



**Recipient Data Insights  
User Guide  
May 1, 2023**

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## Introduction / Overview

Recipient Data Insights is a comprehensive risk management service focused on reducing fraud, waste, and abuse of Federal investments. Recipient Data Insights provides one location for Federal staff to view, assess, and use high-quality data to analyze and determine Recipient risk for more than 800,000 organizations. Recipient Data Insights looks for patterns in data to suggest potential problem areas, compares grant recipients to key benchmarks, and provides information to help grantors assess recipient capacity and performance.

Recipient Data Insights enhances visibility into Recipient risk and reduces the level of effort needed to complete the pre-award risk assessment by automating the collection of data from 8 different Federal databases relevant to recipient compliance. RDI refreshes the available data regularly and presents that data in a straightforward, actionable way. Advanced data technologies, such as machine learning and intelligent automation, are utilized to analyze and identify key insights.



Figure 1 RDI Federal Databases

## Accessing Recipient Data Insights in GrantSolutions

Log in to GrantSolutions and access Recipient Data Insights using the GrantSolutions *Global Navigation* bar at the top of the home screen. Select the Recipient Data Insights from the Grants Management or the Insight drop-downs.

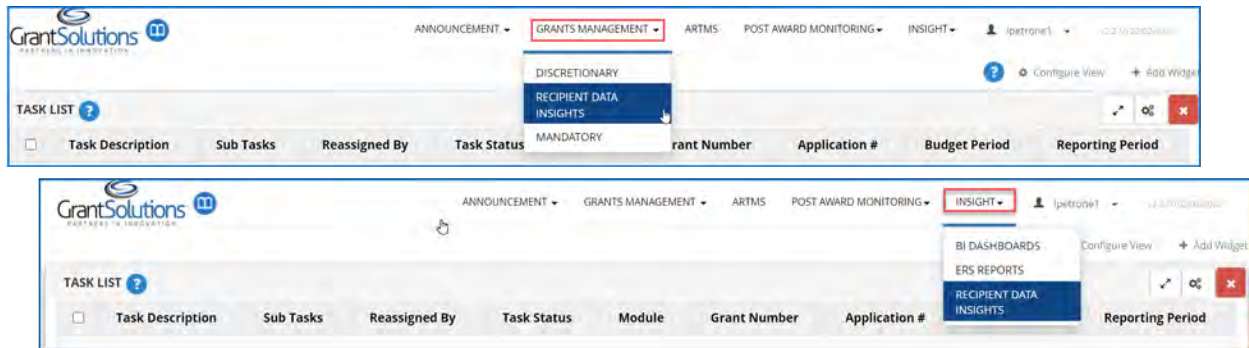


Figure 2 Accessing Recipient Data Insights in GrantSolutions

## Finding a Recipient Organization

Get started by searching for a Recipient using the Recipient organization name, UEI, DUNS, or EIN on the initial Search screen.

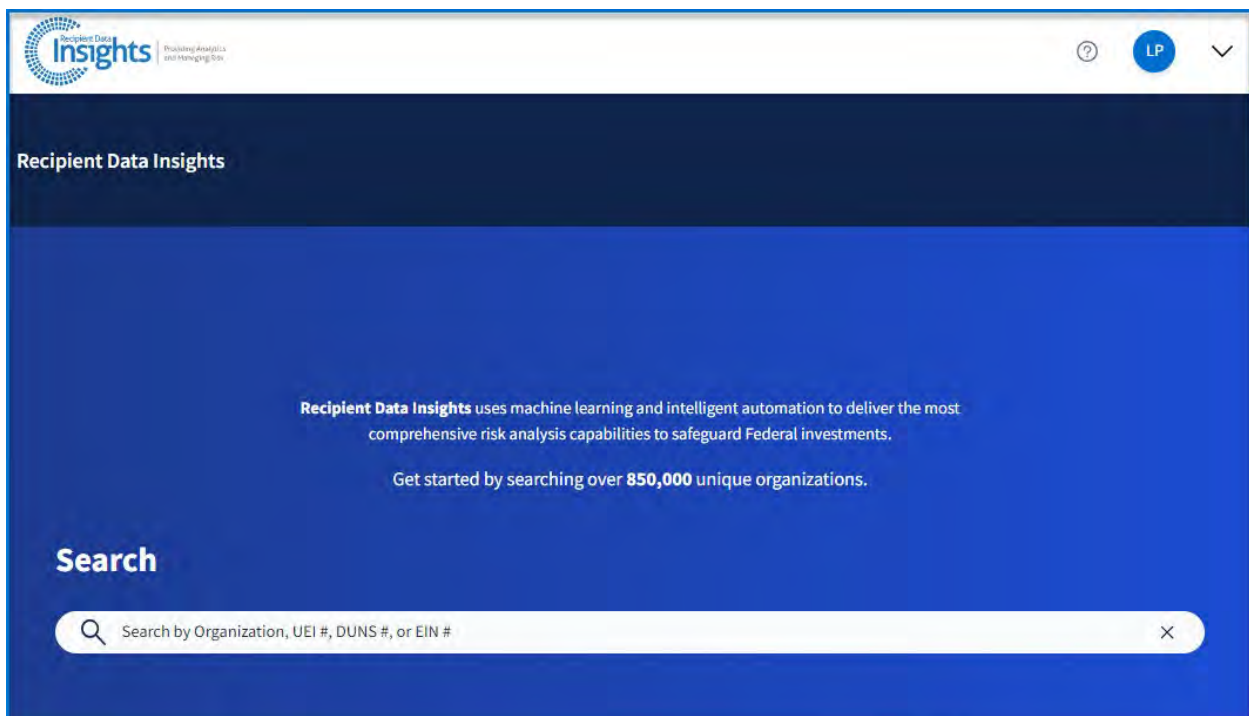


Figure 3 Recipient Data Insights Search Screen

## Recipient Data Insights Design and Navigation

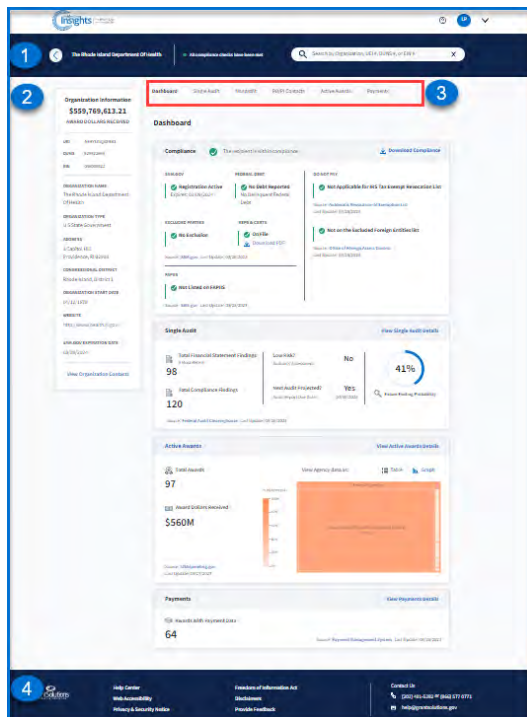


Figure 4 Recipient Data Insights User Interface

RDI employs a user-centered design that provides a consistent look and feel on all screens. Each Recipient Data Insights screen contains the (1) *Hero Bar*, (2) *Left Side Bar*, (3) *Global Navigation Bar*, and (4) *Footer*.

The *Hero Bar* (1) displays the name of the Recipient organization and if all compliance checks are met. RDI uses a green and yellow color scheme. Yellow identifies potential areas of concerns that might need further investigation by the User. The “990 Data Available” message displays in the Hero Bar if IRS 990 data is available on the Nonprofit screen. The Search bar can be used to complete searches without returning to the initial Search screen.

The *Left Side Bar* (2) provides Recipient Organization Information from SAM.gov and award data USAspending.gov. The Recipient enters the organization details in SAM.gov at time of registration. [View More Info](#) hyperlinks display multiple organization types and organization contacts. Award Dollars Received reflects total awards received as reported on USAspending.

The *Global Navigation* (3) bar displays the six tabs used to navigate within Recipient Data Insights. A blue line appears under the tab currently being viewed.

The *Footer* (4) contains links to the GrantSolutions Help Center and policy statements.

## Recipient Data Insights Screens

### Dashboard Screen

The Dashboard Screen presents an overview of the Recipient's key risk indicators, federal grant management portfolio, and potential areas of risk. The links on the Dashboard screen or the tabs in the global navigation bar can be used to navigate to the related screens to view additional detail.

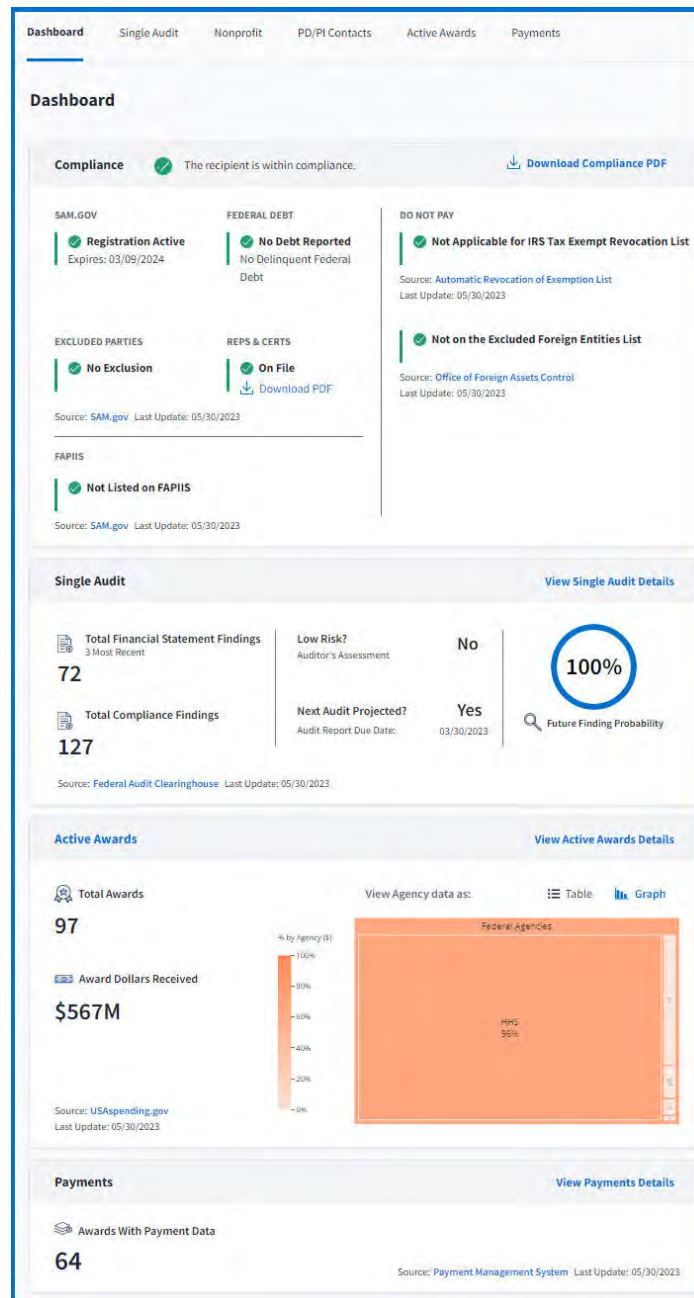


Figure 5 Recipient Data Insights Dashboard Screen

### Compliance Card:

The Compliance Snapshot supports Federal agencies in meeting the requirement to review the risk posed by applicants. The *Compliance Snapshot* indicates the Recipient's status with required compliance checks on SAM.gov and Treasury's Do Not Pay portal.

Data is refreshed daily. Green indicates that the Recipient meets the specific compliance requirement, and yellow indicates a compliance issue that requires a closer look. The compliance status displayed in the Hero Bar reflects the status of compliance checks shown in the Compliance card. A single yellow indicator in the Compliance card results in a yellow indicator in the Hero Bar.

Users can download a PDF of the Compliance Snapshot. The PDF file contains all compliance data including details on items requiring further review and the full Reps & Certs if available.

The screenshot displays the 'Compliance' section of the Recipient Data Insights dashboard. At the top, a dark blue header bar contains a yellow warning icon and the text 'Compliance needs further review'. Below this, a search bar is visible with the placeholder text 'Search by Organization, UEI #, DUNS #, or EIN #'. The main content area is titled 'Dashboard' and features a 'Compliance' card. This card has a yellow warning icon and the text 'Compliance needs further review!'. To the right of the card is a 'Download Compliance' button. The card is divided into several sections: 'SAM.GOV' with 'Registration Inactive' (expired 10/01/2022), 'FEDERAL DEBT' with 'Debt Reported' (delinquent federal debt), 'DO NOT PAY' with 'Not Applicable for IRS Tax Exempt Revocation List' (source: Automatic Revocation of Exemption List, last update: 03/29/2023), 'EXCLUDED PARTIES' with 'No Exclusion' (source: SAM.gov, last update: 03/28/2023), 'REPS & CERTS' with 'On File' (download PDF button), and 'FAPIS' with 'Not Listed on FAPIS' (source: SAM.gov, last update: 03/28/2023).

Figure 6 Recipient Data Insights Compliance Card



### *SAM.Gov Compliance Checks:*

Recipient Data Insights uses SAM.gov to verify a Recipient's compliance status related to SAM registration, Federal Debt, Excluded Parties, FAPIIS, and Reps & Certs.

**SAM Registration Status** – A green indicator displays if the registration is active and RDI displays the registration expiration date. A yellow indicator displays if the registration is inactive along with the date the registration expired.

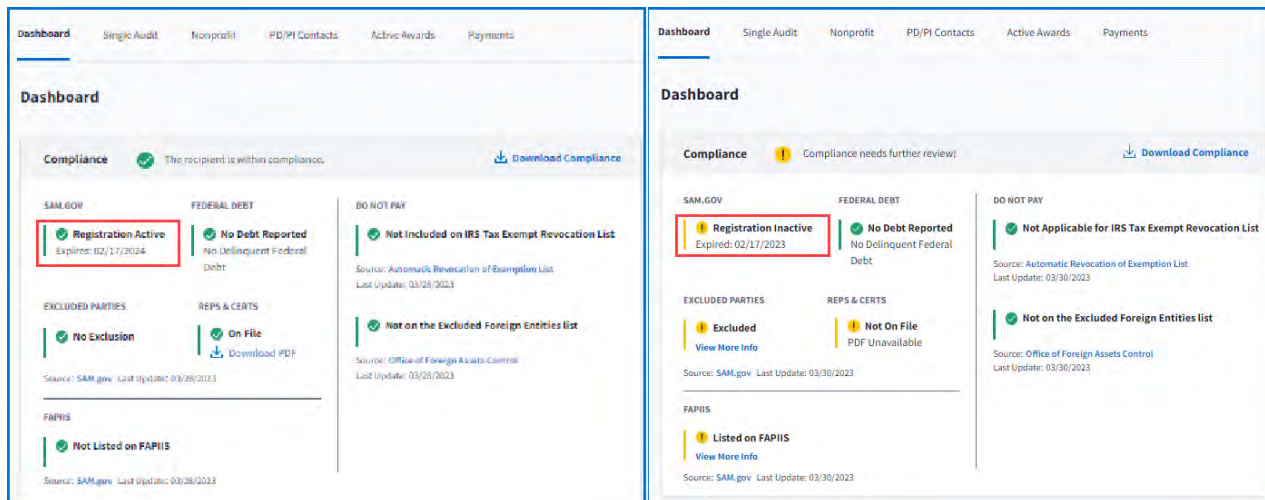


Figure 7 Recipient Data Insights SAM.gov Registration Compliance Check

**Federal Debt** – A green indicator displays if the Recipient does not have delinquent Federal debt. A yellow indicator displays if debt is reported along with the message “Delinquent Federal Debt”. Consult agency policies and procedures for handling applicants with delinquent debt.

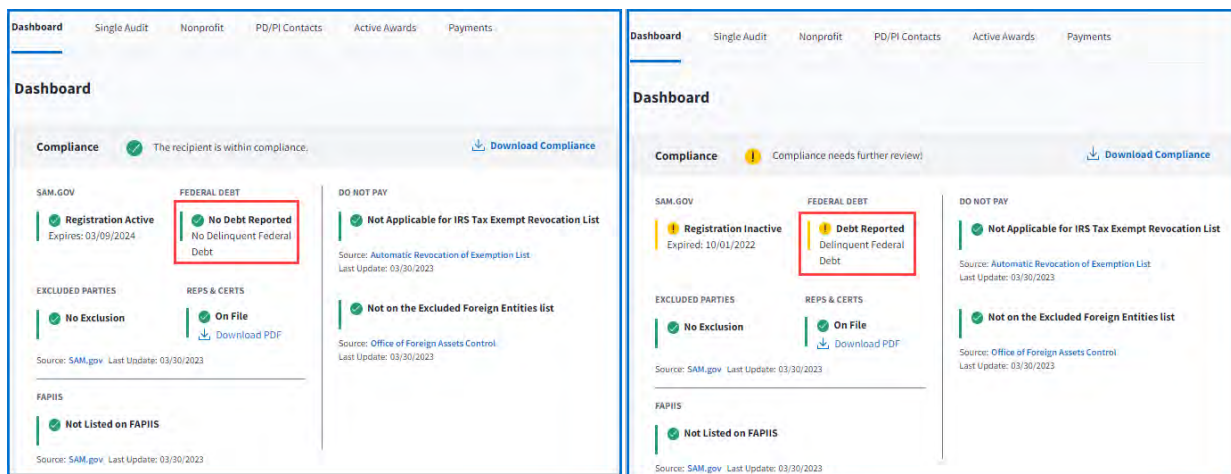


Figure 8 Recipient Data Insights Federal Debt Compliance Check



**Excluded Parties** – A green indicator displays if SAM.gov does not include any exclusions. A yellow indicator and the “Excluded” message display if the recipient is suspended or debarred from doing business with the Federal government.

