



CDC-RFA-PS22-2203

Comprehensive High -Impact HIV Prevention Programs for Young Men of Color Who Have Sex with Men and Young Transgender Persons of Color

Office of Grants Services Overview

Valerie McCloud, Grants Management Specialist
LaQuenda White, Grants Management Specialist
Edna Green, Senior Grants Management Officer
Arthur C. Lusby, MBA, Lead Grants Management Officer



Office of Grants Services (OGS)

Branch I

Agenda

- ❑ Introduction to the Office of Grant Services (OGS)
- ❑ Laws, Regulations and Policies
- ❑ Overview of Grants Management
 - Funding and Assistance Mechanisms
 - Roles and Responsibilities
 - Pre-Application Information and Tips for Applying
 - Notice of Award
 - Payment Management System (PMS)
 - Recipient Financial Management

Agenda Continued

- ❑ **Budget Guidelines**
 - Cost Considerations
 - Indirect Cost Rate
 - Allowable Costs
 - Common Budget Challenges
- ❑ **Prior Approval Requests**
- ❑ **Funding Restrictions**
- ❑ **Reporting Requirements**
- ❑ **Equipment**
- ❑ **Helpful Reminders**
- ❑ **Useful Resources**

Office of Grants Services

Office of Grants Services is responsible for:

- ❑ Coordinating and overseeing implementation of CDC's assistance mechanisms.
- ❑ Managing CDC grants and cooperative agreements.
- ❑ Developing guidance for CDC project officers and public health program officials related to grants activities.
- ❑ Reviewing grant applications for conformity to laws, regulations, policies, and alignment to CDC's public health goals.

LAWS, REGULATIONS AND POLICIES

Code of Federal Regulations

❑ Important CFR for Recipients

- 45 CFR Part 75: HHS Uniform administrative requirements, cost principles, and audit requirements for Federal awards

GrantSolutions

- ❑ CDC uses GrantSolutions for
 - Publishing Notices of Funding Opportunities
 - Delivering Notices of Award
 - Post Award Monitoring
 - Closeout functions
- ❑ GrantSolutions provides many tools for grant - related tasks
- ❑ You can learn more at www.grantsolutions.gov and at CDC's recipient webpage www.cdc.gov/grants/grantsolutions

FUNDING MECHANISMS

Assistance Mechanisms

□ Assistance Mechanisms

■ Grants

- Provide federal funding to assist public health stakeholders in accomplishing a public purpose

■ Cooperative Agreements

- Type of grant
- Used when there will be substantial involvement by CDC staff
- This Notice of Funding Opportunity (NOFO) will be using the Cooperative Agreement mechanism

Cooperative Agreements

- ❑ CDC monitoring responsibilities are separate from the federal collaborative role
- ❑ Substantial involvement between CDC and the recipient during the period of performance
 - CDC staff provide collaboration or participation in activities specified in the award
 - CDC decision-making occurs at specified milestones related to performance as appropriate
 - CDC approvals may be required before undertaking the next phase of a project

ROLES AND RESPONSIBILITIES

CDC Roles and Responsibilities

- ❑ **Grants Management Officer (GMO):**
 - ONLY official authorized to
 - obligate funds for grant and cooperative agreement actions on behalf of the federal government or
 - change the funding, duration, or other terms and conditions of an award
- ❑ **Grants Management Specialist (GMS):**
 - Primary point of contact for grant-related issues, such as processing prior approvals
 - Handles the day-to-day business management (non-programmatic) aspect of grants
- ❑ **Project Officer (PO):**
 - Official responsible for the programmatic, scientific, and/or technical aspects of assigned grants
 - Primary point of contact for substantial involvement activities under cooperative agreements

Grants Management Responsibilities

- ❑ **Oversight and Stewardship: Cooperative Agreements**
 - Conducting Site Visits
 - Evaluating performance reports
 - Providing technical assistance
 - Ensuring compliance with policy requirements
 - Conducting enforcement actions
 - Closer monitoring based on high-risk assessment
 - Reviewing/evaluating final project performance

Recipient Roles and Responsibilities

- ❑ **Authorized Organizational Representative (AOR):**
 - Holds authority to act on behalf of the organization
 - Able to sign grant applications and post-award amendments
 - Held accountable for the appropriate use of funds awarded and the performance of the grant-supported project or activities

- ❑ **Other Accountable Parties:**
 - Principal investigator
 - Program/Project Director
 - Program/Project Coordinator
 - Business/Fiscal Officer
 - Payment Management System Preparer/Approver

Recipient Roles and Responsibilities

- ❑ Develops and implements systems and monitoring procedures to ensure proper stewardship of funds
- ❑ Identifies areas of special interest and communicates regularly with the CDC Project Officer
- ❑ Tracks performance and submits timely reports
- ❑ Accounts for its funds to CDC, and is responsible for sub-recipients and sub-contractors
- ❑ Complies with Terms and Conditions of Award

Mini -Quiz!

