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NASA Shared Services Center Service Delivery Guide

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NSSC Grants Service Delivery Guide for Financial Management Division (FMD)

Responsible Office: Financial Management Division

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Approved by

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Date

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Revision	2.0	01/26/2011	<ul style="list-style-type: none"> • Revision based on enhanced processes and procedures. • Updated PMS physical address. • Appendix A – updated Acronyms list. • Appendix B – updated with current version of Process Flow. • Appendix C – updated with current version of Payment Package documents. • Document originated under NSSC-FM-SDG-011. Renumbered to NSSDG-9000-0001 on 01/26/11 to align with SDNS numbering system.

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Introduction

The National Aeronautics and Space Administration (NASA) Shared Services Center (NSSC) supports the Agency's internal effort to create an environment conducive to streamlining and simplifying Grants and Cooperative Agreements and Letters of Credit Contracts. NASA, through the establishment of the NSSC, an organization reporting directly to NASA Headquarters, has transitioned to a consolidation model for the award and administration of all Agency Grants & Cooperative Agreements and Letter of Credit Contracts. The consolidation is designed to achieve efficient and effective service, improve data quality, standardize processes, leverage skills and investments, and provide economies of scale.

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Objective

The objective of the NSSC FMD is to provide support for NASA research, science and education communities in the award and administration of research, education, training, and facilitate Grants and Cooperative Agreements and Letters of Credit Contracts.

The NSSC FMD will perform the following functions:

- Perform in the capacity of liaison between Grantee, Department of Health and Human Services Payment Management System (DHHS/PMS) and Procurement as required
- Assist with recipient on PMS new account registration
- Assign Letter of Credit (LOC) Numbers
- Interact with PMS to establish Letters of Credit Award account registration
- Investigate all failed Intermediate Documents (IDOC's) and manually process in SAP (NASA's core financial system)
- Investigate all failed Correct Exceptions and manually process in PMS
- Generate PMS, SAP and Business Warehouse (BW) reports
- Ensure that each Center is properly charged for its recipients' draw downs
- Reconcile Centers' and DHHS/PMS' data
- Suspend advance payments temporarily to recipients if appropriate
- Reconcile final certified Federal Financial Report (SF-425)
- Close PMS subaccounts

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Systems Interface

FMD shall use all existing NASA systems in operation at the time of transition. FMD will be utilizing the following systems for processing Grants and Cooperative Agreements and Letter of Credit Contracts for FMD documents:

- NASA's existing Core Financial software (SAPR/3)
- DHHS/PMS
- NSSC Remedy for internal routing purposes
- NASA Enterprise Application Competency Center (NEACC)
- Accounts Payable Work Management Tool (AWMT) for external routing purposes
- NSSC TechDoc for document management
- Central Contractor Registration (CCR)
- Contract Management Module (CMM)
- BW for reporting, query, and reconciliation activity

NASA is required to adhere to NASA policies and procedures as prescribed by Department of the Treasury Circulars and Manual, and Office of Management and Budget (OMB) Circulars. Other grant management and financial information is addressed in NASA Procedural Requirements (NPR) 5800.1, Grant and Cooperative Handbook.

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Grants & Cooperative Agreements Process for Financial Management Division (FMD)

SAP, PMS and BW will be used for monitoring and reconciliation purposes containing the same basic information including, but not limited to, identifying information, inception and expiration dates, award and modification amounts, drawdowns (disbursements), explanations of adjustments, and differences between PMS and SAP.

The grantee requests funds via DHHS/PMS using their User Identification and Password. The transactions interface to SAP on a defined schedule administered by NEACC. Transactions that fail to post in SAP appear as a failed IDOC - Status Code 51. FMD personnel monitor the drawdowns through PMS and review the SAP failed IDOC report to identify and investigate any discrepancies. The failed IDoc will be manually processed in the SAP system by NSSC FMD personnel.

The quarterly Federal Financial Report (SF-425) electronically submitted by grantees, will be for reporting purposes as it applies to the originating procurement requirements. The final certified (signed by grantee) SF-425; prepared at the end of the award period; is reconciled to SAP by NSSC FMD personnel. If the actual amount drawn down is less than the award amount, a de-obligation process is required to close out the grant in SAP. FMD personnel will determine the amount for de-obligation. Procurement personnel will communicate the amount to the grantee, and update the necessary entries in the CMM. CMM interfaces to SAP which interfaces to PMS, updating the authority amount. A Closeout Checklist is used to ensure that all elements of the grant have been properly and completely closed out; typically this is completed by the Closeout contractor. (See Appendix E)

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Roles & Responsibilities

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Roles and Responsibilities	Action	Tips/Notes
<p>Step 1</p> <p><u>NSSC - Procurement</u></p>	<p>New Grant or Supplement is created</p> <p>Existing Grantee – CMM interfaces to SAP; SAP interfaces to PMS; new authority is posted to corresponding PMS subaccount.</p> <p>New Grantee – Procurement sends new Grantee Award Package; Award package to include Payment Package for newly assigned (Health & Human Services) HHS Vendor Numbers ONLY.</p>	<p>www.dpm.psc.gov</p>
<p>Step 2</p> <p>NSSC – HHS Processor</p> <p>Receipt of forms in FMD from Grantee</p>	<p>New Grantee returns direct deposit form (SF1199A) and Financial Contact Form to the NSSC.</p> <p>The NSSC Document Imaging Department will scan and create a NSSC Service Request (NSR) and deliver the original Payment Package documents directly to the FMD-Grants Department.</p>	
<p>Step 3</p> <p>NSSC – HHS Processor NSSC – Grant Manager</p> <p>Identify recipient financial Point of Contact (POC)</p> <p>Escalation process</p>	<p>Monthly, in preparation of CMP 2b.2b (Disbursements) will also identify all LOC grants within SAP that have not interfaced to PMS.</p> <p>The recipients' grant program manager (as identified on the NASA Grant and Cooperative Agreement (NASA FORM 1687)) will be contacted to discover the appropriate Institution's financial POC. The Institution's financial POC will be contacted via phone with an e-mail follow-up.</p> <p>The escalation process will be implemented until the payment package has been received.</p>	<p>NASA Office of the Chief Financial Officer Continuous Monitoring Program (CMP)</p> <p>New ZHHS Vendor Number Escalation Process - Reference Appendix F</p>

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<p><u>Step 4</u></p> <p>NSSC – HHS Processor</p> <p>Forward Direct Deposit Form (SF1199A) and Financial Contact Form to DHHS/PMS</p>	<p>Upon receipt, and after FMD has reviewed the information, the original Grantee payment package is forwarded to DHHS along with a NSSC “Authorization” letter, including the name of the university/organization and name of the NASA Center to PMS (see Appendix D)</p> <p style="text-align: center;">Regular Mail Only:</p> <p style="text-align: center;">Division of Payment Management Post Office Box 6021 Rockville, MD 20852</p> <p style="text-align: center;">Express Mail Only:</p> <p style="text-align: center;">Division of Payment Management 7700 Wisconsin Ave. Suite 10104 Bethesda, MD 20814</p>	
<p><u>Step 5</u></p> <p>DHHS</p> <p>Establishment of DHHS/PMS account</p>	<p>After the account is established, DHHS/PMS will send a welcome package to the grantee including their password, account number and detailed instructions on how to access their account. PMS forwards the Payee Identification Number (PIN) number, account number and Employee Identification Number (EIN) number to the NSSC via email to nssc-contactcenter@nasa.gov</p>	
<p><u>Step 6</u></p> <p>NSSC – Grant Manager</p> <p>Assignment of Award Number</p>	<p>FMD forwards the PIN, account and EIN numbers from PMS to the Grants Manager (Civil Servant). The Grants Manager assigns the next LOC number from the associated Center.</p> <p>Note: 0000-AIN-XXXX-if reaches 9999, go to alpha numeric. (list AIN's)</p>	<p>Note: If the Grantee is an established recipient see Step No. 8.</p>
<p><u>Step 7</u></p> <p>NSSC – HHS Processor</p> <p>Completion of New/Change HHS Vendor Master Form</p>	<p>After acquiring the LOC, PIN, Account and EIN numbers and completing the New/Change HHS Vendor Master Form, the HHS Processor creates a Remedy NSR Ticket, attaches the New/Change HHS Vendor Master Form and routes it to the NSSC FMD Vendor Master Department to update the vendor master file.</p>	<p>Remedy NSR Ticket link:</p> <p>https://ars.nssc.nasa.gov/arsys/shared/login.jsp?/arsys/home</p>

