

NOAA's Grants Management Division

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Current

2015

What's New In Financial Assistance

DOC Standard Terms and Conditions Updated and Revised, December 26, 2014

Applicability: All New Awards, and Funded amendments after December 26, 2014.





Special Award
Conditions

Bureau Specific
Terms and
Conditions

DOC Standard Terms and
Conditions

Regulations - 2 CFR Part 200



Major Revisions Cover 4 Topics

Rebudgeting

Indirect costs handled differently

Subawards

Subrecipient selection and monitoring

Audits

Non-federal audits of for profit organization

Whistleblower

Protections are extended

Parade of Highlights - Important Reminders!!

Different Requirements for Prior Approvals when Rebudgeting

Awards > \$150K

- Transfer of more than 10% across budget categories
- Addition of new cost category
- Change in Scope

Awards =< \$150K

- Change in Scope

Shifts between direct and indirect costs no longer require prior approval.

Indirect Costs

The maximum amount for indirect costs (lesser of the two):

1) Amount awarded for indirect costs in the approved budget

Or

2) Amount for indirect costs as a result of a Federally approved indirect cost rate, provided that the rate is approved on or before the award end date.

Subrecipient Selection

No longer requires competition of subawards

Must have written standards for Conflicts of Interest



Subrecipients	Contractors
<p>Carries out a portion of the performance of the award:</p> <ul style="list-style-type: none">• Performance measured by whether objectives of a Federal program were met• May be involved programmatic decision making;• Subject to compliance requirements of Federal award	<p>Provides goods and services in procurement relationship:</p> <ul style="list-style-type: none">• Operate in competitive environment• Provides goods or services that are ancillary to the operation of the Federal program• Not subject to the compliance requirements of grant award

Subrecipient - Risk Assessment

Subrecipient's prior experience with similar type of awards

Results of previous audits

Changes to personnel or new systems

Results of any monitoring efforts (e.g. reporting, site visits)

*Impose special award conditions as appropriate

Subrecipient Monitoring

Review of financial and performance reports
Issuing a management decision for audit findings pertaining to the Federal award
Ensure subrecipient takes timely and appropriate action on all deficiencies detected through audits, on-site reviews, and other means

Monitoring Tools

Provide subrecipients with training and technical assistance

Perform on-site reviews of the subrecipient's program operations;

Arrange for agreed-upon-procedures or audits

Non-Federal Audits (For-Profits)

Expend \$750,000 or more in DOC funds during its fiscal year must have an audit in accordance with Subpart F of 2 C.F.R. Part 200.

The audit shall be completed and submitted to the Grants Officer within the earlier of 30 calendar days of the non-Federal entity's receipt of the audit report or nine months following the end of the non-Federal entity's fiscal year.



Whistleblower

In accordance with 41 U.S.C. § 4712, an employee of a non-Federal entity or contractor under a Federal award or subaward may not be discharged, demoted, or otherwise discriminated against as a reprisal for disclosing information on gross mismanagement, a gross waste of Federal funds, an abuse of authority, a substantial and specific danger to public health or safety law, rule, or regulation



Highlights



Involvement of Federal
Agencies/Employees

Fly America Act

Use of Small, Minority, and Women Owned Businesses



Matches qualified minority businesses with contract opportunities

<http://www.mbda.gov>

<http://www.sba.gov>



Codes of Conduct

Disclose in writing any potential conflicts of interest to the DOC or pass-through entity

