quality, standards-based solutions and services
5. Ensure marketplace solutions:
   - Quickly adopt emerging government-wide standards
   - Advance shared goals
   - Encourage innovation and commercial competition
6. Transition agency solutions to modern cloud platforms and SaaS solutions
7. Lead long-term strategic planning for agency adoption of standards-based solutions

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Focusing on Customer Experience

Engage Customer
- Human-Centered Customer Experience Sessions
- Working Groups
- Validating
  - Financial Management Capability Framework
  - Marketplace Offerings

Engage Industry
- Provider Capabilities
- Best Practices
- Optimize Products
- Leverage Innovation

⑤ Test
① Empathize
② Define
③ Ideate
④ Prototype

Focus on Customer
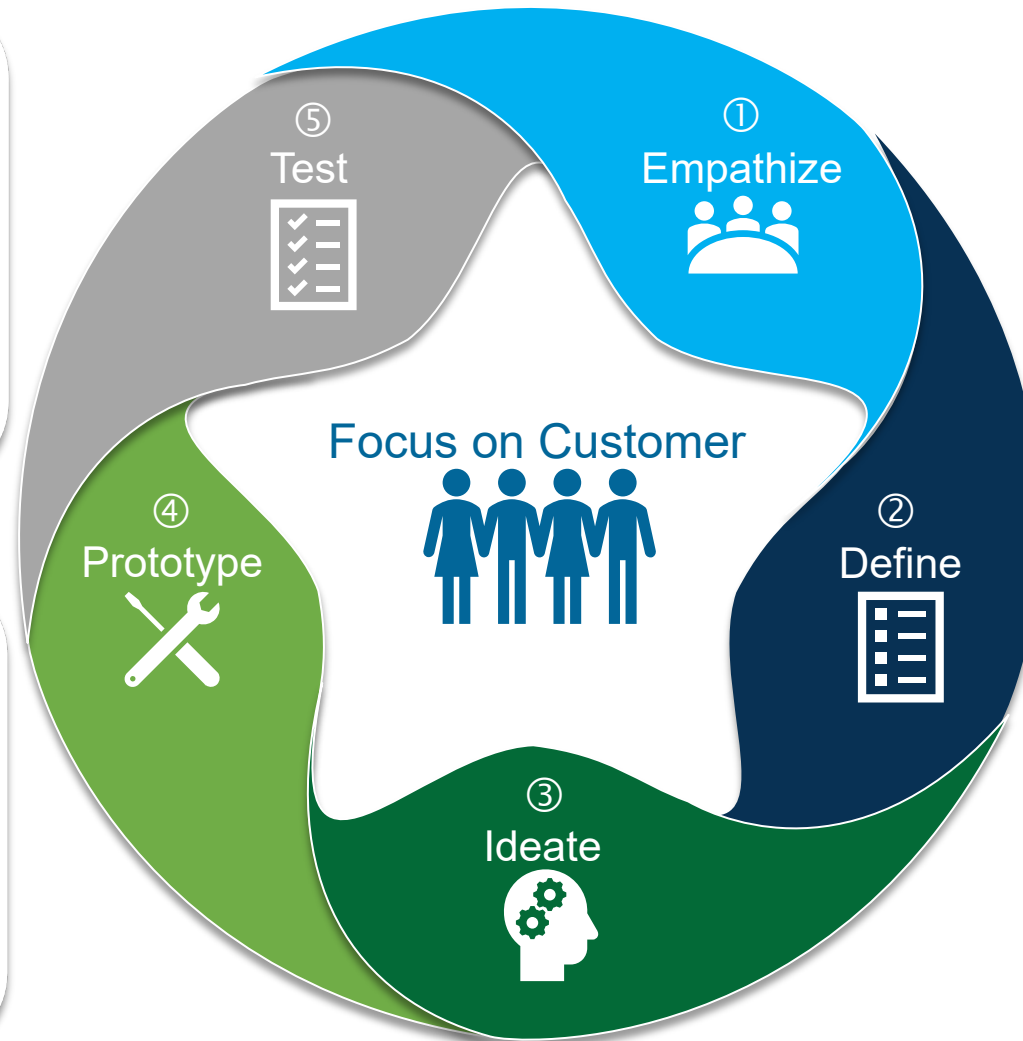
What we want to understand
- Needs
- Perspective
- Plans
- Pain Points
- Use of Marketplace
- Customer Personas and Journeys

What we will design
- Services Catalog
- Marketplace Capabilities
- Financial Management Capability Framework
- Operating Model for Agency Adoption
- Performance Measures

