

**DOING BUSINESS WITH
THE
DEPARTMENT OF DEFENSE**

Presented by:

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29 June 2017**

The purpose of this presentation is to provide guidance on doing business with the Department of Defense (DoD)

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) and 2 CFR 200
- 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

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-17-C-0112
 - W911NF-17-1-0364
 - W911NF-17-2-0018
-
- The “W911NF” is the Contracting Office Code otherwise called the “PIIN.”
 - The next field is the fiscal year, e.g. “17”
 - 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

- **A “Broad Agency Announcement” (BAA) is typically used when contracts and assistance instruments are expected to be awarded. It is not limited to one award type.**
- **A “Funding Opportunity Announcement” (FOA) is used when only assistance awards are sought.**
- **A “Program Announcement” (PA) identifies areas of on particular interest and funding for a specific area of science.**

BAA/FOA Proposals are submitted as follows:

- For assistance instruments, the proposal ***MUST*** come in through Grants.gov.

(NOTE: Grants.gov is a portal through which all assistance proposals are to be submitted for all federal agencies.)

- For contract awards, proposals can be submitted through Grants.gov or can be emailed to the BAA/FOA monitor.

NO COST EXTENSIONS

Requests should be submitted at least 30 days prior to the end date of the performance, unless extenuating circumstances.

Requests should be submitted to the GOR and GO by an authorized representative not the PI.

NO COST EXTENSIONS

Documentation to accompany the request should include justification for the extension and duration of the requested extension and activities to be carried out during this period.

Estimate of funds remaining as of the end date of POP

NO COST EXTENSIONS

Budget and justification for use of remaining funds

A copy of the progress report, copy of the approved proposal.



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.

Project Abstract

•Welcome to the Department of Defense (DoD) Grant Awards Website. This website was established in response to a statutory requirement contained in Section 8123 of the fiscal year 2015 DoD Appropriations Act (Division C of the Consolidated and Further Continuing Appropriations Act, Public Law 113-235). This website contains publicly-searchable descriptive abstracts of DoD grant awards from December 9, 2014 (the date of passage of the Act), along with other grant award information. Members of the public may conduct searches using a variety of fields and/or keywords, and view or download the results. For more information on the DoD grant award data available from this website, please see the frequently asked questions (FAQ) section under the Help menu.

Project Abstract

- 1. The Project Abstract shall be completed on the form entitled “Publicly Releasable Abstract” found at the following website:

- <http://www.arl.army.mil/www/default.cfm?page=218>.

- 2. Unless otherwise instructed in this BAA, the Project Abstract shall include a concise statement of work and basic approaches to be used in the proposed effort. The abstract should include a statement of scientific objectives, methods to be employed, and the significance of the proposed effort to the advancement of knowledge.

Project Abstract

- 3. The abstract should be no longer than one (1) page (maximum 4,000 characters).
- 4. The project abstract shall be marked by the applicant as publically releasable. By submission of the project abstract, the applicant confirms that the abstract is releasable to the public. For a proposal that results in a grant award, the project abstract will be posted to a searchable website available to the general public to meet the requirements of Section 8123 of the Department of Defense Appropriations Act, 2015. The website

address is <https://dodgrantawards.dtic.mil/grants/#/home>.

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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

Principal Investigator (cont)

PI is NOT responsible for the following:

- Submitting revised budgets directly to Grants Officer
- Submitting NCE requests

PRIOR APPROVALS

	Prior Approval Required?	Source
Preaward costs (up to 90 days)	No	DoD General R&D Terms & Conditions
Preaward costs (more than 90 days)	Yes	DoD General R&D Terms & Conditions
No-cost Extension of any length	Yes	Agency Specific Terms and Conditions (recipient is required to provide a notice to the GO at least 20 days prior to agreement expiration)
Rebudgeting among budget categories	No	Provided rebudget is in accordance with Award Specific Terms
Equipment not in approved budget	Maybe	DoD General R&D Terms & Conditions – Waived if \$25K or less
Foreign Travel	Maybe	If specified in the Award Specific Terms & Conditions – refer also to the BAA which may require separate, prior approval for all foreign travel. Trip reports may also be required if included in the Award Specific Terms & Conditions.
Carry-forward of unexpended balances to subsequent funding period	No	DoD General R&D Terms & Conditions
Subaward of “significant part” of programmatic effort	Yes	DoD Gen R&D – A – This does not apply to supplies, equipment or general support services

AWARD MANAGEMENT

- Post Award Administration is delegated to ONR for Universities and Nonprofit Research Organizations including Hospitals and DCMA for State and Local Government and For-profit Organizations.
- Grants and Cooperative Agreements are paid on a reimbursable basis by DFAS.
- 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.

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.

GENERAL TERMS AND CONDITIONS INCORPORATED BY REFERENCE

This award is governed by the guidance in 2 Code of Federal Regulations (CFR) part 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards," as modified and supplemented by the Department of Defense's (DoD) interim implementation found at 2 CFR part 1103, "Interim Grants and Cooperative Agreements Implementation of Guidance in 2 CFR part 200" (79 FR 76047, December 19, 2014), all of which are incorporated herein by reference.

ORDER OF PRECEDENCE

Any inconsistencies in the requirements of this award shall be resolved in the following order:

Federal statutes

Federal regulations

2 CFR part 200, as modified and supplemented by DoD's interim Implementation found in 2 CFR PART 1103

DoD R&D General Terms and Conditions dated JULY 2016

ACC-APG-RTP Division Assistance, Research General Terms and Conditions dated AUGUST 2016, hereinafter referred to as "Agency Specific Requirements"

Award-specific terms and conditions

In case of disagreement with any requirements of this award, the recipient shall contact the administrative point of contact. The recipient shall not assess any costs to the award or accept any payments until the issue is resolved.

Disbursement Language

Due to current DoD funds' disbursement deficiencies, recipients are strongly urged to invoice for expenditures on a monthly basis. Disbursement deficiencies may lead to a reduction or delay in the PI's yearly budget allocation. Recipients shall email the GOR / Program Manager a copy of each monthly invoice at time of submission.

To ensure consistency with the approved budget timeline, thirty (30) calendar days before a subsequent funding option/increment is scheduled, the performer is expected to have invoiced at least 60% of the most recent option/increment to be favorably considered for the subsequent option/increment.

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.***

THINGS TO REMEMBER WHEN SUBMITTING PROPOSALS

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

For any questions regarding the award process or opportunities,
please feel free to call or email us at:

VONETTA.G.MCNEAL.CIV@MAIL.MIL
919-549-4291

LANELLE.T.SHANDS.CIV@MAIL.MIL
919-549-4385

QUESTIONS

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