



OFFICE OF THE UNDER SECRETARY OF DEFENSE
3030 DEFENSE PENTAGON
WASHINGTON, DC 20301-3030

MEMO

FOR: DEFENSE GRANT AGENCY AND DOD GRANT FIELD ACTIVITY DIRECTORS

FROM: BINDU NAIR, ACTING DIRECTOR DOD GRANTS POLICY OFFICE

SUBJECT: DoD Grant and Agreement Regulations Deviation For Updating Language in 32 Code of Federal Regulations, Section 21 “DoD Grants And Agreements- General Matters”

This memorandum authorizes a formal policy deviation below from DoD Grant and Agreement Regulations (DoDGARs) Subpart E, §§ 21.500 - 21.565, “Information Reporting on Awards Subject to 31 U.S.C. Chapter 61,” to update reporting guidance and language to reflect new database names for assistance listings information, storage, reporting, and updated terms.

Specific updates include:

- Replacing “Catalog of Federal Domestic Assistance” or “CFDA” with the new term, “Assistance Listing”;
- Replacing “Defense Assistance Awards Data System” or “DAADS” with the new database, “Financial Assistance Award Data Collection” or “FAADC”; and
- Updating url locations and clarifying instructions for DoD Component office reporting actions regarding assistance listings.

Please direct all correspondence on this effort to the DoD Grants office at osd.pentagon.ousd-r-e.mbx.dod-grants-policy-office@mail.mil

Dr. Bindu Nair
Acting Director DoD Grants Policy Office



RESEARCH
AND ENGINEERING

OFFICE OF THE UNDER SECRETARY OF DEFENSE

3015 DEFENSE PENTAGON
WASHINGTON, DC 20301-3015

§21.500 What is the purpose of this subpart?

This subpart prescribes policies and procedures for compiling and reporting data related to DoD awards and programs that are subject to information reporting requirements of 31 U.S.C. chapter 61. That chapter of the U.S. Code requires the Office of Management and Budget to maintain a Government-wide information system to collect data on Federal agencies' domestic assistance awards and programs.

[↑ Back to Top](#)

§21.505 What are the Assistance Listings, formerly known as the Catalog of Federal Domestic Assistance (CFDA)?

The Assistance Listings module within SAM.gov (formerly CFDA) is a Government-wide compilation of information about assistance programs. The Assistance Listings module covers all assistance programs and activities, regardless of the number of awards made under a program, the total dollar value of assistance provided, or the duration. In addition to programs using grants and agreements, covered programs include those providing assistance in other forms, such as payments in lieu of taxes or indirect assistance resulting from Federal operations.

Assistance Listings are stored on www.sam.gov and assistance awarding offices must have a valid assistance number prior to posting a notice of funding opportunity on www.grants.gov. Information on how to search or create an assistance number can be found in the Assistance Listings Guide located in www.FSD.gov – Knowledge Base – Assistance Listings.

Information in the Assistance Listings must be updated annually by the originating office for each Assistance Listing.

[68 FR 47153, Aug. 7, 2003, as amended at 85 FR 51240, Aug. 19, 2020]

[↑ Back to Top](#)

§21.510 Why does the DoD report information to the Assistance Listings?

The Federal Program Information Act (31 U.S.C. 6101 through 6106), as implemented through Office of Management and Budget (OMB) guidance at 2 CFR 200.202, requires the Department of Defense and other Federal agencies to provide certain information about their assistance



RESEARCH
AND ENGINEERING

OFFICE OF THE UNDER SECRETARY OF DEFENSE

3015 DEFENSE PENTAGON
WASHINGTON, DC 20301-3015

programs to the OMB and the General Services Administration (GSA). The GSA makes this information available to the public by publishing it in www.Sam.gov.

[68 FR 47153, Aug. 7, 2003, as amended at 85 FR 51240, Aug. 19, 2020]

[↑ Back to Top](#)

§21.515 Who reports the information for the Assistance Listings?

(a) Each DoD Component that provides financial assistance must:

(1) Report to the DoD Grants Policy Office and Financial Assistance Award Data Collection (FAADC) Administrator all new programs and changes as they occur or as the DoD Component submits its annual updates to existing Assistance Listing information. FAADC is further described in § 21.520 through 21.555.

(2) Identify, to the DoD Grants Policy Office and the DoD FAADC Administrator, a point-of-contact who will be responsible for reporting the program information and for responding to inquiries related to it.

(b) The DoD Grants Policy Office and the DoD FAADC Administrator are the Department of Defense's offices with whom each DoD Component liaison collects and compiles such program information work to report the information to OMB and GSA.

(1) The Component liaison shall report and include the legal authorization to the DoD Grants Policy Office for the new Assistance Listings that the DoD Component creates.