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	<p>NOTE: Include Tax code 3 (EIN No.), Tax code 4 (LOC No.) and PIN.</p> <p>The Vendor Master Department will reroute the Remedy NSR Ticket back to FMD notifying that the corresponding vendor number (master) has been updated.</p>	
<p>Step 8</p> <p>NSSC – HHS Processor NSSC – Grant Manager</p> <p>Verification of funds establishment through the SAP interface</p>	<p>The HHS Processor verifies that the funds were posted thru the SAP interface and that the amount corresponds with the amount on the basic grant.</p> <p>If the SAP interface still fails to post to PMS and all vendor issues are resolved, then the increase/decrease authority is performed manually based off of the contractual document received from Procurement.</p>	<p>PMS:</p> <p><u>On-Line Authorization</u></p> <p><u>On-Line Authorization Approval</u></p>
<p>Step 9</p> <p>Grantee</p> <p>Makes drawdown(s)</p>	<p>Grantee performs drawdown by accessing established account(s) within PMS to withdraw funds by account and subaccount (grant number).</p>	<p>http://www.dpm.psc.gov/</p>
<p>Step 10</p> <p>NSSC - HHS Processor</p> <p>Drawdown Interface Process</p>	<p>Monday through Friday, the drawdown interface will post each drawdown amount per grant (SAP) to corresponding subaccount (PMS).</p> <p>The interface will select the appropriate Grant (subaccount) which the drawdown amount will be applied. SAP will record a PMS drawdown or credit memo for the drawdown amounts based on oldest funds being distributed to first. (Doc. type of ZH drawdown; or ZL credit memo)</p>	<p>Refer to Enterprise Performance Support system (EPSS) at https://epss.nasa.gov/gm/workplace?object=1.54.1&</p> <ul style="list-style-type: none"> α SAP – Core Financials α Accounts Payable α Sub Process Area α HHS α HHS Drawdown 2-Way 3-Way Match Report α HHS Interface

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		Processing α HHS Interface Run Schedule
<p>Step 11</p> <p>NSSC - HHS Processor</p> <p>Processing failed IDOC(s)</p>	<p>The HHS processor will run the Z_HHS_IDOC_VIEW Report to identify failed IDOC(s). The HHS processor will research and if appropriate, manually post the failed IDOC.</p> <p>Note: The following events will cause the interface to fail:</p> <ul style="list-style-type: none"> • EIN on the input file does not match any EIN on vendor master • Recipient EIN number is not found on the vendor master • Purchase Order (PO) is not found for the vendor or does not exist in SAP • Drawdown amount exceeds available un-costed amount • Credit memo amount exceeds available disbursed amount <p>An error message will be received in the HHS processor’s business workplace in-box when transactions fail to post in SAP.</p> <p>Cost Required: Park document using SAP T-Code MIR7 Prepare Cost Request Sheet to include:</p> <ul style="list-style-type: none"> • Grant Number • IDOC Date • IDOC Number • Document Reference Number (DRN) • Invoice Amount • Amount of Cost Requesting • Screen shot of IDOC display <p>Prepare AP-IDOC Worksheet</p> <ul style="list-style-type: none"> • Attach Cost Request Sheet (prepared above) <p>Route to Document Imaging via inter-office mail</p>	<p>Refer to EPSS at https://epss.nasa.gov/gm/workplace?object=1.54.1&</p> <p>α SAP – Core Financials</p> <p>α Accounts Payable</p> <p>α Sub Process Area</p> <p>α HHS</p> <p>α HHS Interface Processing</p> <p>Refer to HHS Drawdown End-User Cheat Sheet at:</p> <p>α SAP – Core Financials</p> <p>α Accounts Payable</p> <p>α Job Aids</p> <p>α HHS Job Aids</p> <p>α HHS Drawdown End-User Cheat Sheet</p> <p>To manually post a failed IDOC, use the SAP T-Code MIRO. Select from the drop down list Credit Memo (if the IDOC is a negative return of funds to PMS) or Invoice.</p> <p>On the Basic Tab in the Transaction Date field</p>

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	<p>for scanning and processing (note: processing will include placing document in AWMT)</p> <p>To route for cost, log into AWMT</p> <ul style="list-style-type: none"> • Vendor Payment Processor (VPP) • Enter DRN • Click on “Search” • A screen will display – double click on the desired document • Verify information is correct • Annotate any pertinent information in “Work Log” • Click on “Route for Cost” <p>The action item is then forwarded to the pre-defined Center Cost Department.</p> <p>The Center Costing processor will perform their action and respond via AWMT</p> <p>To check status on “Cost” In AWMT</p> <ul style="list-style-type: none"> • VPP • Select Center from drop-down list • Click on “Cost” • A screen will display – double click on the desired document • Review Work Log • Verify cost was applied in SAP • Post your document in SAP • Annotate any pertinent information in “Work Log” • Click on “Verify Cost” <p>This closes the action item in AWMT.</p>	<p>insert the Invoice receipt date; Invoice Date - same; Enter dollars; Reference field insert the Grant Number, two spaces and then the IDOC # (leaving off preceding zero's);</p> <p>On the Payment Tab: Pmt Method is “H”, Pmnt Meth.Sup. Select from the Dropdown list the “Center Business Code”; House Bank is “TREAS”.</p> <p>On the Details Tab: Doc Type is ZH (HHS Drawdown Invoice); Assignment is the HHS Processors’ initials: Inv Party is vendor number of grantee; Bus. Area is Center’s business area code</p> <p>In the mid-section of screen at the PO reference tab, enter the Grant Number as shown on the IDOC. <ENTER></p> <p>If there are no funds, cost will need to be requested – a red light will be displayed and the document will not be able to be posted, exit and Park the document.</p> <p>To Park, use T-Code MIR7; request cost via AWMT; when cost has</p>

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		<p>been applied, use T-Code FBv2 to update the document and Post. The invoice should be posted using the accounting date of the IDOC. Once the green light is received view each individual tab to verify before posting.</p> <p>Once information has been verified, click post; a 5600# will be given for verification of posting (displayed at bottom of the session screen).</p> <p>Note: If oldest money was not used prior to transition, in order to post to the same Common Account Number (CAN) and Object Class (OC) as in PMS, you must first ensure that the oldest monies have been used. If not contact Center POC for resolution. If oldest monies have been used then validate which Procurement Line Items (PLI(s)) the drawdown should be posted to.</p>
<p>Step 12 NSSC - HHS Processor</p> <p>Deleting failed IDOC from SAP workflow in-box</p>	<p>Under certain circumstances, a failed IDOC may be flagged for deletion and it will be removed from the workflow in-box.</p> <p><i>DO NOT delete a failed IDOC until the record has been processed. Example: A failed IDOC in your workflow in-box represents a transaction that could not be processed by the interface; it</i></p>	<p>Refer to EPSS at https://epss.nasa.gov/gm/workplace?object=1.54.1&</p> <p>α SAP – Core Financials</p>

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	<i>will need to be entered manually into the system in order for it to be applied to the appropriate GL account</i>	<ul style="list-style-type: none"> α Accounts Payable α Sub Process Area α HHS α Transaction Code – to display work item in-box (SBWP) – Deleting IDOC from SAP In-Box (Job Aid)
<p><u>Step 13</u></p> <p>NSSC - HHS Processor</p> <p>Monthly drawdown reconciliation</p>	<p>On a monthly basis, the HHS Processor reviews the SAP interface to determine whether the drawdown updated automatically through SAP by running a FBL1N report which displays transactions that are posted for the period specified (ex: first day of the month through the last day of the current month).</p>	<p>SAP Report: FBL1N</p>
<p><u>Step 14</u></p> <p>NSSC - HHS Processor</p> <p>Resolve vendor issues</p>	<p>If the SAP Authority interface fails to post to PMS, a “Correct Exception” will be generated in PMS. The HHS Processor will review the funding data for inconsistencies and ensures that all fields are populated.</p> <p>The HHS Processor corrects the error(s) and re-processes the Correct Exception report in PMS.</p> <p>The HHS Processor runs the SAP Z_LOC_VIEW report. This report lists new authority by grant number and is used for monitoring purposes to ensure that all authority for existing accounts are posting correctly in PMS. If an error is detected, the HHS processor will identify and assess the error and work with the appropriate parties to correct it.</p> <p>The HHS Processor also utilizes the Z_LOC_View report to monitor authority issued to new ZHHS vendor numbers. If the new account has not been established in PMS, the EIN, Award and PIN fields will be indicated with To Be Determined (TBD). Upon completion of establishing the account in PMS and updating</p>	<p>Possible errors that could occur may be:</p> <ul style="list-style-type: none"> • No corresponding account has been established in PMS (new vendor – awaiting financial payment package from grantee). After the account has been established, the funds will interface on the next interface run. • The transaction does not pass all edits (ex: Tax Code 3, 4 or PIN number do not correspond to PMS data), once data is corrected, the funds will interface on the next scheduled interface run.