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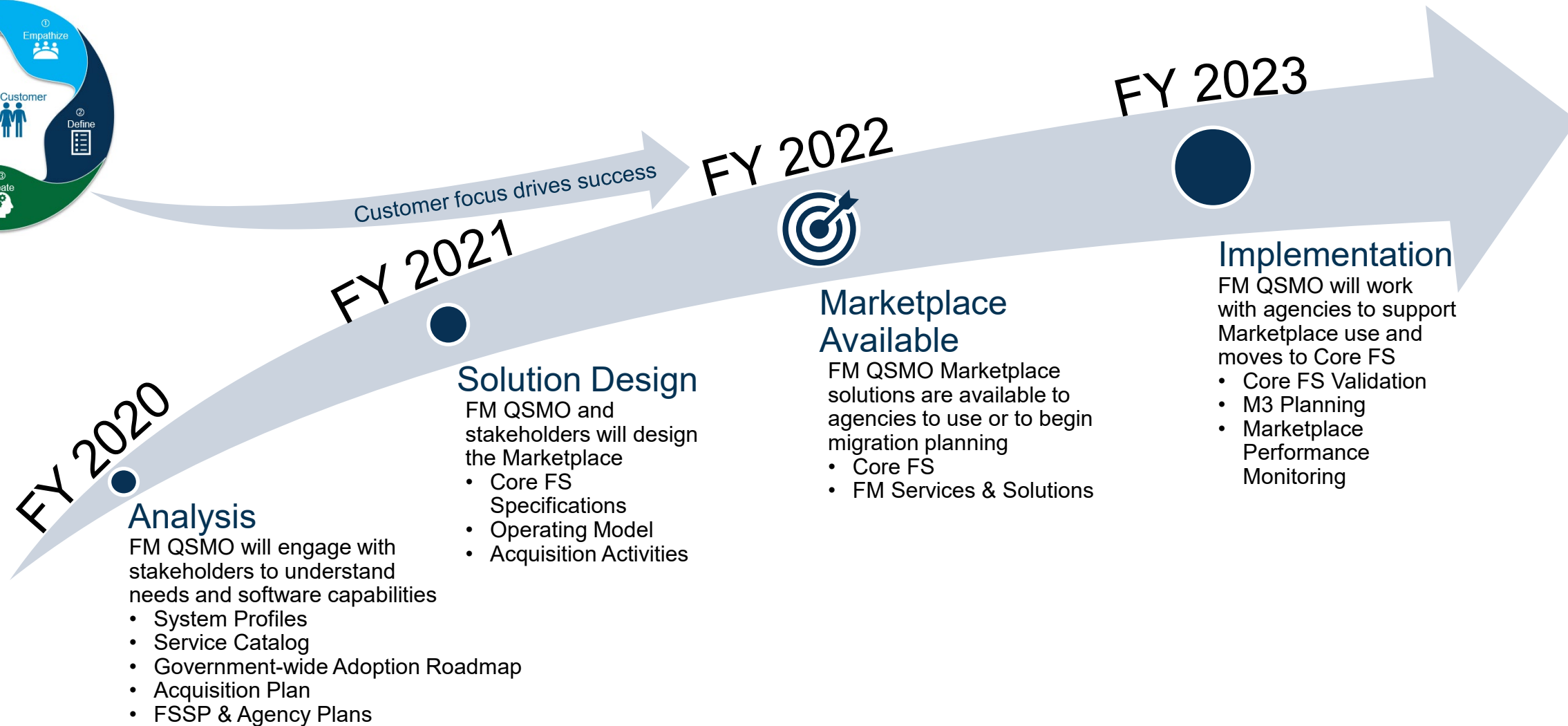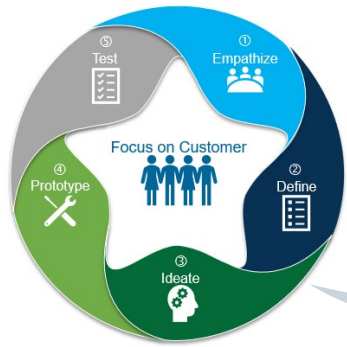U.S. DEPARTMENT OF THE TREASURY

QSMO Collaborative Approach

Collaborating with Fiscal Service programs to…

- Promote services, including DNP, to federal customer agencies through the Marketplace
- Align on existing requirements for exchanging business information between Fiscal Service programs and core financial systems
- Identify new opportunities to integrate Fiscal Service program systems with core financial systems
- Proactively identify impacts to financial management standards
- Liaise with core financial system software vendors about modernization efforts

Collaborating with other QSMOs and Lines of Business on…

- Complementary approaches to developing the marketplace and federal customer agency engagement
- Developing performance measures for QSMOs and marketplace providers
- Sharing information

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Implementation Plan

Customer focus drives success

FY 2020

Analysis
FM QSMO will engage with stakeholders to understand needs and software capabilities
- System Profiles
- Service Catalog
- Government-wide Adoption Roadmap
- Acquisition Plan
- FSSP & Agency Plans

FY 2021

Solution Design
FM QSMO and stakeholders will design the Marketplace
- Core FS Specifications
- Operating Model
- Acquisition Activities

FY 2022

Marketplace Available
FM QSMO Marketplace solutions are available to agencies to use or to begin migration planning
- Core FS
- FM Services & Solutions

FY 2023

Implementation
FM QSMO will work with agencies to support Marketplace use and moves to Core FS
- Core FS Validation
- M3 Planning
- Marketplace Performance Monitoring

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Federal Agency and Partner Engagement

The FM QSMO is engaging with federal agencies, FSSPs and other stakeholders in the federal community to build value added partnerships to meet shared financial management goals and objectives.

