



BROADBANDUSA
CONNECTING AMERICA'S COMMUNITIES

PCC/SBA Closeout Training

Broadband Technology Opportunities Program (BTOP)

WASHINGTON, DC

April 11, 2013

Made Possible by the Broadband Technology Opportunities Program

Funded by the American Recovery and Reinvestment Act of 2009





Agenda

1. Presentation on PCC/SBA Closeout Process
 - Aimee Meacham, Director, BTOP Program Services

2. Q&A
 - Aimee Meacham, Director, BTOP Program Services
 - Jannet Cancino, Supervisory Grant Specialist/Grant Officer, NIST Grants and Agreements Management Division
 - Laura Breeden, Director, BTOP PCC and SBA Programs





Objectives

- Define Closeout and Stakeholder Roles
- Understand the Timing Related to Closeout Activities
- Identify Recipient Closeout Requirements and Closeout Documents





What is Closeout?

- Closeout is the process of ensuring that all funded project activities are complete and that recipients have met all requirements imposed by applicable laws, regulations, Office of Management and Budget (OMB) circulars, and award terms and conditions
- Recipients can facilitate the closeout process by
 - Demonstrating completion of funded project activities
 - Understanding all administrative and legal requirements
 - Completing and submitting closeout materials in a timely manner within the closeout period





