



DEPARTMENT OF THE ARMY
US ARMY MEDICAL RESEARCH ACQUISITION ACTIVITY
820 CHANDLER STREET
FORT DETRICK MD 21702-5014

FCMR-AAP-D

12 December 2019

MEMORANDUM FOR USAMRAA ASSISTANCE AGREEMENT PERSONNEL AND
PROGRAM OFFICE CUSTOMERS

SUBJECT: Assistance Advisory Notice (AAN) 20-02, Grants Officer's Representative

1. PURPOSE. This AAN establishes the requirements and processes for the nomination and appointment of a Grants Officer's Representative (GOR). It also establishes the responsibilities and limitations of the GOR. This notice rescinds AAN 13-01, 14 June 2013, Grants Officer's Representative.
2. GENERAL. Customers must nominate a GOR for each assistance award to assist and advise the Grants Officer (GO) with conducting scientific and administrative monitoring of the award. GORs must be nominated and appointed in accordance with the procedures described below. The GOR's essential duties are to advise the GO whether the recipient is complying with the terms and conditions of the award and if overall progress towards achieving the goals and objectives of the award is satisfactory. The GOR acts as a liaison between the recipient and the GO, and also as an advisor to the GO. The GOR duties and limitations of authority are outlined in the GOR appointment templates in Enclosures 3 and 4.
3. NOMINATION PROCESS.
 - a. The nomination of a proposed GOR must be submitted by the nominee's supervisor to the GO prior to award or as soon as the need for a new GOR is identified (See Enclosures 1 and 2, "Nomination of Grants Officer's Representative" templates). Enclosure 1 is used when the GOR is being nominated for a single award. Enclosure 2 is used when the GOR is being nominated for multiple awards under one or more programs.
 - b. The GOR must be an employee, military or civilian, of the U.S. Government. In no case shall contractor personnel serve as GOR.
 - c. The nomination must state:
 - (1) The nominee's qualifications (background, training, experience, etc.) relevant to the duties to be delegated. For example, GOR nominees to monitor medical research awards must have scientific education, training, and/or experience closely aligned with the scientific goals and objectives of the award;

(2) That the GOR has completed all required training (currently Defense Acquisition University, Continuous Learning Course 106 and Annual Ethics Training);¹

(3) That the GOR has submitted the annual Office of Government Ethics Form 450, "Confidential Financial Disclosure Report," and that it is on file in the Army Financial Disclosure Management System;

(4) That the nominee does not have an actual or potential conflict of interest that could affect or could appear to affect impartial monitoring of the award. For example, if the recipient personnel are intended to work in a DoD laboratory and collaborate with DoD personnel in that laboratory to achieve common goals and objectives, the GOR may not be a collaborator on the award nor in the chain of command responsible for performance of that laboratory.

4. APPOINTMENT PROCESS.

a. The GO will review the nomination to ensure that the information provided complies with the requirements in 3. The GO may:

(1) Appoint the nominee, in accordance with 4.b.;

(2) Request an alternate nomination. The GO must advise the customer why he or she is denying the nomination, in order to help the customer locate an alternate nominee better suited to serve as GOR; or

(3) Temporarily retain all or a portion of the monitoring functions that would ordinarily be appointed to a GOR, in accordance with 4.c.

b. If the GO determines that the individual is qualified, the GO will appoint the nominee in writing as a GOR (See Enclosures 3 and 4, "Appointment of Grants Officer's Representative" templates). Enclosure 3 is to be used when a GOR is appointed for a single award. Enclosure 4 is to be used when a GOR is appointed for multiple awards under one or more programs. The appointment must:

(1) Specify the extent of the GOR's authority to act on behalf of the GO;

(2) Identify the limitations on the GOR's authority;

(3) Specify the period covered by the appointment;

¹ USAMRAA will work with CDMRP to periodically identify additional grants-related GOR training courses or opportunities in the latest *SO Guide to Facilitating the Grant Lifecycle*.

- (4) State that the authority is not re-delegable;
- (5) State the GOR's duties and responsibilities; and
- (6) State that the GOR may be personally liable for unauthorized acts.

c. If the customer fails to nominate an individual qualified to serve as the GOR based on the information required by 3.c., the GO may temporarily retain all or a portion of the monitoring functions that would ordinarily be appointed to a GOR. This is meant to be a short-term measure, not to exceed 60 days, to allow time for the customer to locate and/or train a qualified individual. Before retaining all or a portion of GOR responsibilities, the GO must:

- (1) Consult with his or her branch chief regarding other alternatives;
- (2) Come to agreement with the customer on a timeline for nominating a qualified GOR within 60 days.

d. The GO may edit Enclosure 3 to reflect a temporary partial delegation of monitoring duties, as needed.

