



**Northern Border  
Regional Commission**

# **Forest Economy Program New Grantee Training 2023**

**[www.nbrc.gov](http://www.nbrc.gov)**



# **Agenda**

- 1. Staff Introductions**
- 2. NBRC Overview**
- 3. Award Process and Project Initiation**
- 4. NEPA Review**
- 5. Local Development Districts – quick review**
- 6. Reimbursements**



# **Agenda**

- 7. Reporting requirements**
- 8. Procurement**
- 9. Property**
- 10. Project Oversight**
- 11. Changes in a Project**
- 12. Project Close-Out**
- 13. Resources and Wrap-Up**



# Northern Border Regional Commission

## Meet the NBRC Staff

- **Chris Saunders, Federal Co-Chair**
- **Rich Grogan, Executive Director**
- **Andrea Smith, Program Director**
- **Molly Taflas, Deputy Executive Director**
- **William Gallagher, Administrative Officer**
  - Administrative Contracts, Accounting
- **Adrienne Harrison, Program Manager, IIJA**
- **Marina Bowie, Program Manager, FEP**
  - Forest Economy Program, USDA, Outdoor Recreation Economies
- **Tom Sidor, Budget Analyst**
- **Jon O'Rourke, Senior Program Specialist**
  - Programmatic Monitoring, Amendments, Federal Regulation expertise



## Meet the NBRC Staff

- **Sarah Lang, Program Specialist**
  - Capacity, Reimbursements, Close-outs, Reporting
- **Georgia Cassimatis, Program Specialist**
  - Constant Contact, Website, USDA, Reporting
- **Casey Haynes, Program Specialist**
  - Reimbursements, Close-outs, Reporting
- **Malana Tamer, Program Specialist**
  - Reimbursements, Close-outs, Reporting
- **Elizabeth Cross, Rural Health Coordinator**
- **Austin Rizzo, the Clark Group, NEPA consultant**



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# **NBRC Overview**



## **Mission and Authority**

- The mission of the Northern Border Regional Commission is to catalyze regional, collaborative and transformative community economic development approaches that alleviate economic distress and position the region for economic growth
- The Commission was enacted by Congress through the 2008 Farm Bill which amended 40 US Code to include the creation of the NBRC
- The statutory authority is based on one vote of the Federal Co-Chair and the collective votes of the four Governors
- The NBRC was reauthorized in the 2014 Farm Bill and again in 2018



## **Commission Service Area**

**Only projects within NBRC's service area are eligible for funding:**

**Maine:** Androscoggin, Aroostook, Franklin, Hancock, Kennebec, Knox, Oxford, Penobscot, Piscataquis, Somerset, Waldo, and Washington

**New Hampshire:** Belknap, Carroll, Cheshire, Coös, Grafton, and Sullivan

**New York:** Cayuga, Clinton, Essex, Franklin, Fulton, Genesee, Greene, Hamilton, Herkimer, Jefferson, Lewis, Livingston, Madison, Montgomery, Niagara, Oneida, Orleans, Oswego, Rensselaer, St. Lawrence, Saratoga, Schenectady, Seneca, Sullivan, Warren, Washington, Wayne, and Yates counties.

**Vermont:** all counties within the State





## **Federal-State Partnership**

The States play a crucial role in the NBRC as they partner with the Federal Government to focus NBRC funding strategies and prioritize investments.

- **The Commission:** The decision-making process of the Commission is comprised of five voting members including a Federal Co-Chair, who is appointed by the President following confirmation by the Senate, and the Governors of Maine, New Hampshire, Vermont, and New York
- **Governor's Alternates:** The Governors are represented on the NBRC by their chosen alternate
- **State Program Managers:** The Governor's Alternates assign NBRC partnership duties to a State Program Manager. The SPMs serve as the primary point of contact for entities interested in NBRC funding



## **Investments Across the Region**

To date, NBRC has awarded approximately \$15.7 million in support of projects ranging from forest economy workforce development to demonstration of new wood product innovations, projects that address the availability of quality workforce housing, and other projects that directly and indirectly support the forest products economy.

Including Forest Economy projects, NBRC currently has approximately 200 open grants.



## Eligibility Criteria

By statute ([40 U.S.C. §15702](#)), the NBRC is required to annually assess the level of economic and demographic distress in its service area. The resulting designations reflect whether the NBRC can provide grants within a county

Counties are designated per the categories below:

**Distressed:** Eligible for 80% funding and require a 20% match

**Transitional:** Eligible for 50% funding and require a 50% match

**Attainment:** Ineligible for funding, unless it is determined that a specific municipality within the county is distressed, or the project has a greater effect on distressed and transitional counties surrounding it

\*the match requirement may differ from the above if a grantee submitted a COVID match waiver request at the time of their application submittal



## **Federal Funding Ceiling**

- No more than 80% of a total project cost can be comprised of federal funds, including those funds awarded by NBRC.
- Loans and tax credits do not count toward the federal funding ceiling
- It is equally important for applicants to check with other federal sources, as each federal agency may have its own restrictions.
- For example, if an applicant receives \$100,000 from another federal source, such as the Economic Development Administration, and the total project cost is \$200,000, the total NBRC award could not exceed \$60,000



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# **Award Process and Project Initiation**



# **Award Process and Project Initiation**

## **Step 1: Notice of Award**

- NBRC notifies all successful entities of their award, including the amount of the award by the end of June.
- Once awards are made, NBRC works with grantees to submit any missing application support documents or documents that need to be corrected (i.e., revised project budget to reflect reduced award)