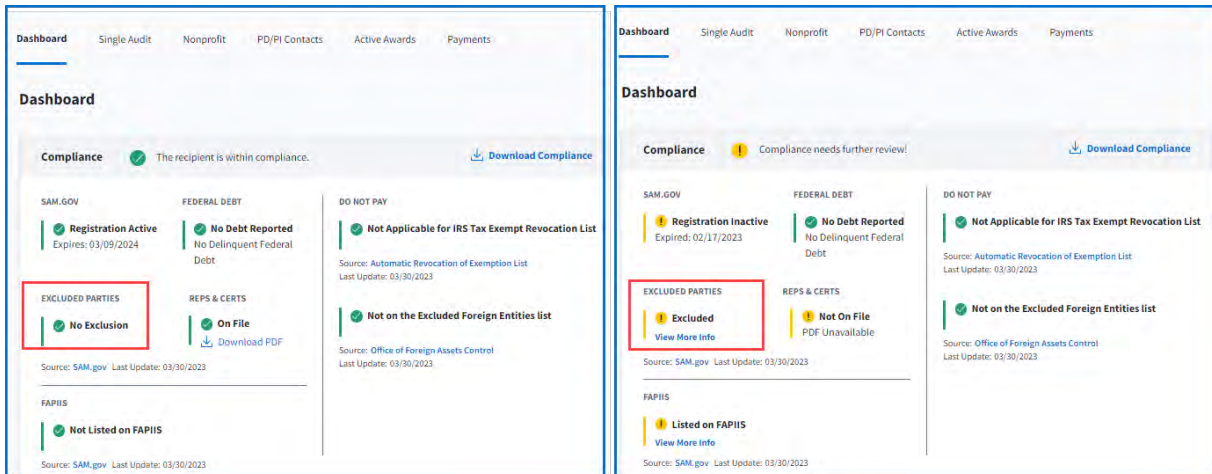


Figure 9 Recipient Data Insights Excluded Parties Compliance Check

Use the View More Info hyperlink to see the Excluded Parties details including exclusion type, active date, termination date, exclusion agency, and exclusion program. Consult agency policies and procedures for handling applicants with active exclusions.

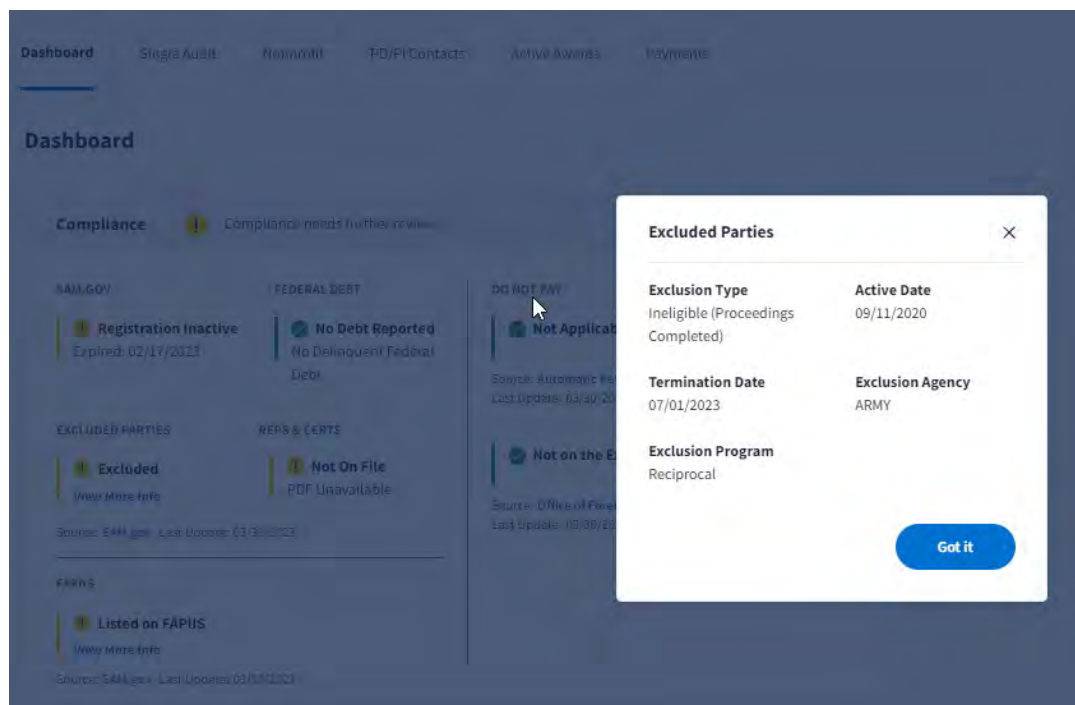


Figure 10 Recipient Data Insights Excluded Parties View More Info

**Reps & Certs** – A green indicator displays if the Grants Certification Report (AKA the Reps & Certs) is on file with SAM.gov. Use the [Download PDF](#) hyperlink to view or save a copy of the SAM.gov Grants Certification Report. A yellow indicator with the message “Not on File” displays if the Reps & Certs PDF is not available.

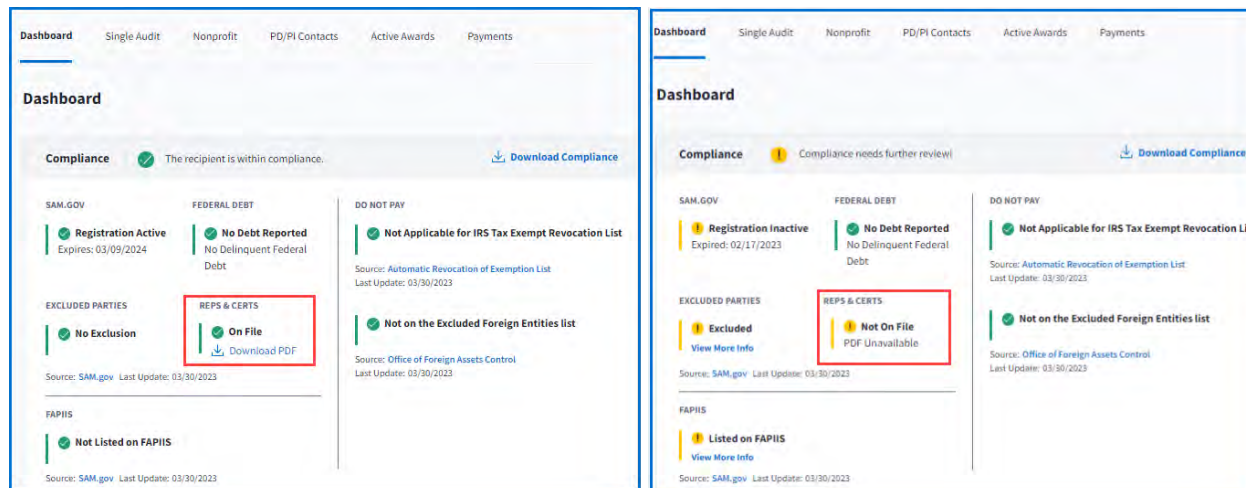


Figure 11 Recipient Data Insights Reps & Certs Compliance Check

**FAPIS** – Recipient Data Insights displays past performance and integrity information including criminal, civil, and administrative proceedings in connection with federal awards. A green indicator displays if the Recipient does not have a FAPIS report in SAM.gov. A yellow indicator displays if the Recipient has a FAPIS record.

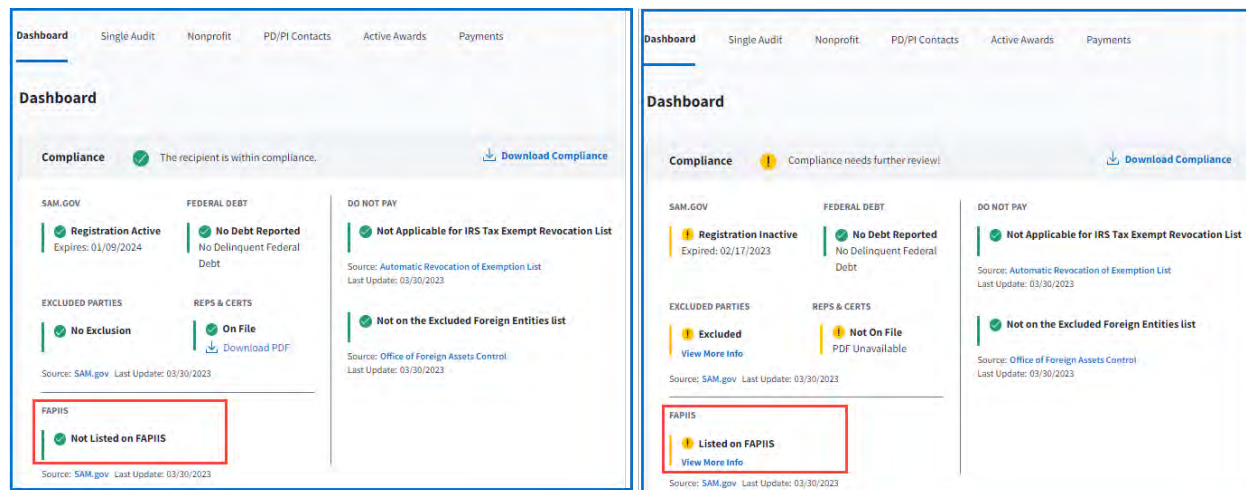


Figure 12 Recipient Data Insights FAPIS Compliance Check

Use the [View More Info](#) hyperlink to see the FAPIIS details including Record Type, Record Date, Contract/Grant Number, Reference Number, and Agency. RDI displays All FAPIIS records. Consult agency policies and procedures for handling applicants with FAPIIS records.

The screenshot displays the Recipient Data Insights dashboard. The top navigation bar includes links for Dashboard, Single Audit, Nonprofit, PD/PI Contacts, Active Awards, and Payments. The main dashboard area is titled "Dashboard" and features several sections: Compliance (with a warning icon and text "Compliance needs further review"), SAM.gov (Registration Inactive, Expired: 02/17/2023), FEDERAL DEBT (No Debt Reported, No Delinquent Federal Debt), DID NOT PAY (Not Applicable), EXCLUDED PARTIES (Excluded, View More Info), BEPS & CERTS (Not On File, PDF Unavailable), and FAPIIS (Listed on FAPIIS, View More Info). A modal window titled "FAPIIS Information" is open, showing details for an organization with multiple listings on FAPIIS. The modal lists two records, both with a "Termination for Cause" record type. The first record has a record date of 04/02/2021, contract/grant number W911S219P2593, no reference number available, and is from the DEPT OF THE ARMY. The second record also has a "Termination for Cause" record type and a record date of 04/02/2021.

RECORD TYPE	RECORD DATE	CONTRACT/GRAANT NUMBER	REFERENCE NUMBER	AGENCY
Termination for Cause	04/02/2021	W911S219P2593	No Reference Number Available	DEPT OF THE ARMY
Termination for Cause	04/02/2021			

Figure 13 Recipient Data Insights FAPIIS View More Info

### *Do Not Pay Compliance Checks:*

Treasury's Do Not Pay resource verifies a nonprofit organization's tax-exempt status using the IRS Automatic Revocation of Exemption List. RDI displays a green indicator, and one of three different messages displays based on different situations.

Message 1: "Not Included on IRS Tax-Exempt Revocation List". This message displays if the nonprofit recipient does not appear on the IRS Tax Exempt Revocation List. This means the Recipient's tax-exempt status is current.

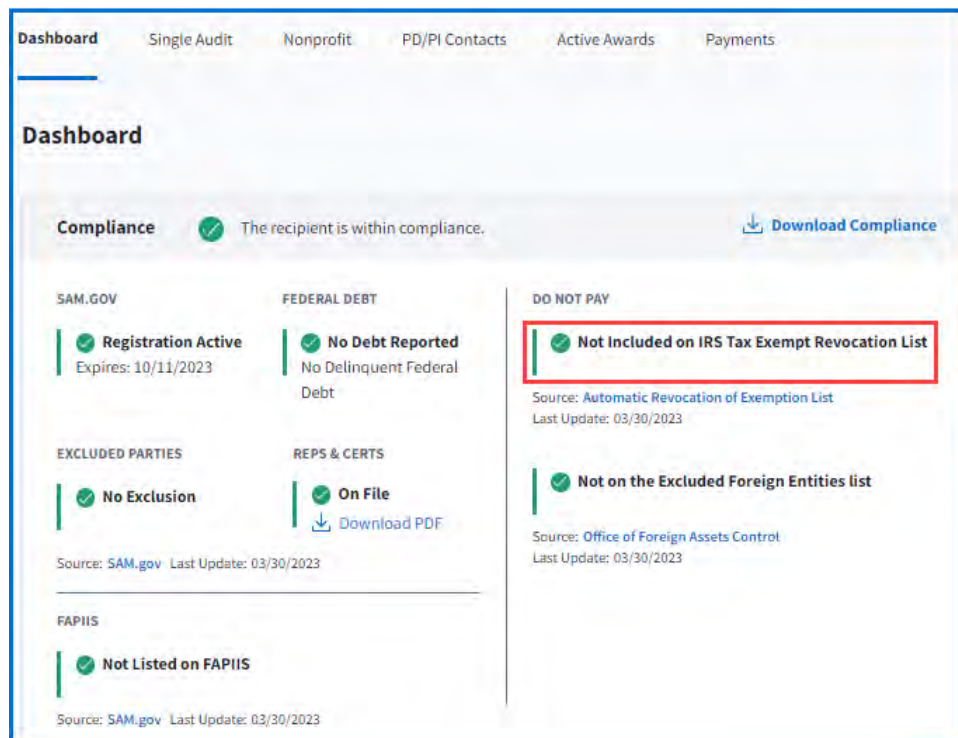


Figure 14 Recipient Data Insights Do Not Pay IRS Tax Revocation List Message 1

Message 2: “Reinstated on IRS Tax Exempt Revocation List”. This message displays if the nonprofit recipient’s tax-exempt status is reinstated after a revocation. The nonprofit is required to submit Form 990 for the missing years prior to tax exempt status reinstatement. RDI provides the reinstatement date.

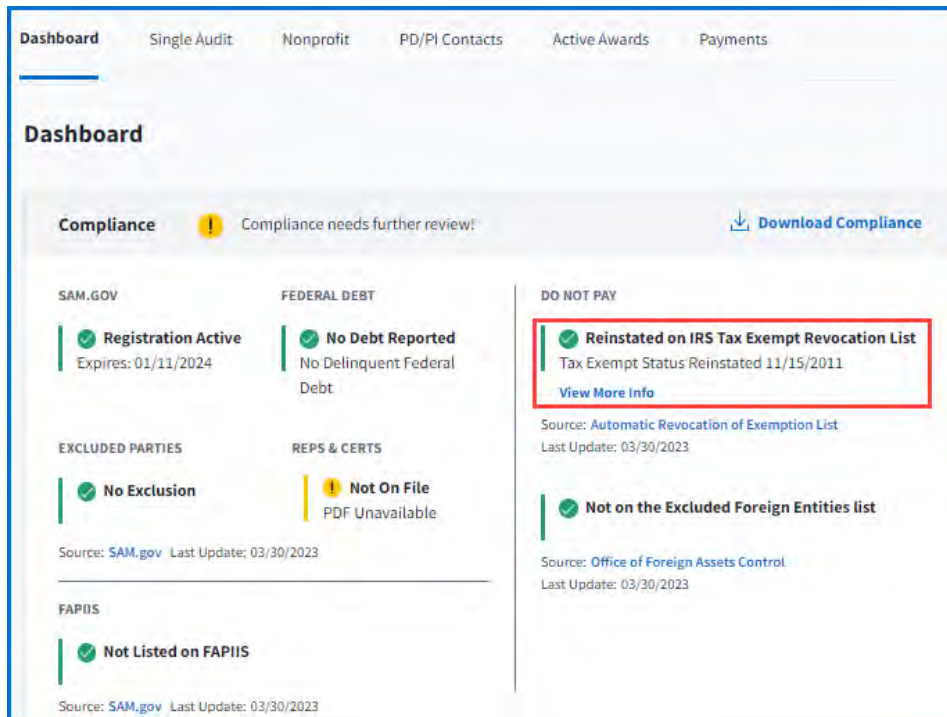


Figure 15 Recipient Data Insights Do Not Pay IRS Tax Revocation List Message 2

The [View More Info](#) hyperlink provides both the Reinstatement Date and the original Revocation Date.

