



**National Sponsored Programs Administrators Alliance
(NSPAA) of HBCUs
Thursday, June 8, 2017
Managing Financial Assistance Awards**

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Agenda

- What is Financial Assistance (FA)?
- Types of FA Instruments
- Competitive vs. Non-Competitive
- FA Regulations
- Required FA Forms



What is Financial Assistance ?

- **Financial Assistance is the transfer of money or property to a recipient or subrecipient to accomplish a public purpose of support or stimulation authorized by Federal Statute through grants or cooperative agreements.**



Types of FA Instruments

- Grant
- Cooperative Agreement



Competitive vs. Non-Competitive

- Funding Opportunity Announcement (FOA)
- Determination for NonCompetitive Financial Assistance (DNFA)



FA Regulations

- OMB Circular 2CFR200
- Department of Energy Guide to Financial Assistance(05/23/2013)



Pre-award

- A FOA is developed and includes:
 - Program description
 - Available funding, the number of possible awards, and period of performance.
 - Eligibility Information
 - Application and submission Information
 - Evaluation Information
 - Award terms and conditions
- FOAs are posted to www.grants.gov.
- Applications are due 60-90 days after a FOA is posted.
 - Some programs, such as Science and ARPA-E, have annual open FOAs where applications can be submitted throughout the year.



Pre-award (Non-Competitive)

- **Proposals are submitted directly to the DOE Program Office.**
- **A determination is made by the DOE Program Office based on the following:**
 - Supports mission
 - Activities proposed can be supported by financial assistance
 - Cost effective



Required FA Forms

Forms required from recipient:

- SF-424 (Application)
- SF-424A(Budget Information)
- Certs and Assurances
- OCR Questionnaire

Additional required forms from recipient:

- PMC123.1 Form (Budget Justification) threshold \$1M or more
- Cost Share Verification Letter
- Indirect Rate Agreement



Documentation

New Awards non-competitive and competitive:

- Assistance Agreement Cover Sheet with all fields completed
- Special Terms and Conditions body/Attachment 1
- Statement of Work (SOW)/Statement of Project Objectives (SOPO) Attachment 2
- SF-424A(Budget Information) Attachment 3
- Reporting Checklist Attachment 4

** Note: Substantial Involvement – can be an attachment or include in the clause. If included as an attachment should go after Attachment 2-SOW/SOPO

Any other attachments program is requiring they would be inserted as well.



Evaluation

- In addition to merit review, Program Policy Factors may be used. These include:
 - projects which represents a diversity of technical approaches, methods, applications and/or market segments;
 - complementary and/or duplicative efforts or projects, which, when taken together, will best achieve the research goals and objectives; and
 - geographic distribution.
- A risk assessment of each applicant is also conducted prior to award which considers the applicant's:
 - Financial stability
 - History of performance
 - Audit reports
 - Ability to successfully perform the project.



Selection/Award (Non-Competitive)

- The DOE Program Office submits a Determination of Non-competitive Financial Assistance Award (DNFA) to the Contracting Officer and General Council.
- General Counsel reviews the Statutory Authority and the Non-competitive Federal financial assistance criteria which can be found at 2 CFR 910.126 (c).
- The Contracting Officer will draft the award documents, terms and conditions, and reporting requirements to distribute to the grantees for final signature.