Notice of award is not approval to expend funds. A Notice to Proceed must be issued in order to expend any funds include matching funds



# **Award Process and Project Initiation**

## **Step 2: Grant Agreement**

- Once all required application support documents have been obtained, NBRC issues Grant Agreements for projects. The grant agreement will contain among other things, the following:
  - The NBRC Grant Agreement Number: This number must be included in all documentation and emails that are sent to the States or NBRC offices. (e.g., NBRC23GRF04)
  - Contact information for both the grantee and NBRC
  - Please notify NBRC if contact information changes, send changes to [admin@nbrc.gov](mailto:admin@nbrc.gov) utilizing the Key Contacts Form (OMB#4040-0010)



# Award Process and Project Initiation

## Step 3: Obligation of Federal Funds

- Once a Grant Agreement is executed, and NBRC is provided with the SF-3881 ACH Form (EFT), and the acknowledgement page of the NBRC Compliance Manual, obligation of federal funds can be requested
- Having federal funds obligated **does not** allow a grantee to begin spending project funds
- A grantee must have a Notice to Proceed in order to expend funds





# **Award Process and Project Initiation**

## **Step 4: NEPA**

- NBRC will work with our environmental consultant to review NEPA intake forms to determine what level of NEPA review is needed
- NBRC notifies grantee of what NEPA documentation needs to be completed and submitted.
- If NEPA is being completed for another federal funder we may be able to adopt their findings
- Depending on the level of environmental review, NEPA may be a longer process that can be completed in parallel to gathering other required information to receive a Notice to Proceed



# **Award Process and Project Initiation**

## **Step 4: Securing Match/Cost Share**

- Documentation of committed match/cost share (NBRC Form 1002) together with letters of commitment from match/cost share sources must be submitted in order to receive a Notice to Proceed
- Refer to the grant agreement and NBRC's Grant Administration and Compliance Manual for additional guidance on the documentation needed to secure a Notice to Proceed



# Award Process and Project Initiation

## Step 5: Notice to Proceed

- The Notice to Proceed is the official 'ok' to begin spending project funds
- **No reimbursements** will be processed for work conducted prior to the date of the Notice to Proceed
- **No match/cost share** will be counted that is expended prior to receiving a Notice to Proceed



## Award Process and Project Initiation

### Step 5 Continued: Notice to Proceed

The following items **MUST** be in place to receive a Notice to Proceed:

- All match/cost share listed in the grant agreement must be committed (using NBRC Form 1002) listing committed match/cost share
- LDD grant administration contract, if you choose to work with an LDD. Note – Forest Economy projects are *not* required to use an LDD for project administration, however LDDs are a great resource if needed
- SF3881 Automated Clearing House (ACH) Enrollment Form
- NEPA review completed

\*Additionally, a Notice of Federal Interest may be required when purchase, construction, or renovation of real property is completed using the NBRC award. See compliance manual for other requirements for land, real property, equipment etc.



## **Key Terms**

- **Period of Performance:** this is the start and end date of the project to be completed for the grant agreement between grantee and NBRC. Please see your executed grant agreement for your project's performance period. 2023 Forest Economy Program awards will be July 1, 2023 – June 30, 2026
- **NBRC Grant Amount:** The grant amount cannot be increased for any reason. Overruns on projects are the responsibility of the grantee
- **Required Match/Cost Share:** This is the amount of other funds that must be documented during the project period



## Key Terms

- **Indirect Cost Rate:** This is the approved rate that has been agreed upon by the grantee and their Federal Cognizant Agency for indirect costs. All invoices must use this rate when specific services as outlined are performed by the grantee. This is NOT a rate to be used by any subcontractor or consultant
- **Budget:** Line items of expenditures. These line items may not be changed by the recipient without prior written approval by NBRC (2 CFR 200.308)
- **Grant Provisions:** The laws and agreements that a grantee is required to follow as part of the contract with a federal awarding agency



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# **NATIONAL ENVIRONMENTAL POLICY ACT (NEPA)**



