

## **PART 2**

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#### **2.1 PLANNING**

##### **PROCEDURE:**

(a) Program Office staff shall contact the appropriate FAO during the initial planning phase to begin collaboration on the most effective approach and instrument for projects that rely upon financial assistance by BPA.

(b) Issues to be resolved collaboratively during the planning process include the following:

- (1) What public purpose is to be supported?
- (2) What result does BPA expect to achieve?
- (3) Is financial assistance the most appropriate instrument?
- (4) Is substantial involvement by BPA essential?
- (5) What funding is available?
- (6) Who will be eligible applicants?
- (7) How will potential applicants be notified of the availability of financial assistance?
- (8) How will award decisions be made?
- (9) What time parameters apply?
- (10) Are any special approvals required?
- (11) Is there any critical or sensitive information to be exchanged during the project?

**POLICY:** The FAO shall convene Strategy panels when deemed necessary. Assistance awards or groups of related awards in excess of \$500,000 should be examined to determine if a panel would be productive. See BPI 6.15 for procedures to be adopted as appropriate to financial assistance program and award considerations.

#### **2.2 PREAWARD DOCUMENTATION**

##### **PROCEDURE:**

(a) Following the planning phase, the program office is responsible for the following documentation:

- (1) Requisition authorizing funds for the award
- (2) Special program approvals, authorizations, or unique source justifications if needed;
- (3) Program-specific information needed for the award, including project description, objectives, etc.; and
- (4) List of potential applicants/recipients.

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(5) Evidence of Compliance with FISMA requirements including documentation from BPA Cyber Security Office. The program office shall complete the Test for Applying FISMA Form and if required, obtain the Self Attestation form from the Recipient.

(b) The FAO is responsible for including information about the decisions made during the solicitation phase in the DAD (BFAI 4.13).

### **2.3 SOLICITATION**

**INFORMATION:** A formal solicitation or a general announcement of availability may be used to advise prospective applicants of BPA financial assistance funding opportunities.

The FAO and the Program office will jointly determine the method of advertising/soliciting prospective applicants. In some cases, mass media outlets may be used and in other cases, a targeted audience will be preferred. The FAO will document how the targeted audience was selected. (for example, some Energy Efficiency projects may only be advertised to Utilities in the BPA Service Area.)

**PROCEDURE:** No standard format for a financial assistance solicitation is required. The following information should be made available to potential applicants:

(a) Program description and objectives which may include meeting agency goals such as providing electric energy cheaply and efficiently within the region, encouraging energy conservation and efficiency, encouraging development of renewable energy, protecting and enhancing fish and wildlife;

(b) Restrictions on eligibility, if any;

(c) Instructions to applicants;

(d) Explanation of how applications will be evaluated;

(e) Terms and conditions of award;

(f) Time schedule and point of contact; and

(g) Cost sharing requirements, if any.

**PROCEDURE:** If non-BPA evaluators are used, include this information to avoid possible conflicts of interest or appearance of bias. See Standards of Conduct for Purchasing and Assistance Personnel, BPI Appendix 3-A.

**PROCEDURE:** FAOs shall document in the DAD the rationale used to determine how solicitation recipients were identified and contacted. (BFAI 4.13)

### **2.4 APPLICATION PROCESS**

**POLICY:** All applicants requesting financial assistance from BPA must submit a written application. The detail provided should be proportionate to the amount of the request, the complexity and risk of the project.

**PROCEDURE:** The FAO shall request sufficient information from the applicant to make an informed decision. The FAO may use page limits and any other reasonable measures to reduce the administrative burdens of the application and decision process. The use of Standard Form 424, Application for Federal Assistance, is optional. The applicant must provide to the FAO the following information, and any other program-specific data that is relevant:

(a) Summary statement

(b) Description of the project

(c) Why the project is needed or merits support

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- (d) The total budget for the project
- (e) The amount of financial assistance requested of BPA
- (f) Amounts and sources of other contributions
- (g) Estimated start and completion dates
- (h) Information about the applicant
  - (1) Identifying information about the organization and the person responsible for the activity to be funded
  - (2) A description of the organization and its qualifications to carry out the activity
  - (3) Financial information and responsible auditing agency
- (i) Information about the proposed project
  - (1) Description of what the project will do and who will benefit
  - (2) Project goals and specific, measurable objectives
  - (3) Explanation of how the project will be organized and executed
  - (4) Time schedule
  - (5) Description of how results and effectiveness will be measured
  - (6) Project personnel and their qualifications
- (j) Budget
  - (1) Total project costs and major cost elements
  - (2) Description of how BPA funds will be used and over what time periods
  - (3) Explanation of any cost sharing, estimated program income, etc.

**2.5 PUBLICITY FOR FINANCIAL ASSISTANCE PROGRAMS**

**POLICY:** BPA shall assure adequate public notice to allow potential applicants time to prepare a request for funding.

**PROCEDURE:**

- (a) The availability of BPA financial assistance may be announced in whatever manner will reach the intended audience.
- (b) Program staff is responsible for proactively seeking financial assistance applicants in appropriate circumstances.