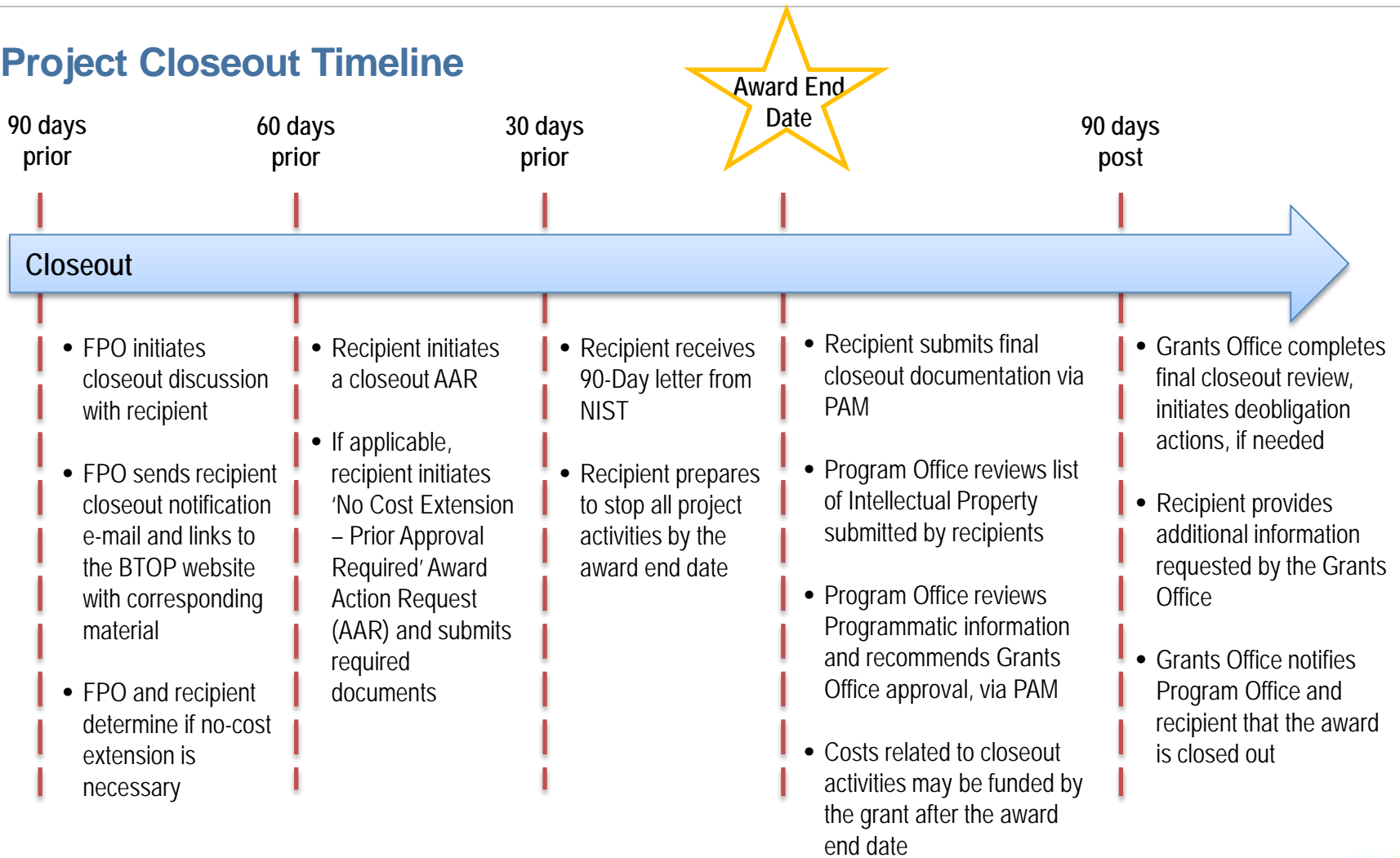
Closeout Points of Contact

- NIST Grants Specialist
 - Serves as the recipient's main point of contact throughout the closeout process, ensuring the proper submission of documents, addressing issues with document preparation, and serving as a resource for recipient concerns
 - Performs final award reports and documentation review and evaluation
- NTIA Federal Program Officer (FPO)
 - Initiates closeout discussion and reviews requirements with the recipient; remains active throughout the closeout process
 - Conducts preliminary review of draft award reports and documentation
- Closeout Analyst
 - Supports the Grants Specialist and FPO in working with the recipient to facilitate the closeout process





Project Closeout Timeline







Prior to Award End Date

- FPOs will notify recipients of their upcoming award end date and provide links to supplemental documentation that is posted on the BTOP website. This information includes a checklist outlining the activities that must be completed for the award to be closed out
- Recipients should begin to discuss the closeout requirements specific to their particular project with their FPO
- Recipients should also submit all required Federal Interest documentation to the appropriate state office(s) before their award end date; and attach a scanned copy of this documentation to the final closeout documentation package. "Federal Interest documentation" refers to filings that establish the government's financial interest in substantial assets purchased or built with grant funds
- Recipients should complete any budget modification Award Action Request (AAR) prior to the award end date, if applicable





Recipients will receive a 90-day closeout letter from NIST that will request closeout documents