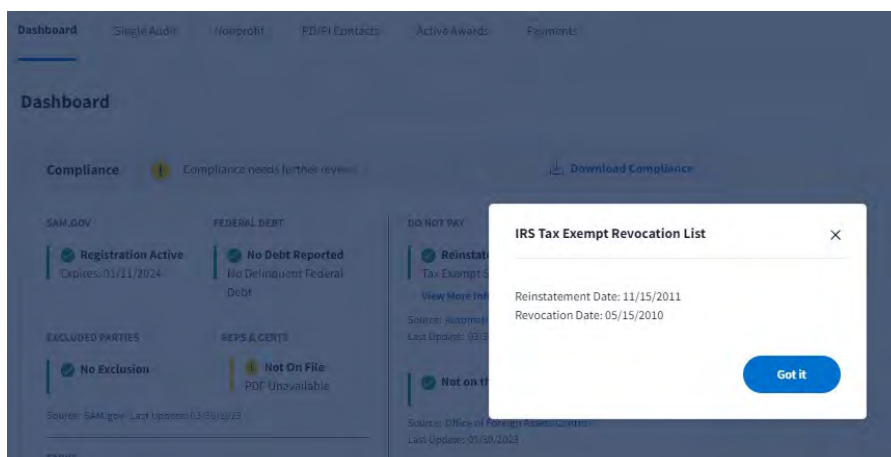


Figure 16 Recipient Data Insights IRS Tax Revocation List View More Info



Message 3: “Not Applicable for IRS Tax Exempt Revocation List”. This message displays if the organization is not a nonprofit or is a nonprofit that is not required to submit Form 990. RDI lists the Organization Type in the left rail. In the Hero Bar, RDI notes 990 Data Available if the organization is a nonprofit required to file Form 990.

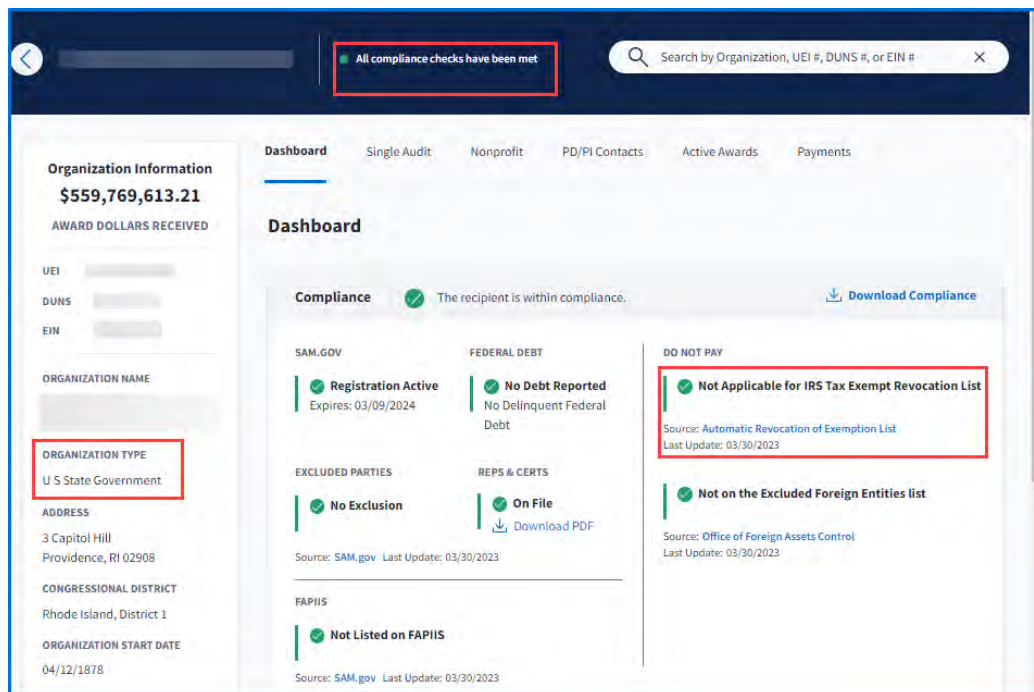


Figure 17 Recipient Data Insights Do Not Pay IRS Tax Revocation List Message 3

A yellow indicator and the message “On IRS Tax Exempt Revocation List” displays if the IRS revokes the nonprofit recipient’s tax-exempt status because the recipient did not submit the Form 990 Annual Information Return for three consecutive years.

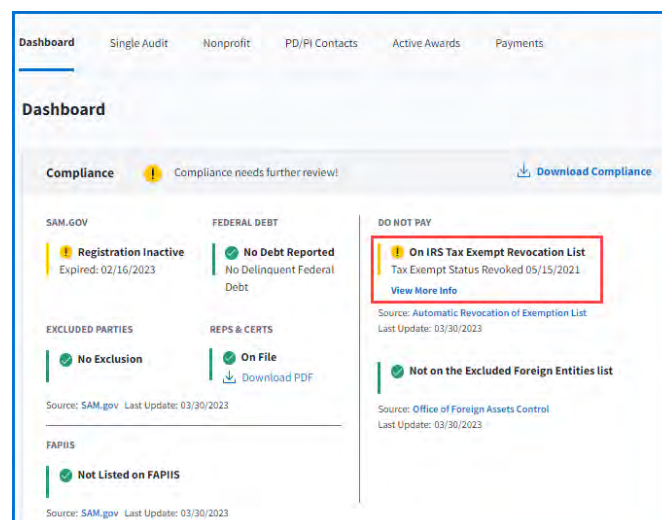


Figure 18 Recipient Data Insights Listed on IRS Tax Revocation List



The [View More Info](#) hyperlink provides further insight into the revocation.

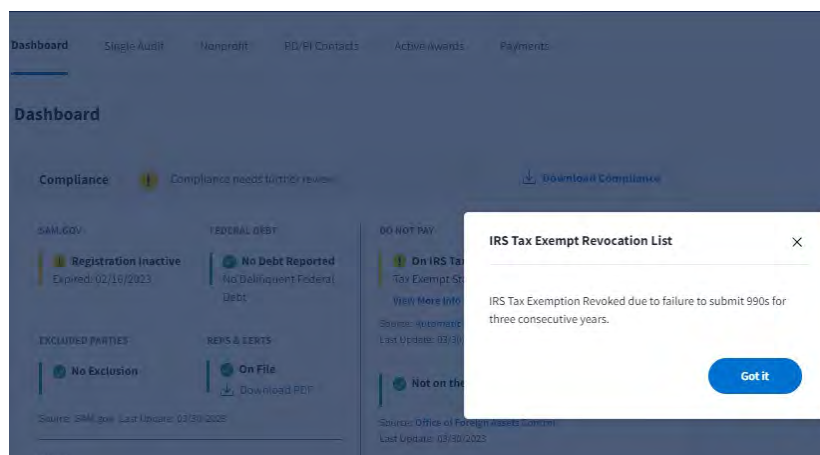


Figure 19 Recipient Data Insights Listed on IRS Tax Revocation List View More Info

Treasury's Do Not Pay resource verifies foreign entity exclusion status using the Excluded Foreign Entities List. The US Government is generally prohibited from dealing with an entity which appears on the list.

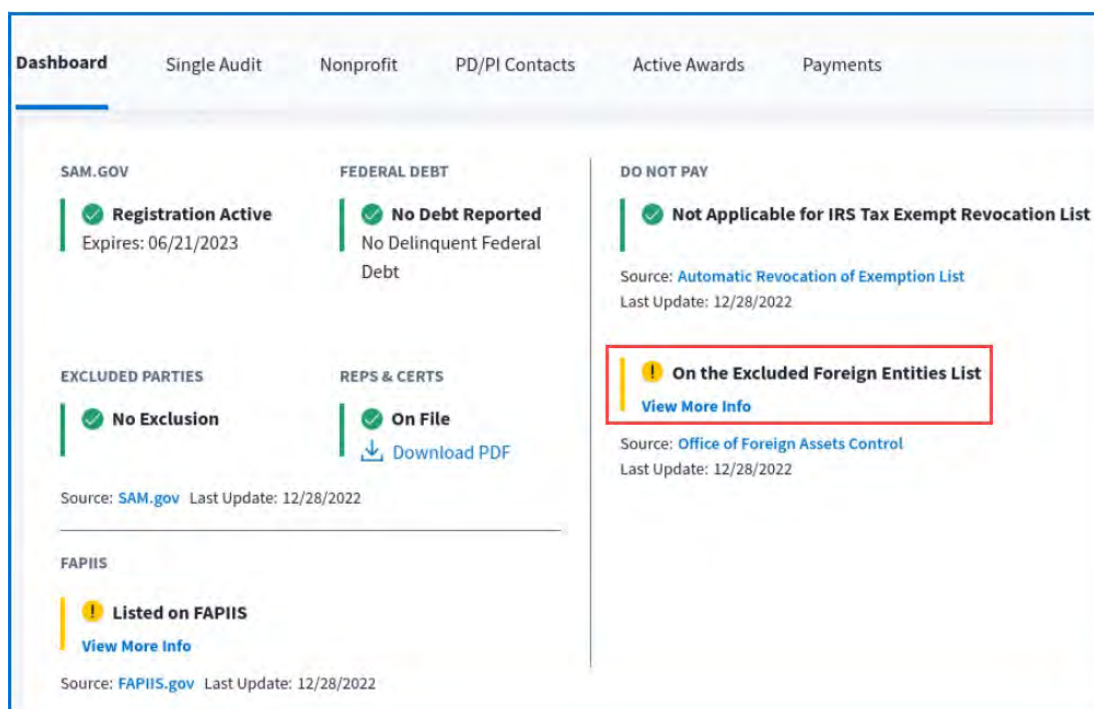


Figure 20 Recipient Data Insights Do Not Pay Excluded Foreign Entities List

Use the View More Info hyperlink for details on the Foreign Entity's exclusion.

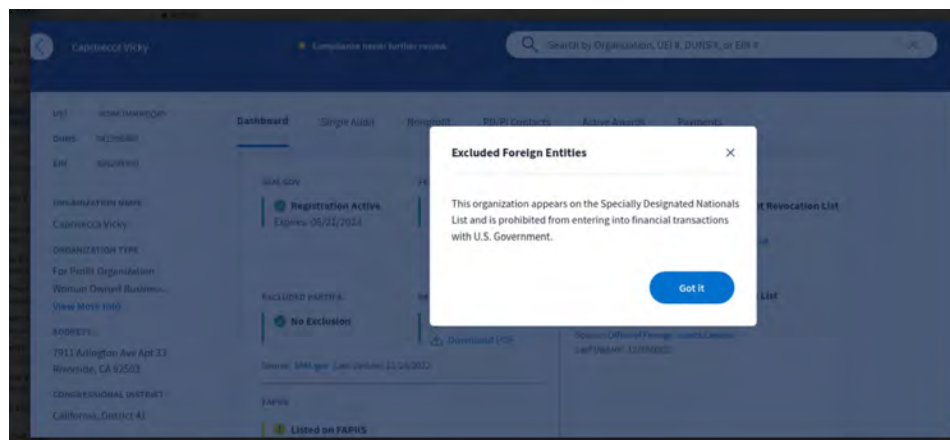


Figure 21 Recipient Data Insights Do Not Pay Excluded Foreign Entities View More Info

### Download the Compliance Snapshot

Users can download a PDF of the Compliance Snapshot using the link at the top of the Compliance Card.

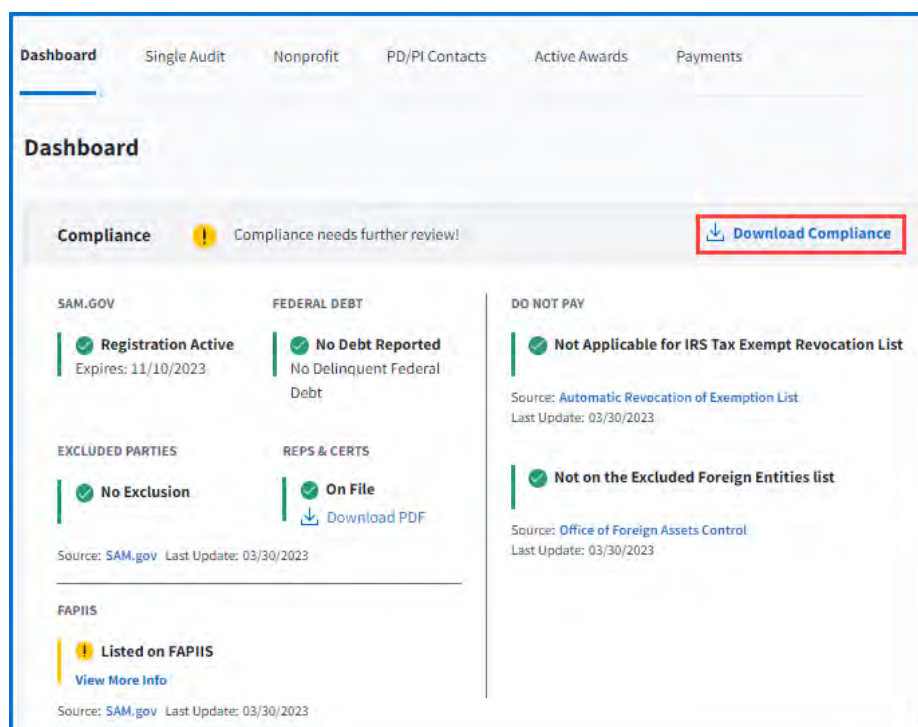


Figure 22 Download Compliance Snapshot

The PDF file displays organization information and its compliance status using the green or yellow indicators. The file contains data reported from each compliance source system, the additional details available in the View More Info links, and the full Reps & Certs (if available).

Organization high level info

SAM.gov compliance data (length will vary depending on whether there are Excluded Parties details available)

SAM.gov compliance data continued (if necessary)

FAPIIS compliance data (length will vary depending on whether there are details available)

Do Not Pay

Reps and Certs (if available)

Figure 23 Compliance Snapshot

## The Single Audit Snapshot

The Single Audit Snapshot features key audit results including the total number of financial statement findings and compliance findings for the three most recent audits and the Auditor's Assessment of Risk for the most recent audit. Recipient Data Insights uses USASpending data to project if the organization is required to submit a single audit in the next year, provides the date the audit is due, and the probability of future findings. Use the [View Single Audit Details](#) link in the Single Audit snapshot or the Single Audit tab in the global navigation bar to go to the Single Audit Screen to delve into the Single Audits details for each of the three Audit years.

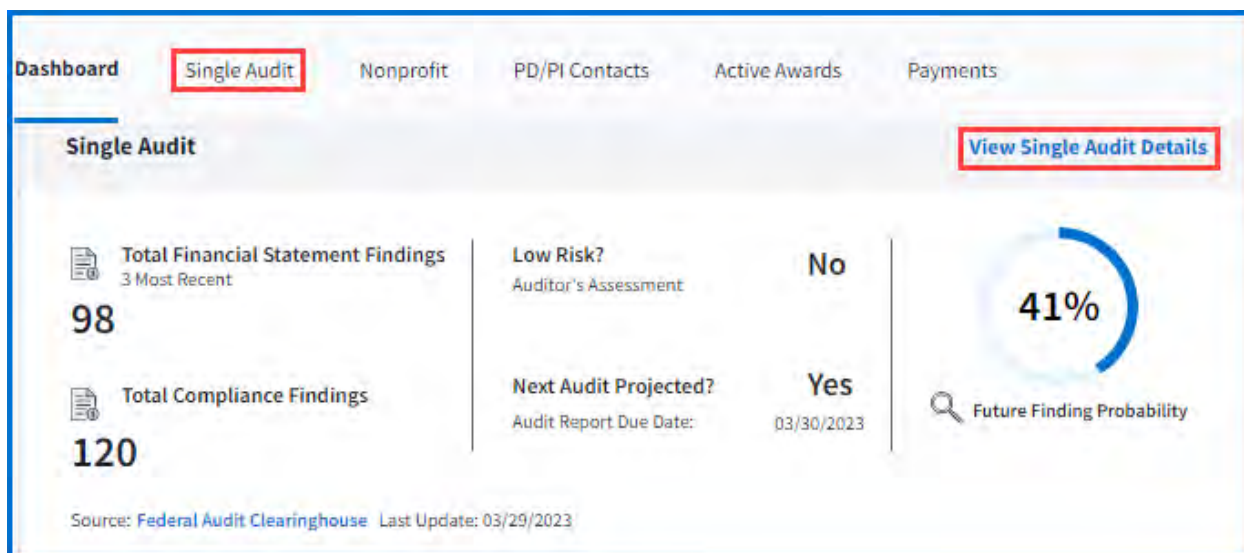


Figure 24 Recipient Data Insights Dashboard Single Audit Snapshot

Organizations who expend less than \$750,000 in its fiscal year are not required to complete a single audit. If Single Audit reports are not on file with the Federal Audit Clearinghouse a message alerts the user that the data is not available.