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	the Vendor Master with the relevant information, the system will interface and the authority will be posted to their corresponding subaccount in PMS.	
<u>Step 15</u> NSSC - HHS Processor NSSC - Grants Manager Create increase/decrease authority manually	If the SAP interface still fails to post to PMS once the vendor master issues are resolved, the increase/decrease authority is performed manually based off of the contractual document received from Procurement. The HHS Processor utilizes the “On-Line Authorization” in PMS and populates the relevant fields and “Submit(s)”. The Grant Manager is notified to perform the approval action. The Grant Manager reviews the data entry and approves or rejects entry. If data is invalid then the Grant Manager deletes the entry and notifies the HHS Processor of the deletion. The HHS Processor will make the necessary corrections and resubmits to the Grant Manager for approval.	
<u>Step 16</u> NSSC - HHS Processor Receive Federal Financial Report (FFR) report from PMS	The HHS Processor will perform a 1% stat sampling on the electronic Quarterly SF-425's submitted to PMS. If within the 1% sampling, a discrepancy is discovered, the grantee will be contacted for resolution. Note: The HHS Processor will perform a 100% review of all electronic Quarterly SF-425's if a discrepancy is found. In addition, they will validate that the accounts are blocked if reports are late.	PMS Report: Disbursement Return Status Report
<u>Step 17</u> NSSC - Legacy Closeout	Prior to the Grant Validity End Date, the Legacy Closeout Department will notify the grantee to submit all required “Final” reports.	NSSC-PR-SDG-0009 Agency-Wide Contract Closeout Services

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<p><u>Step 18</u></p> <p>NSSC- HHS Processor</p> <p>Closure of grant</p>	<p>The grantee will submit a signed copy of the SF-425 and mark it as “Final”. They will submit it as instructed in their Award as per “Required Publications and Reports” in accordance with 14 CFR Part 1260 and NPR 5800.1 NASA Grants & Cooperative Agreement Handbook.</p> <p>NSSC-Finance Office Via email: NSSC@nasa.gov Via fax: 866-779-6227 Via mail: NASA Shared Services Center (NSSC) Attn: FMD-Grants Bldg. 1111, C Road Stennis Space Center, MS 39529-6000</p> <p>All SF-425’s received at the NSSC will be processed by the Document Imaging Department and routed to the Legacy Closeout Department.</p> <p>The Legacy Closeout Department will record, track and distribute each LOC SF-425 to the NSSC FMD Grant Department or Center Finance LOC POC for reconciliation. (See Appendix G)</p> <p>The FMD HHS Processors will reconcile the Final Certified SF-425 between PMS and SAP financial reports.</p> <ul style="list-style-type: none"> • If not enough funds have been drawn, the Grantee will be contacted to determine if an additional draw or a revised Final SF-425 should be submitted. If too much is drawn (draws exceed reported disbursements), the Grantee will be contacted and directed to return funds to PMS and/or submit a revised Final SF-425. If monies are not returned to PMS, the HHS Processor will contact the Grant Administrator recorded on the NASA Grant and Cooperative Agreement (NASA Form 1687) for further resolution. Once the final is reconciled, the HHS Processor 	

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Process 1–Grants & Cooperative Agreements for Financial Management Division (FMD)		
Roles and Responsibilities	Action	Tips/Notes
	<p>prepares the Closeout Checklist, scans all supporting documentation and attaches them to the corresponding grant in SAP; creates a Remedy Ticket, attaches documentation, and routes it to the Closeout Department.</p> <ul style="list-style-type: none"> When the PMS subaccount has a zero balance, the account will be processed for closure (PMS code 059). <p>Supporting Documents will include:</p> <ul style="list-style-type: none"> SAP T-Code ME23N - Posted disbursements and Authority must match final SF-425. PMS / Grant Inquiry / Grant / FCO-E w/ Appr ID – Document Data w/FCO Segments w/Appr ID Extended <ul style="list-style-type: none"> Check boxes: Auth TExtended; Disb Trans and Charge Trans If a de-obligation is required based on FM's reconciliation, it will be notated on the "Closeout Checklist". <p><i>Note: Should Procurement hit the final flag in error, it de-obligates funds in FM in SAP and does not pick up on the authority interface in PMS. If it is not a cancelled fund, have Procurement uncheck the final flag and it re-obligate funds to its previous source.</i></p> <p>If a large sum remains on the account after the grantee submits the Final SF-425, then the HHS Processor will request PMS to freeze the subaccount to temporarily prevent Grantee from drawing funds until the balance is de-obligated and the account is reduced to zero.</p>	
<p>Step 19</p> <p>NSSC – Service Provider</p> <p>NSSC – Grant Manager CMP</p>	See Appendix F for monitoring and controls for Grant Activity/LOC.	

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METRICS

Initiating Office/Entity	Deliverable (Output)	Receiving Office/Entity	Metric
NSSC Financial Management Division	Grants & Cooperative Agreements		

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SYSTEM COMPONENTS

Existing Systems

IT System Title	IT System Description	Access Requirements	IT System Interfaces
SAP/Integrated Enterprise Management Program (IEMP)	Interfaces with PMS for grant activities in FMD	User role at NSSC	DHHS/PMS
DHHS/PMS	Grant payment, financial management reporting, and cost allocation	User role at NSSC	SAP/IEMP
TechDoc	Document management system designed for the management of any type of document or file.	User role at NSSC	AWMT/Remedy
AWMT	Accounts Payable Work Management Tool	User role at NSSC	TechDoc
Remedy	Work Management System	User role at NSSC	TechDoc
Secure File Server	Secure File Server	User role at NSSC	TechDoc

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CUSTOMER CONTACT CENTER STRATEGY

Contact Center

The NSSC Customer Contact Center can be reached via phone, fax or e-mail.

Email Queries: nssc-contactcenter@nasa.gov
Fax Queries: 1-866-779-6772
Phone Queries: 1-877-NSSC123 (or 1-877-677-2123)

Document Imaging All incoming documents will be received into the NSSC Document Imaging Department, where they will be processed, and electronically filed. Documents may be sent to the NSSC as follows:

Email: nssc@nasa.gov
Fax: 1-866-779-6772
Mail: NASA Shared Services Center
ATTN: FMD-Grants
Building 1111, C Road
Stennis Space Center, MS 39529

Relevant Points of Contact at the NSSC

Financial Management Division–Civil Servant

Nicolina Tubbs
NASA Shared Services Center
Building 1111, C Road
Stennis Space Center, MS 39529
Phone: 228-813-6057
Email: Nicolina.S.Tubbs@nasa.gov

Financial Management Division–Contractor

Debbie Dale
Lockheed Martin
Building 1111, C Road
Stennis Space Center, MS 39529
Phone: 228-813-6065
Email: Debra.M.Dale@nasa.gov