- ❑ Which office serves as the point of contact for ALL official communications with recipients?
 - Extramural Office
 - CDC Program Office
 - Office of Grants Services

- ❑ Which party is the sole approving federal official authorized to obligate funds for cooperative agreements on behalf of the U.S. Government?
 - Authorized Organization Representative
 - Grants Management Officer
 - Project Officer

PRE-APPLICATION INFORMATION AND TIPS FOR APPLYING

Grant Application Process

□ Prior to applying:

- Become familiar with the Grants.gov website
- Ensure that your organization has the following readily available and current:
 - Data Universal Numbering System (DUNS) number
 - Employer Identification Number (EIN)
 - System for Award Management (SAM) Registration
- Review the Notice of Funding Opportunity (NOFO) to ensure eligibility and required information

Grant Application Process


❑ Grants.gov Registration Requirements

- Data Universal Numbering System (DUNS) Number
 - Application: <http://fedgov.dnb.com/webform/displayHomePage.do>
 - For help either call (866) 705-5711 or international can e-mail govt@dnb.com
- System for Award Management (SAM)
 - Create a user account at: <https://www.sam.gov/portal/public/SAM/>
 - For help check the user guide first and then...
 - Call (866) 606-8220 (domestic calls)
+1 (334) 206-7828 (international calls)
 - Vis it: <https://www.fsd.gov>
- Employer Identification Number (EIN)

❑ Grants.gov Applicant Training

- Web: <https://www.grants.gov/web/grants/applicants/applicant-training.html>

GRANTS.GOV

 **GRANTS.GOV**SM
FIND. APPLY. SUCCEED.SM

SEARCH: Grant Opportunities ▾ Enter Keyword... **GO**

HOME | LEARN GRANTS ▾ | SEARCH GRANTS | APPLICANTS ▾ | GRANTORS ▾ | SYSTEM-TO-SYSTEM ▾ | FORMS ▾ | CONNECT ▾ | SUPPORT ▾

Reminder: Grants.gov does not post financial assistance opportunities. Federal funding opportunities published on Grants.gov are for organizations and entities supporting the development and management of government programs and projects.

Convenience Comes to Federal Grants

Download the Grants.gov Mobile App to search and submit on the go.



SEARCH GRANTS



GET STARTED



GRANT POLICIES



GRANT-MAKING AGENCIES



PREVENT SCAMS



COMMUNITY BLOG



TWITTER FEED



YOUTUBE VIDEOS



USER GUIDE



SUPPORT CENTER

Grants.gov and GrantSolutions

- ❑ When to use Grants.gov
 - Applications for new funding
 - New NOFOs that are not single source

- ❑ When to use GrantSolutions
 - Non-competing continuations
 - Post-award amendments

Grant Application Process

❑ Register NOW with Grants.gov

- Your organization must complete the Grants.gov registration process to apply for a grant.
- Registration process can take between 3-5 business days or as long as four weeks



The screenshot displays the Grants.gov website interface. At the top, the logo 'GRANTS.GOV' is visible alongside a search bar containing 'Grant Opportunities'. Below the logo is a navigation menu with options: HOME, LEARN GRANTS, SEARCH GRANTS, APPLICANTS (highlighted), GRANTORS, SYSTEM-TO-SYSTEM, FORMS, OUTREACH, and SUPPORT. The breadcrumb trail reads: GRANTS.GOV > Applicants > Organization Applicant Registration. The main heading is 'ORGANIZATION APPLICANT REGISTRATION'. On the left, there are two sections: 'APPLICANT ACTIONS' with links for 'Apply for Grants' and 'Track My Application'; and 'APPLICANT RESOURCES' with links for 'Applicant Eligibility', 'Individual Registration', 'Organization Applicant Registration' (bolded), 'STEP 1: Obtain a DUNS Number', 'STEP 2: Register with SAM', 'STEP 3: Create a Username and Password', 'STEP 4: EBiz POC Authorizes Roles', 'STEP 5: Track Role Status', 'Workspace Overview', and 'Applicant Tools & Tips'. On the right, there is a photograph of people's legs walking, followed by the heading 'Registering as an Organization Applicant' and a paragraph of text explaining the registration process.

Grant Application Process

Find a Notice of Funding Opportunity


The screenshot shows the GRANTS.GOV website interface. At the top, there is a navigation bar with links for HOME, LEARN GRANTS, SEARCH GRANTS (highlighted), APPLICANTS, GRANTORS, SYSTEM-TO-SYSTEM, FORMS, OUTREACH, and SUPPORT. A search bar is located in the top right corner with the text "SEARCH: Grant Opportunities" and a dropdown menu. Below the navigation bar, the page title is "GRANTS.GOV > Search Grants". The main heading is "SEARCH GRANTS". Under "BASIC SEARCH CRITERIA:", there are input fields for "Keyword(s)", "Opportunity Number", and "CFDA:", each with a clear button (X). A "SEARCH" button is positioned below these fields. To the right, there is a "SORT BY:" dropdown menu set to "Posted Date (Descending)" and a "DATE RANGE:" dropdown menu set to "All Available". An "Update Sort" button is located below the sort menu. Below the search criteria, there is a section for "OPPORTUNITY STATUS:" with checkboxes for "Forecasted (139)", "Posted (2,041)", "Closed (1,987)", and "Archived (36,594)". The search results are displayed in a table with the heading "1 - 25 OF 2180 MATCHING RESULTS:". The table has columns for "Opportunity Number", "Opportunity Title", "Agency", "Opportunity Status", and "Posted Date". The first three rows of results are visible.

Opportunity Number	Opportunity Title	Agency	Opportunity Status	Posted Date
P17AS00025	Desert Tortoise Juvenile Survivorship at Mojave National Preserve	DOI-NPS	Posted	11/29/2017
DOJ-2017-4997	U.S. Department of Justice Coordinated Tribal Assistance Solicitation	USDOJ	Posted	11/29/2017
EPA-HQ-OPPT-2017-001	Center of Excellence for Chemical Alternatives Assessment	EPA	Posted	11/29/2017

Grant Application Process

□ Submitting the application

- You must be completely registered on Grants.gov to upload a completed application.
- No extensions to the NOFO application due date are granted. No exceptions.
- All applications must be submitted and accepted via www.Grants.gov.