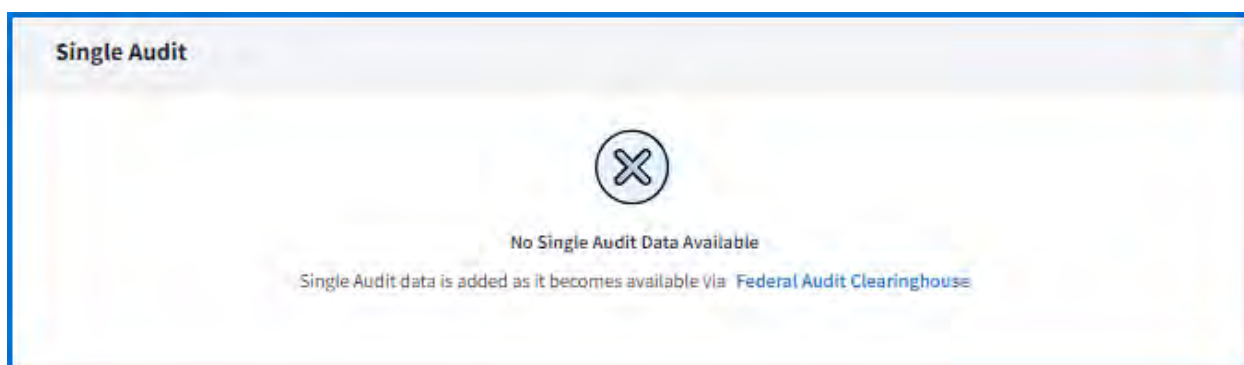


Figure 25 Recipient Data Insights Dashboard No Single Audit Data Available Card

### Active Awards Snapshot:

USA Spending provides the government-wide Federal grant portfolio of the Recipient. The Active Awards Snapshot displays the number of active awards and award dollars received. Agency-level data is presented in a visualization or table format that proportionately shows the funding amounts issued to the Recipient by the Federal agencies. Use the [View Active Award Details](#) link in the Active Awards Snapshot or the Active Awards tab in the global navigation bar to view the Active Awards Screen for additional detail on the Recipient's Federal grant portfolio.

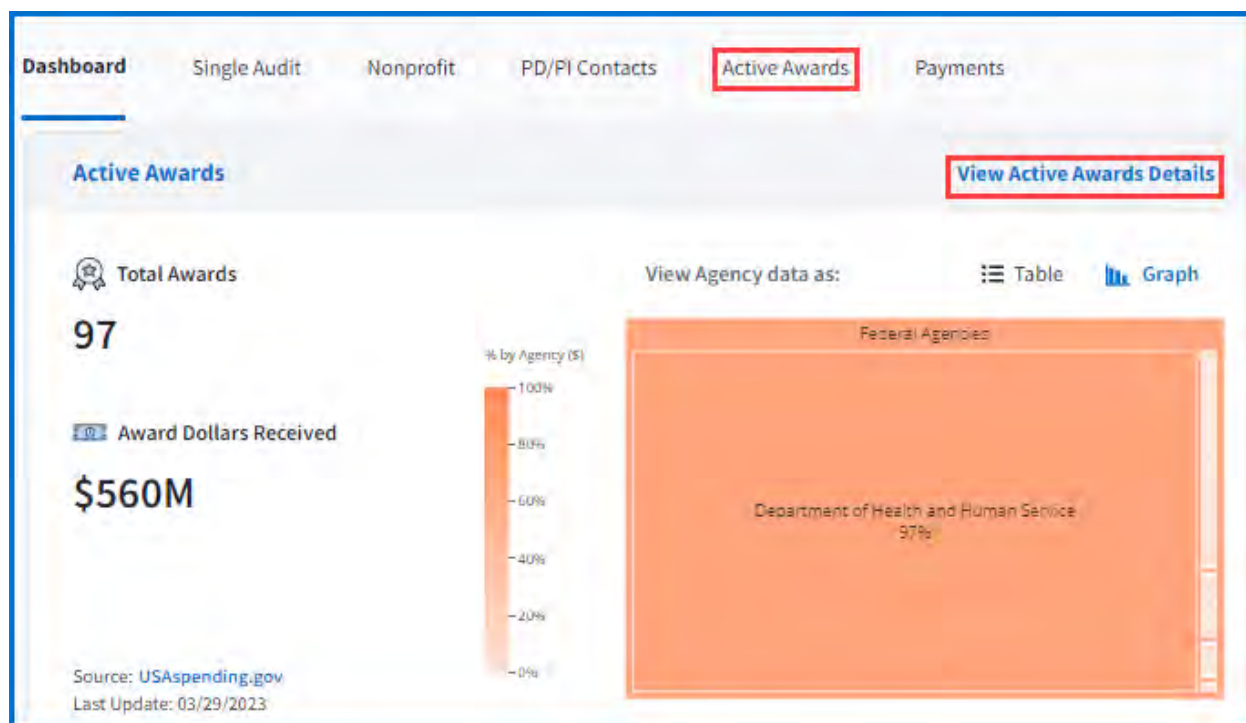


Figure 26 Recipient Data Insights Dashboard Active Awards Snapshot

If the Recipient does not have active awards, a message alerts the user that data is not available.

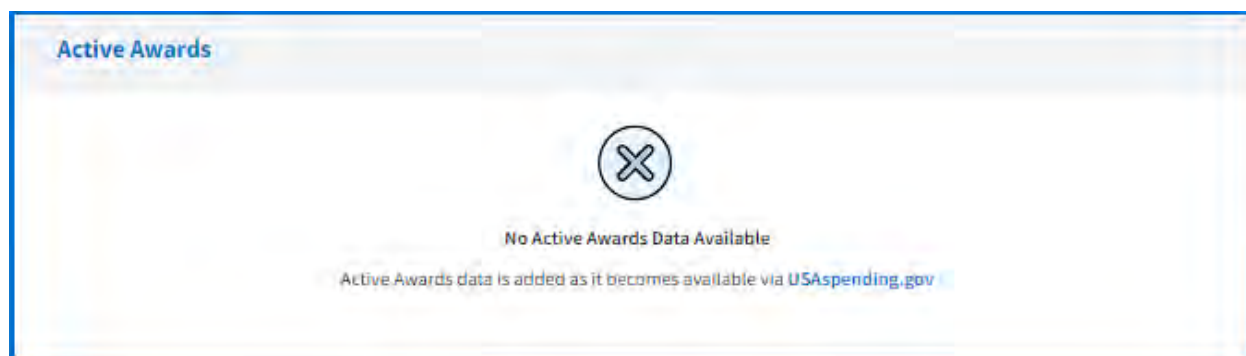


Figure 27 Recipient Data Insights Dashboard No Active Awards Card

## Payments Snapshot

Recipient Data Insights displays payment data for awards issued through Grant Solutions that use the HHS Payment Management System. The Payment Snapshot shows the number of awards for which payment data is available. Use the [View Payment Details](#) link in the Payments Snapshot or the Payments tab in the global navigation bar to view the Payments Screen for additional detail on the Recipient's payment history.

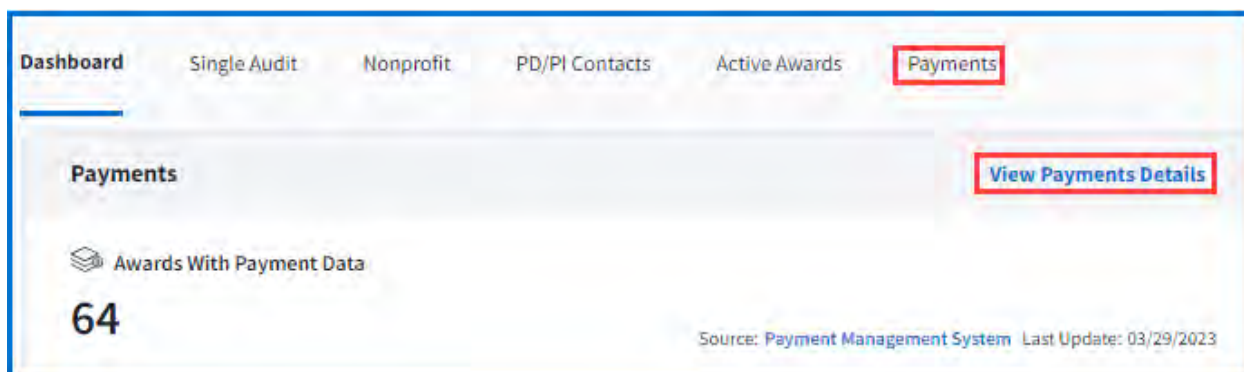


Figure 28 Recipient Data Insights Dashboard Payments Snapshot

If the Recipient does not have any Payment data in the HHS Payment Management System for awards issued through Grant Solutions, a message will alert the user that data is not available.

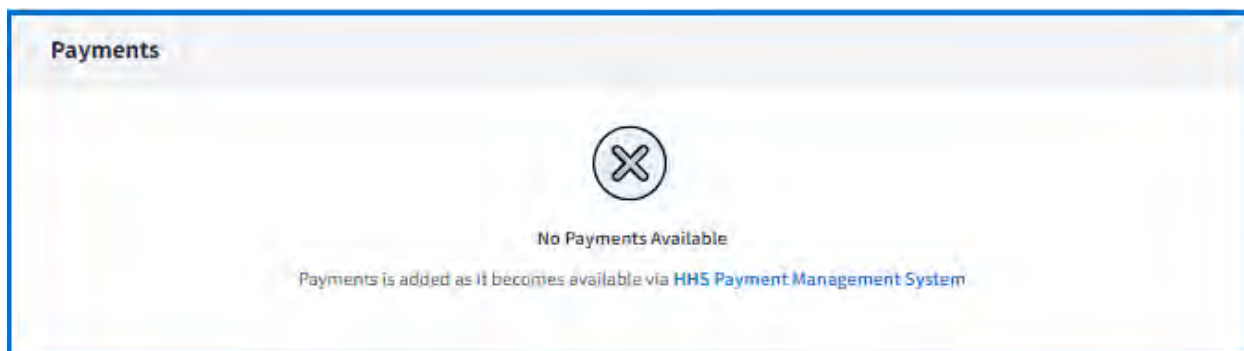


Figure 29 Recipient Data Insights Dashboard No Payments Card



## Single Audit Screen

The Single Audit screen provides valuable insight into the Recipient's experience managing Federal awards. The single audit assesses the organization's financial health and its ability to effectively manage federal awards. Single Audits are required for Recipient organizations who expend \$750,000 or more in Federal funds within the organization's fiscal year.

### Audit Finding History for the Most Recent Three Years

The Single Audit screen displays Federal Audit Clearinghouse data for the three most recent Single Audits.

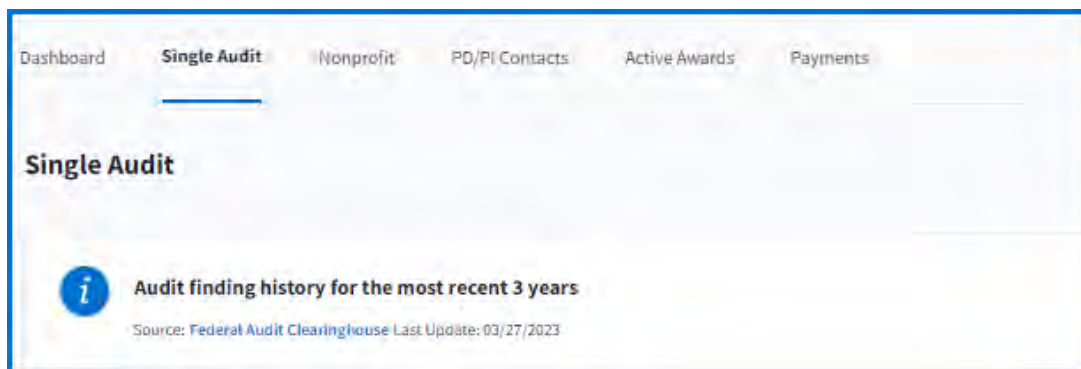


Figure 30 Single Audit History Screen -- Single Entity Audit

A yellow indicator in the Audit Finding History card identifies a Recipient that is part of an organization-wide audit. Organizations made up of many agencies, departments, or organizational units may elect to conduct an organization-wide single audit. Organization-wide audit data is displayed on all entities associated with the organization-wide audit. Use the caret to display the Recipient name of the primary auditee for the three most recent audits. Use the link in the Primary Auditee's name to view the RDI profile of the Primary Auditee.

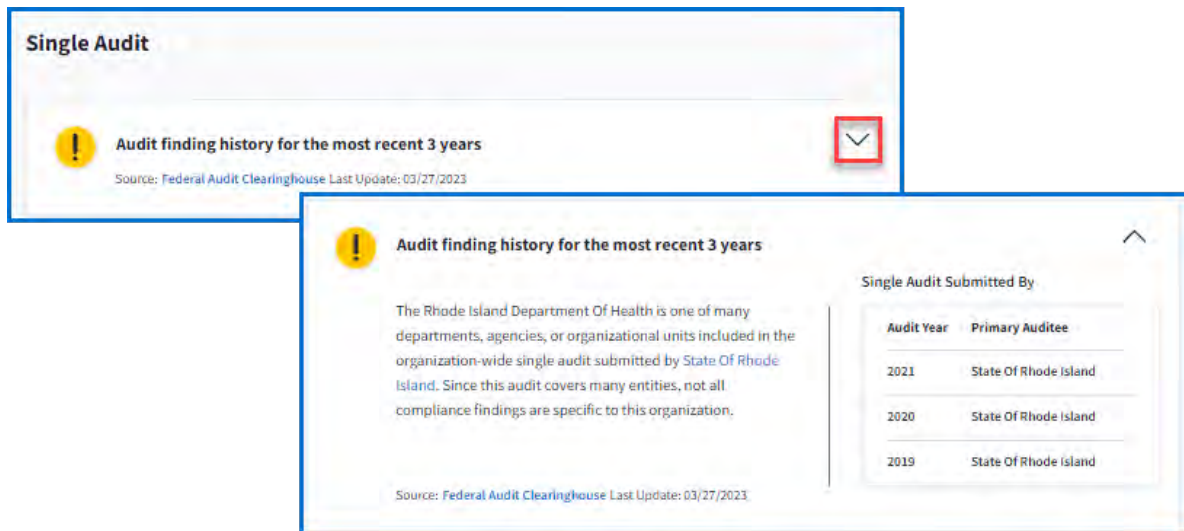


Figure 31 Single Audit History Screen -- Organization-Wide Audit

### Findings by Audit Year

Recipient Data Insights displays the total number of financial statement and compliance findings for the three most recent audits. The graph displays the findings by audit year and finding type. Hover over the graph bar to view the finding type and number of findings.

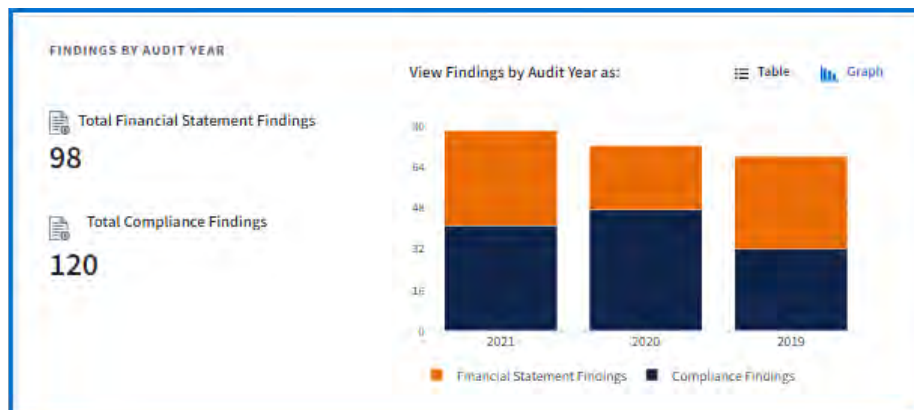


Figure 32 Single Audit Findings by Audit Year Graph

The user can choose to view the data in Table or Graph format using the icons.

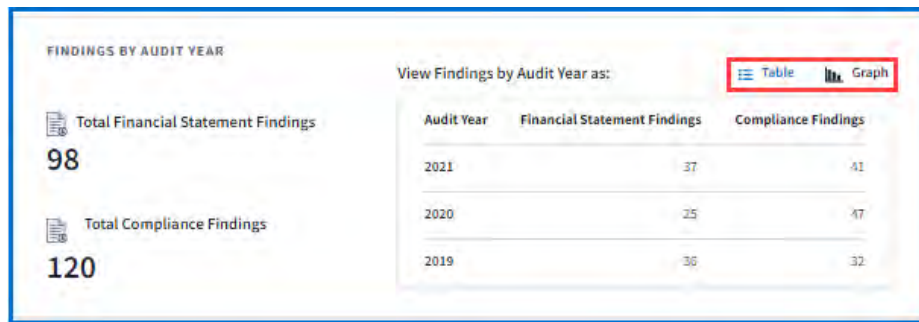


Figure 33 Single Audit Findings by Audit Year Table

### Future Audit

Recipient Data Insights uses USA Spending data and the Recipient's fiscal year end date to project if a Single Audit will be required for the Recipient in the upcoming year. The Future Finding Probability projects the likelihood of audit findings in the next Single Audit Report based on the Recipients history of single audit findings in previous reports.

