

COR-GOR Summit 2021: Grants Execution Oversight Update

Presentation for

COR-GOR Summit

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What Has Changed in DoDGARs?

- ▶ Final Rule published in Federal Register Notice effective 19 OCT 2020
- ▶ 32 CFR Parts 32 (Awards to IHEs and NPOs) and 33 (Awards to State, Local & Tribes) formally rescinded; no longer appear in e-cfr.gov
- ▶ States intent to rescind 32 CFR Part 37 (TIAs)

- ▶ Part 21, DoD Grants and Agreements General Matters, retained
 - ◆ Updated organizational and system names
- ▶ Part 22, Award and Administration, retained and amended
 - ◆ Updated references from EPL to SAM exclusions
 - ◆ Incorporates certain 2 CFR 200 requirements in this Part—i.e., certifications and assurances
- ▶ Part 34, Grants and Awards with For-Profit Organizations, retained and amended
 - ◆ DoD-specific info for “small awards” retained
 - ◆ Incorporates certain 2 CFR 200 requirements in this Part—i.e., simplified acquisition and single audit threshold
 - ◆ Updated cross-referenced citations to new DoD 2 CFR 1100 series for grants

What Has Changed in DoDGARs?

- ▶ Established new Parts specific to DoD in 2 CFR 1100s
 - ◆ Part 1104—Implementation of Governmentwide Guidance for Grants and Cooperative Agreements
 - ◆ Part 1108—Definitions for DoD Grant and Agreement Regulations
 - ◆ Part 1120—Award Format for DoD Grants and Cooperative Agreements
 - ◆ Part 1122—National Policy Requirements: General Award Terms and Conditions
 - ◆ Part 1126—Overview
 - ◆ Part 1128—Recipient Financial and Program Management: General Award Terms and Conditions
 - ◆ Part 1130—Property Administration: General Award Terms and Conditions
 - ◆ Part 1132—Recipient Procurement Procedures: General Award Terms and Conditions
 - ◆ Part 1134—Financial, Programmatic, and Property Reporting: General Award Terms and Conditions
 - ◆ Part 1136—Other Administrative Requirements: General Award Terms and Conditions
 - ◆ Part 1138—Requirements Related to Subawards: General Award Terms and Conditions

Pre-award Budget Reviews

▶ Background:

- ❖ After action from end of FY19 award cycle identified drift of program and grants into each other's lanes in budget reviews
- ❖ Need to clarify GO/GS' and SO/GOR's roles and responsibilities in pre-award budget review
- ❖ Reemphasize for program and grants staff the budgeting flexibilities afforded to applicants/recipients in regulations and burden reduction

▶ Assistance Advisory Notice (AAN) 20-01, Pre-award Budget Reviews

- ❖ USAMRAA Website Version — Memo only
- ❖ CDMRP-USAMRAA Internal Staff Version — Memo + staff reference guide

▶ Roles & Responsibilities

- ❖ GOs/GSs:
 - Conduct primary application budget review using appropriate regulatory cost principles
 - Exercise best business judgement in considering whether budget items and costs are reasonable, necessary, allocable, and allowable
 - Determine if applicant is "qualified" under criteria in DoDGARs

Pre-award Budget Reviews (cont.)

▶ GORs/SOs:

- ❖ Advisor to the GO during the pre-award budget review process
- ❖ Conduct a scientific and administrative review of the budget; scientific expertise drives assessment of reasonableness and necessity of costs
- ❖ Document concerns regarding the budget along with his/her advice or recommendations for addressing those concerns; GO will determine how to proceed in the negotiations from the input and notes provided
- ❖ Inform the GO immediately if aware of conflicts of interest with an organization or key project personnel that could affect or appear to affect impartially reviewing budget
- ❖ Communicate any issues/concerns regarding overlap (i.e., overlap in funding, both in PI level of effort as well as aims/objectives with other projects funded)

▶ Selected Budget Issues

- ❖ Recipient Budget Flexibility — Recipients have conditional (i.e., no scope change) “re-budget” authority
- ❖ Total Cost — objective of an assistance application budget review and negotiation is not necessarily to get the recipient to lower its proposed budget as is sometime the case with acquisitions; profit is prohibited under grants

Pre-award Budget Reviews (cont.)



- ▶ Selected Budget Issues (cont.)
 - ❖ Discrepancies — GORs/SOs encouraged to cross-check items specified in application budget against those identified in SOW
 - ❖ Program-specific Budget Requirements — Examples: a direct or total cost limit; mandatory travel of an investigator(s) to a specified conference; any costs prohibited under the PA/BAA, e.g., clinical trial costs; etc.

Oral Presentation Policy: Revision of AAN12-02



- ▶ Revision to current policy to remove the requirement from the requiring activity to provide a written justification to the Grants Officer (GO)
- ▶ New Process:
 - ▶ The requiring activity will make the GO aware of the of the oral presentation requirement via the Program Announcement (PA).
 - ▶ Approval of the oral presentation requirement will occur when the Chair of the Grants Review Board (GRB) has concurred with the review of the PA(s) under consideration.

Research Integrity/Foreign Influence



- ▶ DoD S&T Protections Working Group
 - ▶ Developing DoD-wide guidance to address NDAA requirements
- ▶ MRDC Research Integrity Working
 - ▶ HQ, CDMRP, USAMRAA Representation
 - ▶ Develop risk process