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APPENDICES

Appendix A - Acronyms

AR	Accounts Receivable
AWMT	Accounts Payable Work Management Tool
BW	Business Warehouse
CAN	Common Account Number
CCR	Central Contractor Registration
CMM	Contract Management Module
CMP	Continuous Monitoring Program
DCFO (F)	Deputy Chief Financial Officer (Finance)
DHHS/PMS	Department of Health and Human Services Payment Management System
DPM	Division of Payment Management
DRN	Document Reference Number
EIN	Employer Identification Number
EPSS	Enterprise Performance Support System
FBL1N	List of Vendor Line Items (SAP Transaction Code)
FFR	Federal Financial Report
FMD	Financial Management Division
HHS	Health and Human Services

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IDOC	Intermediate Document
IEMP	Integrated Enterprise Management Program
LOC	Letter of Credit
MIRO	Used to Create an Invoice (SAP Transaction Code)
NASA	National Aeronautics and Space Administration
NEACC	NASA Enterprise Application Competency Center
NPR	NASA Procedural Requirement
NSR	NSSC Service Request
NSSC	NASA Shared Services Center
OC	Object Class
OMB	Office of Management and Budget
PIN	Payee Identification Number
PLI	Procurement Line Item
PMS	Payment Management System
PO	Purchase Order
POC	Point of Contact
SAP	<u>S</u> ystems <u>A</u> pplication and <u>P</u> roducts in data processing (NASA's Core Financial System)
SBWP	Transaction Code used to display work items in the "in-box"
TBD	To Be Determined
VID	Vendor Identification Number

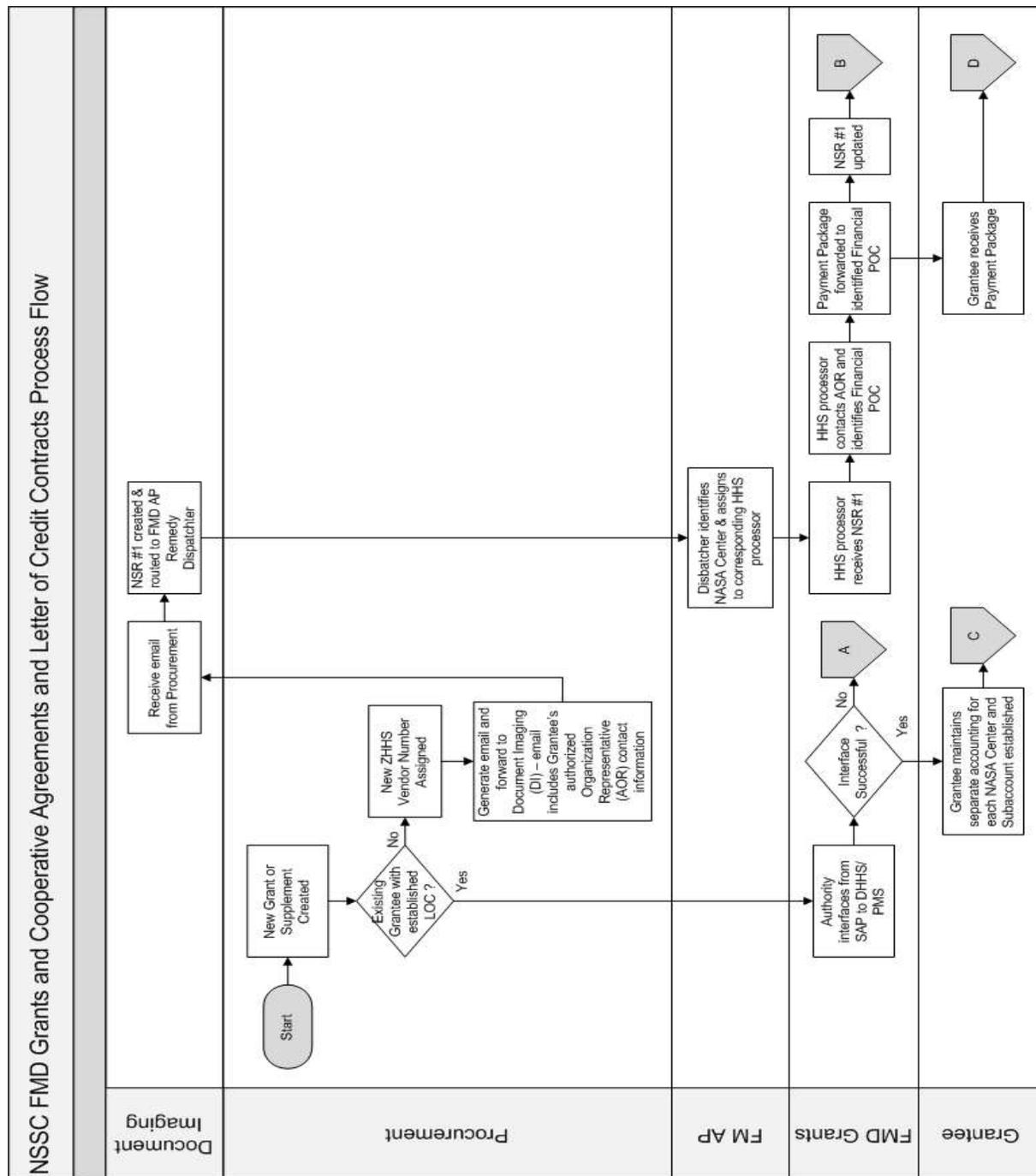
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VPP Vendor Payment Processor

ZHHS Account group for vendor master file (for HHS vendor types)

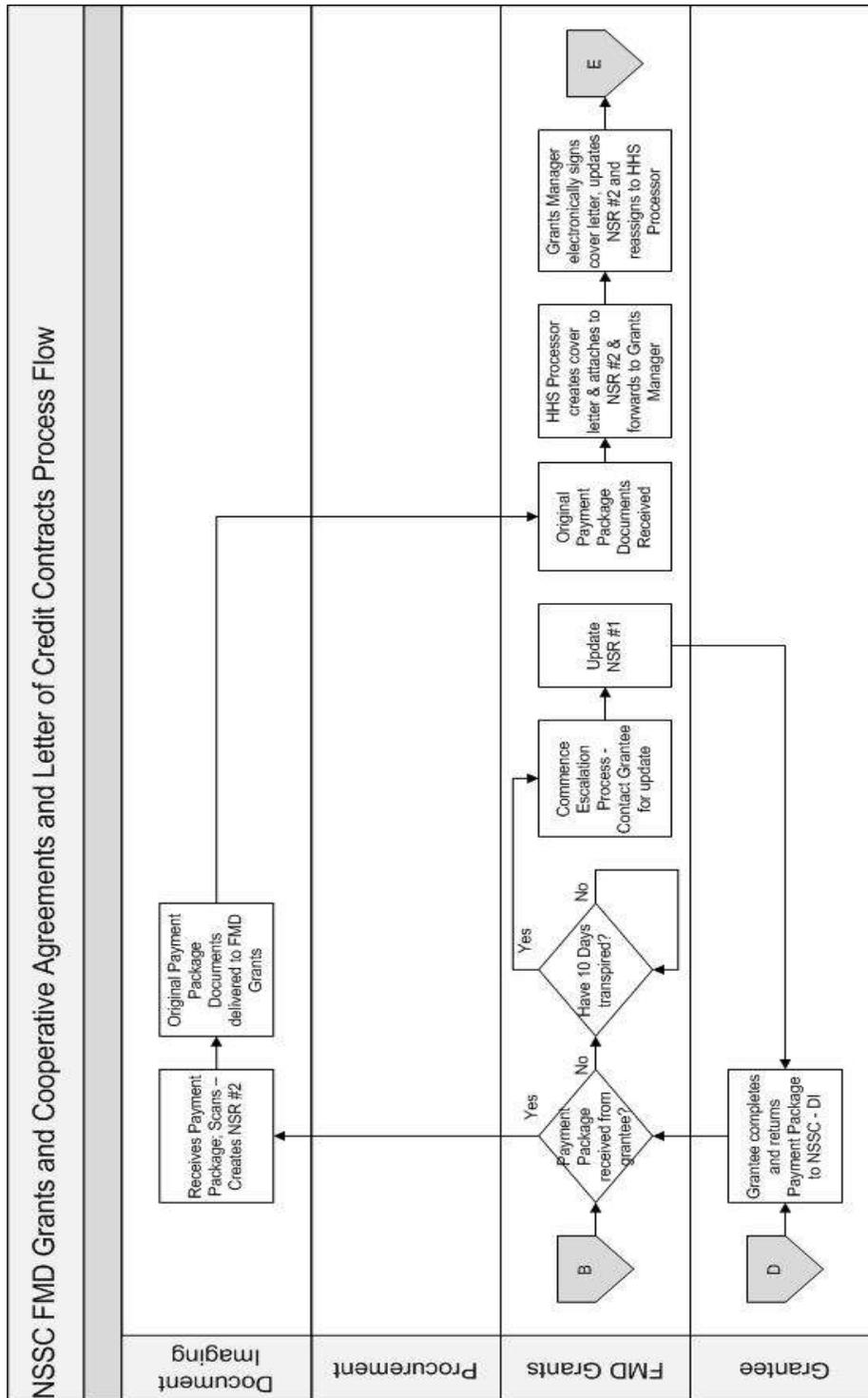
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Appendix B - GRANTS & COOPERATIVE AGREEMENT FLOW CHART