 Please review [Applicant FAQs](#) as you prepare and submit your application.

Option 1: Apply Now Using Workspace

[Login to Apply Now »](#)

Workspace is our enhanced application submission feature, which helps organizations and individuals create, complete, and submit grant applications.

Want to learn how to get started? [Click here](#).

Option 2: Download Legacy Application Package

The legacy application package continues to be available for a limited time ([see details](#)). Please [click here](#) to learn how to get started with Workspace.

To use the legacy application method, use the buttons below:

[Download Instructions »](#)

[Download Package »](#)

Grant Application Process

- When completing applications:
 - Understand deadlines provided in the NOFO
 - Review eligibility, application, and submission requirements
 - Prepare an itemized budget narrative in accordance with *CDC Budget Guidelines*
 - Understand required policies and funding restrictions

NOTICE OF AWARD

Notice of Award

- Sets forth pertinent information about the grant:
 - Award Number
 - Federal Award Identification Number (“FAIN”)
 - Recipient Information
 - Name of key staff (e.g., Principal Investigator/Project Director)
 - Approved period of performance start and end dates
 - Approved budget period start and end dates
 - Amount of federal funds authorized for spending by the recipient
 - Standard and program specific terms and conditions
 - Administrative or programmatic restrictions

Notice of Award

- ❑ Legally binding document issued to the grant recipient
- ❑ Provides an official commitment of U.S. government funds to recipient
- ❑ Indicates that funds are requested from the Payment Management System
- ❑ Incorporates the following guidance:
 - NOFO and program specific terms and conditions
 - Application (including Budget and Work Plans submitted)
 - National Policies and Federal Regulations
 - HHS Grants Policy Statement
 - CDC General Terms and Conditions of Award

Notice of Award

- ❑ Issued for each budget period in the approved period of performance
- ❑ A recipient indicates acceptance of an award and its associated terms and conditions by drawing down or requesting funds from the Payment Management System (PMS).
- ❑ Costs incurred by the grant recipient prior to the NOA being issued and project period start may be allowable but are incurred at the recipient's own risk as the award is still pending.

Notice of Award

- Sets forth pertinent information about the cooperative agreement:
 - Required reporting information
 - Applicable legislation and regulations
 - CDC points of contact
 - CDC programmatic substantial involvement responsibilities (for cooperative agreements)

Notice of Award


- ❑ Revised Notice of Awards will be issued by OGS for the following:
 - Approval of a change to the terms and conditions of the award
 - Approval to a change to the budget
 - Approval to a change to the duration of support
 - Approval to lift a funding restriction

- ❑ If there is not a revised NOA, then the original terms and conditions of the previous NOA remain in effect.

GrantSolutions Notice of Award Page 1

Recipient Information including EIN/DUNS, PD or PI, and AOR

Agency Grants Management and Program Contacts



Department of Health and Human Services
Operating Division

Notice of Award
FAIN# XXXXXXXXXXXX
Federal Award Date
XX/XX/XXXX

Recipient Information

1. **Recipient Name**
Name of Recipient
Address Line 1
Address Line 2
City, State, XXXXX-XXXX

2. **Congressional District of Recipient**
XX

3. **Payment System Identifier (ID)**
XX-XXXXXXX

4. **Employer Identification Number (EIN)**
XX-XXXXXXX

5. **Data Universal Numbering System (DUNS)**
XX-XXX-XXXX

6. **Recipient's Unique Entity Identifier**
XXXXXXXXXXXX

7. **Project Director or Principal Investigator**
Name
Title
email@email.com
XXX-XXX-XXXX

8. **Authorized Official**
Name
Title
email@email.com
XXX-XXX-XXXX

Federal Award Information

11. **Award Number**
XXXXXXXXXXXX

12. **Unique Federal Award Identification Number (FAIN)**
XXXXXXXXXX

13. **Statutory Authority**
XX XXX XXXX XX XXX

14. **Federal Award Project Title**
XXXX

15. **Assistance Listing Number**
XX XXX

16. **Assistance Listing Program Title**
XXXX

17. **Award Action Type**
XXXX

18. **Is the Award R&D?**
XXXX

Federal Agency Information

9. **Awarding Agency Contact Information**
Name
Title
Operating Division Name
email@email.com
XXX-XXX-XXXX

10. **Program Official Contact information**
Name of Program Official
Title
Operating Division Name
email@email.com
XXX-XXX-XXXX

Summary Federal Award Financial Information

19. **Budget Period Start Date** XX/XX/XXXX – **End Date** XX/XX/XXXX

20. Total Amount of Federal Funds Obligated by this Action	\$ 0
20a. Direct Cost Amount	\$ 0
20b. Indirect Cost Amount	\$ 0
21. Authorized Carryover	\$ 0
22. Offset	\$ 0
23. Total Amount of Federal Funds Obligated this budget period	\$ 0
24. Total Approved Cost Sharing or Matching, where applicable	\$ 0
25. Total Federal and Non-Federal Approved this Budget Period	\$ 0