<p>FEB 26 2013</p> <p> UNITED STATES DEPARTMENT OF COMMERCE National Institute of Standards and Technology Gaithersburg, Maryland 20899</p> <p>RE: 90 Day Closeout Letter for Grant Award No. Project Title: American Recovery and Reinvestment Act - Project Expiration Date:</p> <p>Dear</p> <p>In accordance with the 15 CFR Part 14.71, Closeout Procedures (codification of OMB Circular A-110, section __.71) or 15 CFR Part 24, State and Local Governments, Subpart D, section __.24.50 Closeout, the documentation listed below is necessary to facilitate the official closeout of the subject award. The Recipient is required to comply with the award closeout procedures described below within 90 days of the award expiration date, unless the Recipient requests and receives an extension that is approved by the NIST Grants Officer in writing.</p> <p>No costs shall be incurred or funds obligated for any purpose pertaining to the program scope of work after the program expiration date. The closeout related costs incurred during the 90-day closeout period following the expiration date can be claimed in the FINAL invoice. Closeout activities are limited to the preparation of final reports in accordance with the March 2008, Department of Commerce, Standard Terms and Conditions, Number A.06, page 5, and include performing the activities listed below.</p> <p>The following documents are required to be submitted by close of business on June 30, 2013</p> <p>Reports that must be submitted via the Post Award Monitoring System (PAM) in the normal manner are:</p> <ol style="list-style-type: none"> 1. Final Financial Status Report (FFR 425) to cover the period of March 30, 2013 2. Final Performance Progress Report (PPR) to cover the period of March 30, 2013 3. Final Annual Progress Report (APR) - to cover the last calendar year of the award <p>Reports that must be submitted as attachments to a final Closeout Award Amendment Request (AAR) via the Post Award Monitoring System (PAM) are:</p> <ol style="list-style-type: none"> 1. Final Budget Information - Non-Construction Programs (SF-424A) - showing actual expenditures by line item. A fillable form can be downloaded at: http://www.sba.gov/sites/default/files/SF-424A.pdf 2. Patent Report (Attachment 1) - To fulfill this requirement, please check the appropriate box on the form and sign your name. 3. Final Program Specific Audit - applicable to for-profit organizations only. 4. Uniform Commercial Code Form 1 (UCC-1), where applicable - Represents a Priority Lien. The Federal government retains a priority reversionary interest in all equipment acquired as part of the project. The <p>NIST</p>	<p>Federal interest extends from the initial receipt of the equipment through a ten-year period after the project is completed. This interest is secured through a lien document. You are required to file a Lien with your State by completing the Uniform Commercial Code (UCC) form; the Lien must cover all equipment included in the grant.</p> <ol style="list-style-type: none"> 5. Real Property Status Report (SF-429) where applicable - standard report to be used by recipients of Federal financial assistance to report real property status as defined in 15 CRF 14.2 and 15 CFR 24. A fillable form can be downloaded at: http://www.whitehouse.gov/omb/grants_forms 6. Tangible Personal Property Report (SF-428, SF-428B, SF-428S), where applicable - standard report used to report all equipment purchased with an acquisition cost of \$5,000 or more and reportable residual unused supplies having a fair market value of \$5,000 or more. Items with a current fair market value of \$5,000.00 or more must be listed, along with unused supplies with a residual value of \$5,000 or more. NOTE: If there are no items of equipment or supplies to report, write a comment in Section 8 of form SF-428 stating that "no items of equipment meeting the \$5,000 threshold and no unused supplies have a residual value of \$5,000.00 or more to report". Complete the top section of form SF-428 B and check 1.d. A fillable form can be downloaded at: http://www.whitehouse.gov/omb/grants_forms 7. List of materials and/or products created, acquired or developed using BTOP funds, including: studies, publications, curriculum, significant outreach campaign materials, copyrights, etc. <p>Failure to submit your closeout materials by the end of the 90-day closeout period will put your organization out of compliance with the terms and conditions of the award and may result in establishment of an Account Receivable for all Federal funds disbursed for the award, and denial of future grants to your organization.</p> <p>Thank you for your prompt attention. If you have any questions in regards to the above request, please contact Grant Specialist Michael Teske at 301-975-6358 or via email at Michael.Teske@nist.gov</p> <p>Sincerely,  Michael Teske Grants Specialist</p> <p>Attachments cc: Federal Program Officer</p>
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How Does a Recipient Complete and Submit Closeout Materials?

- Recipients are encouraged to work with their Grants Specialist, FPO, and Closeout Analyst as they prepare closeout documents
- Recipients must upload the final PPR, FFR, and APR in their respective report packages in PAM, just as they have done throughout the course of the Program
- Additional closeout documents should be attached to a final closeout AAR by the end of the 90 day closeout period in PAM
- Recipients should anticipate and plan for closeout related costs. Allowable costs during the closeout period include such activities as preparing necessary closeout documents, conducting required audits, and making payments on invoices for costs of project work completed and/or billed prior to the award end date





Recipients must submit the appropriate closeout documents before an award can be considered for closeout

Document	Due Date	Submission vehicle
Final ARRA	10-14 days after end of quarter	FederalReporting.gov
Final FFR (SF-425)	90 days after award end date	PAM
Final PPR	90 days after award end date	PAM
Final APR	90 days after award end date	PAM
Final Closeout AAR	90 days after award end date	PAM
Final SF-424a or SF-424c with actuals	90 days after award end date	PAM attached to AAR
Patent Report	90 days after award end date	PAM attached to AAR
List of Intellectual Property acquired or developed using BTOP funds	90 days after award end date	PAM attached to AAR
SF-428 tangible personal property report	90 days after award end date	PAM attached to AAR
SF-429 real property report	90 days after award end date	PAM attached to AAR
UCC-1 Filing (if applicable)	90 days after award end date	PAM attached to AAR
Program-Specific Audit (if applicable)	180 days after award end date	PAM attached to AAR <u>and</u> DOC OIG in Atlanta