Agency Modernization Needs
Supporting current agency efforts to modernize legacy core financial systems and address critical needs; engaging with agencies who have emerging financial system modernization needs to support planning

Federal Shared Service Providers
Collaborating with legacy FSSPs to determine future roles as providers in the Marketplace and as early adopters of the Core FS solution; promoting ongoing information exchange across the FSSP FM community

Agency Financial System Profiles
Maintaining agency financial system profile information to understand the current environment and identify statistics, trends and opportunities

Best Practices & Lessons Learned
Connecting agencies to share learnings and practices

QSMO Coordination
Coordinating with other QSMOs and GSA OSSPI to share information and identify opportunities for common or similar customer-facing approaches or processes

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Industry Engagement

The FM QSMO is engaging with industry regularly to ensure awareness and commitment around the FM QSMO Marketplace vision.

Meetings
Conduct periodic meetings with core financial management software vendors

Industry Days and Office Hours
Facilitate Industry Days and Office Hours for all interested FM QSMO Marketplace solution providers

RFI(s)
Issued one Request for Information (RFI) in December 2020 and targeting the release of a second RFI in the beginning of June 2021

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Looking Ahead

FM QSMO is planning continued opportunities to collaborate to build a Marketplace that meets federal agency needs and promotes the centralized services offered by Treasury.

Federal Agencies	Industry
• Supporting agency financial system modernization planning activities • Holding interactive CX workshops • Seeking feedback on proposed capabilities for the Marketplace Core FS • Making connections with other agencies to share insights and lessons learned	• FM QSMO Industry Day event planned for May 18th • A 2nd Request for Information is targeted to be issued early this summer to solicit additional feedback from industry partners and stakeholders

Email: FMQSMO@fiscal.treasury.gov

Website: www.fiscal.treasury.gov/fmqsmo

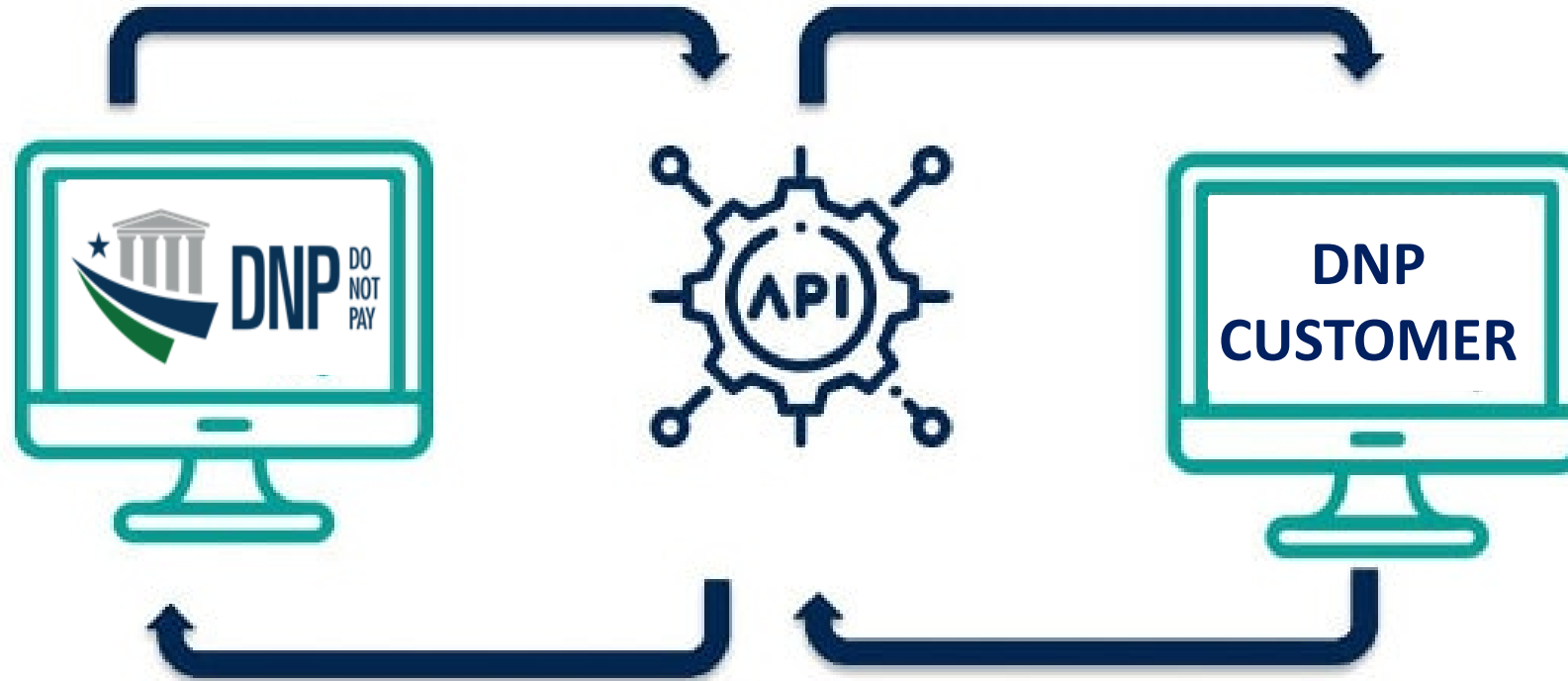L E A D · T R A N S F O R M · D E L I V E R

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API
Introducing Do Not Pay's Application Programming Interface

Hayden Gunter

May 25, 2021

What is an API?