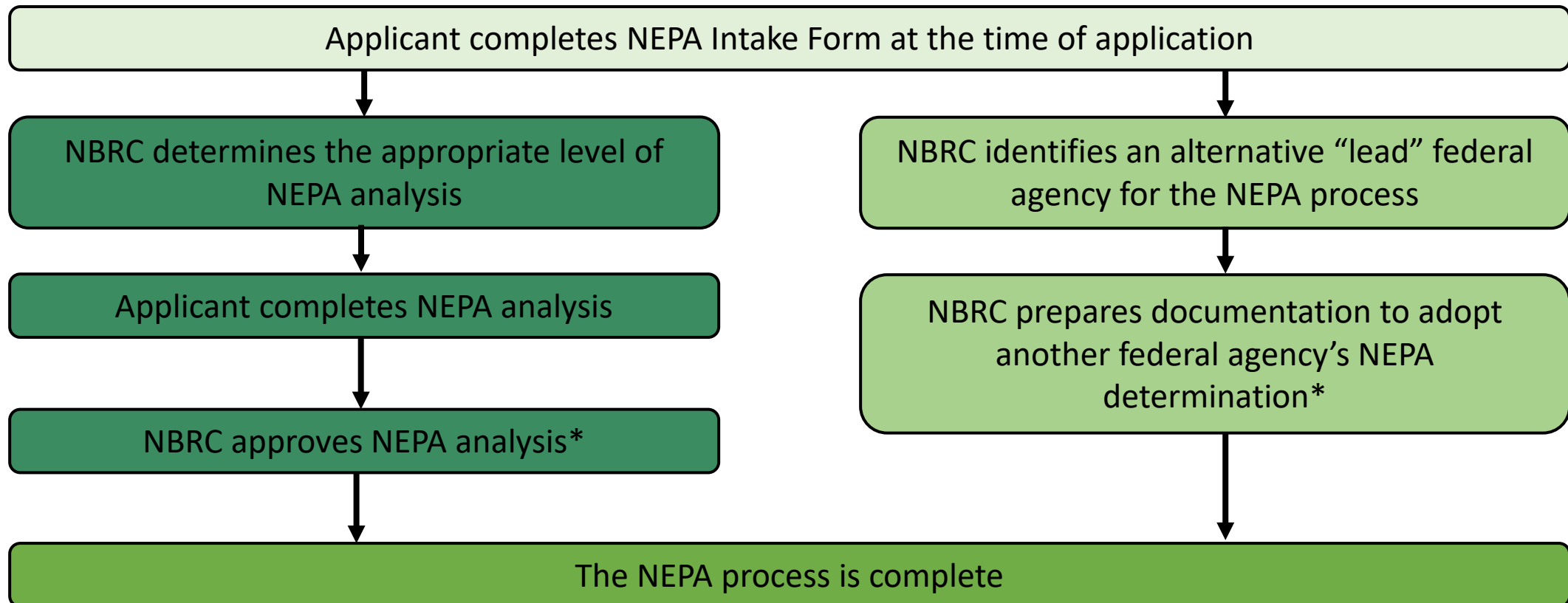
## What is NEPA?

- Enacted in 1970, the National Environmental Policy Act (NEPA) is a law that requires federal agencies to consider the environmental impacts of their actions and decisions before they act
- NEPA does not require that the action with the least environmental impact is taken but that the consideration of potential environmental impacts be part of agency decision-making





## NBRC's NEPA Processes



\*A public comment period may be required after this step



## **Levels of NEPA analysis**

- Categorical Exclusion (CATEX): A category of actions that is predetermined to not individually or cumulatively have a significant effect on the human environment (i.e., planning only, workforce training programs)
- Environmental Assessment (EA): Prepared when an action may or may not cause significant impacts
- Environmental Impact Statement (EIS): Prepared when an action is expected to cause a significant impact on the human environment



## **Levels of NEPA analysis**

- Categorical Exclusion (CATEX)
  - Typically for renovation and non-construction activities
  - Brief review, no public comment period unless another federal requirement is triggered
- Environmental Assessments (EAs)
  - Typically for new construction activities
  - More robust review typically ranging from 6 – 12+ months, includes a 30-day public comment period



## **NEPA Resources**

- **NBRC Staff/The Clark Group**
- **Local Development Districts**
  - Some LDD partners are familiar with completing NEPA (whether a prior NBRC award or through other federal funders). If an LDD can assist a grantee with completion of NEPA, this is an eligible NBRC cost and is separate from the 2% grant administration allowance. If a grantee needs assistance with completing NEPA and access to NBRC grant funds to complete NEPA, they should contact NBRC directly.



## **NEPA Resources**

- **Contractors**
  - In some instances, it may make sense for an applicant to work with a contractor with NEPA experience to support the development of NEPA documents.
- **State Historic Preservation Offices**
  - Contact information for these offices is provided within NBRC's Grant Administration and Compliance Manual, which can be viewed and downloaded from NBRC's website [www.nbrc.gov/content/administration](http://www.nbrc.gov/content/administration)



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# LOCAL DEVELOPMENT DISTRICTS (LDDs)

Note – Forest Economy Program awardees are *not* required to use an LDD for project administration, however LDDs are a great resource if needed



## What is a Local Development District?

- 40 USC Subtitle V: Regional Economic and Infrastructure Development, the term Local Development District is defined by 40 USC §15101
- In summary, a local development district is an entity located in the region, and operated in a manner that ensures broad-based community participation and an effective opportunity for local officials, community leaders, and the public to contribute to the development and implementation of programs in the region.
- LDDS are either an already existing federally designated Economic Development District, as certified by the US Economic Development Administration (EDA), or an organization similar in nature to a regional planning and/or regional development commission.
- 40 USC §15303 directs the Commission to enhance the capacity of, and provide support for, local development districts in its region and where no local development district exists, foster the creation of a local development district.
- NBRC Forest Economy projects, while not required to utilize a LDD for grant administration, may choose to designate 2% of their NBRC budget for LDD servicing.



## **Role of Local Development Districts**

- The NBRC is aided by a group of regional organizations called Local Development Districts (LDDs) that assist the NBRC in its outreach activities and assist grantees in administering their grants
- Should a Forest Economy Program project choose to contract with an LDD for grant administration, a copy of the executed grant administration contract for services must be provided to NBRC as part of the documentation necessary to receive a Notice to Proceed





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# **Local Development Districts**

NBRC can provide additional information on LDD contracts upon request. If interested in contracting with an LDD for administrative and project support, please reach out to [admin@nbrc.gov](mailto:admin@nbrc.gov).