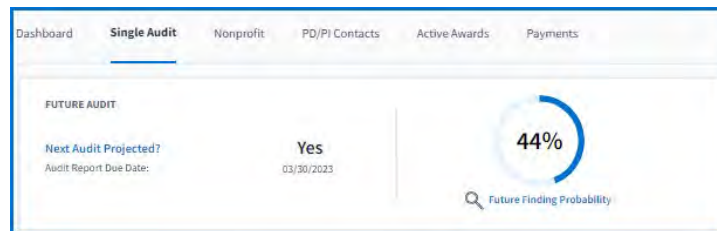


Figure 34 Recipient Data Insights Future Audit

### Report Overview

The Overview provides a high-level snapshot of the audit result for the three most recent audits. The Report Overview can be used to review trends in audit performance and may indicate where additional review is needed. Recipient Data Insights provides hyperlinks to definitions for elements included in the Report Overview. Select "Got It" after reviewing the definition to close the modal and return to the Report Overview.

The screenshot shows the 'Single Audit' tab in the navigation bar. The 'Report Overview' section contains a table with data for the years 2021, 2020, and 2019. Two callout boxes are overlaid on the right side of the table:

- Low Risk:** The Auditor's Low Risk Assessment is the Auditor's determination that the recipient (auditee) qualifies as a low-risk recipient based on criteria stated in Uniform Guidance §200.520.
- Financial Statement Opinions:** The Financial Statement Opinion is the Auditor's determination on whether the financial statements of the recipient (auditee) were prepared in accordance with generally accepted accounting principles (GAAP).

Report Overview	2021	2020	2019
Low Risk?	No	No	No
Financial Statement Opinions	Unmodified	Unmodified	Unmodified
Going Concern	No	No	No
Major Programs Opinions	Qualified	Qualified	Qualified
Questioned Costs	Yes	Yes	Yes
Repeat Findings	Yes	Yes	Yes

Figure 35 Single Audit Report Overview and Sample Definitions

## Annual Audit Details

Recipient Data Insights uses tabs to display the Annual Audit Details by audit year for the three most recent audits. Select the Audit Year to view, Recipient Data Insights highlights the tab in dark blue and displays the Audit Details for the year under review.

The screenshot shows the 'Annual Audit Details' section with three tabs: '2021 Audit Details' (selected and highlighted in dark blue), '2020 Audit Details', and '2019 Audit Details'. Below the tabs, the 'AUDIT DETAILS | 2021' card is displayed, showing submission date, fiscal year end, audited amount, and number of assistance listings. A 'Download Audit File' button is also visible.

AUDIT DETAILS   2021			
SUBMISSION DATE	FISCAL YEAR END	AUDITED AMOUNT	NUMBER OF ASSISTANCE LISTINGS
06/30/2022	06/30/2021	\$8,401,858,790.00	499

Figure 36 Recipient Data Insights Annual Audit Details

## Audit Details

The Audit Details card displays the date the audit is submitted to the Federal Audit Clearinghouse and the Recipient's fiscal year-end date. The two dates are used to calculate the timeliness of the audit submission. A yellow indicator displays if the Single Audit is submitted more than 3 months late. OMB extensions are not factored into late calculations. Recipient Data Insights also displays the amount of dollars and the number of Assistance Listings audited.

Select the [Download Audit File](#) to access a PDF for the full Single Audit Report and the Audit Summary Findings. The Summary is an extract of the audit findings from the full audit report for quick reference. The Award Level Findings (.csv) is a full list of awards with findings and related audit details including finding number, finding type, and repeat finding number.

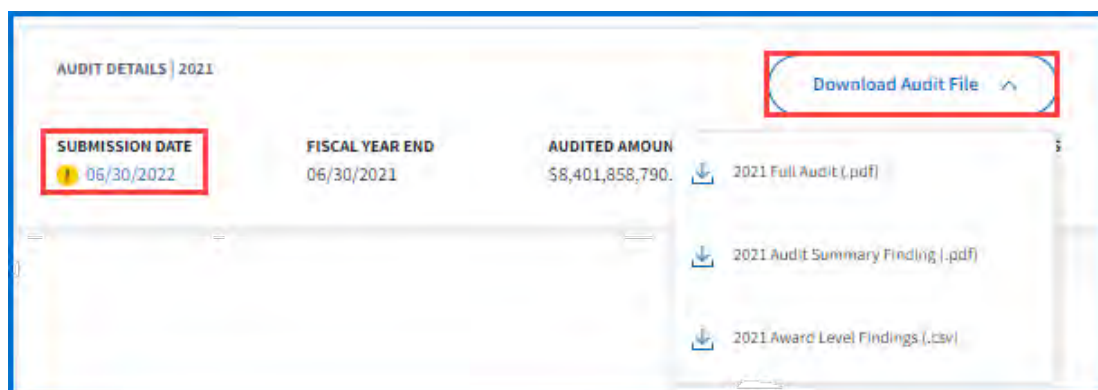


Figure 37 Recipient Data Insights Audit Details

#### Summary of Auditor's Results – Financial Statements

Recipient Data Insights displays the results of the Auditor's review of the financial statements including any disclosures of material weaknesses and significant deficiencies in internal control, and any noncompliance material to the financial statements. A yellow indicator on one or more financial statement disclosures may require a closer look at the Single Audit findings.



Figure 38 Summary of Auditor's Results – Financial Statements

### Major Programs and Compliance Findings

The Major Programs and Compliance Findings data points and visualization provide information on the scope and results of the single audit. Audit scope data include the number of Assistance Listings audited as Major Programs and the Major Programs audited amount. Audit results include the number of Major Programs with Findings, Major Programs with Modified Opinions, and Unique Major Program Findings.

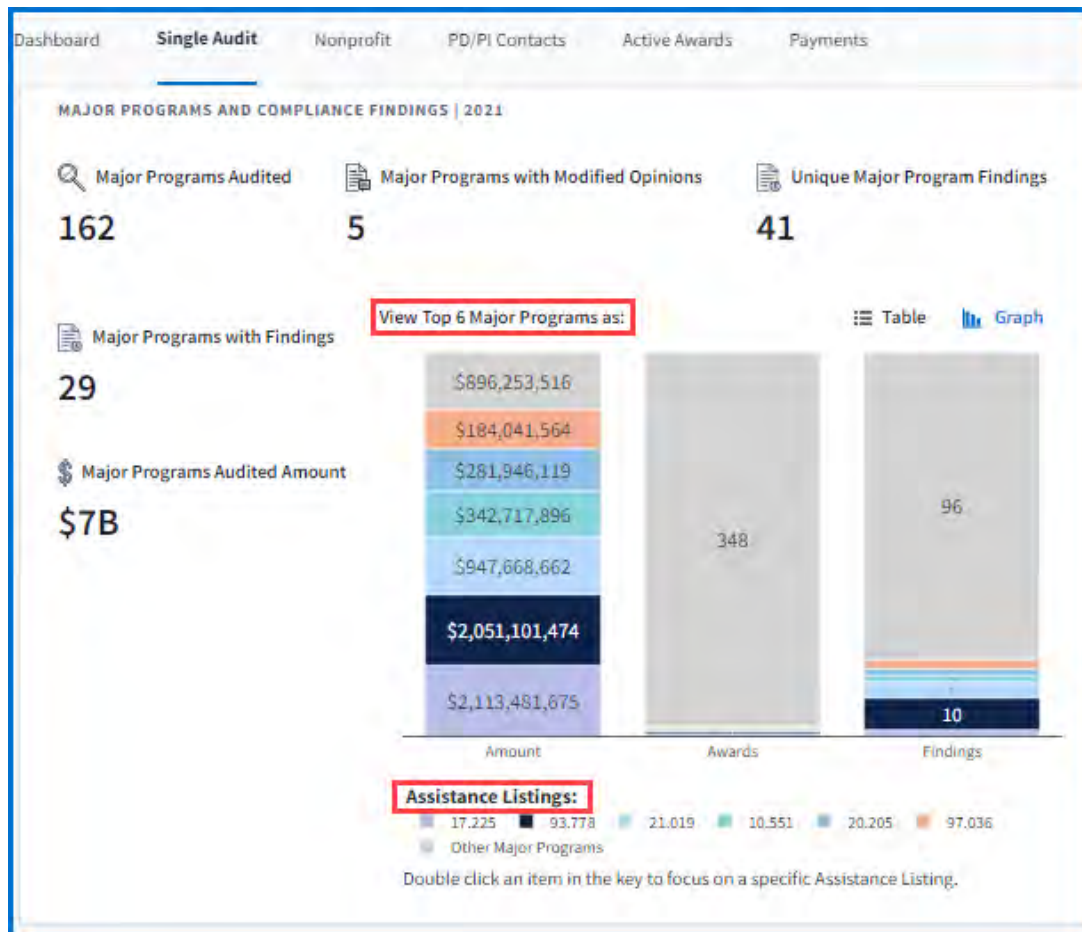


Figure 39 Major Programs and Compliance Findings Graph

The stacked bars present the Top 6 Major Programs based on the audited amount. All audited major programs beyond the Top 6 are presented in aggregate under Other Major Programs. The first bar displays the audited amount, the second bar displays the number of awards audited, and the third bar displays the number of unique major program findings.

The legend displays the Assistance Listing numbers for the top six major programs. To focus on a single Assistance Listing, deselect the remaining Assistance Listing numbers in the legend.



Select the table icon to view the Top 6 Major Programs information in table format. One finding may occur across several major programs and result in a total finding count that exceeds the Unique Major Program Findings.

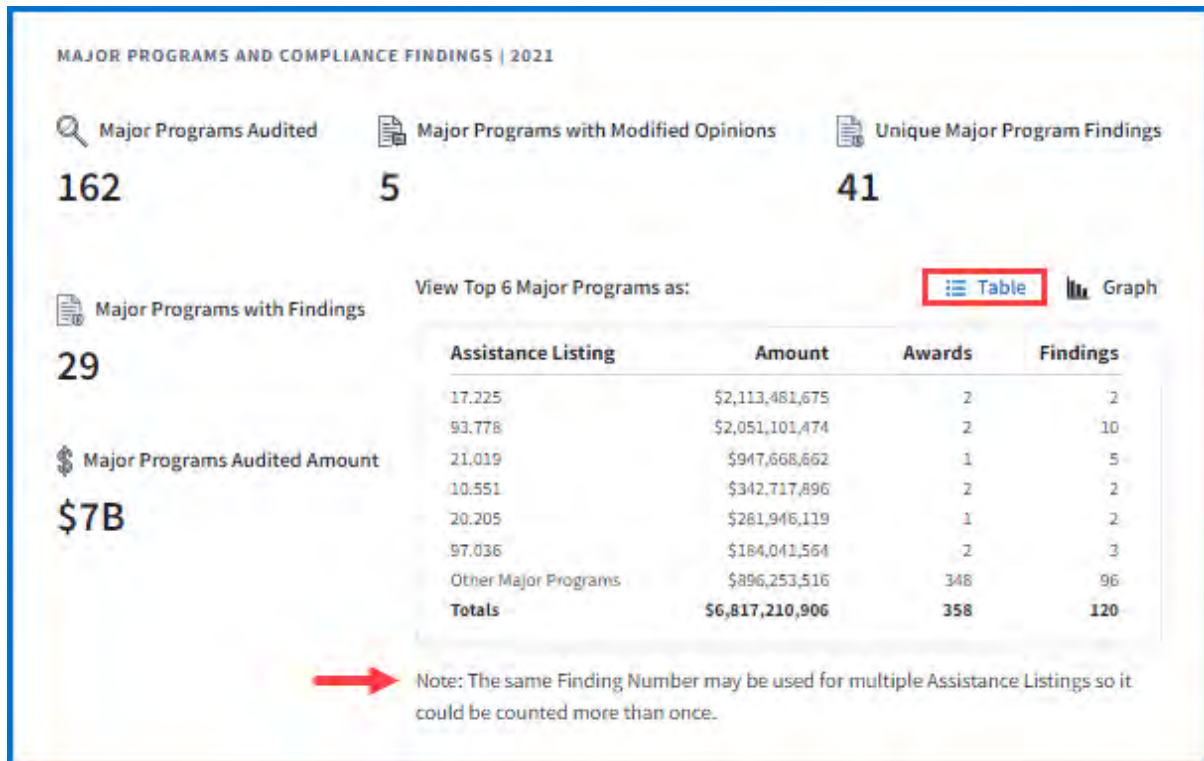
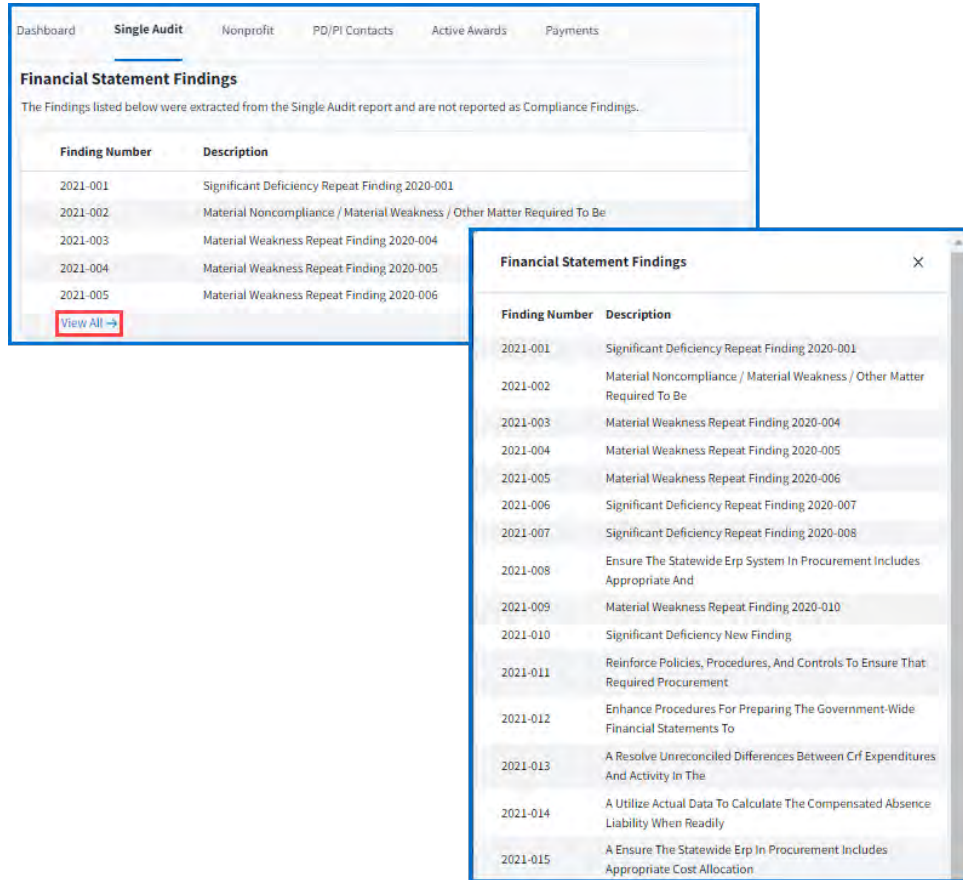


Figure 40 Major Programs and Compliance Findings Table

### Financial Statement Findings

Recipient Data Insights uses software to read the full audit report, identify financial statement findings, and extract the finding numbers and description, if available. RDI displays the first five Financial Statement Findings on the page. A “View All” hyperlink is available if the Single Audit contains more than five Financial Statement Findings.



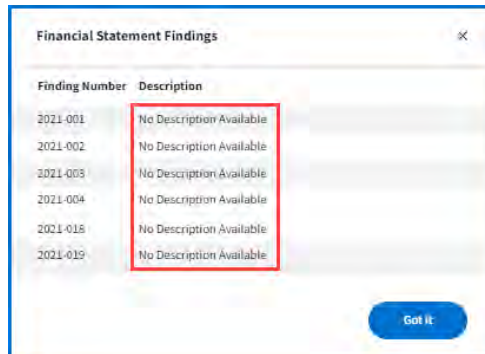
The screenshot shows the 'Financial Statement Findings' section in the 'Single Audit' view. It displays a table with the following findings:

Finding Number	Description
2021-001	Significant Deficiency Repeat Finding 2020-001
2021-002	Material Noncompliance / Material Weakness / Other Matter Required To Be
2021-003	Material Weakness Repeat Finding 2020-004
2021-004	Material Weakness Repeat Finding 2020-005
2021-005	Material Weakness Repeat Finding 2020-006

A 'View All' link is highlighted in a red box at the bottom of the table. To the right, a modal window titled 'Financial Statement Findings' shows a scrollable list of 15 findings, including the ones shown in the main table and additional findings like 'Significant Deficiency New Finding' and 'Reinforce Policies, Procedures, And Controls To Ensure That Required Procurement'.

Figure 41 Financial Statement Findings and View All Findings

If a description is not available, RDI displays the Finding Number with the notation “No Description Available”.



The screenshot shows a modal window titled 'Financial Statement Findings' displaying a table where the descriptions are missing:

Finding Number	Description
2021-001	No Description Available
2021-002	No Description Available
2021-003	No Description Available
2021-004	No Description Available
2021-018	No Description Available
2021-019	No Description Available

A red box highlights the 'No Description Available' text for the first five findings. A 'Got it' button is visible at the bottom right of the modal.

Figure 42 Financial Statement Findings No Description Available

### Compliance Findings

Recipient Data Insights displays all Single Audit compliance findings. Findings display sequentially by Finding Number, Assistance Listing, and Program Audited Amount. Each compliance record includes the Program Name, the Finding Number, Assistance Listing Number, Audited Amount, Compliance Type, and Finding Details.

