



**Northern Border  
Regional Commission**

# **2024 SPRING ROUND NEW GRANTEE TRAINING**

## **Session 4**

## **PROJECT OVERSIGHT**

**July 30, 2024**

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



# Northern Border Regional Commission

Welcome – Andrea Smith, Program Director

Amendments and Project Changes – Malana Tamer, Program Specialist

Procurement – Jon O'Rourke, Senior Program Specialist

Final Q & A, Review of Next Sessions & Wrap-up – Andrea Smith

NBRC Grant Administration Resources, Key Terms & NBRC Staff List

## **TODAY'S SESSION OVERVIEW**





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# **PROJECT OVERSIGHT: AMENDMENTS (PROJECT CHANGES)**

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## AMENDMENTS (Project Changes)

### SESSION OBJECTIVES:

- Overview of NBRC's Amendment Process (project changes)
  - Types of Changes
  - Required Documentation
- Resources
  - Contract Amendment Form
  - Compliance Manual
  - NBRC Website
  - NBRC Staff

**Presenter: Malana Tamer, Program Specialist**



## AMENDMENTS: What are they?

- The approved grant agreement and budget establishes the parameters of award performance; however, things change.
- An amendment is any project modification that includes changes in Authorized Official, changes to the scope of a project, budget adjustments, and extensions of the period of performance. Other amendments may include organization name changes and non-profit status changes.
- 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](#)
- All project changes require the completion and submission of NBRC's Contract Amendment Form together with the required documentation to support the amendment request



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## AMENDMENTS: How are they reported?

Formal amendment  
request & required  
documentation



### NBRC PROJECT AMENDMENT REQUEST:

Select one or more project changes and submit this form along with all required documentation to [admin@nbrc.gov](mailto:admin@nbrc.gov).  
Reference your NBRC Grant # in the subject line. Forms and templates can be found here: [NBRC Resources](#)

Amendment Type	Required Documentation	Narrative Submitted	Confirmation NO CHANGE
<input type="checkbox"/> <b>Change in Authorized Official</b>	Contract Amendment Request Form Key Contacts Form Authorized Official Resolution (template available)		Signature on this form confirms the NEW AO has reviewed the project budget, scope, and timeline and confirms no changes.
<input type="checkbox"/> <b>Budget and/or Scope Adjustment</b>	Contract Amendment Request Form Revised project budget (SF-424cbw) AND budget adjustment summary (see pg. 2 of form) Revised project scope (completed to date, reason for change, etc.) Revised project timeline Revised work plan Revised match commitment form (NBRC Form 1002) & source documentation Environmental Review(NEPA) update required? If yes, provide updated environmental review documentation		N/A. Must be submitted. N/A. Must be submitted.
<input type="checkbox"/> <b>Contract Extension ONLY (NO Scope or Budget changes)</b>	Contract Amendment Request Form Justification of need for contract extension Revised project timeline Description of project progress to date Confirmation budget and scope are not changing Confirmation committed match remains in place		<b>NEW Requested End Date*</b>  * NBRC allows extensions in one (1) year increments. If additional time is being requested, please provide justification, and note that NBRC coordination with the State Program Manager is required.
<input type="checkbox"/> <b>Change in Organization Name</b>	Contract Amendment Request Form Updated SF-424, SF-3881 (ACH), UEI Form, Certificate of Good Standing (non-profit), IRS Determination Letter (non-profit) Key Contact Form & Authorized Official Resolution (if name change results in AO change)		N/A. Must be submitted. N/A. Must be submitted.