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**Questions?**



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# **Reimbursement Process**



## **Reimbursement Process**

- Requests for reimbursement are required to be made using the SF-270 “Request for Advancement or Reimbursement” form
  - All reimbursement requests should be emailed to [admin@nbrc.gov](mailto:admin@nbrc.gov) with your NBRC grant # in the subject line of the email
- \* For a guide to completing the SF-270 please refer to the compliance manual



## Reimbursement Process

- Once NBRC receives the request it will be processed in the order in which it was received
  - A staff member will follow up with the grantee if necessary. If there are no issues, the request will be forwarded on for the payment to be electronically transferred to the grantee's bank account using the ACH information provided
  - When the request is processed, the grantee will receive an email acknowledging the request
  - After receiving this email the grantee can expect to receive payment within 10 business days



# Northern Border Regional Commission

<b>REQUEST FOR ADVANCE OR REIMBURSEMENT</b>  (See instructions on back)		OMB APPROVAL NO. <b>0348-0004</b>	PAGE <b>1</b> OF <b>1</b> PAGES
		1. TYPE OF PAYMENT REQUESTED a. *X* <i>one or both boxes</i> <input type="checkbox"/> <b>ADVANCE</b> <input type="checkbox"/> <b>REIMBURSEMENT</b> b. *X* <i>the applicable box</i> <input type="checkbox"/> <b>FINAL</b> <input type="checkbox"/> <b>PARTIAL</b>	2. BASIS OF REQUEST  <input type="checkbox"/> <b>CASH</b>  <input type="checkbox"/> <b>ACCRUAL</b>
3. FEDERAL SPONSORING AGENCY AND ORGANIZATIONAL ELEMENT TO WHICH THIS REPORT IS SUBMITTED		4. FEDERAL GRANT OR OTHER IDENTIFYING NUMBER ASSIGNED BY FEDERAL AGENCY	
5. EMPLOYER IDENTIFICATION NUMBER		6. PERIOD COVERED BY THIS REQUEST FROM (month, day, year) TO (month, day, year)	
7. RECIPIENT'S ACCOUNT NUMBER OR IDENTIFYING NUMBER		8. PAYEE (Where check is to be sent if different than item 9)	
9. RECIPIENT ORGANIZATION  Name:  Number and Street:  City, State and ZIP Code:		Name:  Number and Street:  City, State and ZIP Code:	

11. COMPUTATION OF AMOUNT OF REIMBURSEMENTS/ADVANCES REQUESTED				
PROGRAMS/FUNCTIONS/ACTIVITIES ▶	(a)	(b)	(c)	TOTAL
a. Total program outlays to date <i>(As of date)</i>	\$	\$	\$	\$ <b>0.00</b>
b. Less: Cumulative program income				<b>0.00</b>
c. Net program outlays (Line a minus line b)	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
d. Estimated net cash outlays for advance period				<b>0.00</b>
e. Total (Sum of lines c & d)	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
f. Non-Federal share of amount on line e				<b>0.00</b>
g. Federal share of amount on line e				<b>0.00</b>
h. Federal payments previously requested				<b>0.00</b>
i. Federal share now requested (Line g minus line h)	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
j. Advances required by month, when requested by Federal grantor agency for use in making prescheduled advances	1st month			<b>0.00</b>
	2nd month			<b>0.00</b>
	3rd month			<b>0.00</b>

12. ALTERNATE COMPUTATION FOR ADVANCES ONLY	
a. Estimated Federal cash outlays that will be made during period covered by the advance	\$
b. Less: Estimated balance of Federal cash on hand as of beginning of advance period	
c. Amount requested (Line a minus line b)	\$ <b>0.00</b>

13. CERTIFICATION		
I certify that to the best of my knowledge and belief the data on the reverse are correct and that all outlays were made in accordance with the grant conditions or other agreement and that payment is due and has not been previously requested.	SIGNATURE OR AUTHORIZED CERTIFYING OFFICER	DATE REQUEST SUBMITTED <b>October 26, 2021</b>
	TYPE OR PRINTED NAME AND TITLE	
This space for agency use		

Public reporting burden for this collection of information is estimated to average 60 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0004), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

### INSTRUCTIONS

Please type or print legibly. Items 1, 3, 5, 9, 10, 11a, 11f, 11g, 11i, 12 and 13 are self-explanatory; specific instructions for other items are as follows:

Item	Entry	Item	Entry
2	Indicate whether request is prepared on cash or accrued expenditure basis. All requests for advances shall be prepared on a cash basis.		
4	Enter the Federal grant number, or other identifying number assigned by the Federal sponsoring agency. If the advance or reimbursement is for more than one grant or other agreement, insert N/A, then, show the aggregate amounts. On a separate sheet, list each grant or agreement number and the Federal share of outlays made against the grant or agreement.		activity. If additional columns are needed, use as many additional forms as needed and indicate page number in space provided in upper right; however, the summary totals of all programs, functions, or activities should be shown in the "total" column on the first page.
6	Enter the employer identification number assigned by the U.S. Internal Revenue Service, or the FICE (institution) code if requested by the Federal agency.	11a	Enter in "as of date," the month, day, and year of the ending of the accounting period to which this amount applies. Enter program outlays to date (net of refunds, rebates, and discounts), in the appropriate columns. For requests prepared on a cash basis, outlays are the sum of actual cash disbursements for goods and services, the amount of indirect expenses charged, the value of in-kind contributions applied, and the amount of cash advances and payments made to subcontractors and subrecipients. For requests prepared on an accrued expenditure basis, outlays are the sum of the actual cash disbursements, the amount of indirect expenses incurred, and the net increase (or decrease) in the amounts owed by the recipient for goods and other property received and for services performed by employees, contracts, subgrantees and other payees.
7	This space is reserved for an account number or other identifying number that may be assigned by the recipient.	11b	Enter the cumulative cash income received to date, if requests are prepared on a cash basis. For requests prepared on an accrued expenditure basis, enter the cumulative income earned to date. Under either basis, enter only the amount applicable to program income that was required to be used for the project or program by the terms of the grant or other agreement.
8	Enter the month, day, and year for the beginning and ending of the period covered in this request. If the request is for an advance or for both an advance and reimbursement, show the period that the advance will cover. If the request is for reimbursement, show the period for which the reimbursement is requested.	11d	Only when making requests for advance payments, enter the total estimated amount of cash outlays that will be made during the period covered by the advance.
Note	The Federal sponsoring agencies have the option of requiring recipients to complete items 11 or 12, but not both. Item 12 should be used when only a minimum amount of information is needed to make an advance and outlay information contained in item 11 can be obtained in a timely manner from other reports.	13	Complete the certification before submitting this request.
11	The purpose of the vertical columns (a), (b), and (c) is to provide space for separate cost breakdowns when a project has been planned and budgeted by program, function, or		



# Documentation for Reimbursements

- Supporting documentation for requested NBRC funds and expended match are required to be submitted with the SF-270
- Documentation includes anything that is necessary to demonstrate that funds were spent, costs were incurred, and work was completed
- Examples of documentation:
  - Receipts for purchase of goods and supplies
  - Payroll records for staff time
  - Invoices from selected contractors and/or purchases
- **NOTE:** The documentation to demonstrate work completed should **not** be created for the express purpose of meeting any NBRC requirements



## **Timing of Reimbursements**

- Grantees (except USDA) may submit requests for reimbursement on their own schedule following these basic rules:
  - All time periods from the start of the project to close-out must be accounted for and not overlap
  - NBRC will not process more than one request for any specific time period
  - No time periods should be skipped
  - Reimbursements should reflect whole months
- All projects should be able to pay their bills within a month of receiving them without anticipating that NBRC will cover costs immediately





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# **Reporting**



## **Quarterly Reporting (SF-PPR)**

Projects will track their progress using a [SF-PPR](#) Quarterly Report on October 1<sup>st</sup> of award year and will be due through project close out. These reports are due regardless of the work completed/Notice To Proceed is received. These reports are a requirement to keep your award in compliance

- SF-PPR's should be emailed to [admin@nbrc.gov](mailto:admin@nbrc.gov) with your NBRC grant # in the subject line of the email
- SF-PPR can be found in the appendix of the compliance manual and at the end of this PP, on our website and in the compliance manual



# Northern Border Regional Commission

## Reporting deadlines

Q 1	October 1-December 31	Due January 30
Q 2	January 1- March 31	Due April 30
Q 3	April 1- June 30	Due July 30
Q 4	July 1- September 30	Due October 30

### PERFORMANCE PROGRESS REPORT SF-PPR

		Page 1	of Pages 1
1. Federal Agency and Organization Element to Which Report is Submitted Northern Border Regional Commission		2. Federal Grant or Other Identifying Number Assigned by Federal Agency	
		3a. DUNS Number	
		3b. EIN	
4. Recipient Organization (Name and complete address including zip code)		5. Recipient Identifying Number or Account Number	
6. Project/Grant Period Start Date: (Month, Day, Year) 10/1/2022		7. Reporting Period End Date (Month, Day, Year) 9/30/2025	8. Final Report? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
		9. Report Frequency <input type="checkbox"/> annual <input type="checkbox"/> semi-annual <input type="checkbox"/> quarterly <input type="checkbox"/> other (If other, describe: _____)	
10. Performance Narrative (attach performance narrative as instructed by the awarding Federal Agency)			
11. Other Attachments (attach other documents as needed or as instructed by the awarding Federal Agency)			
12. Certification: I certify to the best of my knowledge and belief that this report is correct and complete for performance of activities for the purposes set forth in the award documents.			
12a. Typed or Printed Name and Title of Authorized Certifying Official		12c. Telephone (area code, number and extension)	
		12d. Email Address	
12b. Signature of Authorized Certifying Official		12e. Date Report Submitted (Month, Day, Year)	
13. Agency use only			

\* A fillable SF-PPR can be found [here](#), compliance manual, on our website and at the end of this PP



## Annual Reporting (SF-425)

The [SF-425](#) Federal Financial Form is a report that is due annually and at project close-out. The report is due on October 31st for each federal fiscal year (October 1 to September 30) and 45 days after the close of the project

- Financial reports are not reimbursement requests. They are reports on the financial status of the project using the [SF-425](#)
  - Even if no reimbursements have been made in the fiscal year, this form is still required.
  - SF-425's should be emailed to [admin@nbrc.gov](mailto:admin@nbrc.gov) with your NBRC grant # in the subject line of the email
- \* For a guide to completing the SF-425 please refer to the compliance manual