RDI provides several ways to view compliance records. A vertical scroll bar is available to move up or down the complete list of compliance findings to view the records.

Compliance Findings

Filter by Assistance Listing (All)

Clicking the Finding Number will open the Full Audit PDF file to the page for this finding.

Program Name

Crime Victim Assistance

Finding Number:

2021-038

ASSISTANCE LISTING

16,575

PROGRAM AMOUNT AUDITED

\$8,764,415.00

COMPLIANCE TYPE

Reporting

FINDING DETAILS

Other Matters

Significant Deficiency

Program Name

Education Stabilization Fund

Finding Number:

2021-038

ASSISTANCE LISTING

84,425

PROGRAM AMOUNT AUDITED

\$1,506,666.00

COMPLIANCE TYPE

Reporting

FINDING DETAILS

Other Matters

Significant Deficiency

Program Name

Epidemiology And Laboratory Capacity For Infectious Diseases Elc

Finding Number:

2021-038

ASSISTANCE LISTING

93,323

PROGRAM AMOUNT AUDITED

\$1,794,204.00

COMPLIANCE TYPE

Reporting

FINDING DETAILS

Other Matters

Significant Deficiency

Figure 43 Scroll Compliance Finding Records

Alternatively, the user can filter compliance findings by Assistance Listing using the “Filter by Assistance Listing (All)” caret. View one or more Assistance Listings by deselecting “Assistance Listings (All)” and scrolling and selecting the Assistance Listing Numbers to display.

### Compliance Findings

Clicking the Finding Number will open the Full Audit PDF file to the page for this finding.

2 Assistance Listing(s) Selected

Search Assistance Listing Number

Assistance Listing (All)

☐ 10.551
 ☒ 10.553
 ☒ 10.555

Program Name

School Breakfast Program

ASSISTANCE LISTING	PROGRAM AMOUNT AUDITED	COMPLIANCE TYPE
10.553	-\$494,365.00	Special tests and provi

Finding Number:

2021-041

Program Name

National School Lunch Program

ASSISTANCE LISTING	PROGRAM AMOUNT AUDITED	COMPLIANCE TYPE	FINDING DETAILS
10.553	\$646,751.00	Special tests and provisions	Significant Deficiency

Finding Number:

2021-041

Program Name

National School Lunch Program

ASSISTANCE LISTING	PROGRAM AMOUNT AUDITED	COMPLIANCE TYPE	FINDING DETAILS
10.555	\$3,207,155.00	Special tests and provisions	Significant Deficiency

Figure 44 Filter Compliance Finding Records by Assistance Listing Number

The user also may view compliance finding records using “Search Assistance Listings Number”. Enter the full Assistance Listing Number (XX-XXX) in the search bar to view records for a specific Assistance Listing. Enter the first two digits of the Assistance Listing number and the period (XX.) to view compliance findings records for all Assistance Listings for a single agency. The user may deselect records from the filtered list.

### Compliance Findings

Clicking the Finding Number will open the Full Audit PDF file to the page for this finding.

8 Assistance Listing(s) Selected

Search Assistance Listing Number

93

93.323

93.558

93.575

93.596

<p><b>Program Name</b></p> <p>Epidemiology And Laboratory Capacity For Infectious Diseases Etc</p>	<p><b>ASSISTANCE LISTING</b></p> <p>93.323</p>	<p><b>PROGRAM AMOUNT AUDITED</b></p> <p>\$1,794,204.00</p>	<p><b>COMPLIANCE TYPE</b></p> <p>Reporting</p>
--	--	--	--

**Program Name**

Epidemiology And Laboratory Capacity For Infectious Diseases Etc

**Finding Number:**

2021-038

<p><b>ASSISTANCE LISTING</b></p> <p>93.323</p>	<p><b>PROGRAM AMOUNT AUDITED</b></p> <p>\$55,309,124.00</p>	<p><b>COMPLIANCE TYPE</b></p> <p>Reporting</p>	<p><b>FINDING DETAILS</b></p> <p>Other Matters</p> <p>Significant Deficiency</p>
--	---	--	--

**Program Name**

Epidemiology And Laboratory Capacity For Infectious Diseases Etc

**Finding Number:**

2021-061

<p><b>ASSISTANCE LISTING</b></p> <p>93.323</p>	<p><b>PROGRAM AMOUNT AUDITED</b></p> <p>\$1,794,204.00</p>	<p><b>COMPLIANCE TYPE</b></p> <p>Activities allowed or unallowed</p>	<p><b>FINDING DETAILS</b></p> <p>Material Weakness</p> <p>Questioned Costs</p>
--	--	--	--

Figure 45 Search Compliance Finding Records Using Assistance Listing Number



## Nonprofit Screen

Tax-exempt nonprofit organizations must file an IRS Return of Organization Exempt from Income Tax, also known as the Form 990, annually to maintain tax-exempt status. Form 990 collects a variety of organizational and financial information that is valuable in assessing the financial health and management of the nonprofit organization.

Small tax-exempt nonprofits can choose to report to the IRS using the Form 990 or one of the simplified Form 990 based organization's income and assets. Nonprofits with annual income less than \$200,000 and assets less than \$500,000 can choose to file using the 990-EZ. Smaller nonprofits with less than \$50,000 in income can choose to file using the 990-N. Data from simplified filing forms is available on the IRS website's Search for Tax Exempt Organizations page.

A message displays in the Hero Bar if 990 data is available in Recipient Data Insights.

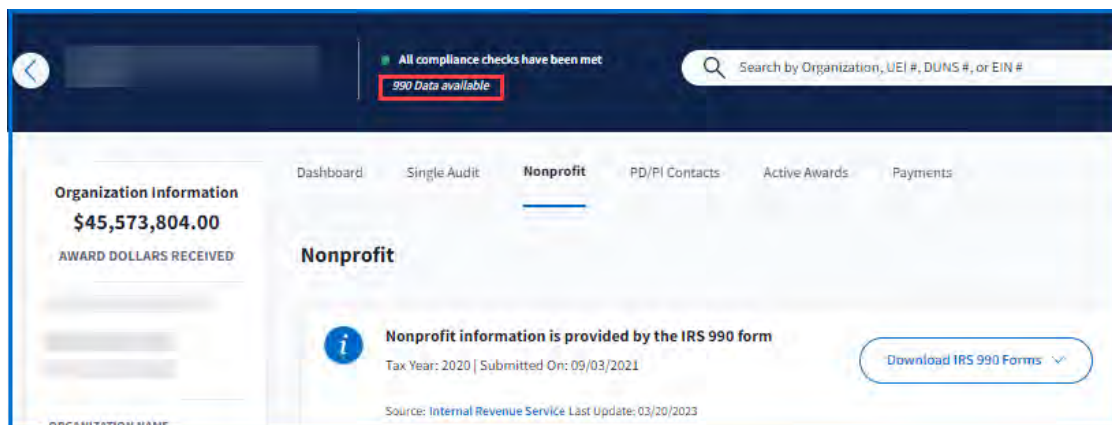


Figure 46 990 Hero Bar Data Available Indicator

The three most recent 990s on file with the IRS are available for download. Users can download a zip file of all 990 filings or download an individual form. A review of three years of data gives the user a more nuanced picture of the financial health and stability of the organization.



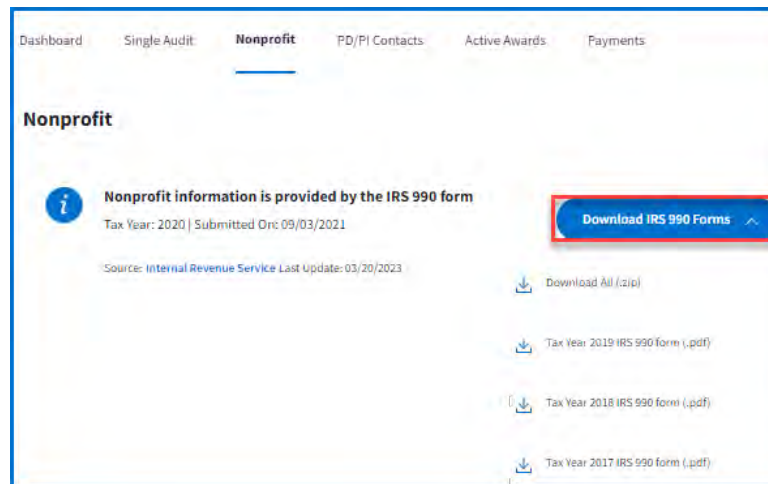


Figure 47 Download Copies of the Most Recent IRS Form 990

## Form 990 Data

RDI pulls data from the most recent 990 filed electronically with the IRS to provide insight into the size and overall financial health of the nonprofit organization. If the Recipient filed a paper form, RDI does not display data. Users can review the Form 990 downloads to view the information.

The first card displays total employees, revenue, expenses, assets, and liabilities. This information is found in Part 1 of the Form 990.

Dashboard	Single Audit	Nonprofit	PD/PI Contacts	Active Awards	Payments
TOTAL EMPLOYEES	TOTAL REVENUE	TOTAL EXPENSES	TOTAL ASSETS	TOTAL LIABILITIES	
520	\$34,261,445.00	\$33,774,740.00	\$21,689,272.00	\$6,550,525.00	

Figure 48 Form 990 Organization Data

RDI provides a further breakout of the Sources of Income and Expenses by category. For each income source and expense category, RDI displays the data in dollars and as a proportion of the total income or expense. This information presents the user with a picture of where the organization gets its money from and how it spends its money. Hover over the graph to view the details for each category.



Figure 49 Form 990 Income and Expense Data

Additional detail for income and expense categories is available on the full 990 form.

## Officers, Top Independent Contractors, and Key Employees

RDI uses tabs to display compensation information for Officers, Contractors, and Key Employees. The tab under review is highlighted in blue. A yellow indicator displays if the reported salaries for Officers and Key Employees exceeds Federal Executive Level 2 Salary cap. Information on Officers and Key Employees is found in Part VII, Section A and information on Contractors, comes from Part VII, Section B.

### Officers

The IRS requires reporting of current and former officers, directors, and trustees regardless of compensation. An officer is anyone who holds a position of trust, authority, or command within an organization, including its top management official and top financial officer.

RDI displays the total number of officers and the total compensation of officers. View individual officers' names, positions, and reportable compensation using the caret. A yellow indicator displays if the reported compensation exceeds the Executive Level II Salary Cap.

Officers		
Top Independent Contractors		
Key Employees		
No data available		
NUMBER OF OFFICERS		TOTAL COMPENSATION
6		\$3,191,970.00
All Officers		
NAME	POSITION	COMPENSATION
Timothy J. Babinou MD	President & CEO	\$1,761,976.00
Mary A Wakefield	Treas/Evp/Cfo	\$870,016.00
Paul J. Adler	Secretary	\$559,976.00
Lawrence A. Aubin Sr	Chair	\$0.00
Peter Capodilupo	Vice Chair	\$0.00
Alan H. Litwin	Vice Chair	\$0.00

Figure 50 View Form 990 Data on Officers

### Independent Contractors

The nonprofit organization is required to report the top five independent contractors compensated more than \$100,000 during the organization's fiscal year. RDI displays the total number of independent contractors and the total compensation paid to independent contractors. Use the caret to view the individual contractors' names, a description of the services provided, and reported compensation.

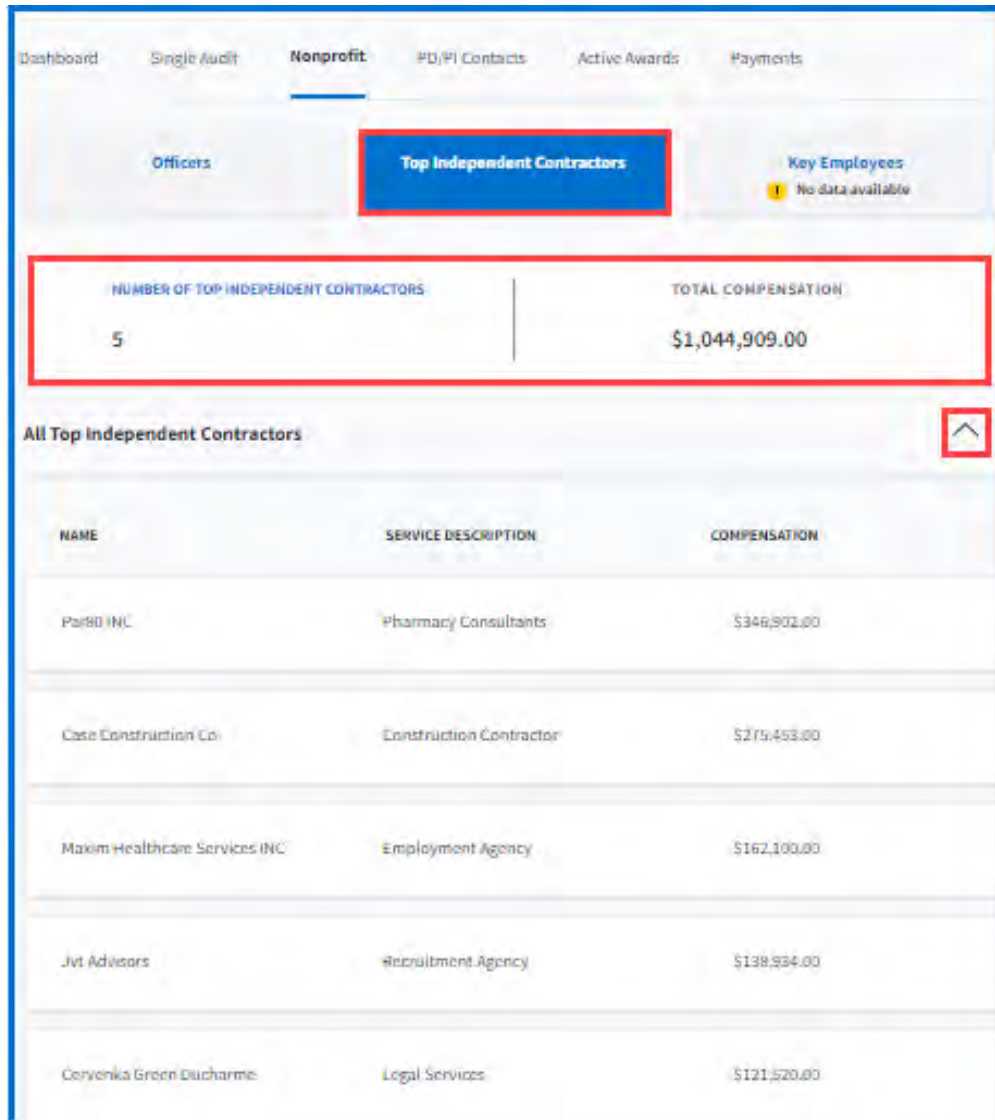


Figure 5149 View Form 990 Data on Independent Contractors

### *Key Employees*

The IRS requires reporting of key employees, current and former, who receive compensation more than \$150,000 during the organization's fiscal year. A key employee is one who is responsible for a discreet organizational segment or activity that makes up more than 10% of the organization's activity, assets, income, or expenses.

Similar to the display of Officers, RDI displays the total number of key employees and the total compensation of key employees. A yellow indicator and a No Data Available message display in the tab if the Nonprofit organization does not report Key Employees in the IRS Form 990. If Key Employee data is available, users can view the data using the caret. The data fields include key employees' names, positions, and reportable compensation.

