

DoD Awarding Office Delegation of Post Award Functions For an Assistance Award to a DoD Field Administration Office (FAO) (Rev. Dec 2022)			Date
Awarding Office	Field Administration Office	Applicability	Award Number or Applicability Comment (optional)
I. Standard Functions that DoD Awarding Office may delegate to the DoD FAO	Delegated Functions	Comments	
<i>See Instruction Sheet for information about these functions and guidance for completing the form</i>			
A. Specific Conditions			
Does the award include specific conditions to address risk identified during the pre-award risk assessment?			
B. Financial			
1. Payment Processing			
2. Interim Financial Reports			
3. Cash Management			
4. Cost Sharing or Matching Reviews			
5. Program Income Reviews			
6. Prior Approval requests related to Direct Costs			
7. Audit Resolution			
8. Collection of Amounts Due			
9. Claims and Disputes			
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Instruction Sheet for DoD Awarding Office Delegation of Post Award Functions for an Assistance Award to a DoD Field Administration Office (FAO)

General Instructions on Delegating Functions to FAOs

This form is intended to be completed by the DoD awarding office for purposes of delegating post-award administration functions related to DoD assistance awards (e.g., grants, cooperative agreements, and technology investment agreements (TIAs)) to DoD Field Administration Offices (FAOs), e.g. Office of Naval Research (ONR) Regional Offices or offices at the Defense Contract Management Agency (DCMA). The completed form, when the applicability is award specific, needs to be provided to the FAO at the time of award to communicate the specific post-award functions that the DoD awarding office wants the FAO to perform. Definitions for "assistance" and particular types of assistance (e.g., grants and cooperative agreements) can be found in the DoD Grant and Agreement Regulations (DoDGARs) at 32 CFR Part 21, Subpart F. References to policies or DoD-wide terms and conditions (T&Cs) are provided below. Since awards to for-profit recipients and TIAs don't have regulatory T&Cs, policy references have not been provided for those types of awards.

The provisions in the DoDGARs at 32 CFR 22.710 determine whether the FAO of awards to a particular recipient type would be ONR or DCMA. For nonprofit organizations that have never done business with DoD before, it is recommended that you confirm cognizance by contacting the FAO that you believe is cognizant prior to issuing the award. For current DoD recipients, tools that can give clues on the current cognizant FAO are the Contract Administration Services Directory (CASD) located under the Purpose Code Management (PCM) module in PIEE and searching the Administrative Office being assigned to recent awards associated with a specific CAGE Code.

Section I functions represent typical areas that FAOs expect to perform, assuming they are cognizant for the type of recipient, with some caveats listed below.

Section II involves additional post-award functions that the awarding office is requesting the FAO to perform, but the FAO has discretion on whether to accept or reject these additional duties. See further information in Section II below.

In the "Delegated Functions" column of the delegation form, indicate from the dropdown menu "YES" to functions being delegated; "NO" to overtly confirm functions that are not being delegated; or "Partial (specify)" to functions partially delegated. Add an explanation, instruction, or detail related to the delegated function - in the "Comments" column, particularly when a partial delegation is selected.

I. Standard Functions that DoD Awarding Office may delegate to the DoD FAO	Background/Instructions/Clarifications
A. Specific Conditions	
Does the award include specific conditions to address risk identified during the pre-award risk assessment?	When the "Applicability" field on the delegation form is "award specific" and the award includes "specific conditions" (see 2 CFR 200.208), indicate "YES" in the delegated functions column and provide details in the "Comments" field that specifies the location of award - specific terms and conditions in the award. The DODGARS at 2 CFR part 1120 specifies award format requirements as well as requirements for award-specific terms, which includes specific conditions. Also see references to award-specific conditions discussed in 2 CFR part 1136, Appendix C (OAR Article III), Section A.
B. Financial	
1. Payment Processing	The full scope of this function is described in the DoDGARs at 32 CFR 22.715, paragraph (f), and 22.810. For ONR-administered award, there are additional requirements related to payments with Institutions of Higher Education found in 32 CFR 22.520 (ROTC). Unless the awarding agency includes notes in the delegation form that indicate otherwise, this function is expected to include the processing of recipient-initiated or FAO-directed refunds, assuming the awarding office specifies a refund process that can be accepted by the FAO.