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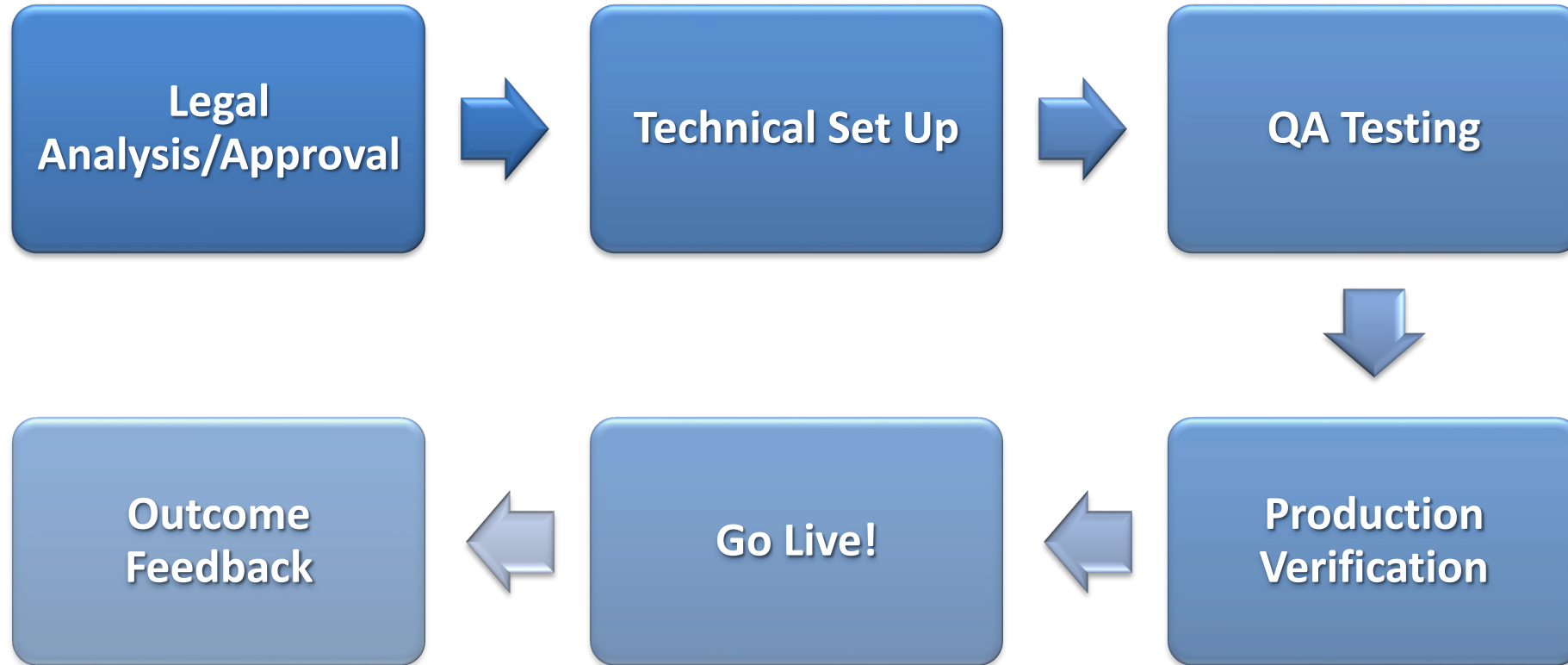U.S. DEPARTMENT OF THE TREASURY

What is an API?

A machine-to-machine interaction that takes place over a network, typically using the Hypertext Transfer Protocol (HTTP) used on the web.

- An API is a way for one software to access information from another software. An API takes the human aspect out of communicating between business lines and automates the process.

- The type of API offered by DNP is Representational State Transfer (REST). It defines the interface and conventions used between a web service provider and clients. REST is the most used and considered industry standard.

- In this case, your API would be the consumer of information and would be accessing information from DNP's databases – as we would be the provider.

- Essentially, the consumer is integrating DNP data into their own system.

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Process – High Level

Legal Analysis/Approval → **Technical Set Up** → **QA Testing** → **Production Verification** → **Go Live!** → **Outcome Feedback**

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API vs. Do Not Pay Portal

- With the API, the consumer is integrating DNP data into their own system.

- DNP would assess the needs of your organization to help you make the decision on API vs. Portal.

  – Does the program need real time results or are daily results sufficient?

- Using the DNP Portal is a manual process of searching of DNP data sources.

- Portal requires people to log in and retrieve results.

- API does not require onboarding to portal.

- API can be an automated process.

- API returns results without you having to navigate to the appropriate functionality.