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## Change in Authorized Official

- The NBRC “Authorized Official” is the grantees executive that has been granted permission via authorized resolution to sign all NBRC investment documents that bind the applicant. At time of application for funding, applicants are required to provide a resolution from the entities legal authority indicating the name and title of the person they are authorizing. This person is listed on the first page of the grant agreement.
- If the Authorized Official changes during the performance period of an award, grantees are required to provide NBRC with:
  - Completed and Executed Contract Amendment Request Form
  - Key Contacts Form
  - Authorized Official Resolution

### NBRC Grant Agreement

Grant Agreement  
Between  
Northern Border Regional Commission (NBRC)  
And

June 21, 2024

NBRC Grant Agreement Number: NBRC23G

Grantee/Recipient:	Grantor:
<b>Authorized Official Information</b>	Northern Border Regional Commission Contact: Andrea K. Smith, Program Director 53 Pleasant Street, Suite 1501, Concord, NH 03301 603-369-3001 <a href="mailto:admin@nbrc.gov">admin@nbrc.gov</a> <a href="http://www.nbrc.gov">www.nbrc.gov</a>
Co-Applicant:	
Contact:	
LDD Contact:	
State Contact:	State Contact Phone: State Contact Email





## Changes in 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





## Changes in 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
- 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. *Note: Coordination with the SPM is required for any scope changes.*



# Changes in 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

NBRC Budget Adjustment Summary							
SF-424cbw Category & Subcategory	HUD Share(NBRC)		Applicant Match		Other HUD Share		Justification
e.g., 1.Personnel(Direct Labor) Program Director	Original Budget \$	Revised Budget \$	Original Budget \$	Revised Budget \$	Original Budget \$	Revised Budget \$	e.g. Additional staff time required to complete objectives
1. Personnel			35000	7775			Redirected funds
3a. Transportation-Local Private Veh	1100	0	0	0			Redirected funds as needed
4. Equipment	72400	12500	0	0			for construction
5b.Non-Consumable Materials		80000	25000	0			Covid Cost increases
6. Consultants	19,500	16,380	0	3120			Covid Cost increases
Contracts & Sub grantees	157,000	141,120	0	49,105			Cost increases





## Changes in Scope and/or Budget

- To request a scope/budget modification, NBRC must be provided with the following:
  - Completed and Executed Contract Amendment Request Form and if applicable;
  - Description of project re-scope (what has been completed to date, reason for change, etc.)
  - Revised project budget (SF-424cbw) AND budget adjustment summary
  - Revised project timeline
  - Revised work plan
  - Revised match commitment form (if applicable)
  - Environmental Review (NEPA) update required including impacts to historic preservation? If yes, provide updated environmental review documentation
- 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)



## Extension of Time

- 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
- If the grant agreement is expired, no funds can be reimbursed
- Extensions are granted in 1 year increments. Multi-year requests and multiple extensions must be reviewed/approved by the SPM





## Extension of Time

- Requests for extension should include:
  - Completed and Executed Contract Amendment Request Form
  - Justification of need for contract extension
  - Revised project timeline
  - Description of project progress to date
  - Confirmation budget and scope are not changing
  - Confirmation committed match remains in place
  - 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



## Other Changes

- All organization name changes, or non-profit status changes must be reported to NBRC. The reported change and documentation supporting the request must be sent to NBRC with a copy to the state program manager and the local development district providing grant administration assistance on the project.





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## Amendment Resources

- [Contract Amendment Form](#)
- [Compliance Manual](#)
- [NBRC Website](#)
- NBRC Staff- [admin@nbrc.gov](mailto:admin@nbrc.gov)





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# **QUESTIONS & ANSWERS**





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# **PROJECT OVERSIGHT - PROCUREMENT**

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## PROJECT OVERSIGHT - PROCUREMENT

### **Procurement:**

- Review procurement requirements including Buy America
- Review real property and equipment requirements and forms
- Project oversight and compliance

**NBRC Staff: Jon O'Rourke**



## Procurement Requirements: 2 CFR 200

Procurement actions involve the **purchase of goods and services** needed to support the grant award.

- Grantee should have Notice to Proceed for procurement
- Notice to Proceed is **required** to commit or expend funds

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
- It is the responsibility of the grantee to review and understand these applicable procurement requirements



## Procurement Requirements: 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





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## Procurement Requirements: 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.*

- 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.

