Office of Grants Services: Grants Management Presentation

Mrs. Pamela Render, Senior GMO

Mrs. Christina Park, GMO

Dr. Johnny McGrew, GMO

NBCCEDP Business Meeting

August 17, 2026-Thursday August 20, 2026

Atlanta, Georgia

Agenda

- **Introduction to the Office of Grant Services (OGS)**
- **Overview of Grants Management**
  - Introduction to OGS
  - Substantial Involvement
  - Roles and Responsibilities
  - Post Award Considerations
  - Budget Guidelines
  - Reporting Requirements
  - Closeout

Introduction to the Office of Financial Resources (OFR) and Office of Grants Services (OGS)

Office of Financial Resources (OFR)

OFR Vision:

- **Excellence and innovation in the investment and management of public funds for public health through the proud contributions of a talented and diverse workforce.**

OFR Mission:

- **The Office of Financial Resources contributes to the achievement of positive public health outcomes at CDC by providing exemplary customer-focused leadership and fiscal stewardship in appropriations, acquisitions, assistance, and financial management with accountability and sound business practices.**

Substantial Involvement

Cooperative Agreements

- **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
- **CDC monitoring responsibilities are separate from the federal collaborative role**

Cooperative Agreements

- **Substantial involvement can include:**
  - Participating in protocol design
  - Approving of proposed subaward provisions
  - Coordinating/participating in data collection
  - Providing training to project staff
  - Participating in selection of project staff

Roles and Responsibilities

CDC Roles and Responsibilities

- **Grants Management Officer (GMO):**
  - ONLY officially 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):**
  - Officially responsible for the programmatic, scientific, and/or technical aspects of assigned grants
  - Primary point of contact for substantial involvement activities under cooperative agreements
  - Research awards also have a Scientific Project Officer (SPO) that work with the PO

Grants Management Responsibilities

- **Oversight and Stewardship: Grants and Cooperative Agreements**
  - Conduct Site Visits
  - Evaluate performance reports
  - Provide technical assistance
  - Ensure compliance with policy requirements
  - Conduct enforcement actions
  - Close monitoring based on high-risk assessment
  - Review/evaluate final project performance
  - Serves as the point of contact for all official communications with recipients

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

PMS Reporting Requirements

- **Financial reports**
  - The Federal Financial Report (FFR) is required on an annual basis except for awards where more frequent reporting is noted in the Notice of Award
  - Grant recipients submit FFRs to PMS
  - Annual FFRs are due 90 days after the end of the budget period and final FFRs are due 120 days after the end of the period of performance
- **Change password every 90 days**
  - Failure to comply results in system lock-out

Post Award Considerations

Financial Management

- **Recipients must have policies in place for managing award funds and activities that meet the requirements of 2 CFR Part 200.302**
- **Depending on the recipient and award, policies include:**
  - Comprehensive internal controls
  - A financial management system
  - Allowability of costs
  - Compliance with Federal statutes, regulations, and terms and conditions of the Federal award
  - Sub-awards
  - Audits

Comprehensive Internal Controls (cont)

- **Bank accounts**
  - Access to draw downs
- **Cash management**
- **Payroll**
- **Procurement**
  - Direct costs
  - Indirect costs
- **Accounting Systems**
- **Asset Management and Liquidation**

Financial Management System

- **Provide accurate, current and complete financial records of federal funds**
  - Include procedures for financial reporting from sub-recipients
- **Maintain records that adequately identify:**
  - Sources of funds for federally assisted activities
  - Purposes for which the award was used
  - Original support and documentation for expenditures
- **Include key areas within its records:**
  - Authorizations
  - Obligations
  - Unobligated balances
  - Assets
  - Liabilities
  - Outlays or expenditures
  - Any program income

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, 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

Cost Considerations

- **Cost Principles:**
  - 2 CFR Part 200: Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards
  - If the financial management system meets 2 CFR 200.302 standards, recipients can use their own accounting systems, policies, and procedures to implement the cost principles 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 Services (GSGMS)
  - **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

Rebudgeting of Funds

- **Movement or shifting of funds from one approved direct cost category to another**
- **Authorized up to 25% of budget, unless other threshold indicated in terms and conditions**
- **Significant rebudgeting:**
  - Cumulative transfers exceeding 25% of the total approved budget for the budget period
    - Once significant rebudgeting is reached, the recipient must request prior approval for all additional cumulative changes during that budget period
  - May be quantitative indicator of change in scope
  - Revised work plan if there is a change in scope
  - Timeline of supported activities and dates of completion
  - A detailed budget and narrative justification must be submitted
  - Must include signature (or electronic authorization) of the authorized organization representative

