

Fact Sheet: CDC's Risk Management Framework for Grant Applicants and Recipients

CDC has always considered the risks associated with grants prior to issuing awards. However, due to new Code of Federal Regulations (CFR) [requirements](#), the Office of Grants Services (OGS) in the Office of Financial Resources (OFR) launched a new Risk Management Framework in 2018. CDC applies this Risk Management Framework to all new Notice of Funding Opportunities (NOFOs) posted on Grants.gov. This fact sheet for grant applicants and recipients provides an overview of the framework, information about the risk questionnaire, and the implications of risk scores.

Framework Overview

The Risk Management Framework is a consistent approach for identifying and mitigating risks associated with grants. CDC requires all applicants for new NOFOs to complete a pre-award [Risk Questionnaire](#) and include it with their application package via Grants.gov. The questionnaire asks about risk categories related to operations, finances, and compliance. Answers to the questions are self-reported and applicant responses are part of the information populating the Risk Assessment Tool. Additional information such as applicant data in government-wide eligibility and financial integrity systems are also included in the tool. The Risk Assessment Tool creates a scorecard for each applicant with an overall risk rating of high, medium, or low. CDC will use the applicant risk score at the initial stage of the application review and for up to one year.

Risk Questionnaire Submission Guidelines for Multiple and Multi-year Awards

To simplify the process for applicants submitting applications for more than one NOFO, they may submit a copy of their completed questionnaire; or submit a letter signed by the authorized organization representative that includes the original application submission date, and the organization's Employee Identification Number (EIN) and Data Universal Numbering System (DUNS). After a year has passed, applicants must submit a new risk questionnaire for a new application and will receive a new risk score. However, recipients with project periods of more than 12-months do not have to submit an updated risk questionnaire with a continuation application. These recipients will be monitored for risk as part of the standard monitoring process.

Risk Score Impact on Award Eligibility and Monitoring

As was the case before the framework was implemented, an applicant's risk rating will not affect their eligibility to receive a CDC award. However, OGS may recommend special award conditions (such as more frequent progress or financial reporting, technical assistance, or prior approvals for large capital expenditures or programmatic activities) to mitigate risks. Once an applicant is approved for and receives funding, CDC will monitor the risk and overall progress during the period of performance to evaluate the effectiveness of special award conditions.

Version: 9/18/2019



U.S. Department of Health
and Human Services
Centers for Disease
Control and Prevention