26. **Project Period Start Date** XX/XX/XXXX – **End Date** XX/XX/XXXX

27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period	\$ 0
---	------

28. **Authorized Treatment of Program Income**
XXXX

29. **Grants Management Officer - Signature**
Signature

30. **Remarks**
XXXX


Award Information including Award Number and Award Action

Summary of Financial Information including budget and project period; award amount total (per action and totals)

GrantSolutions Notice of Award Page 2

Includes approved budget by budget category

Accounting codes used for draw down of funds →



DEPARTMENT OF HEALTH AND HUMAN SERVICES
Centers for Disease Control and Prevention

Notice of Award
Award# 1 NU50CK000584-01-00
FAIN# NU50CK000584
Federal Award Date: 01/29/2021

<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="background-color: #e0f0ff;">Recipient Information</th> </tr> <tr> <td> <p>Recipient Name NATIONAL SAFETY COUNCIL 1121 Spring Lake Dr NATIONAL SAFETY COUNCIL Itasca, IL 60143-3200 [NO DATA]</p> <p>Congressional District of Recipient 08</p> <p>Payment Account Number and Type 1362167809A1</p> <p>Employer Identification Number (EIN) Data 362167809</p> <p>Universal Numbering System (DUNS) 046573085</p> <p>Recipient's Unique Entity Identifier Not Available</p> </td> </tr> <tr> <td> <p>31. Assistance Type Cooperative Agreement</p> <p>32. Type of Award Other</p> </td> </tr> </table>	Recipient Information	<p>Recipient Name NATIONAL SAFETY COUNCIL 1121 Spring Lake Dr NATIONAL SAFETY COUNCIL Itasca, IL 60143-3200 [NO DATA]</p> <p>Congressional District of Recipient 08</p> <p>Payment Account Number and Type 1362167809A1</p> <p>Employer Identification Number (EIN) Data 362167809</p> <p>Universal Numbering System (DUNS) 046573085</p> <p>Recipient's Unique Entity Identifier Not Available</p>	<p>31. Assistance Type Cooperative Agreement</p> <p>32. Type of Award Other</p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th colspan="2" style="background-color: #e0f0ff;">33. Approved Budget (Excludes Direct Assistance)</th> </tr> <tr> <td colspan="2">I. Financial Assistance from the Federal Awarding Agency Only</td> </tr> <tr> <td colspan="2">II. Total project costs including grant funds and all other financial participation</td> </tr> <tr> <td>a. Salaries and Wages</td> <td style="text-align: right;">\$153,750.00</td> </tr> <tr> <td>b. Fringe Benefits</td> <td style="text-align: right;">\$59,809.00</td> </tr> <tr> <td> c. Total Personnel Costs</td> <td style="text-align: right;">\$213,559.00</td> </tr> <tr> <td>d. Equipment</td> <td style="text-align: right;">\$0.00</td> </tr> <tr> <td>e. Supplies</td> <td style="text-align: right;">\$0.00</td> </tr> <tr> <td>f. Travel</td> <td style="text-align: right;">\$0.00</td> </tr> <tr> <td>g. Construction</td> <td style="text-align: right;">\$0.00</td> </tr> <tr> <td>h. Other</td> <td style="text-align: right;">\$60,969.00</td> </tr> <tr> <td>i. Contractual</td> <td style="text-align: right;">\$102,500.00</td> </tr> <tr> <td>j. TOTAL DIRECT COSTS</td> <td style="text-align: right;">\$377,028.00</td> </tr> <tr> <td>k. INDIRECT COSTS</td> <td style="text-align: right;">\$122,972.00</td> </tr> <tr> <td>l. TOTAL APPROVED BUDGET</td> <td style="text-align: right;">\$500,000.00</td> </tr> <tr> <td>m. Federal Share</td> <td style="text-align: right;">\$500,000.00</td> </tr> <tr> <td>n. Non-Federal Share</td> <td style="text-align: right;">\$0.00</td> </tr> </table>	33. Approved Budget (Excludes Direct Assistance)		I. Financial Assistance from the Federal Awarding Agency Only		II. Total project costs including grant funds and all other financial participation		a. Salaries and Wages	\$153,750.00	b. Fringe Benefits	\$59,809.00	c. Total Personnel Costs	\$213,559.00	d. Equipment	\$0.00	e. Supplies	\$0.00	f. Travel	\$0.00	g. Construction	\$0.00	h. Other	\$60,969.00	i. Contractual	\$102,500.00	j. TOTAL DIRECT COSTS	\$377,028.00	k. INDIRECT COSTS	\$122,972.00	l. TOTAL APPROVED BUDGET	\$500,000.00	m. Federal Share	\$500,000.00	n. Non-Federal Share	\$0.00
Recipient Information																																						
<p>Recipient Name NATIONAL SAFETY COUNCIL 1121 Spring Lake Dr NATIONAL SAFETY COUNCIL Itasca, IL 60143-3200 [NO DATA]</p> <p>Congressional District of Recipient 08</p> <p>Payment Account Number and Type 1362167809A1</p> <p>Employer Identification Number (EIN) Data 362167809</p> <p>Universal Numbering System (DUNS) 046573085</p> <p>Recipient's Unique Entity Identifier Not Available</p>																																						
<p>31. Assistance Type Cooperative Agreement</p> <p>32. Type of Award Other</p>																																						
33. Approved Budget (Excludes Direct Assistance)																																						
I. Financial Assistance from the Federal Awarding Agency Only																																						
II. Total project costs including grant funds and all other financial participation																																						
a. Salaries and Wages	\$153,750.00																																					
b. Fringe Benefits	\$59,809.00																																					
c. Total Personnel Costs	\$213,559.00																																					
d. Equipment	\$0.00																																					
e. Supplies	\$0.00																																					
f. Travel	\$0.00																																					
g. Construction	\$0.00																																					
h. Other	\$60,969.00																																					
i. Contractual	\$102,500.00																																					
j. TOTAL DIRECT COSTS	\$377,028.00																																					
k. INDIRECT COSTS	\$122,972.00																																					
l. TOTAL APPROVED BUDGET	\$500,000.00																																					
m. Federal Share	\$500,000.00																																					
n. Non-Federal Share	\$0.00																																					
34. Accounting Classification Codes																																						
FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	OBJECT CLASS	AMT ACTION FINANCIAL ASSISTANCE	APPROPRIATION																																	
1-9390EX3	21NU50CK000584C3	CK	41.51	\$500,000.00	75-2024-0943																																	