Rebudgeting of Funds

Cost Categories	Original Budget	Redirection	Revised Budget
Salary & Wages	$164,756	$52,480	$221,736
Fringe	$59,312	$1,223	$65,035
Consultants	$31,362	-$23,703	$31,362
Equipment	$0	$0	$0
Supplies	$1,089	$0	$1,089
Travel	$6,560	$0	$6,560
Other	$56,537	-$10,000	$37,537
Contracts	$20,000	-$20,000	$0
Total Direct Costs	$339,616	$0	$370,873
Indirect Costs	$31,257	$0	$31,257
Total Award	$370,873	***$0	$370,873

Carryover of Unobligated Funds

- **Unobligated funds from the previous budget period requested for use in a following budget period**
- **Unobligated funds that are carried over to another budget period must be obligated within the new budget period**
- **Requests must express a *bona fide need* that carryover of funds are necessary and will contribute to the planned objectives**
- **All requests for carryover require prior approval by GMO**

Administrative and Program Funding Restrictions

- **Administrative Restrictions:**
  - Placed on an award by the GMO/GMS
  - Due to omitted or additional budgetary information needed
  - Examples include:
    - Required contract or consultant information
    - Adequate justification for specific costs
    - Potential unallowable costs included in budget
- **Programmatic Restrictions:**
  - Placed on an award by the CDC program office
  - Examples include:
    - Non-compliance with reporting requirements
    - Activities not aligned with scope of work in NOFO
    - Questionable equipment purchases

Reporting Requirements

Performance Reports

- **Required for all recipients under 2 CFR 200**
- **Documents programmatic successes and shortfalls**
- **Performance report formats**
  - For non-research awards, the Performance Progress and Monitoring Report (PPMR) or narrative via Grants Solutions
  - For research awards, the Research Performance Progress Report (RPPR) via eRA Commons
  - Additional information and submission instructions provided by GMO/GMS
- **Annual Performance Reports, at minimum, should 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.

Annual Performance Report: Non-research

- **Performance Progress Monitoring Report (PPMR)**
  - Review and follow guidance provided by GMS/GMO
  - PPMR includes annual report and Continuation Application
  - Some key forms/documents include:
    - PPMR performance report components
    - SF 424 Application for Federal Assistance
    - SF 424A Budget Information
    - Budget and Project Narrative
    - Interim SF-425 FFR (if applicable)
  - Submit via GrantSolutions

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.
- **Final FFRs- CDC all awards**
  - Submitted within 120 days after the performance period ends
  - Final FFR must not include unliquidated obligations

Federal Financial Reports (FFRs)

- **Also known as SF-425 or SF-425A**
- **CDC provides an overview of the process to submit FFRs on the CDC grants website**
- **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**
- **More FFR resources including instructions to access the FFR Grantee User Guide can be found at:**
  - https://pms.psc.gov/grant-recipients/ffr-updates.html

Grant Closeout

Performance Reports

- **Final Performance Reports**
  - Required for any grant that:
    - Has reached the end of the performance period, and
    - Will NOT be extended through award of a new competitive segment
  - Submitted within 120 days after the performance period end date
  - At a minimum should include:
    - A statement of performance made toward the achievement of originally stated aims
    - A list of significant results (positive or negative)
    - A list of publications resulting from the project, including any plan for further or future publication
    - A copy of reprints or publications ***not*** previously submitted

Grant Closeout

- **Process by which CDC determines whether**
  - all applicable administrative actions are completed
  - all work required has been completed by the recipient and CDC
  - all documentation has been submitted
  - all financial expenditures/payments are completed
- **Occurs after the performance period end date**

Grant Closeout Reporting

- **Documents are due <u>within 120 days</u> after the performance period end date:**
  - Final Performance Report, including any specific reporting requirements in the Notice of Award
  - Final Federal Financial Report (FFR) submitted in PMS
    - Liquidate all obligations incurred under the grant
  - Final Equipment Report (SF 428-B)
    - Account for any real and personal property acquired (in accordance with 2 CFR 200.310 – 200.316, and 200.330)
  - Final Inventions Statement and Certification
    - For research awards only

Enforcement Actions

- **Based on reporting delinquency and in consultation with the Program Official, one or more of the following actions may apply:**
  - Cost disallowance
  - Withholding cash payments
  - Conversion to the reimbursement payment method
  - Post-award grant suspension of award activities or termination
  - Withholding of additional support
  - Government-wide recipient suspension and debarment
  - If the recipient does not submit the required tangible personal property report, the CDC may require the recipient to transfer title to the property, if that right was preserved in the terms and conditions of the award

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/Activity Manager**
  - Utilize e-mail header: Grant (Organization) (Award #)
  - Respond to CDC communications promptly
- **Submit reports in a timely fashion**
- **Authorized Organizational Representative signature* is required for all prior approval requests**

***Submission by the AOR in award administration systems serves as signature.**

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**