5. GOR AWARD FILE.

a. The GOR must maintain a file for each award assigned, preferably electronically. The file must be maintained in the GOR's program office. The file is subject to review on a periodic basis (annually or as determined to be necessary) by the GO.

b. The attached GOR File Content Checklist provides an overview of the items/documents that may be included in the GOR file; it is not all-inclusive nor will all items shown on the Checklist be applicable to all awards. Good judgment and experience should be exercised. The GOR must use the "GOR File Contents Checklist" for each award assigned. (See Enclosure 5, "GOR File Contents Checklist.")

c. All matters pertaining to the award are confidential. Release of any information relative to any aspect of the award to outside parties is subject to prior review and clearance by the GO and or the Freedom of Information Act (FOIA) liaison.

d. Upon expiration of the award, the GOR must forward the complete file to the GO, Operations Support Center, Closeout section.

6. RESCINDING A GOR APPOINTMENT.

a. Because the legal responsibility for an award remains with the GO, it is imperative that the GOR complies with any requirements and limitations stated in the appointment letter. The GO, with concurrence from the branch chief, may rescind a GOR appointment by providing written notice to the GOR and the GOR's supervisor in the follow situations:

(1) The GOR takes an unauthorized action, such as issues or approves changes or enters into any agreements, award modifications, or any other matters affecting the cost or the terms and conditions of an award;

(2) The GOR fails to complete training requirements;

(3) The GOR fails to submit the OGE Form 450 annually;

(4) The GOR fails to notify the GO upon becoming aware that the recipient is out of compliance with the terms and conditions of an award;

(5) The GOR fails to report a personal actual or potential conflict of interest that could affect or could appear to affect impartial monitoring of the award;

(6) The discovery of inaccurate information in a nomination;

(7) The GOR fails to satisfy the terms of his/her delegation, including, but not limited to, approving changes or enter into any agreements, award modifications, or any other matters affecting the cost or the terms and conditions of an assistance award.

b. In determining whether to rescind an appointment, the GO is encouraged to consider the facts and circumstances of the situation. The GO's branch chief must agree with the decision to rescind an appointment before taking such action. Upon rescinding an appointment, the GO must immediately ask the customer to submit an alternate nomination using the process in 3.

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SUBJECT: Assistance Advisory Notice (AAN) 20-02, Grants Officer's Representative

5. PROPONENT. The proponent for this AAN is the Chief, Grants Execution Oversight, Ms. Jennifer Cramer, 301-619-7145.

//ORIGINAL SIGNED//
BRIAN E. MARTIN
Senior Contracting Official

(Program Office Letterhead)

(Enter Program Office Symbol)

(Enter Date)

MEMORANDUM FOR Grants Officer, Assistance Agreement Group,
U.S. Army Medical Research Acquisition Activity, Fort Detrick,
Maryland 21702-5014

SUBJECT: Nomination of Grants Officer's Representative

Log or Award Number: _____

Recipient:

Principal Investigator:

Project Title:

1. Nominate Mr./Ms./Mrs./Dr. _____ as Grants Officer's Representative (GOR) on the subject award.
2. Mr./Ms./Mrs./Dr. _____ is.... *(provide nominee's background, demonstrating qualifications – education, experience, time/responsibilities in program office, etc. that would enable the nominee to provide both technical and administrative monitoring of the funded activity).*
3. Mr./Ms./Mrs./Dr. _____ completed Defense Acquisition University Continuous Learning Course 106 on _____ and will complete this training or designated successor training every three years prior to the three-year anniversary of the last certificate date. (S)He has also completed the annual Ethics training on _____.and will repeat this training annually.
4. Mr./Ms./Mrs./Dr. _____ has submitted the annual Office of Government Ethics Form 450, "Confidential Financial Disclosure Report," which I have verified is on file in the Army Financial Disclosure Management System.
5. To my knowledge, Mr./Ms./Mrs./Dr. _____ has no actual or potential conflict of interest that could affect or could appear to affect impartial monitoring of the award. No financial conflict was apparent from the most recent Confidential Financial Disclosure Report" submitted. Further, the nominee is not a collaborator on the award, nor in the chain of command of any collaborator.