Notice of Award

- Incorporates applicable federal laws, regulations, policies, CDC General Terms and Conditions, NOFO, and application.
- Includes award Terms and Conditions outlining:
 - Those applicable to all CDC awards
 - Any award specific conditions and/or funding restrictions

AWARD INFORMATION

Incorporation: In addition to the federal laws, regulations, policies, and CDC General Terms and Conditions for Non-research awards at <https://www.cdc.gov/grants/federal-regulations-policies/index.html>, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number EX21-2101, entitled CDC Public Health Example NOFO, and application dated June 15, 2021, as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the Notice of Award (NoA).

Approved Funding: Funding in the amount of \$1,000,000.00 is approved for the Year 01 budget period, which is September 30, 2021 through September 29, 2022. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

The federal award amount is subject to adjustment based on total allowable costs incurred and/or the value of any third party in-kind contribution when applicable.

Note: Refer to the Payment Information section for Payment Management System (PMS) subaccount information.

Financial Assistance Mechanism: Cooperative Agreement

Substantial Involvement by CDC: This is a cooperative agreement and CDC will have substantial programmatic involvement after the award is made. Substantial involvement is in addition to all post-award monitoring, technical assistance, and performance reviews undertaken in the normal course of stewardship of federal funds.

CDC program staff will assist, coordinate, or participate in carrying out effort under the award, and recipients agree to the responsibilities therein, as detailed in the NOFO.

Expanded Authority: The recipient is permitted the following expanded authority in the administration of the award.

- Carryover of unobligated balances from one budget period to a subsequent budget period. Unobligated funds may be used for purposes within the scope of the project as originally approved. Recipients will report use, or intended use, of unobligated funds in Section 12 "Remarks" of the annual Federal Financial Report. If the GMO determines that some or all of the unobligated funds are not necessary to complete the project, the GMO may restrict the recipient's authority to automatically carry over unobligated balances in the future, use the balance to reduce or offset CDC funding for a subsequent budget period, or use a combination of these actions.
- Pre-award costs up to (and including) 90 days before the beginning date of the initial budget period of a new or competing continuation award.

Terms and Conditions

- ❑ Terms and Conditions outline requirements of the award and include:
 - ❑ Reporting requirements
 - ❑ Audit requirements
 - ❑ Payment information
 - ❑ CDC Staff Roles

- ❑ The drawdown of funds indicates acceptance of Award Terms and Conditions

GrantSolutions Recipient Roles

- ❑ Recipients can have one of the following roles:
 - Authorizing Official
 - Principal Investigator/Principal Director

- ❑ The Authorizing Official and PI/PD listed on the NOA are automatically issued new accounts, or given access to a new award if they have an existing account

- ❑ You can find information about roles and access on CDCs webpage: <https://www.cdc.gov/grants/grantsolutions/>

PAYMENT MANAGEMENT SYSTEM (PMS)

PMS Website: <https://pms.psc.gov/>

Welcome

Payment Management System (PMS) is a one-stop shop for grant payments. PSC is committed to improving the quality of our solutions to better serve our customers. Please note, our Web address has changed to <https://pms.psc.gov>.

[Learn More About Us >](#)

⚠ SYSTEM ALERTS!

[Login.Gov is Now Available](#)

Grant Recipients now have the option to use Login.gov to login to PMS. [Additional information.](#)

[Update SAM.GOV Information](#)

All grantees must have an active status in SAM.Gov for awarding agencies to register new grantees or make changes to existing grantee's information in PMS. Review the information in SAM.Gov, verify the accuracy and make any necessary updates. SAM.GOV requires a yearly renewal to stay active.

Grant Recipients

The Payment Management System (PMS) is a tool to help grant recipients draw down funds and file the Federal Financial Report (FFR). Primary responsibilities include: Executing awards; Maintaining minimum federal cash on hand by requesting funds from the Payment Management System only for immediate disbursement (3 business days) and reimbursement unless otherwise specified in your Notice of Award; Reporting cash disbursements to the Payment Management System and Maintaining your accounting records.



[Find your PMS Liaison Accountant](#)



[Request Access to PMS](#)



[Change User Access](#)



[Add or Change Banking](#)



[Return your Funds & Interest](#)



[PMS User Guide](#)

📌 BUSINESS INFORMATION

[FFR Submission in PMS for ACL, ASPR, CMS, OIG and ONC](#)

Effective October 1, 2019, In support of the federal government's effort to reduce administrative burden for both the federal government and the federal financial assistance recipient community, HHS has implemented the submission of SF-425 - Federal Financial Report (FFR) in the Payment Management System (PMS). [Additional information](#) is available.