[85 FR 51240, Aug. 19, 2020]

[↑ Back to Top](#)

§21.520 What are the purposes of the Financial Assistance Award Data Collection (FAADC)?

FAADC is an electronic version of the former DD Form 2566 "Assistance Award Action Report." FAADC replaced DD Form 2566 to collect post-award information. DD Form 2566 shall no longer be used to collect post-award information.



OFFICE OF THE UNDER SECRETARY OF DEFENSE

3015 DEFENSE PENTAGON
WASHINGTON, DC 20301-3015

RESEARCH
AND ENGINEERING

Data from FAADC are used to provide:

- (a) DoD inputs to meet statutory requirements for Federal Government-wide reporting of data related to obligations of funds by assistance instrument.
- (b) A basis for meeting Government-wide requirements to report to USASpending.gov (or any successor site designated by OMB) and for preparing other recurring and special reports to the President, the Congress, the Government Accountability Office, and the public.
- (c) Information to support policy formulation and implementation and to meet management oversight requirements related to the use of awards.

[68 FR 47153, Aug. 7, 2003, as amended at 85 FR 51240, Aug. 19, 2020]

[↑ Back to Top](#)

§21.525 Who issues policy guidance for FAADC?

The DoD Grants Policy Office, in coordination with the DoD FAADC Administrator, issues necessary policy guidance, instructions, and requirements for the use of FAADC.

[68 FR 47153, Aug. 7, 2003, as amended at 85 FR 51241, Aug. 19, 2020]

[↑ Back to Top](#)

§21.530 What are the responsibilities of the DoD FAADC Administrator?

The DoD FAADC Administrator, consistent with guidance issued by the Deputy Director of Research and Engineering for Research and Technology (DDRE(R&T)):

- (a) Processes FAADC information twice a month and submits the DoD Assistance Awards to USASpending.gov according to DATA Act (Public Law 113-101), Section 994-3, “Full Disclosure Of Federal Funds,” and prepares recurring and special reports using such information in support to the DoD Grants Policy Office.
- (b) Prepares, updates, and disseminates instructions for data calls on reported information to FAADC. The instructions are to specify procedures, formats, and editing processes to be used by the DoD Components, including record layout, submission deadlines, media, methods of submission, and error correction schedules.



OFFICE OF THE UNDER SECRETARY OF DEFENSE

3015 DEFENSE PENTAGON
WASHINGTON, DC 20301-3015

RESEARCH
AND ENGINEERING

[85 FR 51241, Aug. 19, 2020]

[↑ Back to Top](#)

§21.535 Do DoD Components have central points for collecting post-award information reported into FAADC?

Each DoD Component must have a central point for collecting information to be reported into FAADC from assistance awarding activities within that DoD Component. The central points are as follows:

- (a) For the Army: As directed by the U.S. Army Contracting Support Agency.
- (b) For the Navy: As directed by the Office of Naval Research.
- (c) For the Air Force: As directed by the Office of the Secretary of the Air Force, Acquisition Contracting Policy and Implementation Division (SAF/AQCP).
- (d) For the Office of the Secretary of Defense, Defense Agencies, and DoD Field Activities: Each Defense Agency must identify a central point for collecting and reporting post-award information to the Defense Agency's FAADC Administrator. The DoD FAADC Administrator serves as the central point for offices and activities within the Office of the Secretary of Defense and for DoD Field Activities.

[68 FR 47153, Aug. 7, 2003, as amended at 85 FR 51241, Aug. 19, 2020]

[↑ Back to Top](#)

§21.540 What are the duties of the DoD Components' central points for FAADC?

The office that serves, in accordance with §21.535, as the central point for collecting FAADC information from assistance awarding offices within each DoD Component must:

- (a) Establish internal procedures to ensure accurate and timely reporting compliance.
- (b) Ensure each assistance awarding office within their DoD Component reports the information required by the FAADC Help Guide to FAADC, in accordance with §§ 21.545 through 21.555.



RESEARCH
AND ENGINEERING

OFFICE OF THE UNDER SECRETARY OF DEFENSE

3015 DEFENSE PENTAGON
WASHINGTON, DC 20301-3015

(c) Train and support assistance awarding offices with FAADC user registrations. Note that the FAADC Help Guide, which a registered FAADC user may find at the Federal Procurement Data System (FPDS) website (<https://www.fpds.gov>) under the Worksite - FAADC V1.1 section, provides further information about the data collected in FAADC.

(d) Collect and consolidate information from assistance awarding offices to respond to assistance awards data calls from the DoD Grants Policy Office and/or the DoD FAADC Administrator.

(e) Submit any recommended changes to FAADC to the DoD FAADC Administrator.

[68 FR 47153, Aug. 7, 2003, as amended at 85 FR 51241, Aug. 19, 2020]

[↑ Back to Top](#)

§21.545 Must DoD Components report every assistance award, regardless of the award's dollar value, to FAADC?