Supervisor's Name and Signature
Supervisor's Title

(Enter Program Office Symbol)

(Enter Date)

MEMORANDUM FOR Grants Officer, Assistance Agreement Group

SUBJECT: Nomination of Grants Officer's Representative

1. Nominate Mr./Ms./Mrs./Dr. _____ as Grants Officer's Representative (GOR) on awards for the _____ Program(s). Attached is a list of the active awards. If additional awards are made under this program(s), the above named individual is hereby nominated as the GOR for those additional awards. This will be documented on the recommended for funding list that will be provided to the Grants Officer.
2. Mr./Ms./Mrs./Dr. _____ is.... *(provide nominee's background demonstrating qualifications – education, experience, time/responsibilities in program office, etc. that would enable the nominee to provide both technical and administrative monitoring of the funded activities).*
3. Mr./Ms./Mrs./Dr. _____ completed Defense Acquisition University Continuous Learning Course 106 on _____ and will complete this training or designated successor training every three years prior to the three-year anniversary of the last certificate date. (S)He has also completed the annual Ethics training on _____ and will repeat this training annually.
4. Mr./Ms./Mrs./Dr. _____ has submitted the annual Office of Government Ethics Form 450, "Confidential Financial Disclosure Report" which I have verified is on file in the Army Financial Disclosure Management System.
5. To my knowledge, Mr./Ms./Mrs./Dr. _____ has no actual or potential conflict of interest that could affect or could appear to affect impartial monitoring of the awards. No financial conflict was apparent from the most recent Confidential Financial Disclosure Report" submitted. Further, the nominee is not a collaborator on the award, nor in the chain of command of any collaborator.

Supervisor's Name and Signature
Supervisor's Title



DEPARTMENT OF THE ARMY
US ARMY MEDICAL RESEARCH ACQUISITION ACTIVITY
820 CHANDLER STREET
FORT DETRICK MD 21702-5014

(Enter Program Office Symbol)

(Enter Date)

MEMORANDUM FOR (Enter GOR Appointee's Name), (Enter Program Office), ATTN:
MCMR- _____ / (Enter Program Office Address)

SUBJECT: Appointment of Grants Officer's Representative

1. Effective this date, you are hereby appointed the Grants Officer's Representative (GOR) for monitoring performance of assistance agreements (grants and cooperative agreements) awarded for the following (enter program office) Programs: (list programs). Enclosed is the list of active awards under these programs for which you are appointed. Additional awards made under these programs for which you are appointed will be identified with the recommended for funding lists provided for each program announcement or broad agency announcement. Continuation of your appointment is contingent upon continued timely completion of required GOR training, currently Defense Acquisition University (DAU) Continuous Learning Course 106 every three years, Annual Ethics Training, and filing of the annual Office of Government Ethics (OGE) Form 450, "Confidential Financial Disclosure Report," to the Army Financial Disclosure Management System. In addition, USAMRAA may assign additional grants-related GOR training as it becomes available. The GOR is delegated certain award administration functions, but the legal responsibility for the awards remains with the Grants Officer.

2. As the GOR, you are a vital component of monitoring each recipient's performance under each award. You will serve as the primary technical point of contact with the recipients. As such, you must maintain communications and current knowledge of the recipients' progress towards achieving the goals and objectives of the supported activities. However, you must understand that the nature of the relationship is that of supporting their public purposes and not obtaining the recipients' services for the U.S. Government.

3. Concurrently, you are expected to advise and assist the Grants Officer in administering the awards, as necessary. You must advise the Grants Officer in a timely manner on all matters relating to recipients' performance, especially project scope or funding issues that arise which may require modifications to the awards. Your duties include, but are not limited to, reviewing reports and other products required by the terms of the award, coordinating USAMRDC program management decisions as they bear on the awards, and assisting with the review of final closing documents. If you become aware of actual or potential conflict of interest that could affect or could appear to affect your ability to impartially discharge your duties, you must inform the Grants Officer immediately.

SUBJECT: Appointment of Grants Officer's Representative, (list programs)

4. GOR Files.

a. As the GOR, you must maintain a file for each award assigned, preferably electronically; however, files may be in hard copy, if necessary. The files must be maintained in your program office. The files are subject to review on a periodic basis, annually or as determined to be necessary, by the Grants Officer.

b. The attached GOR File Content Checklist provides an overview of the items/documents that must be included in the GOR files, when applicable. The checklist is not all-inclusive, therefore you must use good judgment and experience in deciding whether to retain additional documents. You must use the "GOR File Contents Checklist" for each award assigned.

c. Upon expiration of each award, you must forward the complete file to the Grants Officer, Operations Support Center, Closeout section.