2. Interim Financial Reports	<p>This function involves the FAO receiving and reviewing these reports. If the award does not require interim financial reports, but instead relies on receiving this type of information from payment requests (i.e., the SF-270 as described in 2 CFR 1134.205(b)(2)) - this function should not be delegated to the FAO.</p> <ul style="list-style-type: none"> • FAOs can only perform this function, if the award requires the reports to be submitted to the FAO. • See the DoDGARs at 2 CFR part 1134, Appendix B (REP Article II), Section B.
3. Cash Management	<p>This function relates to monitoring cash on hand associated with Advance Payments. The preferred way of performing the cash management function is through the payment process because that process provides the Government a mechanism to resolve (i.e., reject a payment request) a determination that the recipient has excess cash on hand. When the payment process is delegated, the cash management function can only be performed in that process when advance payment/cash on hand information is provided. Currently, the SF 270 is the only OMB-approved form available to DoD that provides this information. If the awarding or payment office is requiring the use of the Nonprocurement Instrument (NPI) Voucher in WAWF, FAOs can only perform this function in the payment process when a SF-270 is attached to the NPI in WAWF. The NPI voucher does not have data fields to indicate whether a payment request constitutes an advance, whether the recipient has cash on hand, and if so how much. If cash management is delegated without the payment processing function, FAOs will perform this function through the reviews of the interim financial reports. In this case, any FAO determination that the recipient may have excess cash on hand would be reported only to the awarding office for them to decide whether to take action on a future or pending payment request. The DoDGARs at 2 CFR 1134.210(b)(3)(i) indicates that the frequency of interim financial reports can be "...no more frequently than quarterly except in unusual circumstances..."</p> <ul style="list-style-type: none"> • FAO can perform this function when the FAO is also delegated payment processing or delegated the review of interim financial reports. • This function, when combined with payments, is described at 32 CFR 32.810(c)(2)(iii). Other policy related to this function is in 2 CFR 300.305, particularly paragraph (b), and Treasury Financial Manual Volume 1, Part 4A, Chapter 2000.
4. Cost Sharing or Matching Reviews	<p>Unless the award specifies requirements for the recipient to comply with cost sharing or matching during the period of performance or with payment requests, this function would be expected to take place at the end of the award, i.e., with review of the final financial report. For award-specific delegations, this function should not be delegated if there is no cost sharing or matching required in the award.</p>
5. Program Income Reviews	<p>If the program/project funded by the award generates program income, this function would generally take place along with the reviews of Interim or Final Financial Reports.</p>
6. Prior Approval requests related to Direct Costs	<p>This function relates to the FAO receiving and reviewing post-award requests related for the inclusion of direct costs that require prior approval in accordance with the applicable cost principles and award terms and conditions. This function would not be necessary for costs in the approved budget that is attached to or referenced in the original award or a subsequent modification from the awarding office.</p> <ul style="list-style-type: none"> • See the DoDGARs at 2 CFR part 1128, Appendix D (FMS Article IV), Section B.1.d. This section of the DoDGARs implements 2 CFR 200.308(c)(4) and 200.407.
7. Audit Resolution	<p>This function includes resolution of audit findings from Single Audits (see 32 CFR 22.715(a)(4)) and any other audits that affect the award (e.g. DCAA audits). It also includes the responsibilities specified in 32 CFR 22.715(a)(3)(iii) to ensure recipient timely submission of Single Audits. For Single Audit follow-up requirements see DoD Instruction 7600.10 and any applicable component or awarding office policy.</p>