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Query Options: Option 1 –Single Record

Single API call contains the search criteria of one entity to be matched against your agency's approved data source(s). The DNP response will include data source match results(s) for that single entity.

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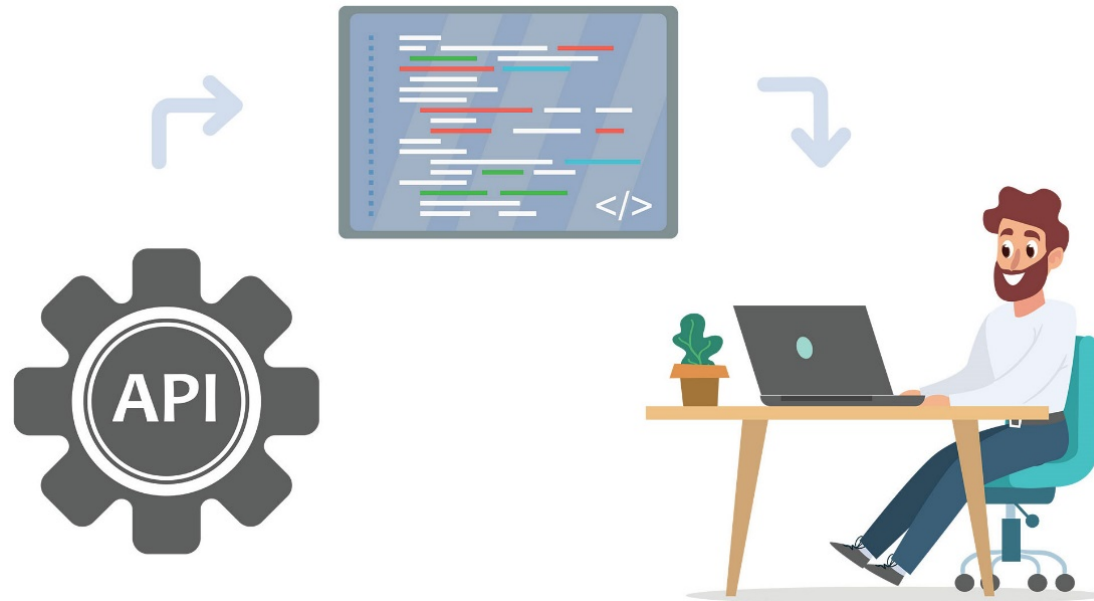
Query Options: Option 2 –Multiple Record

Multiple API call contains the search criteria of up to 100 entities to be matched against your agency's approved data source(s). The DNP response will include data source match result(s) for the searched entities.

API

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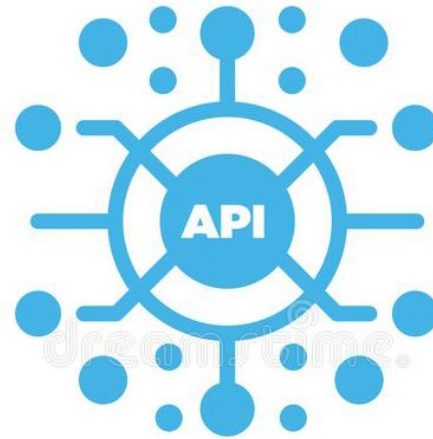
What Data Sources Can you Query?

DNP Data Source Usage	AIS	DMF	DOD	DOS	CAIVRS	LEIE	OFAC	SAM Entity	SAM Exclusion	TOP Debt Check
Online Search	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Payment Integration	✓	✓	✓	✓						
Batch Matching	✓	✓	✓	✓		✓	✓	✓	✓	✓
Continuous Monitoring	✓	✓	✓	✓		✓	✓	✓	✓	✓
Single Query API	✓	✓	✓	✓		✓	✓	✓	✓	✓
Multiple Query API	✓	✓	✓	✓		✓	✓	✓	✓	✓

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What Does DNP Do to Set Up?

- Initial meeting to discuss expectations.

- Initial Questions document and Legal Questionnaire sent to agency.

- Garner legal approval.

- Assist agency with technical questions during system buildout.

- Issue client certificates (QA and Production).

- QA Testing.

- Assist with go-live.

What Will You Do to Set Up?

- Initial Meeting to discuss expectations.

- Complete the Initial Questions document and Legal Approval forms (DNP will guide you through the process).

- Once legal approval is given, the agency will be responsible for creating their API system.

- Test with DNP.

- Go live and give feedback on decision made (functionality can be built into API).

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What Will DNP Do With Your Feedback?

- The API team can meet with Agency Outreach and discuss how agencies are using API to better serve the agency.

- Technical team can watch for hiccups.

- This helps DNP uncover our ROI.

- Testimonials are good for business.

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Current Partnerships

- Health and Human Services – Grants and Payments.

- Department of Justice - US Marshals

- Small Business Administration – 504 Sacramento Loan Processing Center (Single)

- Small Busines Administration – PPP and EIDL (tbd).

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Contact Information

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Email: hayden.gunter@fiscal.treasury.gov

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Fiscal Service's Blockchain Journey

2017 - 2018

2018 - 2019

Physical Asset Tracking

Software License Tracking

Grant Payments

➢ Gave us a foundational understanding of DLT by exploring a low-risk use case.