# Northern Border Regional Commission

# SF-425

## Federal Financial Report (Follow form instructions)

OMB Control Number: 4040-0014  
Expiration Date: 2/28/2022

1. Federal Agency and Organizational Element to Which Report is Submitted Northern Border Regional Commissions		2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment) NBRC ID# ex: NBRC17GVT14	
3. Recipient Organization (Name and complete address including Zip code) Recipient Organization Name: Your Grant Name Street1: Your Address as listed in the GA Street2: City: County: Province: State: Country: USA: UNITED STATES ZIP / Postal Code:			
4a. DUNS Number Your Org. DUNS	4b. EIN Your Org. EIN	5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment)	
6. Report Type <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annual <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final	7. Basis of Accounting <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual	8. Project/Grant Period From: 10/01/2019 To: 09/30/2022 <b>*Enter Entire Grant Period</b>	9. Reporting Period End Date 09/30/2021
10. Transactions (Use lines a-c for single or multiple grant reporting)		Cumulative	
<b>Federal Cash (To report multiple grants, also use FFR attachment):</b>			
a. Cash Receipts Total cumulative amount of reimbursements received from NBRC as of reporting period end date		0.00	
b. Cash Disbursements Equal to line 10a		0.00	
c. Cash on Hand (line a minus b) Equal to line 10a minus 10b (Use lines d-o for single grant reporting)		0.00	
<b>Federal Expenditures and Unobligated Balance:</b>			
d. Total Federal funds authorized Total NBRC Funds Awarded as listed in Grant Agreement		0.00	
e. Federal share of expenditures Equal to line 10b		0.00	
f. Federal share of unliquidated obligations Equal to line 10d minus 10e		0.00	
g. Total Federal share (sum of lines e and f) Equal to line 10d		0.00	
h. Unobligated balance of Federal Funds (line d minus g) Should always be \$0, unless NBRC money was de-obligated at project close-out		0.00	
<b>Recipient Share:</b>			
i. Total recipient share required Total match as listed in Grant Agreement		0.00	
j. Recipient share of expenditures Expended/documentated match as of reporting period end date.		0.00	
k. Remaining recipient share to be provided (line i minus j) Equal to line 10i minus line 10j		0.00	
<b>Program Income:</b>			
l. Total Federal program income earned Program Income should always be \$0 unless otherwise stated in Grant Agreement		0.00	
m. Program Income expended in accordance with the deduction alternative		0.00	
n. Program Income expended in accordance with the addition alternative		0.00	
o. Unexpended program income (line l minus line m or line n)		0.00	

11. Indirect Expense						
a. Type	b. Rate	c. Period From	Period To	d. Base	e. Amount Charged	f. Federal Share
g. Totals:						
12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation:  Add Attachment Delete Attachment View Attachment						
13. Certification: By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812).						
a. Name and Title of Authorized Certifying Official						
Prefix:	First Name:	Middle Name:		Last Name:		
				Suffix:		
Title:						
b. Signature of Authorized Certifying Official				c. Telephone (Area code, number and extension)		
d. Email Address				e. Date Report Submitted	14. Agency use only:	



# **Procurement / Property / Project Oversight**

## **Up next...**

- 2 CFR 200 – Code of Federal Regulations
- Full and open competition
- Property & Equipment
- Records, Monitoring & Compliance
- NBRC.gov – “Resources”



## 2 CFR 200 – Code of Federal Regulations

- Procurement actions involve the purchase of goods and services needed to support the grant award. Government-wide regulations contained in [2 CFR 200 317-326](#) govern procurement actions
- These regulations allow grantees to follow their own procurement procedures so long as they meet the minimum standards identified within [2 CFR 200](#)
- It is the responsibility of the grantee to review and understand these applicable procurement requirements

**Make sure you have your Notice to Proceed (NTP) in place before committing any funds**



## Full and Open Competition

- All procurement transactions must be conducted in a manner providing full and open competition consistent with the standards of [2 CFR 200.319](#). To ensure objective contractor performance and eliminate unfair competitive advantage
- Grantees must ensure that all solicitations (invitations for bids/quotes and requests for proposals) contain a clear and accurate description of the product or service being procured, identify all requirements that the offeror must fulfill, and all factors that will be used in evaluating bids or proposals
- The grantee must ensure that all prequalified lists of persons, firms, or products used in acquiring goods and services are current and include enough qualified sources to ensure maximum open and free competition





# Northern Border Regional Commission

## Made in America

- In accordance with the policy of the United States Government, consistent with applicable law, use, terms and conditions of Federal financial assistance awards and federal procurements, recipients must maximize the use of goods, products, and materials produced in, and services offered, in the United States.
- Whenever possible, the recipient shall procure goods, products, materials, and services from sources that will help American businesses compete in strategic industries and help America's workers thrive.
- See the [January 25, 2021 Executive Order](#) on Ensuring the Future is Made in All of America by All of America's Workers for more information.
- The [Build America Buy America](#) Act, enacted as part of the Infrastructure Investment and Jobs Act on November 15, 2021, established a domestic content procurement preference for all Federal financial assistance obligated for infrastructure projects after May 14, 2022.
  - The U.S. Department of Commerce is working with the [Made in America Office](#) to coordinate compliance with these procurement requirements



# Northern Border Regional Commission

## Typical methods of purchasing

- **Micro-purchases**
  - Purchases by micro-purchase is the acquisition of suppliers or services when the aggregate dollar value of the transaction does not exceed \$10,000 (pursuant to [OMB Memorandum 18-18, 6/20/2018](#)).
- **Small Purchase Procedures**
  - Purchases under this procedure involve solicitation of an adequate number of qualified sources when the size of the transaction is not expected to exceed the federal government's "simplified acquisitions threshold" (currently \$250,000).
- **Competitive Sealed Bids**
  - Through this procedure, bids publicly solicited through formal advertising and a firm fixed price contract is awarded to the lowest responsive and responsible bidder. This is the preferred method for construction, generally referred to as a Request for Proposal (RFP).
- **Competitive Proposals**
  - Procurement by competitive qualifications, typically referred to as a Request for Qualifications (RFQ). The method, where price is not used as a selection factor, can only be used in procurement of A/E professional services ([§ 200.321](#)).