Yes. Per the Digital Accountability and Transparency Act of 2014 (DATA Act); OMB Memorandum M-21-03, "Improvements in Federal Spending Transparency for Financial Assistance"; and OMB Memorandum M-22-02, "New Financial Assistance Transparency Reporting Requirements," DoD Components must report all assistance awards, regardless of whether the award is funded or not. This includes obligations, deobligations, non-funded actions, administrative changes, etc. If an assistance award includes more than one Assistance Listing the awarding officer shall report all Assistance Listings for that award, with their associated funding, to FAADC.

[↑ Back to Top](#)

§ 21.550 Must DoD Components relate reported actions in the Assistance Listings?

Yes, DoD Components' central points must report each action as an obligation or deobligation under a specific listing in the Assistance Listings (see § 21.505). The Assistance Listing(s) to be reported is/are the Assistance Listing(s) corresponding to the assistance award(s) that provided the funds being obligated or deobligated. For example, if a grants officer or agreements officer in one DoD Component obligates a second DoD Component's funds in making an assistance award, the grants officer or agreements officer must report the second DoD Component's Assistance Listing in FAADC.



RESEARCH
AND ENGINEERING

OFFICE OF THE UNDER SECRETARY OF DEFENSE

3015 DEFENSE PENTAGON
WASHINGTON, DC 20301-3015

[↑ Back to Top](#)

§21.555 When and how must DoD Components report to FAADC?

DoD Components must report:

(a) All assistance awards data - including non-funded transactions - that make a change to the basic award information shall be submitted into FAADC within 15 days of the award obligation to enable DoD to meet statutory requirements in the Federal Funding Accountability and Transparency Act (FFATA) (Public Law 109-282) and the Digital Accountability and Transparency Act of 2014 (DATA Act). The standard method for electronic submission of assistance awards data is through the FAADC website at <https://www.fpds.gov/>, under the Assistance tab.

(b) Using a method and in a format permitted either by the FAADC Help Guide described in §21.540(b) or by agreement with the DoD FAADC Administrator via an FPDS certified awarding system. Contact the DoD FAADC Administrator or the FPDS Help Desk for details on how to certify an awarding system for electronic data transactions with FAADC.

[85 FR 51241, Aug. 19, 2020]

[↑ Back to Top](#)

§21.560 Must DoD Components assign numbers uniformly to awards?

Yes, DoD Components must assign identifying numbers to all awards subject to this subpart, including grants, cooperative agreements, and technology investment agreements. The uniform numbering system parallels the procurement instrument identification (PII) numbering system specified in 48 CFR 204.70 (in the “Defense Federal Acquisition Regulation Supplement”), as follows:

(a) The first six alphanumeric characters of the assigned number must be identical to those specified by 48 CFR 204.7003(a)(1) to identify the DoD Component and contracting activity.

(b) The seventh and eighth positions must be the last two digits of the fiscal year in which the number is assigned to the grant, cooperative agreement, or other non-procurement instrument.



RESEARCH
AND ENGINEERING

OFFICE OF THE UNDER SECRETARY OF DEFENSE

3015 DEFENSE PENTAGON
WASHINGTON, DC 20301-3015

(c) The 9th position must be a number:

(1) "1" for grants.

(2) "2" for cooperative agreements, including technology investment agreements that are cooperative agreements (see Appendix B to 32 CFR part 37).

(3) "3" for other non-procurement instruments, including technology investment agreements that are not cooperative agreements.

(d) The 10th through 13th positions must be the serial number of the instrument. DoD Components and contracting activities need not follow any specific pattern in assigning these numbers and may create multiple series of letters and numbers to meet internal needs for distinguishing between various sets of awards.

[↑ Back to Top](#)

§21.565 Must DoD Components' electronic systems accept the Unique Entity Identifier (UEI) number replacement of Data Universal Numbering System (DUNS) numbers?

The DGARs requires DoD Components to comply with paragraph 5.e of the OMB policy directive "Requirement for a DUNS number in Applications for Federal Grants and Cooperative Agreements."² This requires electronic systems that handle information about grants and cooperative agreements (which, for DoD, include Technology Investment Agreements) accept DUNS numbers. In FY 2022 the Federal Government will transition from DUNS numbers to Unique Entity Identifier (UEI) numbers. OMB will update paragraph 5.e to transition assistance awards system requirements to UEI numbers. This transition will include:

(a) Each DoD Component that awards or administers grants or cooperative agreements and provided a DUNS number will be provided a UEI number that is accepted by each system for which the DoD Component controls the system specifications.