➢ Expanded our understanding of what does, and does not make a good use case for blockchain

➢ Explored how blockchain could be used to tokenize (digitally represent), transfer, and redeem a Federal payment.
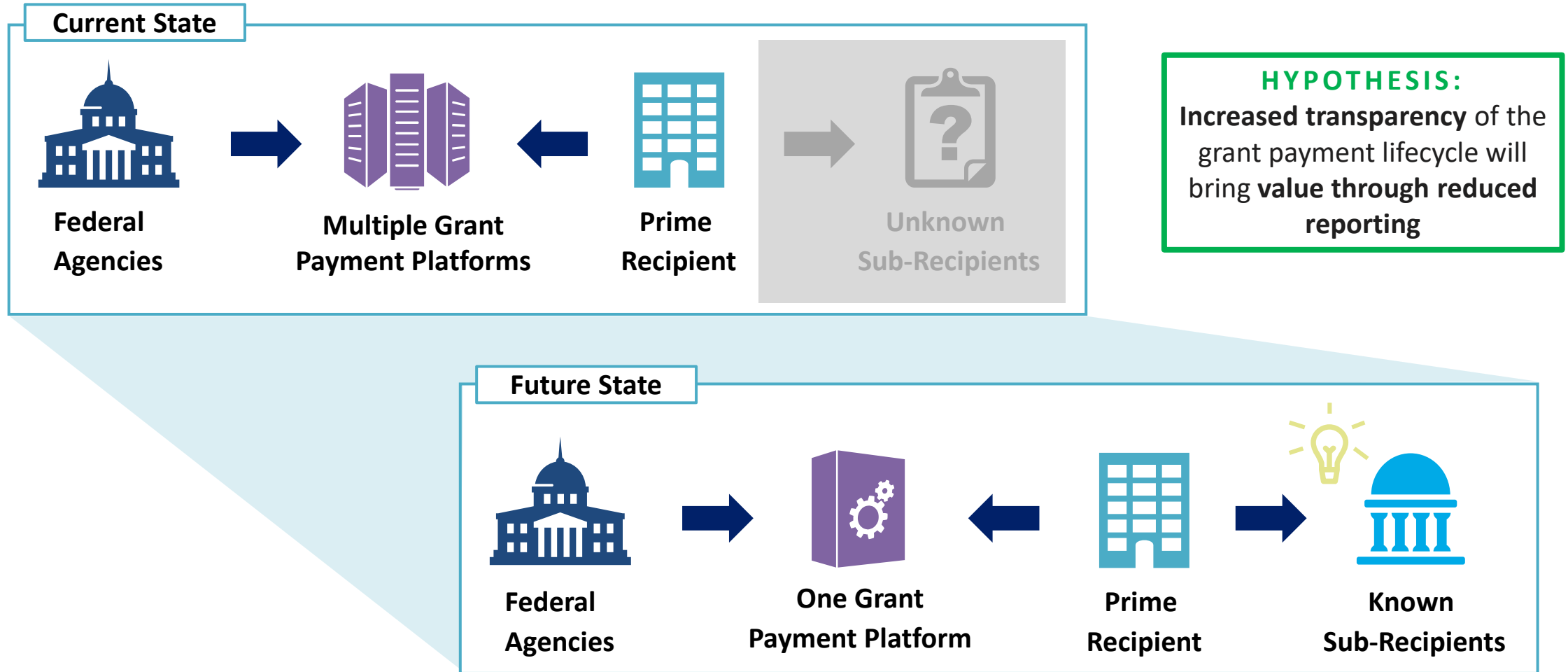
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Reporting Burden Associated with Grants

Researchers spend 44% of their research time performing mandated administrative tasks*

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* Reducing Administrative Burden in Federal Research Grants to Universities, IBM Center for the Business of Government, January 29th, 2020.

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More Payment Visibility = Less Reporting Burden

Current State

Federal Agencies → Multiple Grant Payment Platforms ← Prime Recipient → Unknown Sub-Recipients

HYPOTHESIS:
Increased transparency of the grant payment lifecycle will bring **value through reduced reporting**

Future State

Federal Agencies → One Grant Payment Platform ← Prime Recipient → Known Sub-Recipients

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An Example of Digital Asset Tokenization

DLT has the potential to fundamentally change the way the Federal government can interact, track, and transact with real-life assets through tokenization, enabling a digital world of automated rule enforcement and end-to-end visibility.