[Federal Cash Transaction Report \(FCTR\) is available](#)

The FCTR is available to complete or make revisions to the current quarterly report. The FCTR is due 30 days after the quarter end date. [FFR Due Date information.](#)

Payment Management System

- ❑ Managed by HHS, not CDC
- ❑ Recipient must enroll in PMS to receive funds through electronic bank transfer
- ❑ PMS Registration is via <https://pms.psc.gov/>
 - Recipient completes Direct Deposit Form (SF-1199A)
 - Recipient completes PMS System Access Form
 - Submit forms to the PSC Liaison Accountant via mail, email or fax
 - PMS verifies bank information
 - PMS sends registered users (recipient) an account number and temporary password
 - Recipient logs-in and changes password

Requesting Payment

- ❑ Also known as drawing -down funds
- ❑ Request funds needed for immediate use
 - Can be requested daily – weekly – bi-monthly – monthly
 - PMS can accommodate frequent requests
 - Draw down to accommodate your organizations immediate needs
 - Should not be held in excess of three (3) working days
 - Do not draw down excess funds
 - Do not draw down restricted funds
- ❑ PMS processes request within 24 hours
- ❑ Contact PMS for assistance if there are any issues.

Procedure for Requesting Assistance with PMS

- ❑ Contact PMS for assistance if there are any issues not OGS
- ❑ PMS processes most request within 24 hours

PMS Reporting Requirements

- **Periodic financial reports**
 - Federal Cash Transaction Report (FCTR) is due quarterly according to the schedule posted on PMS
 - When the recipient does not complete the FCTR by the due date, per HHS requirements, PMS automatically rejects payment request until the FCTR is submitted.
 - Annual Federal Financial Reports (FFRs) submitted through PMS
- **Change password every 90 days**
 - Failure to comply results in system lock-out

PMS Help Desk

- ❑ ONE-DHHS is the PMS Help Desk providing assistance to all system users. Support is available Monday – Friday from 7 a.m. to 9 p.m. ET (except Federal Holidays).
 - Phone: 1-877-614-5533
 - Email: PMSSupport@psc.hhs.gov
 - FAQs: [Self-Help Portal](#)

Mini -Quiz

- ❑ Recipients should contact OGS if they have problems with PMS.
 - True
 - False

RECIPIENT FINANCIAL MANAGEMENT

Financial Management

- ❑ Recipients must have written policy requirements for financial management [45 CFR Part 75.302]
- ❑ Written policy should include requirements for:
 - Comprehensive internal controls
 - A financial management system
 - Sub-awards
 - Audits

Financial Management

□ Financial management system must:

- Support key record areas with documentation, such as:
 - Cancelled checks
 - Receipts
 - Payroll
 - Time and attendance records
- Maintain effective control over and accountability for...
 - All cash,
 - Real and personal property, and
 - Other assets under the award
- Compare actual expenditures or outlays with the approved budget for the award

Financial Management

□ Sub-awards

- Recipient is solely responsible for the performance of sub-recipients
 - Recipient should have a plan for financial and program oversight
 - CDC will not get involved in sub-awards
 - CDC may recommend, but not require, sub-awards to specific entities
- Grant requirements “flow down” to all sub-awards

Financial Management

□ Audits

- Domestic Organizations: Required when total federal expenditures are \geq \$750,000 in the organization's fiscal year
- General requirements for all:
 - Requirement to make financial records available for CDC review upon request
 - Audit must be performed by an independent auditor
 - Cost of a required audit is an allowable cost
 - Cover the recipient's fiscal year (may be different from budget period)

BUDGET GUIDELINES

Budget Guidelines

❑ Overarching Goal

- Provide quality and proper stewardship of grants by managing the financial resources of the federal government

❑ Primary objectives are to assure that the recipient:

- Proposes costs that are allowable, allocable, and reasonable and necessary
- Has a budget that is complete and properly detailed which may reduce the need to impose budget restrictions
- Facilitates the review and approval of the requested budget

Preparing Your Budget



- ❑ In order to prepare a proper budget, it is important to know the following:
 - the types of costs that are allowable
 - differences between direct & indirect costs
- ❑ To assist you in preparing your budget, follow the CDC Budget Guidelines:
<https://www.cdc.gov/grants/documents/Budget-Preparation-Guidance.pdf>

Cost Considerations

□ Cost Principles:

- 45 CFR Part 75: Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards
- If the financial management system meets 45 CFR 75.302 standards, recipients can use their own accounting systems, policies, and procedures to implement the cost principle requirements

□ Direct Costs:

- Costs identified specifically with a particular award, project or program, service, or other organizational activity

□ Indirect Costs:

- Facility operations and maintenance costs, depreciation and administrative expenses

Cost Considerations

❑ Responsibilities

- OGS – performs cost analysis on every application approved for funding; maintains documentation in the official file in GrantSolutions Grants Management Module (GMM)
- CDC Program Offices – perform review on every application to evaluate the scientific or technical aspects of the project in relation to the proposed budget
- OGS and Program Offices throughout CDC share the fiduciary responsibility to achieve both programmatic success and fiscal accountability

Indirect Cost Rates

- ❑ **A uniform method for allocating indirect cost to all projects**
 - Indirect Cost Rate = a percentage used to distribute costs to all cost centers benefitting from those costs
 - In order to for indirect costs to be approved, applicant must submit current federally negotiated indirect cost rate agreement (NICRA)
 - An applicant can request the de minimus (10%) modified total direct cost rate if it does not have an approved rate agreement unless:
 - Specific limitations may apply based on legislation,
 - Funding/program limitations apply (e.g. training grants)