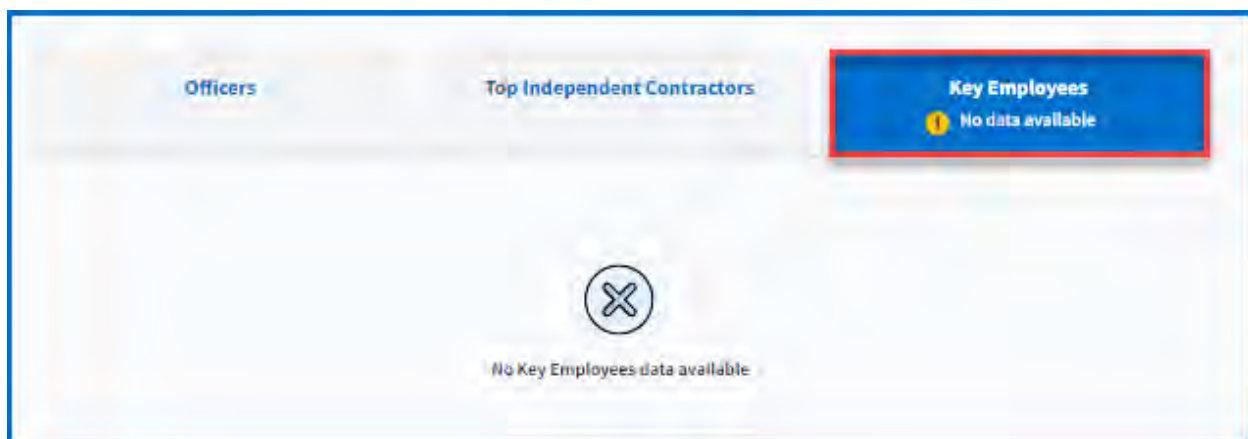
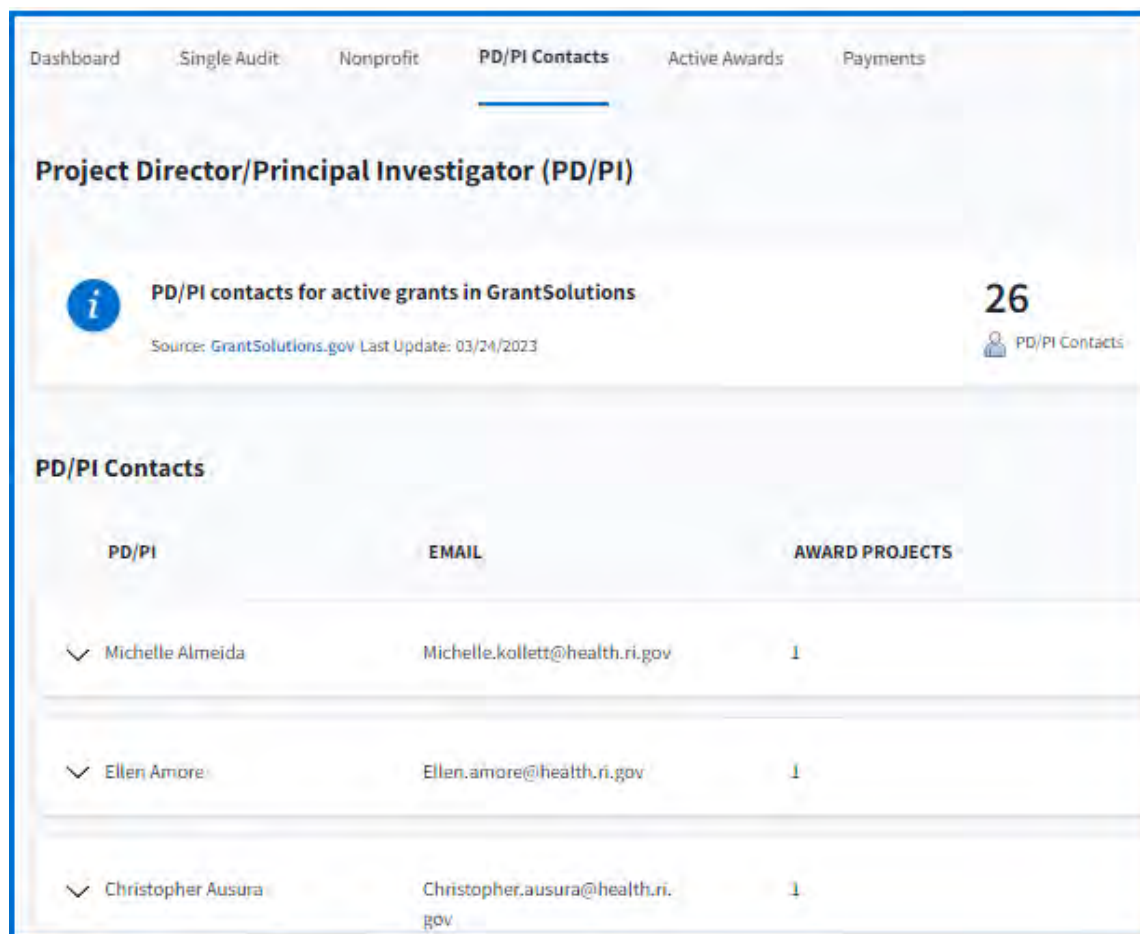


Figure 502 Form 990 Key Employees No Data Available Message

## PD/PI Contacts Screen

Project Director/Principal Investigator information is available for awards issued in GrantSolutions. Recipient Data Insights leverages the GrantSolutions system to display the name, email address, and a count of awards managed by the named PD/PI.



Project Director/Principal Investigator (PD/PI)		
PD/PI contacts for active grants in GrantSolutions		26
Source: GrantSolutions.gov Last Update: 03/24/2023		PD/PI Contacts
PD/PI Contacts		
PD/PI	EMAIL	AWARD PROJECTS
Michelle Almeida	Michelle.kollett@health.ri.gov	1
Ellen Amore	Ellen.amore@health.ri.gov	1
Christopher Ausura	Christopher.ausura@health.ri.gov	1

Figure 51 Project Director/Principal Investigator Contacts



Use the caret to view the award detail for each grant managed by the PD/PI. The Period of Performance, the Awarding Sub-Agency, and the Grant Program are provided for each award. Contact information for the Grants Management Officer and Program Officer is provided if follow-up is needed.


Dashboard	Single Audit	Nonprofit	PD/PI Contacts	Active Awards	Payments
<div>  Thomas Bertrand           Thomas.bertrand@health.ri.gov 4         </div>					
Award ID/Fain	Period of Performance	Awarding Sub-Agency	Grant Program	GMO	Program Officer
1. NH25PS005160	01/01/2019 - 12/31/2023	Centers for Disease Control and Prevention (CDC)	PS19-1901.NH25 Strengthening STD Prevention and Control for Health Departments	Arthur Lusby <a href="mailto:cmx3@cdc.gov">cmx3@cdc.gov</a>	Sharlene Edwards <a href="mailto:ucx1@cdc.gov">ucx1@cdc.gov</a>
2. NU51PS005182	05/01/2021 - 04/30/2026	Centers for Disease Control and Prevention (CDC)	CDC-RFA-PS21-2103.NU51 Integrated Viral Hepatitis Surveillance and Prevention Fu	Terrian Dixon <a href="mailto:thd4@cdc.gov">thd4@cdc.gov</a>	Carmen Davis <a href="mailto:xbq9@cdc.gov">xbq9@cdc.gov</a>
3. NU62PS924548	01/01/2018 - 05/31/2024	Centers for Disease Control and Prevention (CDC)	PS18-1802.NU62 Integrated HIV Surveillance and Prevention Programs for Health D	Arthur Lusby <a href="mailto:cmx3@cdc.gov">cmx3@cdc.gov</a>	Jennine Kinsey <a href="mailto:ire0@cdc.gov">ire0@cdc.gov</a>
4. NU52PS910201	01/01/2020 - 12/31/2024	Centers for Disease Control and Prevention (CDC)	PS20-2001.NU52 Tuberculosis Elimination and Laboratory Cooperative Agreement	Terrian Dixon <a href="mailto:thd4@cdc.gov">thd4@cdc.gov</a>	Paul Regan <a href="mailto:pjr9@cdc.gov">pjr9@cdc.gov</a>

Figure 524 Project Director/Principal Investigator Additional Details

## Active Awards Screen

Recipient Data Insights displays data on the active awards including award details for the 10 most recent federal grant awards. USA Spending provides the government-wide Federal grant portfolio of the Recipient. Use the Visit USA Spending link to view the full award portfolio of the Recipient.

### Active Awards by Agencies and Sub-Agencies

Recipient Data Insights displays the number of active awards and the award dollars received by Agency. Agency-level data is presented in a graph that proportionately shows the funding amounts issued by the awarding agencies. Hover over a section of the graph to view the number of awards and award dollars from the selected agency.

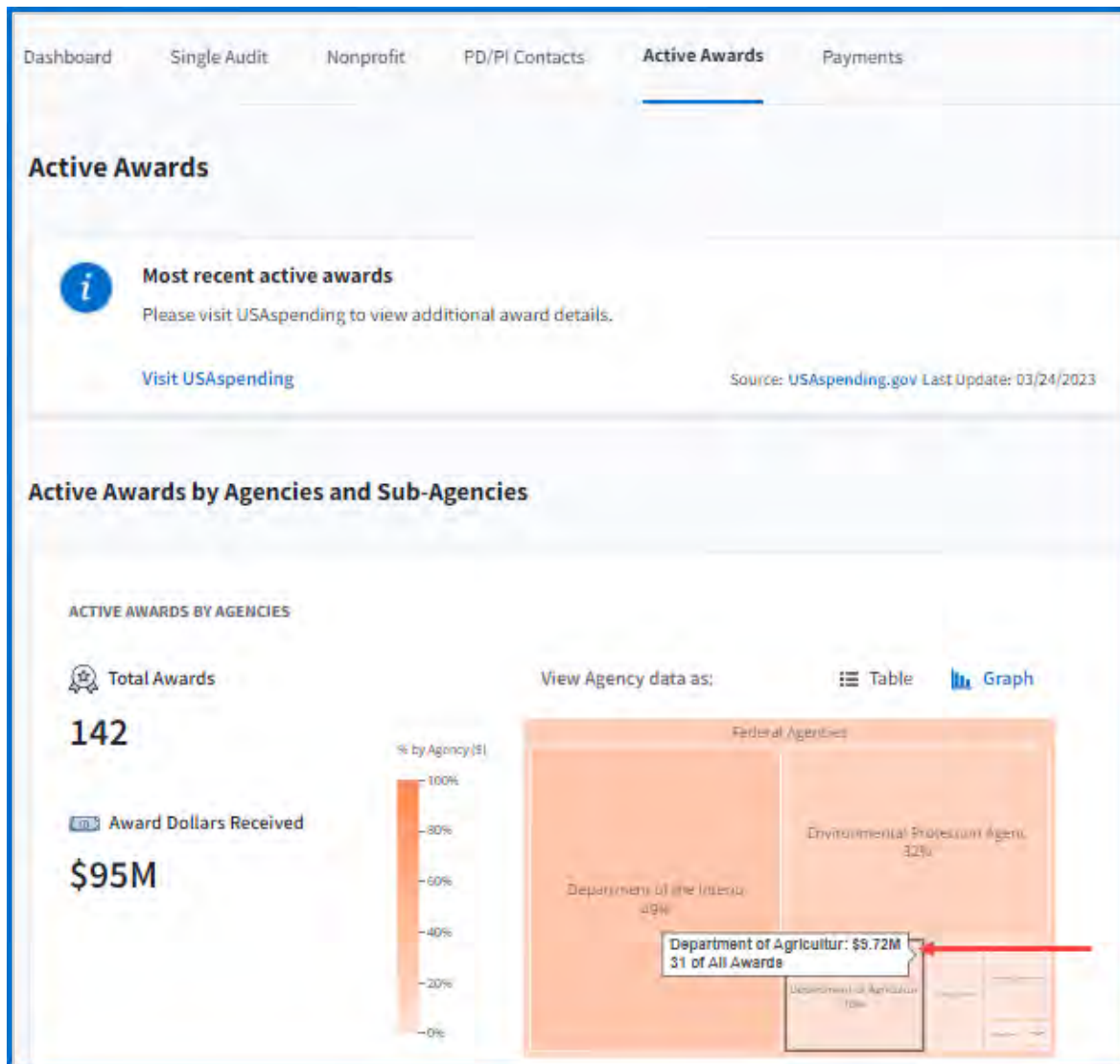


Figure 53 Active Awards by Agencies Graph

Select the table icon to view the Active Awards by Agency in a table format.

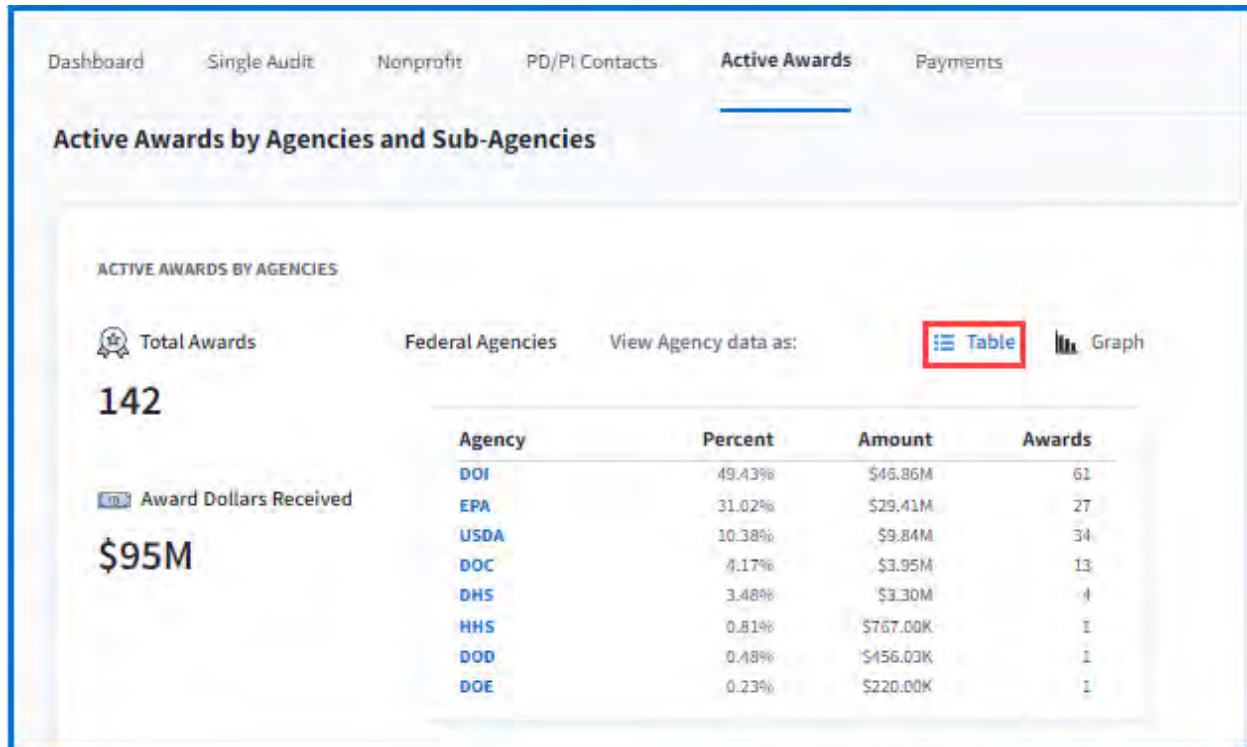


Figure 54 Active Awards by Agencies Table

### Sub-Agency Data

Select an Agency in the Awards by Agency graph to view the data by Sub-Agency. The Active Awards by Agency chart displays the selected Agency. Sub-Agency data displays in a graph below the Active Awards by Agencies graph. The number of active awards and the award dollars received for the selected agency displays. Hover over a Sub-Agency bar to view the number of awards and the Percent of Total Awards in dollars from the chosen Sub-agency.

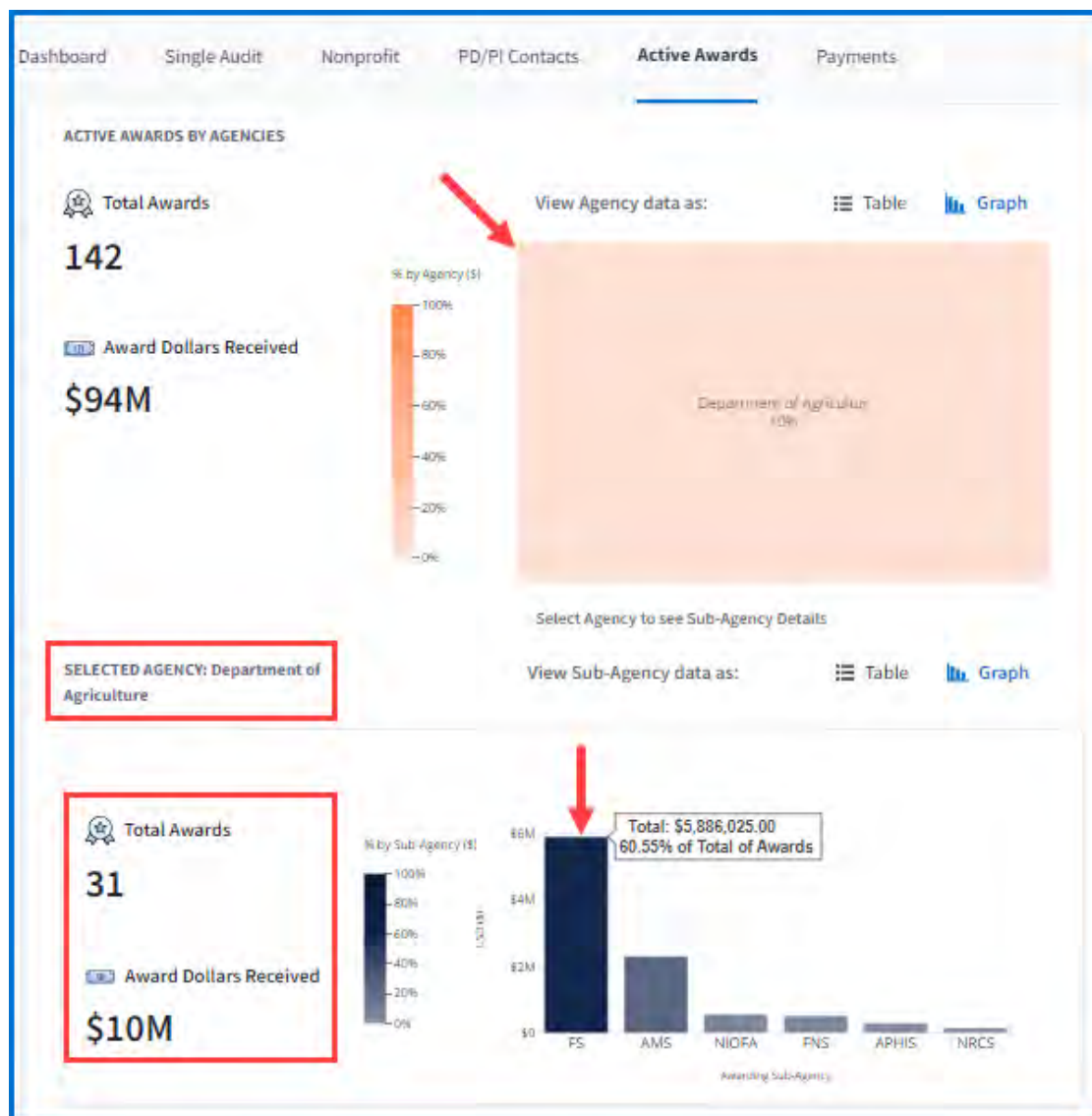


Figure 55 Active Awards for a Chosen Agency and its Sub-Agencies Graph

Sub-Agency data also can be viewed as a table. Select the table icon in the Active Awards by Agencies card to view the Agencies in table format. Next, select an Agency to view from the table. RDI displays the selected Agency in the Sub-Agencies details card. By default, the Sub-Agency data is presented in graph view. Select the Table icon to view Sub-Agency data as a table.