8. Collection of Amounts Due	See the DoDGARs at 32 CFR 22.820.
9. Claims and Disputes	This function relates to claims and disputes directed to the grants officer. The Grant Appeal Authority role is not delegated to the FAO, thus FAOs would not handle appeals directed to that role. <ul style="list-style-type: none"> • See the DoDGARs at 32 CFR 22.815.
10. Indirect Cost Rate Establishment	Awarding offices should indicate in the comments of the form whether the awarding agency believes indirect cost cognizance has not yet been established, e.g. particularly with new recipients. For for-profit recipients, DoD would generally be cognizant for establishing indirect cost rates. For recipients subject to the cost principles in 2 CFR part 200, another Federal Agency could be cognizant. It should be noted that indirect cost rate agreements are generally not issued to foreign recipients. There may not be any source online (or at least any government source) for identifying the cognizant agency for some types of recipients. For Institution of Higher Educations, ONR shows it's cognizant schools (but not it's nonprofits) at https://www.onr.navy.mil/work-with-us/manage-your-award/manage-grant-award#idc . <ul style="list-style-type: none"> • FAOs only perform this function when DoD is the Cognizant Agency for Indirect Costs. • See the DoDGARs at 32 CFR 22.715(e).
11. Final Financial Report	This function involves the FAO receiving and reviewing the report (e.g., SF-425). If the closeout function is delegated, this function should also be delegated as further described in the notes to the closeout function below (section I.I). <ul style="list-style-type: none"> • The FAO can only perform this function if the award requires the report to be submitted to the FAO. • See the DoDGARs at 2 CFR part 1134, Appendix B (REP Article II), Section C; and 2 CFR part 1136, Appendix F (OAR Article VI), Section C.2.
C. Property Administration	
1. Interim Property Reports and Notices	These reports relate to federally owned property or real property status reports. These reports do not relate to exempt property acquired or improved under the award, except for notices of loss, damage, or theft. This function involves the FAO receiving and reviewing the reports. <ul style="list-style-type: none"> • FAOs can only perform this function if award require the report or a notice of submission is be sent to the FAO. • See the DoDGARs at 32 CFR 22.715(b) and 2 CFR part 1134, Appendix C (REP Article III), Sections A.1, A.2, B.2, C.1, and C.2.
2. Interim Intangible Property Reports	These reports include interim reports (e.g., DD Form 882) and, when a subject invention is disclosed on those interim reports, an Invention Disclosure report (in accordance with the government wide patent clause referenced in 2 CFR part 1130, Appendix F (PROP Article VI)). This function involves the FAO monitoring timely receipt. <ul style="list-style-type: none"> • FAOs can only perform this function if award requires the reports or notices of submission to be submitted to the FAO. • See 2 CFR part 1134, Appendix C (REP Article III), Section D.1.

3. Final Intangible Property Reports	<p>This report includes the final report (e.g., DD Form 882) and, when a subject invention is disclosed on that report, an Invention Disclosure report (in accordance with the government wide patent clause referenced in 2 CFR part 1130, Appendix F (PROP Article VI)). This function involves the FAO monitoring timely receipt and confirming acceptance of those specific reports. When a positive (i.e., there is a subject invention) patent report has been submitted, the government wide patent clause has further requirements, but these typically shouldn't hold up the closeout due to the recipient's continuing responsibilities (see 2 CFR part 1136, Appendix G (OAR Article VII), Section B.2 and 2 CFR 200.345(a)(5)).</p> <ul style="list-style-type: none"> • FAOs can only perform this function if award requires the report or notice of submission to be submitted to the FAO. • See 2 CFR part 1134, Appendix C (REP Article III), Section D.1; and 2 CFR part 1136, Appendix F (OAR Article VI) Section C.3.
4. Property Disposition Requests, Closeout Reporting, and property-related notifications/approvals	<p>The function involves receiving and reviewing property disposition requests, closeout reporting (e.g., final property report, which includes exempt property), and property-related notifications (e.g., loss, damage, or theft) or approvals specified in the terms and conditions. Property disposition relates to federally owned property either transferred to or acquired under the award and would involve a screening process in determining proper disposition.</p> <ul style="list-style-type: none"> • See the DoDGARs at 32 CFR 22.715(b). • See 2 CFR part 1134, Appendix C (REP Article III), Sections B.3, B.4, C.3, C.4, and D.3; and 2 CFR part 1136, Appendix F (OAR Article VI), Section D.
D. Performance Reporting	
1. Interim Performance Reports	<p>This function only involves monitoring timely receipt of the reports, not review of content.</p> <ul style="list-style-type: none"> • FAOs can only perform this if the award requires the recipient to submit these reports or notices of submission to the FAO. • See the DoDGARs at 32 CFR 22.715(c); 2 CFR part 1134, Appendix A (REP Article I), Section B.
2. Final Performance Report	<p>This function involves the FAO confirming receipt and acceptance of the report by the responsible person designated for this function in the award.</p> <ul style="list-style-type: none"> • See the DoDGARs at 32 CFR 22.715(c); 2 CFR part 1134, Appendix A (REP Article I), Section B; and 2 CFR part 1136, Appendix F (OAR Article VI), Section C.1.
E. Procurement under an Award	
1. Remedies	<p>This function involves the FAO performing remedies except terminations, withholding of further federal awards for project/program, and suspension/debarment. Since the delegation for terminations is typically retained by the awarding offices, there is a separate row for this function.</p> <ul style="list-style-type: none"> • See the DoDGARs at 2 CFR part 1136, Appendix C (OAR Article III), particularly Section B.
F. Remedies and Terminations	