# Northern Border Regional Commission

## Property Basics

### Property

- Title to supplies, equipment, and real property acquired under a grant vest with the grantee that purchased it. However, NBRC retains a residual financial interest in grant acquired property under certain circumstances

### Types of Property

- Federal regulations contained in 2 CFR 200 address the treatment of real property, equipment, supplies, and intangible property (such as copyrights and patents) purchased with grant funds. However, because of the activities financed by NBRC grants, most of its grantees will deal primarily with equipment and real property

#### Equipment

Equipment is defined as items of tangible property having a useful life of more than one year and a unit acquisition cost exceeding \$5,000.

#### Real Property

Real property means land, including land improvements, structures, and appurtenances thereto, but excludes movable machinery and equipment.



# Northern Border Regional Commission

## Real Property Forms

### NFI (Notice of Federal interest)

- 20-year Federal vested interest
  - NFI recorded to deed

### SF-429-A

- Report yearly inventory status updates

OMB Number: 4040-0016  
Expiration Date: 01/31/2019

**Real Property Status Report  
ATTACHMENT A (General Reporting) SF-429-A**

Federal Grant or Other Identifying Number Assigned by Federal Agency (#2 on cover page) [Redacted]

Complete the applicable blocks below for each parcel of real property being reported (duplicate this page to provide information for each parcel of real property being reported under the Federal financial assistance award identified in section 2):

13. Period and type of Federal Interest (MM/DD/YYYY): From: [ ] To: [ ]  
 Acquisition  Renovation  Construction  Government Furnished Property

14a. Description of Real Property:  
[ ]

14b. Address of Real Property (legal description and complete address including zoning information):  
Street1: [ ]  
Street2: [ ]  
City: [ ] County: [ ]  
State: [ ] Province: [ ]  
Country: [ ] ZIP / Postal Code: [ ]  
Zoning Information: [ ]  
GPS Location Longitude: [ ] GPS Location Latitude: [ ]

14c. Land Acreage or Square Units:  
Enter Amount: [ ]  
Select units:  Acres  Square Feet  Square Kilometers  Square Meters

14d. Gross and Usable Square Footage/Meters (i.e., of building, house, etc.):  
Enter Amounts:  
Gross [ ] Usable [ ]  
Select units:  Square Feet  Square Meters

14e. Real Property Ownership Type(s):  
 A. Owned  B. Co-Owned  C. Fee Simple  D. Corporate  
 E. Joint Tenancy  F. Partnership  G. Limited Liability Partnership  H. Co-Operative  
 I. Government Furnished Property  J. Other (Describe): [ ]

14f. Real Property Cost: \$ [ ] Share Percentage %:  
Federal Share: \$ [ ] [ ] %  
Non-Federal Share: \$ [ ] [ ] %  
Total (sum of Federal and Non-Federal Share): \$ [ ] [ ] %

14g. Has a deed, lien, covenant, or other related documentation been recorded to establish Federal interest in this real property?  
 Yes  No  N/A  
If yes (unless previously reported), describe the instrument used and enter the date and jurisdiction in which it was recorded:  
[ ]  
Date: [ ] Jurisdiction: [ ]

14h. Has Federally required insurance coverage been secured for this real property?  Yes  No  
See instructions for more details.

14i. Are there any Uniform Relocation Act (URA) requirements applicable to this real property?  Yes  No

14j. Are there any environmental compliance requirements related to the real property?  Yes  No  
If yes, describe them:  
[ ]





## **Project Oversight**

- NBRC seeks to exercise responsible stewardship of Federal Funds in a manner that is transparent and accountable to the public
- Grantees are responsible for managing federal funds in compliance with applicable laws, regulations and the terms and conditions of their NBRC grant agreement



# Northern Border Regional Commission

## Record Retention

Financial records, supporting documentation, statistical records, and all other grantee records pertinent to the NBRC grant award must be retained for a period of three years following submission of the final expenditure report on that award.

The rights of access include timely and reasonable access to the grantee's personnel and contractors for the purpose of interview and discussion related to the records

## Monitoring And Site Visits

Monitoring by NBRC involves the continuous collection or relevant information about the performance and administration of grantees.

Monitoring can be conducted using a variety of techniques including routine communication with grantees, desk review of submitted information and required reports, and site visits.

## Compliance

If NBRC determines that noncompliance is material in its nature or degree, or that work performed under the grant is substandard or performed in any way that violates federal, state, or local law, NBRC may undertake enforcement actions consistent with the requirements of [2 CFR 200.207](#) and [2 CFR 200.339](#).

A Grantee may appeal any finding of noncompliance and resulting enforcement action.