5. This delegation does not empower you to issue or approve changes or enter into any agreements, award modifications, or any other matters affecting the cost or the terms and conditions of the awards. All such authority remains with the Grants Officer. Inquiries concerning these matters which may be received from recipients must be directed to the Grants Officer or Grants Specialist for appropriate action. You must consider all matters pertaining to the awards as confidential. Release of any information relative to any aspect of the awards to outside parties is subject to prior review and clearance by the Grants Officer. You may be personally liable for unauthorized acts.

6. This delegation will remain in effect through the life of the awards unless revoked in writing by the Grants Officer, you are reassigned to another position, or you are separated from Government service. You must notify the Grants Officer in advance of reassignment or separation to permit timely nomination and appointment of a successor GOR. The GOR files must be turned over to the new GOR.

7. This delegation of authority may not be re-delegated. It is understood that the staff of your program office may assist you in the functions described in this memorandum; however, you will remain the single, responsible point of contact appointed as GOR.

8. You are required to acknowledge your acceptance of this appointment by signing and returning the enclosed GOR Acceptance Statement to me.

Encl

(Grants Officer's name and signature)
Grants Officer

Cc: (Enter GOR's supervisor's name), (Enter GOR's Supervisor's title)

SUBJECT: Appointment of Grants Officer's Representative, (list programs)

GOR ACCEPTANCE STATEMENT:

I have reviewed the contents of the Appointment of Grants Officer's Representative (GOR) memorandum and understand: (1) the authorities of the GOR and Grants Officer; (2) GOR responsibilities; (3) training required; and (4) the requirement for the annual filing of the OGE Form 450. I understand that I cannot give direction to any recipient to make any changes to the requirements of any award.

(Name)
Grants Officer's Representative

Date



DEPARTMENT OF THE ARMY
US ARMY MEDICAL RESEARCH ACQUISITION ACTIVITY
820 CHANDLER STREET
FORT DETRICK MD 21702-5014

(Enter Program Office Symbol)

(Enter Date)

MEMORANDUM FOR (Enter GOR Appointee's Name), (Enter Program Office), ATTN:
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Encl

(Grants Officer's name and signature)
Grants Officer

Cc: (Enter GOR's supervisor's name), (Enter GOR's Supervisor's title)

SUBJECT: Appointment of Grants Officer's Representative, (list programs)

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(Name)
Grants Officer's Representative

Date

GOR File Contents Checklist

Award Number: _____ Grants Specialist: _____

Recipient: _____

Business Office POC: _____ Phone: _____

Email: _____

PI: _____ Phone: _____

Email: _____

GOR: _____ Phone: _____

Email: _____

| Item/Document | <i>Place an "X" if item included</i> |
|--|--|
| Copy of the Appointment of Grants Officer's Representative | |
| | |
| GOR Training Certificates | |
| DAU CLC 106 | |
| Ethics | |
| Refresher Class | |
| Refresher Class | |
| | |
| Research Application | |
| | |
| Scientific Peer Review Summary Statement | |
| | |
| SOW (original and revised) | |
| | |
| Budget (original and revised) | |
| | |
| Previous/Current/Pending Support for PI and Key Personnel | |
| | |
| Principal Investigator Assurance | |
| | |
| Certification of Environmental Compliance | |
| | |
| Use of Human Subjects Documentation and Approval | |

| | |
|--|--|
| Use of Animal Subjects Documentation and Approval | |
| | |
| Assistance Agreement Award and Supporting Documents | |
| | |
| Modifications and Supporting Documents | |
| | |
| Quarterly Technical Reports | |
| Year 1 Quarter 1 | |
| Year 1 Quarter 2 | |
| Year 1 Quarter 3 | |
| Year 1 Quarter 4 | |
| | |
| Quarterly Quad Charts | |
| Year 1 Quarter 1 | |
| Year 1 Quarter 2 | |
| Year 1 Quarter 3 | |
| Year 1 Quarter 4 | |
| | |
| Annual Technical Reports (Research Performance Progress Report) | |
| Year 1 | |
| Year 2 | |
| | |
| Annual/Final Patent Report(s) (DD Form 882) | |
| | |
| Documentation of Collaboration or Technical Assistance Provided | |
| | |
| Documentation of Monitoring and Inspection, including Site Visits | |
| | |
| Cost Reimbursement Vouchers (SF270) | |
| | |
| Listing of Government Furnished Property | |
| | |
| Listing of Property/Equipment Purchased by Recipient w/Award Funds | |
| | |
| Final Research Performance Progress Report | |
| | |
| Correspondence | |
| | |
| Other Documents | |
| | |

NOTE: Mark "N/A" if not applicable. Upon expiration of award, forward complete file to the Grants Officer and USAMRAA, Operations Support Center.