2. Terminations	<p>This function can be delegated to FAOs, but often is not.</p> <ul style="list-style-type: none"> • See the DoDGARs at 2 CFR part 1136, Appendix C (OAR Article III), particularly Section C.
G. Subawards	
1. Prior approval requests related to Subawards	<p>This function involves the FAO receiving and reviewing prior approval requests from recipients to make subawards that were not identified in the approved budget (if required by award Terms and Conditions) attached to or referenced in the original award or subsequent modification. FAOs will coordination with awarding office on such requests prior to approving or disapproving.</p> <ul style="list-style-type: none"> • See the DoDGARs at 2 CFR part 1128, Appendix D (FMS Article IV), Section B.1.f.
2. Receive notifications/requests related to subawards	<p>This function involves the FAO receiving notifications or any other requests (other than that in section I.G.1) related to subawards specified in the terms and conditions. Some examples of potential notices/requests are at 2 CFR part 1138 in Appendix B (SUB Article II) at Sections A.3.b., C.1.b.ii., C.2.c.iii.; Appendix D (SUB Article IV) at Section E; Appendix E (SUB Article V) at Sections B.2.a., F.2., and F.3.; Appendix I (SUB Article IX) at Section C.2.; Appendix J (SUB Article X) at Section B.1.c.iii.; and Appendix L (SUB Article XII) at Sections A.2., D.2.c., and G.1.b.</p>
H. Award Modifications	<p>This function involves the FAO issuing award modifications that do not affect funding, i.e., administrative modifications. These types of modifications do not include deobligations. The awarding office should specify any types of administrative modifications excluded from this delegation in the comments of the delegation form. When the FAO issues modifications, it also submits the modifications to EDA and action reports related to those modifications to FAADC. When the awarding office issuing modifications, the FAO does not submit those modifications to EDA or action reports related to those modifications to FAADC.</p>
I. Closeout	<p>This function involves the FAO performing administrative closeout procedures, see the DoDGARs 32 CFR 22.715(d). The full scope of closeout activities performed is dependent on other functions selected in the form. Some of the functions typically associated with closeout activities include those specified in the aforementioned sections of this form: I.B.7 (audit resolution), I.B.8 (collection of amounts due), I.B.11 (final financial reports), I.C.3 (final intangible property reports), I.C.4 (property disposition), I.D.2 (final performance report), and sometimes I.B.10 (indirect cost rate establishment). When FAOs receive delegation for closeout that includes the typical functions mentioned above, particularly the financial-oriented functions, FAOs will issue a DD1594 or its electronic equivalent (EDI 567C) either directly to the awarding office or to EDA.</p>
II. Nonstandard Functions that DoD Awarding Office is requesting to delegate to the DoD FAO	Background/Instructions/Clarifications
Requested functions would be named in this part of the form	<p>It is recommended that these additional functions be requested prior to issuing the award or the delegation form. This form should not be used to request FAO functions supporting pre-award activities (e.g., pre-award risk assessment). Due to the broad scope of Single Audits, system reviews are rarely needed for assistance awards. However, if the awarding office believes a post-award system review might be needed, it should contact the FAO separately to discuss, rather than using this delegation form. See the DoDGARs at 32 CFR 22.715.</p>