1 **Real Life Asset**

2 **Embedding Economic Value and Rights**

Worth $200,000

Owned by Bob

Renting Allowed

3 **Represented As A Digital Token**

4 **Transferred And Tracked Across A Network**

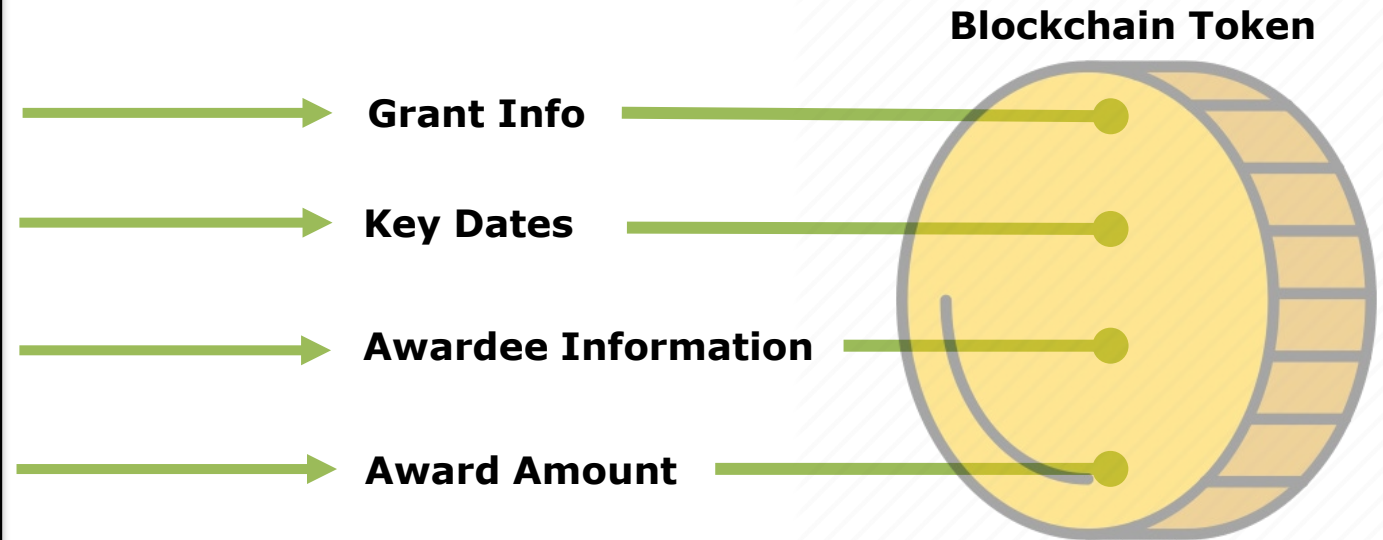Bought By Bob on 7/5/20 for $200,000

Sold to Sally on 8/10/21 for $300,000

Sold to Arjun 9/5/25 for $400,000

House

Smart contract

Digital token

End-To-End History

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"Tokenizing" a Grant Letter

A Grant Letter becomes "tokenized" by extracting, digitizing, and storing specific data elements onto a blockchain token where those data elements are permanently stored and can be transferred


NATIONAL SCIENCE FOUNDATION
Grant Letter

Grant Letter Information and Payment Data are Digitized and Stored on the Token

Blockchain Token

Grant Info

Key Dates

Awardee Information

Award Amount

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Blockchain-Based Grant Payment "Clickable Prototype"

This clickable prototype allows us to share the process flow and concepts of the prototype with greater audiences to receive their input.
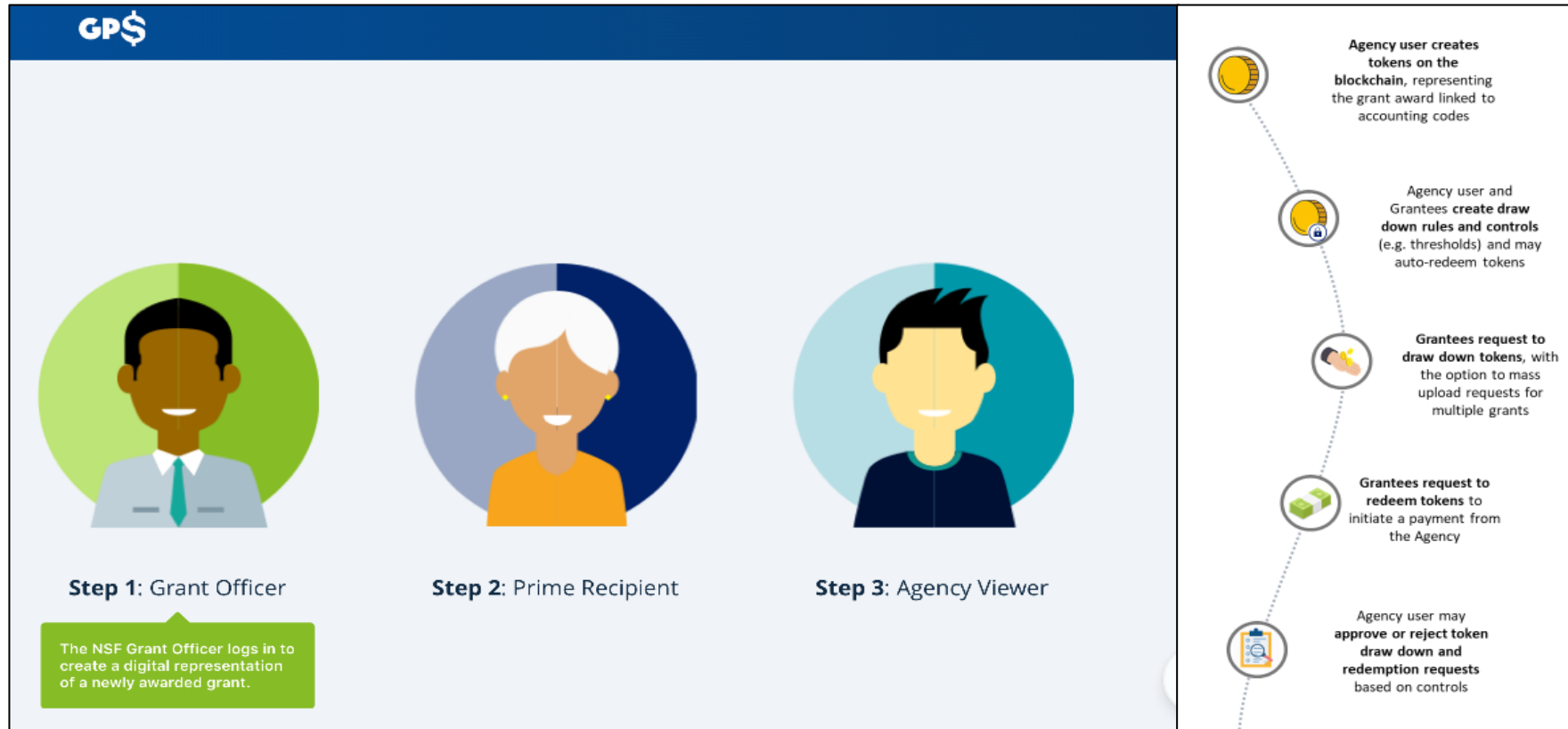
Enhancements Overview