## Procurement / Property / Project Oversight

### Summary:

- 2 CFR 200 – Code of Federal Regulations
- Full and open competition
- Property & Equipment
- Records, Monitoring & Compliance
- NBRC.gov – “Resources”

**Make sure you have your Notice to Proceed (NTP) in place before committing any funds!**





**Northern Border  
Regional Commission**

# **Changes to a Project**



# Changes to a Project

- The approved grant agreement and budget establishes the planned parameters of award performance
- Modifications to a project may include extensions to the period of performance, changes to the scope of a project, and budget adjustments
- Grantees should not move forward with any project changes without first receiving NBRC review and approval- Such actions may trigger enforcement measures authorized by [2 CFR 200.207](#) or [2 CFR 200.208](#)



# **Changing Performance Period**

- If a project cannot be completed within the approved period of performance, an extension of time may be requested
- Requests should be made prior to the end of Period of Performance listed in the grant agreement and be sent to [admin@nbrc.gov](mailto:admin@nbrc.gov)
- If the grant agreement is expired no funds can be reimbursed
- Requests for extension should include the proposed revision to Period of Performance, the reason for the extension and a revised project timeline



# **Changing Performance Period**

- Grantees should confirm the scope, budget and match for the project remain unchanged
- If the scope, budget, or match will be changing, documentation to support those changes must also be provided
- If an extension is not approved, or if more than one extension is granted, and the grantee is unable to complete the project within the timeframe outlined, the grantee risks being excluded from applying for future investment grant rounds



# Changing Budget

- No increases to the NBRC award will be made
- Any cost overruns are the responsibility of the grantee
- Cumulative transfers between direct cost categories (line items) in your budget are allowed up to 10% in accordance with [2 CFR 200.308](#)
- Budget changes that involve changing the scope of work or objectives (regardless of the grant amount) require NBRC prior approval



# Changing Budget

- To request a budget modification, submit the revised budget (SF424cbw) and a narrative justification to [admin@nbrc.gov](mailto:admin@nbrc.gov) and a copy of the e-mail to the local development district providing grant administration assistance on the project
- Grantees are cautioned against moving forward without prior approval of changes from NBRC. Such action may trigger enforcement steps by NBRC, such as those permitted under [2 CFR 200.208](#) (imposition of special conditions), and [2 CFR 200.340](#) (suspension or termination of award)



# Changing Scope

- The grant agreement establishes the scope of the project
- Projects should be implemented in a timely manner and within the approved scope of work that the funds were intended to support
- When circumstances arise that interfere with the grantee fulfilling the approved scope, a change in scope may be requested
- This is a formal process under which the grantee must submit a narrative detailing the proposed scope change and any associated budget modifications, together with confirmation the identified match on the project remains in place



# Changing Scope

- If the timeline of the project will be changing as result of the scope change, a revised timeline must also be provided
- The narrative must explain the rationale for adding, modifying, or deleting an activity and explain how such revisions will affect the expected outcomes of the project
- The request and documentation supporting the request must be sent to [admin@nbrc.gov](mailto:admin@nbrc.gov) with a copy to the local development district
- Amendment requests are processed in the order they are received  
NBRC strongly recommends projects communicate with their LDD regarding project changes and review the NBRC compliance manual regarding the documentation necessary to process a project change





# Changing Scope

- De-obligations are processed by NBRC when a project doesn't go forward, or a project is completed and does not utilize its entire NBRC award
- At close-out, if a grantee is not utilizing their entire grant award, they must provide NBRC written confirmation of their intention to have the remaining funds de-obligated
- Once a de-obligation is processed, the unused funds are added to the State's SEID allocation in the following grant year



**Northern Border  
Regional Commission**

# **Project Close-Out**



# Project Close-out

Close-out documents are required to be emailed to NBRC within 45 days after completion of the project. There are five items that are required for project close-out:

- 1. Final request for reimbursement:** Using the SF-270 along with supporting documentation (if all funds are not going to be used for the project, a letter requesting that the remainder (include exact dollar amount) be de-obligated from the project is required)
- 2. Final Financial Report:** Using the SF-425



# **Project Close-out**

**3. Final Report:** A final report should provide a narrative of the entire project, from inception to completion using the Performance Progress Report (SF-PPR)

**4. GPRA Form:** The Government Performance and Results Act

**5. Project Photos:** Three to five photos of the completed project

**5% of the total NBRC award will be held until all project close-out documents are received by NBRC**



# **Government Performance & Results Act**

- The Government Performance and Results Act (GPRA) is a United States law enacted in 1993 & is one of a series of laws designed to improve government performance management
- The GPRA requires agencies to engage in performance management tasks such as setting goals, measuring results, and reporting their progress
- Your submitted application outlines the performance measures that you determined were applicable to your project
- These performance measures will be reported to NBRC at the close of the project and again 3 years later



**Northern Border  
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**Final Questions?**



## Resources

- NBRC website – [www.nbrc.gov](http://www.nbrc.gov)
- NBRC Grant Administration and Compliance Manual available to view and download from [www.nbrc.gov/content/administration](http://www.nbrc.gov/content/administration)
- [2 CFR Part 200 – Requirements for Federal Awards](#)
- [40 USC Subtitle V. Regional Economic and Infrastructure Development](#)
- State Program Manager – [ME](#), [NH](#), [VT](#), [NY](#)
- [Your Local Development District](#)
- [SF-270](#)
- [SF-PPR](#)
- [SF-425](#)