(b) Assistance awards system administrators shall comply with following required system and number changes:

(1) Active registrants will have their UEI numbers assigned and viewable within SAM.gov

FOR OFFICIAL USE ONLY



RESEARCH
AND ENGINEERING

OFFICE OF THE UNDER SECRETARY OF DEFENSE

3015 DEFENSE PENTAGON
WASHINGTON, DC 20301-3015

- (2) The UEI number will not contain the registrant's Electronic Funds Transfer (EFT) indicator.
- (c) The new UEI number will be stored as a 12-character, alpha-numeric value within databases and passed as such within interfaces and extracts (note: DUNS is a nine-digit numeric code). This 12-character value will adhere to the following rules:
 - (1) The letters "O" and "I" shall not be used to avoid confusion with zero and one.
 - (2) The first character will not be zero to avoid cutting off digits that can occur during data imports, for example, when importing data into spreadsheet programs.
 - (3) Nine-digit sequences will not be used in the identifier to avoid confusion with the nine-digit DUNS number or Taxpayer Identification Number (TIN).
 - (4) The first five characters will be structured to avoid confusion with the Commercial and Government Entity code formatting or CAGE code.
 - (5) The UEI number will not be case sensitive.
 - (6) The final character will be a checksum of the first 11 characters. Checksums are used to detect errors within data.
- (d) If the specifications of a DoD Component's assistance award writing system are subject to another organization's control and the system cannot accept UEI numbers, the DoD Component must alert that organization to the OMB policy directive's requirement for use of UEI numbers with a copy to: Director for Basic Research, OUSD(R&E), 3040 Defense Pentagon, Washington, DC 20301-3040.
- (e) This OMB policy directive is available at:
http://www.whitehouse.gov/omb/grants/grants__docs.html.

FOR OFFICIAL USE ONLY

OFFICE OF THE UNDER SECRETARY OF DEFENSE

3015 DEFENSE PENTAGON
WASHINGTON, DC 20301-3015



RESEARCH
AND ENGINEERING

[72 FR 34986, June 26, 2007, as amended at 85 FR 51241, Aug. 19, 2020]

[↑ Back to Top](#)

[Need assistance?](#)

DoDGARs . . .	which addresses . . .	applies to . . .
Part 21 (32 CFR part 21), all but Subparts D and E	The Defense Grant and Agreement Regulatory System and the DoD Grant and Agreement Regulations	"awards," which are grants, cooperative agreements, technology investment agreements (TIAs), and other nonprocurement instruments subject to one or more parts of the DoDGARs.
Part 21 (32 CFR part 21), Subpart D	Authorities and responsibilities for assistance award and administration	grants, cooperative agreements, and TIAs.
Part 21 (32 CFR part 21), Subpart E	DoD Components' information reporting requirements	grants, cooperative agreements, TIAs, and other nonprocurement instruments subject to reporting requirements in 31 U.S.C. chapter 61.
Part 22 (32 CFR part 22)	DoD grants officers' responsibilities for award and administration of grants and cooperative agreements	grants and cooperative agreements other than TIAs.
Part 26 (32 CFR part 26)	Governmentwide drug-free workplace requirements	grants, cooperative agreements and other financial assistance instruments, including TIAs, that are included in the definition of "award" at 32 CFR 26.605.
Part 28 (32 CFR part 28)	Governmentwide restrictions on lobbying	grants, cooperative agreements and other financial assistance instruments, including TIAs, that are included in the definitions of "Federal grant" and "Federal cooperative agreement" at 32 CFR 28.105.
Part 32 (32 CFR part 32)	Administrative requirements for grants and agreements with institutions of higher education, hospitals, and other non-profit organizations	grants, cooperative agreements other than TIAs, and other assistance included in "award," as defined in 32 CFR 32.2. Portions of this part apply to TIAs, but only as 32 CFR part 37 refers to them and makes them apply.
Part 33 (32 CFR part 33)	Administrative requirements for grants and agreements with State and local governments	grants, cooperative agreements other than TIAs, and other assistance included in "grant," as defined in 32 CFR 33.3. Portions of this part apply to TIAs, but only as 32 CFR part 37 refers to them and makes them apply.
Part 34 (32 CFR part 34)	Administrative requirements for grants and agreements with for-profit organizations	grants and cooperative agreements other than TIAs ("awards," as defined in 32 CFR 34.2). Portions of this part apply to TIAs, but only as 32 CFR part 37 refers to them and makes them apply.
Part 37 (32 CFR part 37)	Agreements officers' responsibilities for award and administration of TIAs	TIAs. Note that this part refers to portions of DoDGARs parts 32, 33, and 34 that apply to TIAs.
Part 1125 (2 CFR part 1125)	Governmentwide debarment and suspension requirements	nonprocurement generally, including grants, cooperative agreements, TIAs, and any other instruments that are covered transactions under OMB guidance in 2 CFR 180.210 and 180.215, as implemented by 2 CFR part 1125, except acquisition transactions to carry out prototype projects (see 2 CFR 1125.20).