DoD Contracting/Grant Policies and Research Opportunities

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The purpose of this presentation is to provide guidance on Contracting/Grant Policies & Procedures and identify potential research opportunities.
COMMON QUESTIONS

• What are the differences between a contract, grant, and cooperative agreement?
• What is my role as the Principal Investigator (PI)?
• What is involved in the closeout process?
• What is the Forecast Expenditure Report?
• What are the Provisions on Tax Delinquency and Felony Convictions?
COMMON QUESTIONS

• Is prior approval required for pre-award costs?
• Does the Indirect Cost Limitation for Basic Research still apply to my award?
• What is the Federal Funding Accountability and Transparency Act (FFATA)?
• Do I have to submit my proposal through grants.gov?
Understanding Funding Instruments

- Procurement Contracts

- Assistance Instruments (*Grants, Cooperative Agreements*)
Understanding Funding Instruments

Procurement Contracts

Goods and services acquired for the direct benefit of the Government.

- Buyer/Seller Relationship
- Includes Statement of Work to govern effort
- Allows profit or fee
- Requires compliance with Government regulations, e.g. Federal Acquisition Regulation (FAR), Defense Federal Acquisition Regulation Supplement (DFARS), Army Federal Acquisition Regulation Supplement (AFARS)
Understanding Funding Instruments

Assistance Instruments (Grants, Cooperative Agreements)

- The carrying out of a public purpose of support and stimulation of fundamental research and development projects
- Guidance found in the Department of Defense Grant and Agreement Regulations (DoDGARs)
- More flexibility with agreement terms and conditions
- Typically faster to award than procurement contracts for similar efforts
- No profit or fee permitted
- Government gets rights to intellectual property
Understanding Funding Instruments

Grants: Recipient performs proposed research effort without substantial Government involvement

- Mostly used with universities

- APPROXIMATELY 600 NEW GRANTS EACH YEAR TO UNIVERSITIES!
Understanding Funding Instruments

Cooperative Agreements: Recipient performs proposed research effort with substantial Government involvement

- The Government/Recipient relationship is essentially a partnership
- Each year a Program Plan is jointly developed that describes the research milestones and budget
- Research is performed collaboratively and could result in joint papers and inventions
Funding Instruments Numbers

- Here is how to identify a funding instrument by its number:
  
  For example:
  - W911NF-13-C-0112
  - W911NF-13-1-0364
  - W911NF-13-2-0018

- The “W911NF” is the Contracting Office Code otherwise called the “PIIN.”
- The next field is the fiscal year, e.g. “13”
- The next field tells you the type of instrument:
  - “C” is for a contract
  - “1” is for a grant
  - “2” is for a cooperative agreement
Contracting/Grants Officer

This individual signs the award and is the official who is responsible for the business management and other non-programmatic aspects of the award.
Program Manager

This individual is responsible for the programmatic, scientific, and/or technical aspects of assigned applications and grants/contracts.
Authorized Representative (AR):

The AR is the designated representative of the grantee organization in matters related to the award and administration of grants. This person is typically in the Office of Sponsored Programs Office.
Principal Investigator: (PI)

The PI is the individual designated by the applicant organization to have the appropriate level of authority and responsibility to conduct research and direct the project or program supported by the award.
Principal Investigator (cont)

Each PI is responsible and accountable to the grantee organization for the following:

- Proper conduct of the project or program
- Submission of all required reports
- Compliance with the financial and administrative aspects of the award
- Appropriately acknowledge federal support of research findings in publications, announcements, news programs, and other media
Award Information

By accepting the award, the grantee accepts the associated terms and conditions.

- Research Terms and Conditions dated JUNE 2011
- U.S. Army Research Office Agency-Specific Requirements dated 1 JUNE 2009
Award Information Grants

These Requests Require Prior Approval

- Change in Scope
- Absence or Change of PI
- Need for Additional Funding
- Sub award of "significant part" of programmatic effort
- Pre-award costs (more than 90 days)
- Initial no-cost extension of up to 12 months
Award Information Grants

Prior Approval Waived

- Carry-forward of unexpended balances to subsequent funding periods
- Pre-award costs (90 days)
- Rebudgeting among budget categories
- Rebudgeting between direct and F&A costs
Award Information Grants

Terms and Conditions and Prior Approval Matrix can be found at the following website:

CLOSEOUT PROCESS
DoD Grant and Agreement Regulations 33.50

(a) General. The Federal agency will close out the award when it determines that all applicable administrative actions and all required work of the grant has been completed.

(b) Reports. Within 90 days after the expiration or termination of the grant, the grantee must submit all financial, performance, and other reports required as a condition of the grant.
The Federal Funding Accountability and Transparency Act (FFATA)

The FFATA Subaward Reporting System (FSRS) is the reporting tool Federal prime awardees (i.e. prime contractors and prime grants recipients) use to capture and report subaward and executive compensation data regarding their first-tier subawards to meet the FFATA reporting requirements. Prime contract awardees will report against sub-contracts awarded and prime grant awardees will report against sub-grants awarded. The sub-award information entered in FSRS will then be displayed on www.USASpending.gov associated with the prime award furthering Federal spending transparency.
THINGS TO REMEMBER WHEN SUBMITTING PROPOSALS

• CAREFULLY READ THE BAA/SOLICITATION
• PROVIDE BACKUP DOCUMENTATION (Approved Rate Agreements, quotes, invoices, etc)
• ALL PROPOSALS MUST BE SUBMITTED THROUGH GRANTS.GOV
• START EARLY!!!
AWARD MANAGEMENT

• Grants and Cooperative Agreements are paid on a reimbursable basis.

• Make sure to follow the pay instructions listed in your award document.

• It is imperative that the Awardee manage its expenses in accordance with the proposed budget.
The System for Award Management (SAM) has taken place of the former Central Contractor Registry (CCR) System. All records should have been transferred, but going forward updates will take place in SAM rather than CCR.
Representations under DoD Assistance Agreements: Appropriations Provisions on Tax Delinquency and Felony Convictions

The applicant is (     ) is not (     ) a “Corporation” meaning any entity, including any institution of higher education, other nonprofit organization, or for-profit entity that has filed articles of incorporation.

If the applicant is a “Corporation” please complete the following representations:

(1) The applicant represents that it is (     ) is not (     ) a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

(2) The applicant represents that it is (     ) is not (     ) is not a corporation that was convicted of a criminal violation under any Federal law within the preceding 24 months.
For any questions regarding the award process or opportunities, please feel free to call or email me at:

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QUESTIONS

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