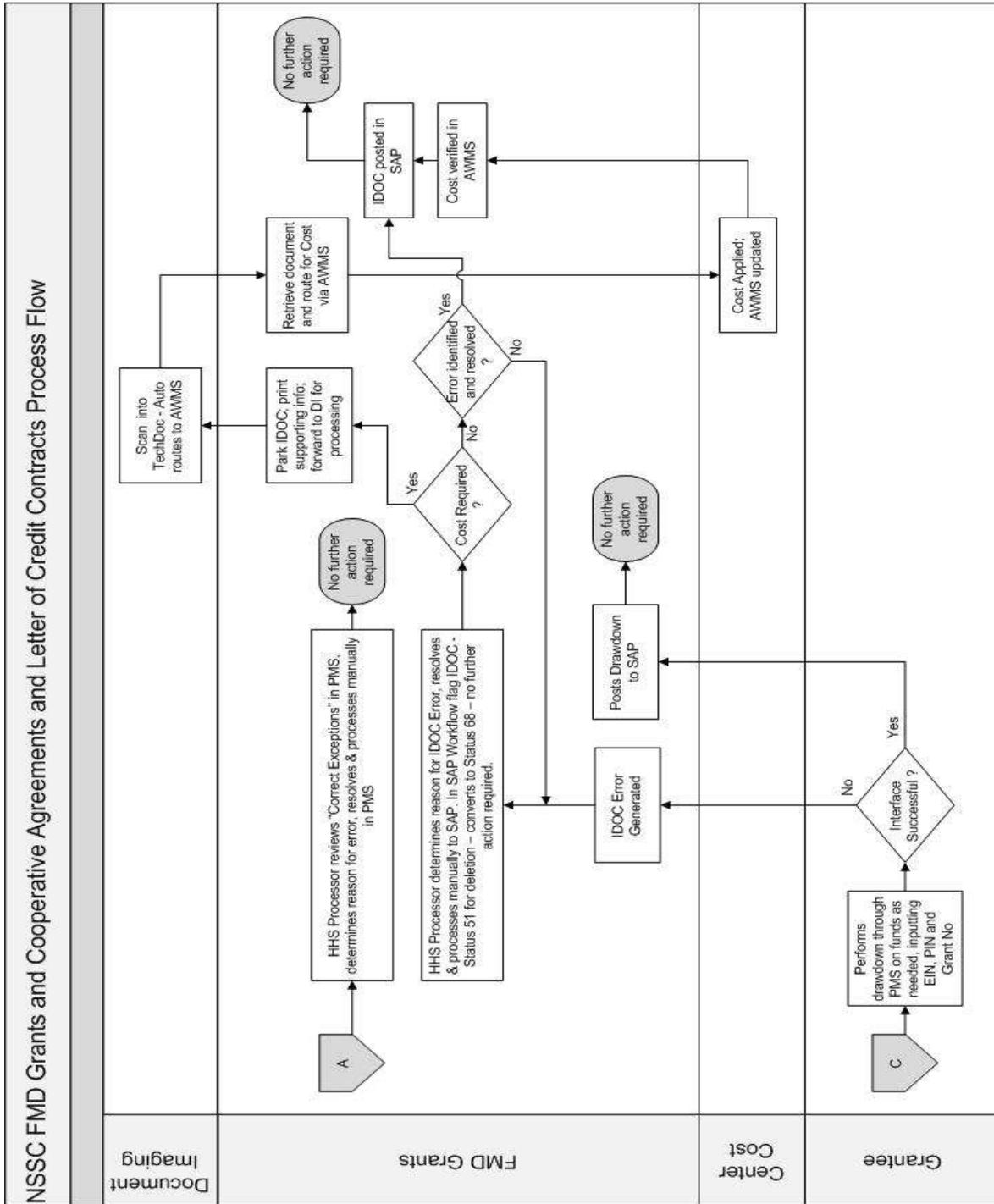
Responsible Office: Financial Management Division

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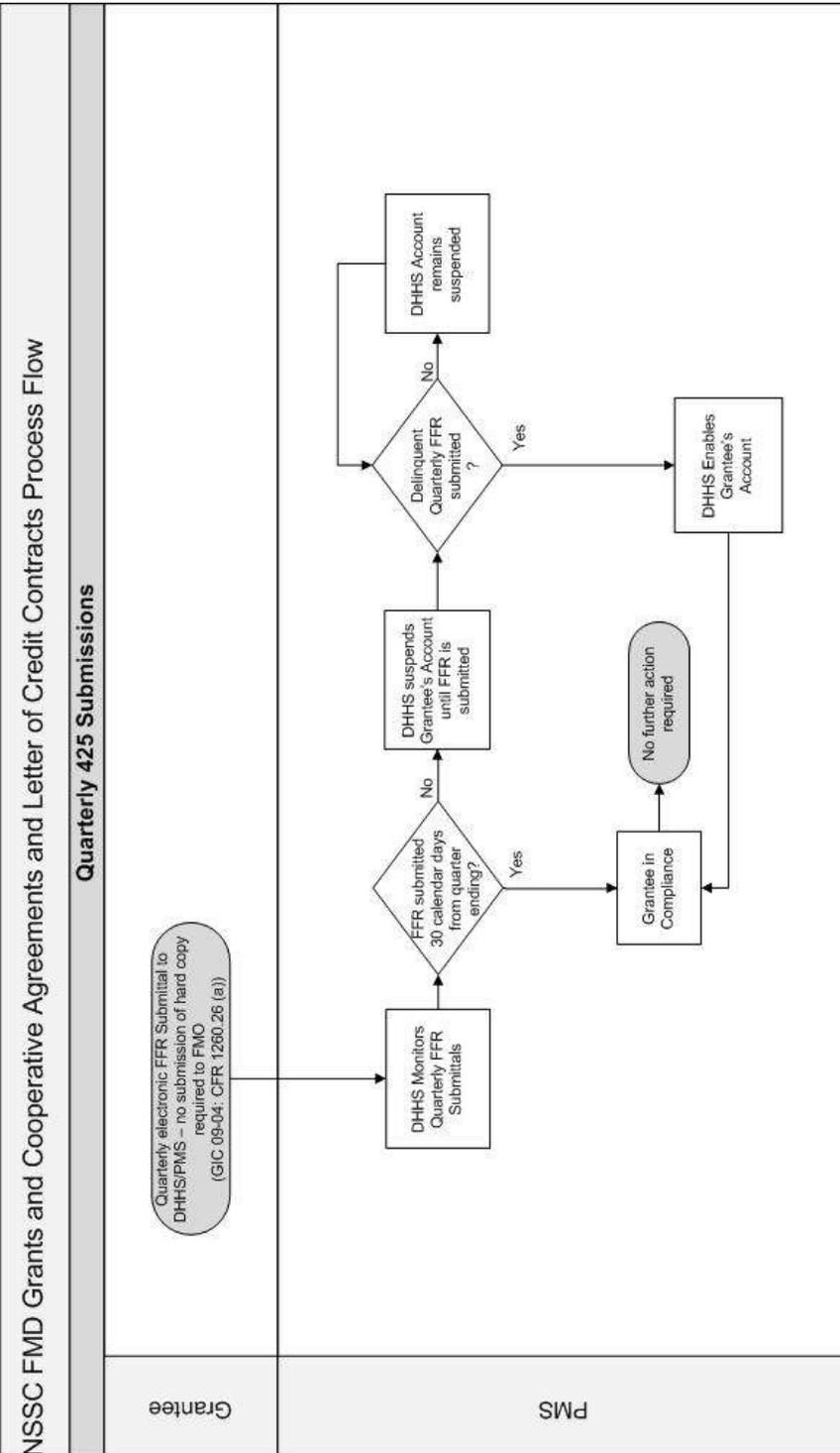
Responsible Office: Financial Management Division