**NBRC will create a BABAA 'FAQ' document to be used as a reference tool for compliance**

- For additional BABAA information please reference Executive Order [14005](#) "Ensuring the Future Is Made in All of America by All of America's Workers"



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## Procurement: Typical methods of purchasing

### Micro-purchases:

- 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:

- 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:

- 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, or 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](#)).



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## Property Basics: Real Property & Equipment

NBRC funds used by grantee to purchase supplies, equipment, and real property

- 2 CFR 200 address the treatment of real property, equipment, supplies, and intangible property purchased with grant funds.
- Most of NBRC grantees will deal primarily with equipment and real property

NBRC will retain a residual financial interest in that property per 2 CFR 200

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





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## Real Property Tips & Resources

- NBRC has 20-year vested interest in real property
  - **NFI (Notice of Federal interest)** required and recorded to deed

Use **SF-429-A** to report annual inventory status

- Reports are due annually at end of Federal Fiscal Year, October 31<sup>st</sup>
- Set a calendar reminder for **inventory** due dates. Repeat the calendar invite yearly.
- Download a fillable [SF-429-A](#)
- Submit reports to [admin@nbrc.gov](mailto:admin@nbrc.gov) with NBRC Grant # in subject

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

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

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

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:  
       

Add Attachment Delete Attachment View Attachment



- Use **SF-428-S** to report equipment inventory **every 2 years**
  - Over \$5,000 considered Equipment (i.e. Excavator)
  - Under \$5,000 considered Supplies (i.e. Computer) – **not** included in inventory report
  - Set a calendar reminder for inventory due dates.
  - Submit reports to [admin@nbrc.gov](mailto:admin@nbrc.gov) with NBRC Grant # in subject
  - Download a fillable [SF-428](#) and [SF-428-S](#)

[illegible]



## 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





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# QUESTIONS & ANSWERS



# Northern Border Regional Commission

## UPCOMING NEW GRANTEE TRAINING SESSION:

- **Session 5:** Thursday, August 1, 2024, 1:00–3:00 – Closeout, Desk Reviews & Community Visits
- Reminder: The PowerPoint and Recording of all new grantee training sessions are available to view and download from NBRC's website <https://www.nbrc.gov/content/resources>





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**THANK YOU FOR YOUR TIME!**

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





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# **NBRC Grant Administration Resources, Key Terms and NBRC Staff Information**

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





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## Grant Administration Resources

### Forms and Guidance:

- 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)

### Human support:

NBRC Staff – [admin@nbrc.gov](mailto:admin@nbrc.gov)

State Program Managers – [ME](#), [NH](#), [VT](#), [NY](#)

Your [Local Development District](#)



## Grant Administration Resources

### Other Resources:

- [2 CFR Part 200 – Requirements for Federal Awards](#)
- [40 USC Subtitle V. Regional Economic and Infrastructure Development](#)
- National Environmental Protection Act (NEPA) - <https://www.nbrc.gov/content/NEPA>





## 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. Your executed grant agreement will indicate your project's performance period.
- **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 necessary to complete your project and 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 for their invoices 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



# Northern Border Regional Commission

## NBRC Staff

- Chris Saunders, Federal Co-Chair
- Rich Grogan, Executive Director
- Molly Taflas, Deputy Executive Director
- Andrea Smith, Program Director
- William Gallagher, Administrative Officer
- Marina Bowie, Program Manager, Forest Economy & Timber for Transit
- Adrienne Harrison, Program Manager, Catalyst
- Elizabeth “Liz” Cross, Rural Healthcare Coordinator
- Sarah Lang, Capacity Program Coordinator
- Jon O’Rourke, Senior Program Specialist
- Georgia Cassimatis, Program Specialist
- Casey Haynes, Program Specialist
- Malana Tamer, Program Specialist
- Ace Arroyo, Data Analyst
- Alison Richard, Marketing Coordinator
- Rebecca Dourmashkin, Grant Attorney
- Rebecca Olechowski, Budget Analyst