Indirect Cost Rates

□ Responsibilities

■ Recipient

- Submits indirect cost proposal or cost allocation plan that provides the basis for review, audit, and negotiation to cognizant agency

■ Cognizant Agency

- Typically the agency that provides the preponderance of funding
- For CDC, the HHS Division of Cost Allocation is responsible for negotiating and approving the agreement based on documentation submitted from various organizations
- Agency assignments can be found at 45 CFR Part 75 Appendices

Indirect Cost Rates

- ❑ **Negotiated Indirect Cost Rate Agreement (NICRA)**
 - Formalizes the establishment of indirect cost rates
 - Provides information on the proper application of the rates
- ❑ **Types of Indirect Cost Rates in NICRA**
 - Predetermined
 - Fixed (or Fixed Carryforward)
 - Provisional

Indirect Cost Rates

- ❑ Types of Indirect Cost Rates in NICRA (continued)
 - Final
- ❑ Other Types of Indirect Costs
 - De minimis – any non-federal domestic entity that does not have a current negotiated rate may use 10% of modified total direct costs (MTDC).

Allowable Costs

□ Reasonableness

- A cost is reasonable if, in its nature or amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost
- It is “ordinary and necessary” for the operation of the organization or performance of the grant
- Restraints or requirements may be imposed on this test by:
 - Generally accepted, sound business practices
 - “Arms length” bargaining
 - Government regulations
 - Grant terms and conditions

Allowable Costs

❑ Allocability:

- A cost is allocable to a grant if it is treated consistently with other costs incurred for the same purpose, AND meets at least one of the following:
 - It is incurred solely in order to advance work under the grant;
 - It benefits both the grant and other work of the organization, including other grant-supported projects or programs;
 - It is necessary to the operation of the organization, even though a direct relationship to a specific cost objective cannot be demonstrated

Allowable Costs

□ Consistency

- Recipients must be consistent in assigning costs to cost objectives
- Costs must be treated consistently for all work of the organization under similar circumstances, regardless of the source of funding, so as to avoid duplicate charges

□ Conformance

- Conformance with limitations and exclusions contained in the terms and conditions of award, including those in the cost principles

Common Budget Challenges

- ❑ **Salary and Fringe Benefit line items**
 - A description of the responsibilities should be provided
 - The description should be directly related to specific program objectives
 - Salary: Appropriations may set limit. (For HHS awards, must not exceed Executive Level II, as set by OPM, which is \$199,300)
 - Fringe Benefit: Allowable provided such benefits are granted in accordance with established written organizational policies

Common Budget Challenges

□ Travel

- Staff travel
 - Shown in the “Travel” category
- Consultant travel
 - Shown in the “Consultant” category
- Other participants, advisory committees, review panels, etc. travel
 - Shown in the “Other” category
- Provide justification for both in-state and out-of-state travel including the itemized information listed in the budget guidelines

Common Budget Challenges

□ Sample Travel Budget & Justification

Total In-State Travel: \$2,577

Number of Trips	Number of People	Cost of Airfare	Number of Total Miles	Cost per Mile	Amount Requested
1	2	N/A	500 mi.	\$0.27	\$270
25	1	N/A	300 mi.	\$0.27	\$2,025
Total Transportation					\$2,295

Per Diem or Lodging	Number of People	Number of Units	Unit Cost	Amount Requested
Per Diem	2	2 days	\$37/day	\$148
Lodging	2	1 night	\$67/night	\$134

The Project Coordinator and the Outreach Supervisor will travel to (location) to attend AIDS conference (refer to budget guidelines for full example).

Common Budget Challenges

□ Sample Travel Budget & Justification

Total Out-of-State Travel: \$773

Number of Trips	Number of People	Cost of Airfare	Number of Total Miles	Cost per Mile	Amount Requested
1	1	\$500	N/A	N/A	\$500

Per Diem or Lodging	Number of People	Number of Units	Unit Cost	Amount Requested
Per Diem	1	3 days	\$45/day	\$135
Lodging	1	1 night	\$88/night	\$88

Ground Transportation?	Number of People	Amount Requested
Yes	1	\$50

The Project Coordinator will travel to CDC, in Atlanta, GA to attend the CDC conference.

Common Budget Challenges

□ Contractual Costs

- Recipients must receive written approval from CDC prior to establishing a third-party contract to perform program activities
- The following information is required to be submitted:
 - Name of contractor (if available, not required for approval)
 - Method of selection
 - Period of performance
 - Scope of work
 - Method of accountability
 - Itemized budget and justification

Common Budget Challenges

❑ Equipment vs. Supplies

▪ Equipment:

- Useful life of more than one year AND a cost of $\geq \$5,000$ per unit
- Consider maintenance costs in budget
- Provide justification which includes the use and relationship to the specific program objectives

▪ Supplies:

- General office supplies may be shown by an estimated amount per month times the number of months in this budget category
- Major supply items ($< \$5,000$) should be justified and related to specific program objectives and personnel
- Provide justification and relate it to specific program objectives

Change in Key Personnel

□ Changes can include:

- New Project Director/Principal Investigator
- Other Key Personnel identified in Notice of Award
- Any change that will result in an absence from the project for 3 months or more, or reduce the approved FTE level by 25% (45 CFR Part 74.25)
 - Example: Approved level is 100% FTE, reduced to 50%

□ Prior approval submission should include:

- Cover letter with AOR signature*
- Name and position title of the key personnel that is changing
- Name, address, phone, and email address for new key staff
- Proposed effective date of the change
- Attach a copy of the new key personnel resume or CV

*Electronic signatures or AOR submission in grants administration systems are acceptable.