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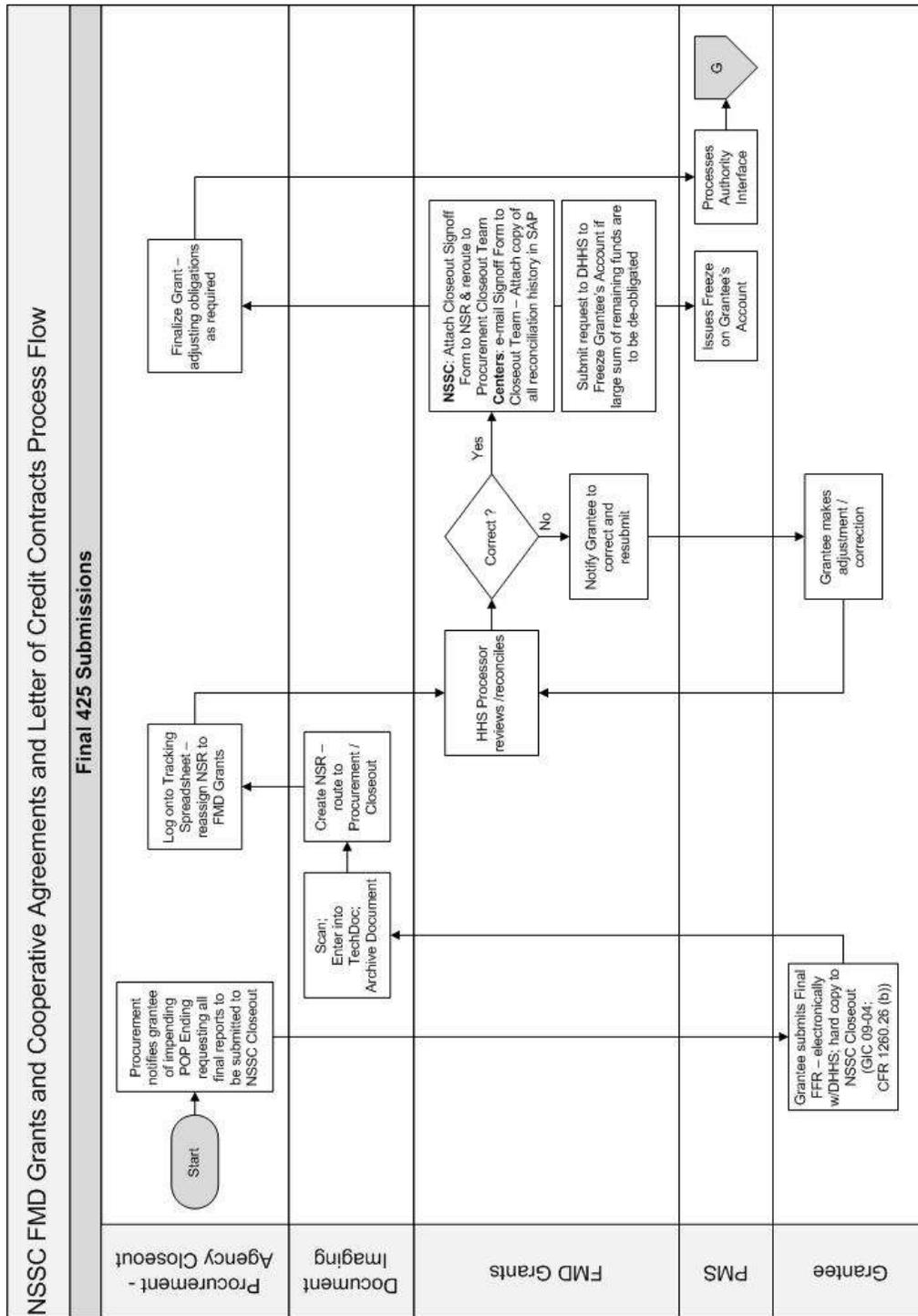
Responsible Office: Financial Management Division

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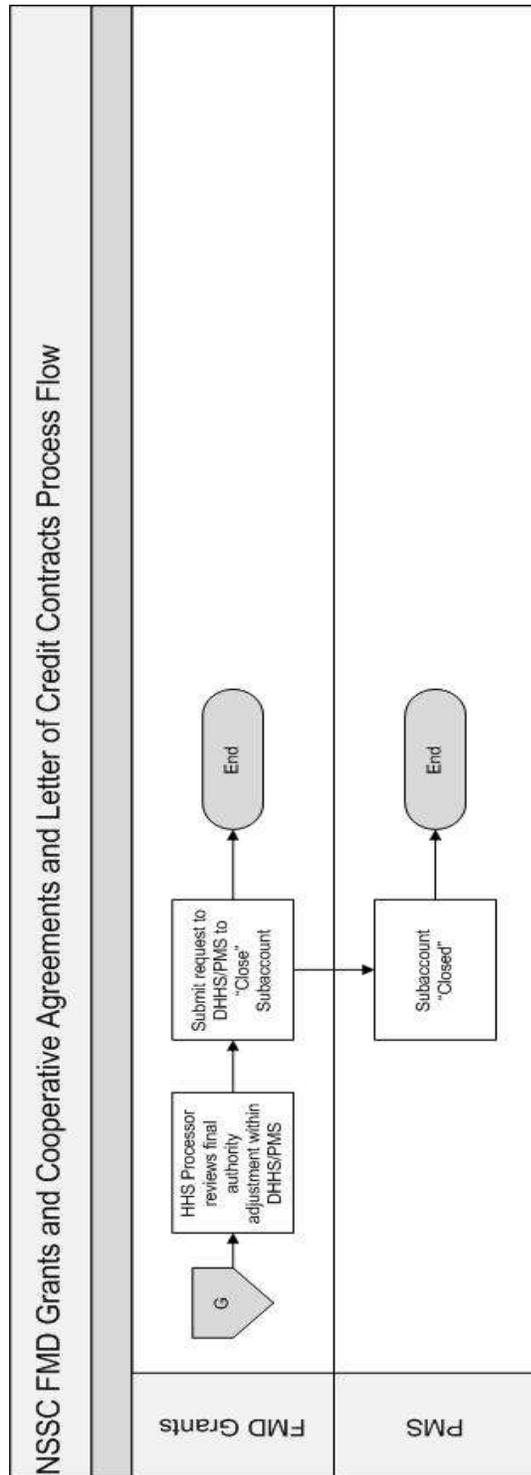


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Appendix C - PAYMENT PACKAGE (SAMPLE)

Reply to Attn of: **Procurement Division**

Subject: Grant Number: _____

Dear Grantee,

This letter is in reference to your newly awarded Grant or Cooperative Agreement with the National Aeronautics and Space Administration (NASA). Grant recipients **must** have a unique account with the Department of Health and Human Services (HHS) Payment Management System (PMS) for each awarding NASA Center. Recipients are required to complete and return the Standard Form (SF) 1199A Direct Deposit Sign-Up Form and Contact Information Sheet.

The original SF-1199A Form, **with original signatures** from both the **recipient and the bank**, must be returned to the address listed below **within 15 business days** from date of receipt (actual date will be entered).

*****IMPORTANT*****

- All information is to be typed or printed in ink on the SF-1199A
- **All signatures must be original and in ink.**
- Alterations such as erasures, correction fluid and strike-outs are unacceptable and will invalidate the form.
- The SF-1199A **cannot** be faxed.
- Payment Management Access Form **must have original signature** in order to be valid.