The Sub-Agency Details card displays the number of active awards and the award dollars received from the selected Agency. RDI then provides a sub-agency break-out including the number of awards, amount of funds, and the percentage of the agency funding total.

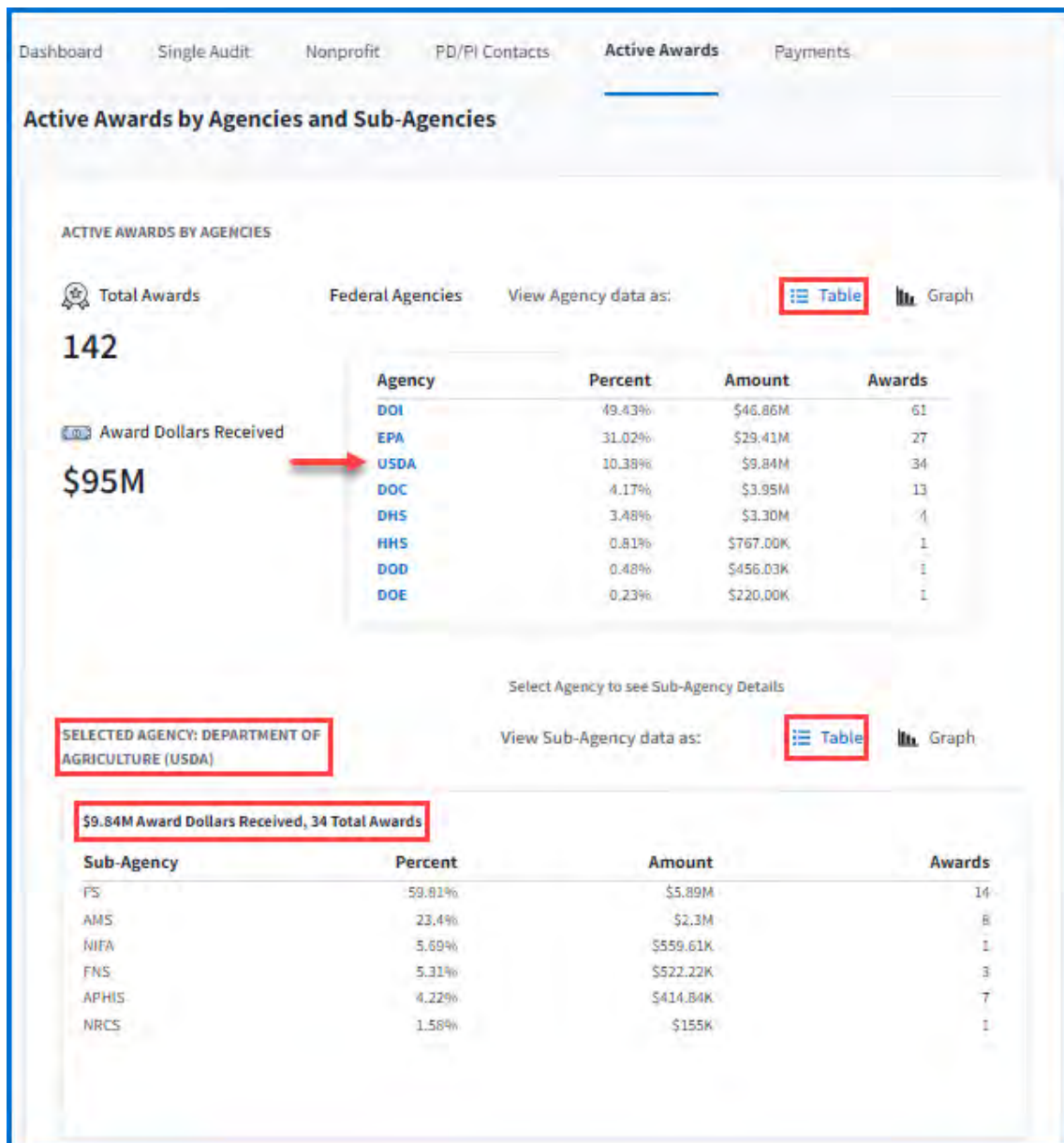


Figure 56 Active Awards for a Chosen Agency and Sub-Agencies Table



## 10 Most Recent Active Awards

RDI displays the 10 most recent active awards on individual cards. Awards are listed newest to oldest based on the Period of Performance Start Date. Each card lists the Awarding Agency and Sub-Agency; Award ID/FAIN; Obligated Amount, Assistance Listing name, and an Award Description. The Period of Performance start and end dates are displayed in a graphic to visualize the progress in the award period. Select the [Read More](#) hyperlink to display the full award description.

**10 Most Recent Active Awards**

**Awarding Agency**  
Department of Commerce

**PERIOD OF PERFORMANCE**  
12/01/2022 11/30/2025

AWARD ID/FAIN	AWARDING SUB-AGENCY	OBLIGATED AMOUNT	ASSISTANCE LISTING
NA23NQS4730044	National Oceanic and Atmospheric Administration	\$100,000.00	Office for Coastal Management

**Award Description:** The national oceanic and atmospheric administration (noaa) is providing \$300,000 in fede... [Read More](#)

**Awarding Agency**  
Department of the Interior

**PERIOD OF PERFORMANCE**

**Award Description**

The national oceanic and atmospheric administration (noaa) is providing \$300,000 in federal funding to the state of rhode island through the bipartisan infrastructure law over the next three years. this funding will build the capacity of the narragansett bay national estuarine research reserve (nbner) within the rhode island department of environmental management to plan for and implement habitat restoration and conservation projects proposed through funding opportunities connected to the bipartisan infrastructure law. specifically, nbner will hire a new, 3-year term project coordinator position who will work in close collaboration with state, federal, and municipal governments, nongovernmental organizations, and local communities to identify, prioritize and develop proposals for habitat restoration and conservation projects within the narragansett bay watershed. the position funded by this award will provide administrative and technical support for projects at multiple stages of dev

**Awarding Agency**  
Department of the Interior

AWARD ID/FAIN	AWARDING SUB-AGENCY	OBLIGATED AMOUNT	ASSISTANCE LISTING
F23AF00251	U.S. Fish and Wildlife Service	\$578,124.00	State Wildlife Grants

**Award Description:** The project purpose is to provide a comprehensive revision to the rhode island state wildl... [Read More](#)

**Awarding Agency**  
Department of the Interior

AWARD ID/FAIN	AWARDING SUB-AGENCY	OBLIGATED AMOUNT	ASSISTANCE LISTING
F22AF03426	U.S. Fish and Wildlife Service	\$578,124.00	State Wildlife Grants

**Award Description:** The project purpose is to provide a comprehensive revision to the rhode island state wildl... [Read More](#)

Figure 59 Ten (10) Most Recent Awards and Read More Award Description



Use the Visit USAspending link at the top of the Active Awards page to view the Recipient's full award portfolio.

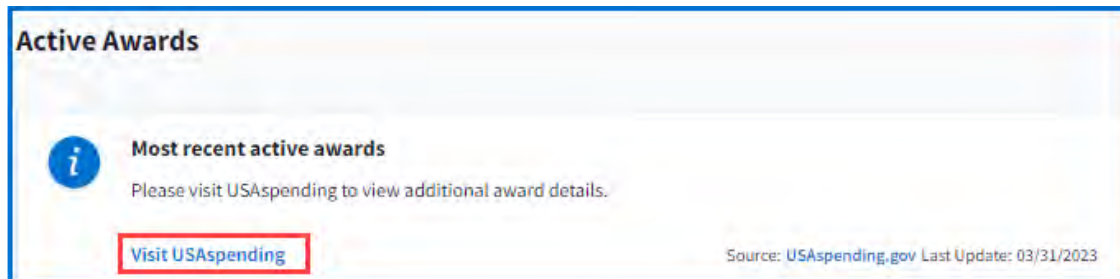


Figure 57 USAspending Link to View Full Award Portfolio

## Payments Screen

Recipient Data Insights displays payment data for awards issued via GrantSolutions that use the HHS Program Support Center's (PSC) Payment Management System (PMS). The information on this screen helps the user assess if payments are being drawn on a timely basis.

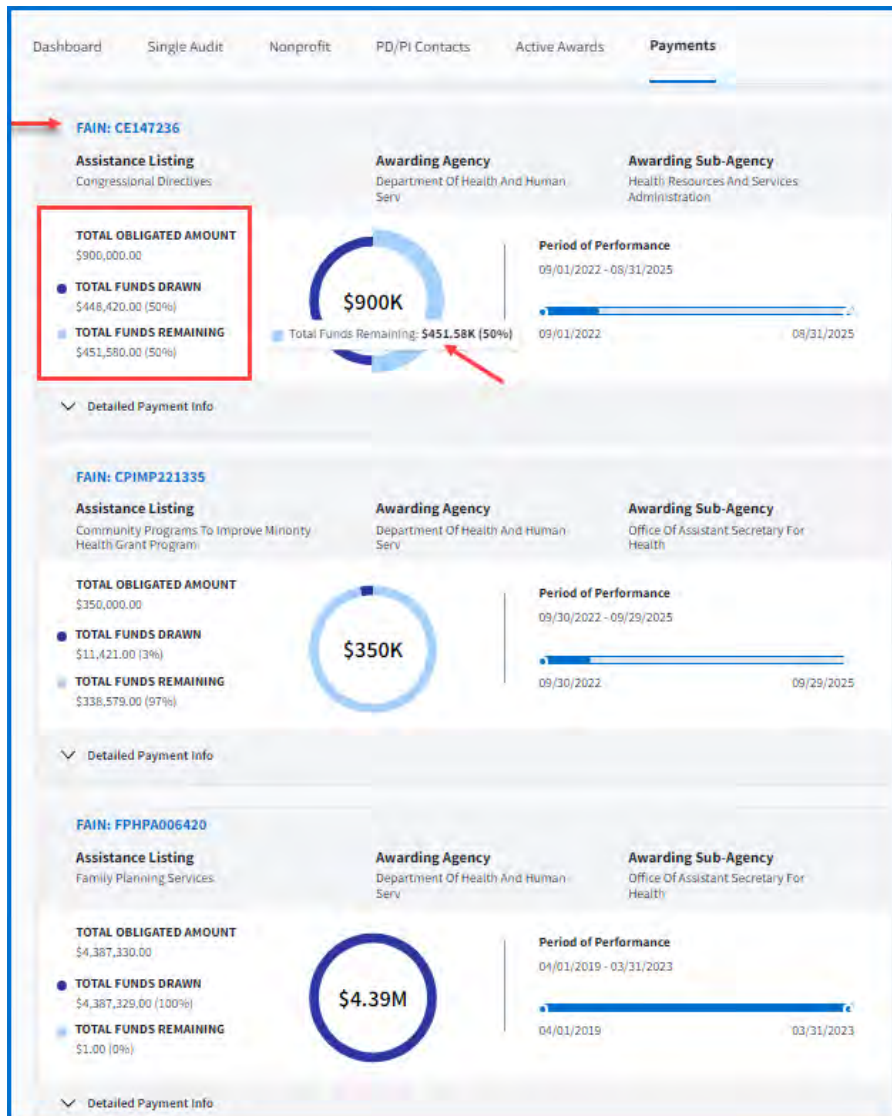


Figure 581 Payments Screen

Award payment data is presented on cards ordered by the FAIN. The card includes Assistance Listing Name, Awarding Agency, and Awarding Sub-Agency as additional reference points for the user to verify the award.

RDI displays the total obligated amount, total funds drawn, and total funds remaining. The donut chart quickly shows the proportion of funds drawn against the obligation and the balance of funds remaining

with the total dollars received in the middle. The dark blue arc shows the proportion of funds drawn and the light blue arc shows the proportion of funds remaining. Hover over an arc to view the total funds and the percentages represented.

The Period of Performance timeline displays the amount of time that has elapsed in the performance period. Comparing the elapsed time in the award period to the funds drawn down to date may reveal potential delays or difficulties in fulfilling the terms of the award.

Payment data is maintained on the Payment Screen for one year after the period of performance end date.

Select the Detailed Payment Info caret to view the PMS document records tied to the FAIN. The details provide the user with a more granular view of drawdowns and remaining balances across the budget periods of the award.

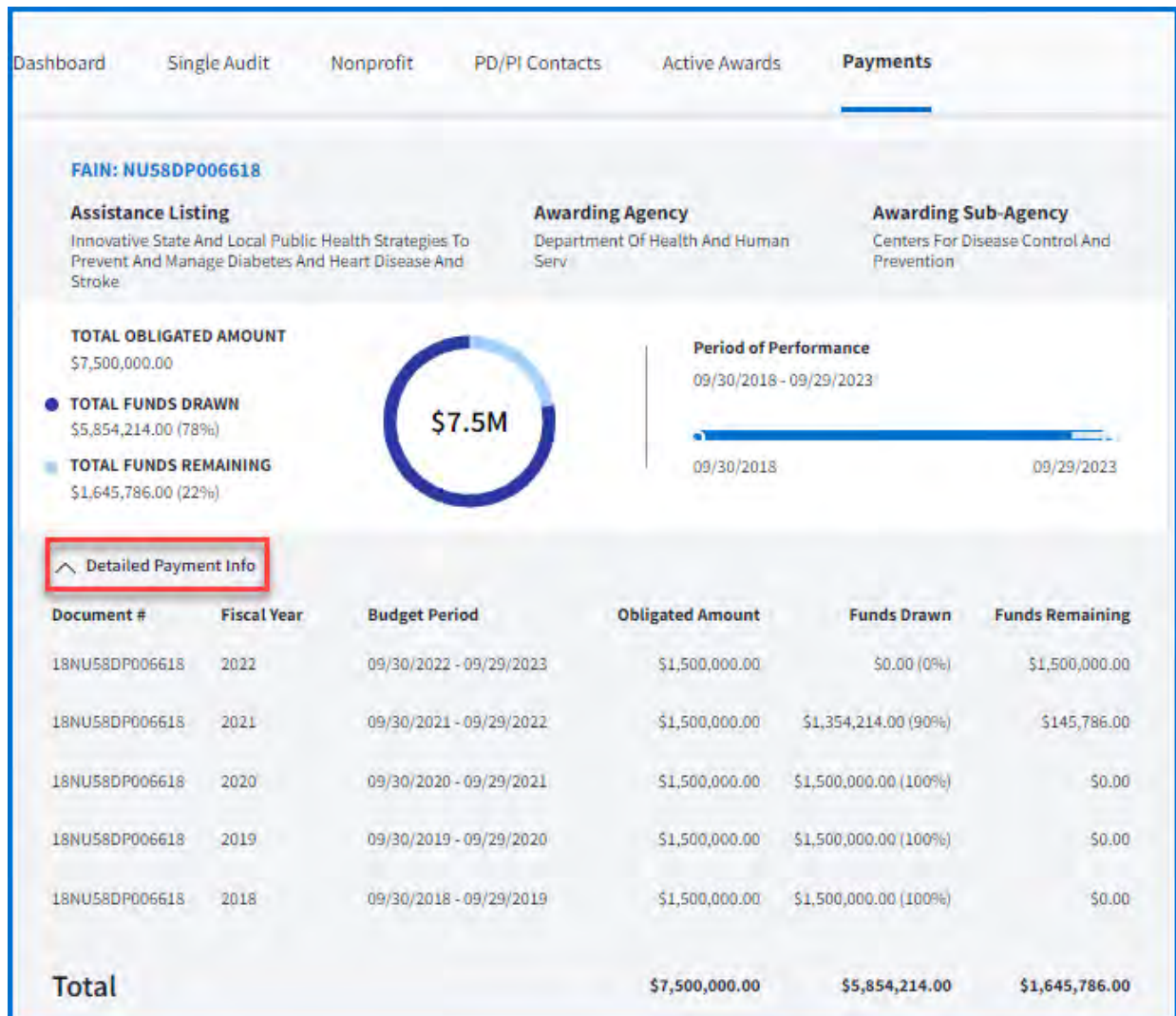


Figure 59 Detailed Payment Info

Awards with multiple fiscal years and budget periods may have one or more PMS document numbers for fiscal year and budge period. RDI displays the detailed payment information for each document number including the fiscal year, budget period, obligated amount, funds drawn, and funds remaining. Amounts are summed for all document numbers and totals presented the award.