REPORTING REQUIREMENTS

Reporting Requirements

- ❑ Annual Performance Reports
- ❑ Federal Financial Reports (FFR) (SF -425 or 425A)
 - Annual FFRs are submitted through PMS
- ❑ Federal Funding Accountability and Transparency Act (FFATA) of Sub -award Reports
- ❑ Other Required Reports (Data Management Plan, etc.) identified in NOFO and NOA

Performance Reports

- ❑ Required for all recipients under 45 CFR 75
- ❑ Documents programmatic successes and shortfalls
- ❑ Annual Performance Reports include:
 - Budget and Narrative Justification for the next budget period
 - Work plans for the next budget period
 - Statement of current performance, significant results, and publications.

Federal Financial Reports (FFRs)

- ❑ Also known as SF -425 or SF-425 A
- ❑ Submitted through recipient online accounts in the Payment Management System .
- ❑ Include only those funds authorized and disbursed during the period covered by the report
- ❑ Indicate the exact balance of unobligated funds
- ❑ The FFR Recipient User Guide can be found at:
 - <https://pms.psc.gov/pms-user-guide/federal-financial-report.html>

Federal Financial Reports (FFRs) Reporting Dates

□ Annual FFRs – CDC all awards

- The Annual Federal Financial Report (FFR) SF425 is required and **must be submitted** no later than 90 days after the end of the budget period in the Payment Management System.

EQUIPMENT

Equipment Purchases

- ❑ **Require prior approval for all equipment purchased over \$5,000**
 - Follow organization's documented procurement procedures

- ❑ **Purchasing a motor vehicle or motorcycle**
 - Before the purchase of vehicle(s), submit a request to the GMS:
 - AOR submits prior approval request
 - Provide justification for the purchase of the vehicle(s)
 - Provide an analysis of purchasing versus leasing a vehicle
 - Provide quotes or basis for pricing
 - State the purpose of the vehicle(s)
 - State the type of license plate for the vehicle(s)

Equipment Purchases

❑ Purchasing a motor vehicle or motorcycle (continued)

- Within 30 days after the purchase of the vehicle(s) provide:
 - A copy of the original invoice of the vehicle(s) purchased
 - The Vehicle Identification Number (VIN)
 - Proof of insurance on all vehicles purchased
 - A copy of the recipient organization's mileage usage log
 - A copy of the operation manual for driving a recipient organization's vehicle

HELPFUL REMINDERS

Helpful Reminders

- ❑ Read entire Notice of Award, particularly the Terms and Conditions
- ❑ Approach cooperative agreements as collaborations
- ❑ Maintain regular communication with OGS and Project Officer
- ❑ Submit reports in a timely fashion
- ❑ Authorized Organizational Representative signature* is required for all prior approval requests

Helpful Reminders

- ❑ Attend CDC trainings to learn more about grant requirements
- ❑ Financial management reminders
 - Maintain separate account for grant funds
 - Document financial management and budget procedures
 - Request funds draw down as needed to meet expenses
 - Do not keep large amounts of cash on hand
 - Minimize cash transactions where possible
- ❑ Always ask if in doubt

USEFUL RESOURCES

Useful Resources

□ OMB Circulars

- Web: <https://www.whitehouse.gov/omb/information-for-agencies/circulars/>
- Title 2, Subtitle A, Chapter II, Part 200-Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards: cfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl (the “Omni Circular” or “Super Circular”)
- A-133: Audits of States, Local Governments and Non-Profit Organizations

Useful Resources - HHS

□ HHS General Grants Information

- [https://www.hhs.gov/grants/grants/grants-policies-regulations/index.html#HHS Grants Policy](https://www.hhs.gov/grants/grants/grants-policies-regulations/index.html#HHS%20Grants%20Policy)

□ HHS Grants Policy Statement

- <https://www.hhs.gov/sites/default/files/grants/grants/policies-regulations/hhsgps107.pdf>

□ 45 CFR Part 75 - Uniform Administrative Requirements, Cost Principles, and Audits for HHS Awards

- <http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&SID=0ddb69baec587eeea4ab7e6a68c4acb0&mc=true&r=PART&n=pt45.1.75>

Useful Resources - CDC

- ❑ CDC official website
 - Web: <http://www.cdc.gov>
 - Web: <http://www.cdc.gov/about/business/funding.htm>
- ❑ CDC Grant Information
 - Web: <https://www.cdc.gov/grants>
 - GrantSolutions Web: www.grantsolutions.gov
- ❑ CDC Budget Guidelines
 - Web: <https://www.cdc.gov/grants/documents/budget-preparation-guidance.pdf>

Useful Resources - Systems

- ❑ Grants Management Module – Grants Solutions non - research award administration
 - Homepage Web: <https://home.grantsolutions.gov/home/>
 - Training Web: <https://home.grantsolutions.gov/home/recipient-training-videos/>
 - Email: help@grantsolutions.gov
 - Phone: 1-866-577-0771, Mon-Fri 8am-6pm (Eastern US)



QUESTIONS AND ANSWERS