Once you have completed the enclosed forms, please return them to:

**NASA Shared Services Center (NSSC)
Attention: FMD – Grants
Building 1111, C Road
Stennis Space Center, MS 39529**

The process for completing the paperwork and establishing your account will take approximately 14 days from the time HHS receives your completed documents. HHS will send you system access instructions, an account "PIN" number and password. As soon as we receive notification from HHS that your account "PIN"

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number has been established, we will deposit the authorized funds into your account based on the grant/cooperative agreement award.

If you have any questions, or need further assistance, please contact us at 1-877-677-2123 or e-mail to nssc-contactcenter@nasa.gov.

Sincerely,

Monique Sullivan
NASA Shared Services Center
Contracting Officer

Enclosures

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**Instructions for Completion of the
DIRECT DEPOSIT SIGN-UP FORM (SF-1199A)
(Please Read This Carefully)**

OVERVIEW

What is the purpose of this form?

Grant Recipients must have established, active accounts in the Payment Management System (PMS) in order to request authorized funds. The accounts are established in PMS once the completed **SF-1199A** and **Payment Management System Access** forms have been received by DPM. It is the responsibility of the Awarding Agency to provide the requisite **Direct Deposit Sign-Up Form (SF-1199A)** and DPM's **Payment Management System Access Form** to the grantee for completion. It is also the Awarding Agency's responsibility to ensure the accuracy of the forms' information prior to forwarding them to DPM for processing.

Who must complete this form?

SF-1199A - *Section 1* is to be completed by the grant recipient. *Section 2* is to be completed by the Awarding Agency. *Section 3* is to be completed by the recipient's financial institution.

Who must disseminate copies of this form?

The Awarding Agency should retain *copies* of the SF-1199A and Contact Information forms. The financial institution will retain its copy of the SF-1199A. Both originals must be mailed to the Awarding Agency.

What if some of the information changes (banking or contact information)?

The recipient must obtain and complete a new SF-1199A. Blank forms are available on the DPM website at <http://www.dpm.psc.gov> and should be available at the recipient's financial institution as well. Once all sections are completed, please include a cover memo stating that the accompanying SF-1199A form is being submitted to change account information in the Payment Management System. The memo should list all the Payee Account Numbers (PANS) that are affected. **All information should be forwarded to your Awarding Agency.**

Who must complete the DPM Payment Management System Access Form?

The form must be completed and accompany the SF-1199A for "each" individual who wants to gain access to the Payment Management System. Forms should also be submitted for personnel changes and/or account access deactivations.

- The back of the SF-1199A must be read carefully before signatures are made.

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ADDITIONAL INFORMATION

- All information is to be typed or printed in ink on the SF-1199A.
- All signatures must be original and in ink.
- Alterations such as erasures, correction fluid and strike-outs are unacceptable and will invalidate the form.
- All data elements on the SF-1199A must be completed unless a blank is indicated.
- The SF-1199A cannot be faxed
- Payment Management Access Form must have signature in order to be valid

Section 1 (To be Completed by Payee)

A. **TYPE OR PRINT YOUR ORGANIZATION'S NAME, ADDRESS AND TELEPHONE NUMBER.** Do not enter an individual's name in this block. Forms containing white out or any alterations to the payee name are unacceptable.

B. **TYPE OR PRINT YOUR ORGANIZATION'S NAME.**

C. **Claim or Payroll ID Number:** The form cannot be processed without this information. **This is your organization's 12-digit Central Registry (CRS)/Entity Identification Number (EIN) or your organization's 9-digit Tax Identification Number (TIN).**

D. Check type of Bank account "**Checking**" or "**Savings**".

E. **TYPE THE ACCOUNT NUMBER** at your Financial Institution to which the funds will be "Direct Deposited". Do not use white out or make any alterations to the account number.

F. Check the box "**Other**" and type the name of the awarding Federal agency.

G. Leave blank.

Payee Account Holder's Certification: The individual(s) having signature authority for the bank account should sign and date.

Other Required Information: At the Top Right Hand Corner, Please Type "Duns" Followed By Your Organizations DUNS Number (Dun and Bradstreet Number)

Section 2 (To be completed by Payee)

Awarding Agency Information: **NASA Shared Services Center (NSSC), Building 1111, C Road, Stennis Space Center, MS 39529**

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Section 3 (To be completed by your Financial Institution)

The bank's representative must sign the form and provide a telephone number for contact purposes.

The depositor account title must be filled in and should match the payee name in most cases. Maintain the payee(s) copy for your records.

Note: If "ALL" portions of this section are not completed, this will cause a delay in your organization being established in PMS.

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BURDEN ESTIMATE STATEMENT

The estimated average burden associated with this collection of information is 10 minutes per respondent or record-keeper, depending on individual circumstances. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be directed to the Financial Management Service, Facilities Management Division, Property & Supply Section, Room B-101, 3700 East-West Highway, Hyattsville, MD 20782 or the Office of Management and Budget, Paperwork Reduction Project (1510-0007), Washington, D.C. 20503.

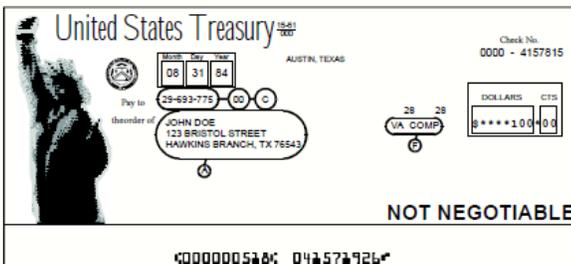
PLEASE READ THIS CAREFULLY

All information on this form, including the individual claim number, is required under 31 USC 3322, 31 CFR 209 and/or 210. The information is confidential and is needed to prove entitlement to payments. The information will be used to process payment data from the Federal agency to the financial institution and/or its agent. Failure to provide the requested information may affect the processing of this form and may delay or prevent the receipt of payments through the Direct Deposit/Electronic Funds Transfer Program.

INFORMATION FOUND ON CHECKS

Most of the information needed to complete boxes A, C, and F in Section 1 is printed on your government check:

- (A) Be sure that the payee's name is written exactly as it appears on the check. Be sure current address is shown.
- (C) Claim numbers and suffixes are printed here on checks beneath the date for the type of payment shown here. Check the Green Book for the location of prefixes and suffixes for other types of payments.
- (F) Type of payment is printed to the left of the amount.



SPECIAL NOTICE TO JOINT ACCOUNT HOLDERS

Joint account holders should immediately advise both the Government agency and the financial institution of the death of a beneficiary. Funds deposited after the date of death or ineligibility, except for salary payments, are to be returned to the Government agency. The Government agency will then make a determination regarding survivor rights, calculate survivor benefit payments, if any, and begin payments.

CANCELLATION

The agreement represented by this authorization remains in effect until canceled by the recipient by notice to the Federal agency or by the death or legal incapacity of the recipient. Upon cancellation by the recipient, the recipient should notify the receiving financial institution that he/she is doing so.

The agreement represented by this authorization may be cancelled by the financial institution by providing the recipient a written notice 30 days in advance of the cancellation date. The recipient must immediately advise the Federal agency if the authorization is cancelled by the financial institution. The financial institution cannot cancel the authorization by advice to the Government agency.

CHANGING RECEIVING FINANCIAL INSTITUTIONS

The payee's Direct Deposit will continue to be received by the selected financial institution until the Government agency is notified by the payee that the payee wishes to change the financial institution receiving the Direct Deposit. To effect this change, the payee will complete the new SF 1199A at the newly selected financial institution. It is recommended that the payee maintain accounts at both financial institutions until the transition is complete, i.e. after the new financial institution receives the payee's Direct Deposit payment.

FALSE STATEMENTS OR FRAUDULENT CLAIMS

Federal law provides a fine of not more than \$10,000 or imprisonment for not more than five (5) years or both for presenting a false statement or making a fraudulent claim.