Maintain written standards of conduct

Standards for selection, award, and administration of contracts

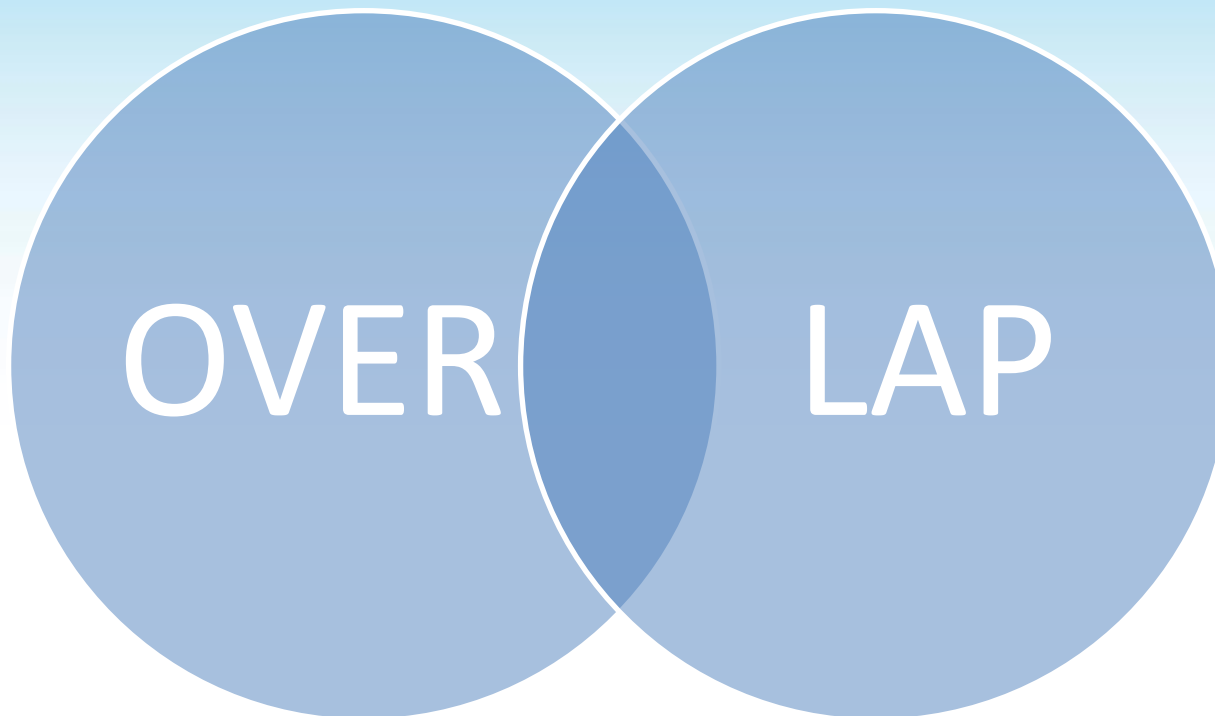


Lobbying

Prohibited from lobbying the executive or legislative branches of the Federal Government in connection with the award using Federal funds

Disclosure using SF-LLL required for the use of non-Federal funds to lobbying (for entities that receive more than \$100K in Federal funding)

Similar Programmatic Work



Match/Cost Share

Federal: \$500,000
Non-Federal: \$500,000
Total Award: \$1,000,000



Federal: **\$250,000**
Non-Federal: \$250,000
Total Award: \$500,000

Changes in Non-federal Share will affect your award!

Match/Cost Share

Rate of Drawdown

Documentation

Research Awards not expected to cost share

Reporting

Unless otherwise specified, the standard frequency for Federal Financial Report (SF-425):

Semi-annual basis, for period ending March 31 and September 30, due within 30 days

A final Form SF-425 shall be submitted within 90 days after the expiration of the period of performance



Federal Funding Accountability and Transparency Act of 2006

Federal Agency Reports data on Prime to USASpending.gov

Primes report on SubRecipients on awards issued on or after October 1, 2010 to www.fsrs.gov

Executive compensation, under limited circumstances at www.ccr.gov (now SAM.gov)

Inventions and Patents

Subject to Bayh-Dole Act

Invention reported to iEdison, iedison.gov



The screenshot shows the iEdison.gov website interface. At the top, there is a banner with the text "iEdison.gov" and a background image of a patent application document and a glowing lightbulb. Below the banner, the page is divided into three columns. The left column contains a login form with fields for "User Name" and "Password", and buttons for "Login" and "Cancel". Below the form are links for "Forgot Password/Unlock Account?" and "(For External Users)". The middle column features a "Welcome to iEdison" heading, followed by a link for "Requests for Waivers of the U.S. Manufacturing Requirement in Licenses to Extramural Inventions", and a paragraph explaining that iEdison helps government grantees and contractors comply with the Bayh-Dole Act. The right column contains a list of participating agency offices: AFM/CLO/JAZ, AFRL/RI, AHRQ, ARMY/ARL, ARMY/ARO, ARMY/MRMC, ARMY/SMDC, ARMY/SSC, ATSDR, CDC, DHS/ST, and DOC/EDA.

Research Misconduct

Fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results

Non-Federal entities have the primary responsibility to prevent, detect, and investigate allegations of research misconduct

Non-Federal entities must notify the Grants Officer of any allegation



Questions