- Increased Transaction Transparency
- Simplified Reporting
- Improved Customer Experience
- Known Recipients
- Efficient Oversight

Copy and paste the following link into your browser:
https://projects.invisionapp.com/share/XR102NLZB9MD
Password: fit_gps

Value Proposition of Tokenized Grants Payments For Fiscal Service

Tokenizing federal grants payments provides Fiscal Service the ability to track the payment lifecycle of a grant, increasing the Bureau's awareness of its cash position by strategically leveraging shared data and automatically enforcing internal controls.

TRANSPARENCY

Visibility into the lifecycle of grants enables **timely and accurate reconciliation of an Agency's Fund Balance with Treasury,** enhancing Treasury's data integrity, **reducing reporting burden,** and **simplifying data sharing.**

AUTOMATION

Smart contracts **automate financial controls and improve risk management** by cross referencing **payment integrity lists** (e.g. DoNotPay) to **reduce loss of cash, manual oversight, and frequency of improper payments.**

EFFICIENCY

The peer-to-peer nature of a distributed network records a public history of transactions that is shared across parties as **the single source of truth**. This eliminates the need to update records multiple times and keep disparate systems in sync.

IMMUTABILITY

Time-stamped, permanent ledger information tracked by the token across the grants payments lifecycle enables a **timely and automatic execution of audits,** and **simplifies data calls** for audit sampling.

RESILIENCY

The distributed network of shared data across federal and non-federal participants eliminates a single point of failure, **increases data integrity, and enhances the Bureau's use of data as a strategic asset.**

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Next Steps

FIT and NSF identified four immediate next steps to advance FIT's goal of using DLT to facilitate a federal grant payment.

Fiscal Service

NSF

1) BUSINESS AND PILOT PLANS

Develop a business plan laying out a path to production, that includes a concept of operations, pilot project scope, alternatives analysis, core questions to be answered and an ROI analysis.

2) TECHNICAL UNDERSTANDING

Collaborate with NIST, GAO and MIT (Capstone) to evaluate multi-agency ATO requirements, node hosting, digital wallet deployment and required infrastructure for DLT solutions.

3) EXPAND THE ECOSYSTEM

Expand the ecosystem to target additional agencies, OMB, and end-users to help support the business plan, pressure test the blockchain application, and address regulatory hurdles (i.e., sub-recipient payment issue).

4) EXPLORE CONNECTIVITY

Establish API connectivity between the DLT system and NSF financial system and prime grantee in partnership with ISS.

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Overall Initiative Timeline

Phase 1
2O20

Built and assessed working Blockchain prototype for the Multi-Tier Grants Payment Processes

Phase 3
2021-2022

Develop business plan and associated analysis for concept of operations and pilot plan, collaborate with NIST and JFMIP and NSF on technical issues

Phase 5
2023

Develop the path to production including expanding the prototype in accordance with the approved business plan., transition and implementation plans.

Better understand the value proposition of DLT for this use case, enhance and modify the prototype, and move the prototype into Fiscal Service's sandbox environment

Phase 2
2020-21

Conduct and assess a pilot, including making payments. Expand the prototype in accordance with the approved business plan. (execute a pilot)

Phase 4
2022

Transition to a Multi-Tier Grants Payment Blockchain

TBD

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If you are interested in partnering with FIT on the Blockchain Project, please email us at: FIT@fiscal.treasury.gov

Bureau of the Fiscal Service — U.S. Department of the Treasury

Thank You!