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DEPARTMENT OF HEALTH & HUMAN SERVICES

Program Support Center

Division of Payment Management
7700 Wisconsin Ave, 10th Floor
Bethesda, Maryland 20814

**Division of Payment Management
Payment Management System Access Form**

*****This form must be completed in its entirety in order to be processed*****

Please fill in, print and fax

Action(s) Requested: (check all that apply)

- Establish New User Access
- Change Existing User Access: Current PMS Username
- Update Existing User Contact Information: Current PMS Username
- Deactivate User Access: Current PMS Username if not known, print or type first and last name of person to be deactivated and complete sections 1, 2 and 5 below

1. Name of Institution/Organization:

2. Payee Identification Number(s) (PIN) if not known, list EIN:

Is the action requested for all accounts associated with this PIN(s)? Yes No

3. Request to Establish/Change Access or Update Contact Information for:

Name: Title:

Mailing Address:

E-Mail Address: Telephone #:

4. Type of access requested for user. Please select one in each category if applicable.

Payment Requests and Inquiries

- Payment Requests and Inquiries
- Inquiry Only

Federal Financial Report (FFR)

(B type accounts can only receive FFR View Only)

- FFR Preparer Only
- FFR Certifier Only
- FFR Preparer and Certifier
- FFR View Only

5. Supervisor's Approval of requested action (recipient organization authorized representative)

If you are the highest ranking person in your organization, please sign your own form.

Supervisor's Signature: _____

Supervisor Name (Please Type):

Supervisor's Title: Supervisor's Telephone #:

IF THIS IS A NEW ACCOUNT, PLEASE MAIL THIS FORM ALONG WITH YOUR SF-1199A DIRECT DEPOSIT FORM.

IF YOUR BANKING INFORMATION HAS BEEN ESTABLISHED IN THE PAYMENT MANAGEMENT SYSTEM, YOU MAY FAX THIS FORM TO DIRECTLY TO THE DIVISION OF PAYMENT MANAGEMENT AT 301-492-5096.

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Appendix D - DHHS Cover Letter (Sample)

Date:

U. S. Department of Health and Human Services
 Division of Payment Management
 5600 Fishers Lane – 11-33
 11th Floor – Head House Wing
 Rockville, MD 20852

Enclosed are the form(s) requesting additional or new accounts be established for the Universities/Organizations listed below. If the University/Organization has an existing account, the account currently used in the Payment Management System will be identified on the attached forms. If the University/Organization does not have an existing account, the Direct Deposit Sign-Up form has been enclosed. Please establish the Payee Identification Number (PIN) for the Universities/Organizations under the sub-accounts as indicated.

University / Organization	Center Name (Sub-Account)

Please send the account information to the following e-mail address:

E-mail: nsscgrantfmd@ndc.nasa.gov
Subject Line: FMD-Grants

If you require additional information, please call the NSSC Customer Contact Center at (877) 677-2123 or e-mail to nssc-contactcenter@nasa.gov.

Regards,

{insert name}
 FMD Grants Manager
 NASA Shared Services Center

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Appendix E - Closeout Checklist (Sample)

**National Aeronautics and Space Administration
NASA Shared Services Center – Finance Office**

**Grants and/or Cooperative Agreements
Closeout Checklist**

This file is complete in accordance with NASA closeout requirements 1260.77, Grant Closeout Procedures.

Grant Number:
Institution:
Period of Performance:
Center:

FINANCE SECTION

Obligated Amount: \$ _____
 Disbursed Amount: \$ _____
 De-obligate Amount: \$ _____ PLI/ALI _____

Last Payment (Posted) Date: _____

Voucher No.: _____

Account Blocked in PMS: Yes No

Finance Reconciler:
 Name: _____
 Phone: _____
 E-mail: _____

Date of Reconciliation: _____

PROCUREMENT SECTION

Grant Officer: _____

Date: _____

FINANCE SECTION

Emailed to Center (if applicable): _____
 Attached in SAP: _____
 Spreadsheet Updated: _____
 059 in PMS: _____
 Spreadsheet Updated: _____

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Appendix F - New ZHHS Vendor Escalation Process (Sample)

Escalation Process for new ZHHS Vendor Numbers

Initial CMP/ 15 business Days after the SAP funding date

- Identify grants assigned with new ZHHS vendor numbers
- Initiate contact with PI listed on grant, ascertain who appropriate financial POC is at institution/university for completing financial payment package
- Initiate contact with identified financial POC
- Email financial payment package to institution's financial POC
- Subject line: 1st Notification – NNX00AA00A – Financial Payment Package required to establish DHHS/PMS account
- Email to include financial payment package
- cc email to grant administrator, corresponding center POC and NSSC grants manager

2nd CMP/ 30 business days after the SAP funding date

- Identify grants assigned with new ZHHS vendor numbers that have not responded to the initial email notification.
- Email 2nd notification to institution/university financial POC (identified above)
- Subject line: 2nd Notification – NNX00AA00A - Financial Payment Package required to establish DHHS/PMS account
- Email to include financial payment package
- cc email to grant administrator, corresponding Center POC and NSSC grants manager

3rd CMP/ 60 business days after the SAP funding date

- Identify grants assigned with new ZHHS vendor numbers that have not responded to the initial and 2nd email notification.
- Email 2nd notification to institution/university financial POC (identified above)
- Subject line: 3rd Notification – NNX00AA00A - Financial Payment Package required to establish DHHS/PMS account
- Email to include financial payment package
- cc email to grant administrator, corresponding center POC and NSSC grants manager

4th CMP/ 90 business days & every 30 days thereafter

- Identify grants assigned with new ZHHS vendor numbers that have not responded to the initial, 2nd or 3rd email notification.
- Email NSSC grants manager for further escalation
- Subject line: 4th (or future) Notification – NNX00AA00A Financial Payment Package not received from Grantee
- cc email to grant administrator and corresponding Center POC

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Financial Payment Package received and forwarded to DHHS/PMS for processing

- Historical data listed on CMP Cover Sheet and work paper
- NSSC grant manager will maintain separate tracking spreadsheet based on CMP cover sheet
- If no account has been established within prescribed DHHS/PMS 14-business day guidelines, NSSC grant manager will email DHHS/PMS for status
- Cc email to grantee, grant administrator, NSSC FMD grant service provider and corresponding center POC.

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Appendix G - Grants LOC Transition Schedule / Responsibilities

February 9, 2009

- **DFRC – GRC – JSC – KSC – SSC**
- Centers transitioning will also be responsible for the following:
 - All grants with a validity end date of **December 31, 2008** and prior will remain at the Centers for final closeout or disposition
 - January CMP; due February 2009
 - Closeout of grants not transitioning to NSSC
 - Reconciliation of all PSC 272s for the 1st Quarter

March 2, 2009

- **LARC**
- LARC will also be responsible for the following:
 - All grants with a validity end date of **February 28, 2009** and prior will remain at LARC for final closeout or disposition
 - February CMP; due March 2009
 - Closeout of grants not transitioning to NSSC
 - Reconciliation of all PSC 272s for the 1st Quarter

March 9, 2009

- **ARC**
- ARC will also be responsible for the following:
 - All grants with a validity end date of **February 28, 2009** and prior will remain at ARC for final closeout or disposition
 - February CMP; due March 2009
 - Closeout of grants not transitioning to NSSC
 - Reconciliation of all PSC 272s for the 1st Quarter

April 13, 2009

- **MSFC**
- MSFC will also be responsible for the following:
 - All grants with a validity end date of **March 31, 2009** and prior will remain at MSFC for final closeout or disposition
 - March CMP; due April 2009
 - Closeout of grants not transitioning to NSSC
 - Reconciliation of all PSC 272s for the 1st Quarter

April 20, 2009

- **HQ**
- HQ will also be responsible for the following:
 - All grants with a validity end date of **March 31, 2009** and prior will remain at HQ for final closeout or disposition
 - March CMP; due April 2009

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- Closeout of grants not transitioning to NSSC
- Reconciliation of all PSC 272s for the 2nd Quarter

December 1, 2009 (Phase I) – January 2, 2010 (Phase II)

- **GSFC**
- GSFC will also be responsible for the following:
 - All grants with a validity end date of **November 30, 2009** and prior will remain at GSFC for final closeout or disposition
 - December CMP; due January 2010
 - Closeout of grants not transitioning to NSSC
 - Reconciliation of all PSC 272s for FY2009 4th Quarter

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Appendix H - Monitoring and Controls

Refer to NPD 9010.2 - Financial Management Operating Procedures and Continuous Monitoring Program at:

http://www1.nasa.gov/offices/ocfo/references/ocfo_fmr_detail.html