NTIA requests that Final Performance Progress Reports (PPR and APR) be submitted 30 days after the end date

Made Possible by the Broadband Technology Opportunities Program

Funded by the American Recovery and Reinvestment Act of 2009





ARRA Report

Prime Recipient | FederalReporting.gov

Report Information				
Award Type	Award Number	Prime DUNS	Calendar Yr/Qtr	Final Report
Grant		2012 / 3		Yes

Award Recipient Information | FederalReporting.gov

Report Information				
Award Type	Award Number	Prime DUNS	Calendar Yr/Qtr	Final Report
Grant		2012 / 3		Yes

Project Information

Project Name or Project/ Program Title	Activity Codes (NAICS or NTEE-NPC) (up to 10)
Quarterly Activities/ Project Description	Activity Code 1 W01 Activity Code 2 Activity Code 3 Activity Code 4 Activity Code 5 Activity Code 6 Activity Code 7 Activity Code 8 Activity Code 9 Activity Code 10

Project / Award Summary

Fund	
Award	
Program So	
Sub Acc	
Project Status	Fully Completed
Total Federal Amount ARRA	
Funds Received/ Invoiced	
Number of Jobs	2.75
Description of Jobs Created	
Total Federal Amount of ARRA Expenditure	
Total Federal ARRA 0.00 Infrastructure Expenditure	
Infrastructure Purpose and Rationale	

- The ARRA report must be submitted within 14 days after the end of the quarter
- ARRA report must be marked as "Final" and show 100% complete project status
- Funds received should match expenditures
- All vendors and subrecipients from previous reports must be included; report is cumulative
- Recipients should consult their Grants Specialists if any excess funds remain





Final FFR (SF-425)

Reset Form

FEDERAL FINANCIAL REPORT
(Follow form instructions)

1. Federal Agency and Organizational Element to Which Report is Submitted		2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment)		Page 1 of 1 pages
3. Recipient Organization (Name and complete address including Zip code)				
4a. DUNS Number	4b. 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 type="checkbox"/> Annual <input type="checkbox"/> Final	7. Basis of Accounting Cash <input type="checkbox"/> Accrual
8. Project/Grant Period From: (Month, Day, Year)		To: (Month, Day, Year)		9. Reporting Period Begins (Month, Day, Year)
10. Transactions (Use lines a-c for single or multiple grant reporting)				Cumulative
Federal Cash (To report multiple grants, also use FFR Attachment):				
a. Cash Receipts				
b. Cash Disbursements				
c. Cash on Hand (line a minus b)				
Federal Expenditures and Unliquidated Balance: (Use lines d-o for single grant reporting)				
d. Total Federal funds authorized				
e. Federal share of expenditures				
f. Federal share of unliquidated obligations				
g. Total Federal share (sum of lines e and f)				
h. Unliquidated balance of Federal funds (line d minus g)				
Recipient Share:				
i. Total recipient share required				
j. Recipient share of expenditures				
k. Remaining recipient share to be provided (line i minus j)				
Program Income:				
l. Total Federal program income earned				
m. Program income expended in accordance with the deduction alternative				
n. Program income expended in accordance with the addition alternative				
o. Unexpended program income (line l minus line m or line n)				
11. Indirect Expenses		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:				
13. Certification: By signing this report, I certify that it is true, complete, and accurate to the best of my knowledge. I am aware that any false, fictitious, or fraudulent information may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)				
14. Signature of Authorized Certifying Official			15. Agency use only	
a. Type or Printed Name and Title of Authorized Certifying Official			b. Telephone (Area code, number and extension)	
c. Signature of Authorized Certifying Official			c. Email address	
d. Date Report Submitted (Month, Day, Year)			d. Date Report Submitted (Month, Day, Year)	

Revised Form 425
OMB Approval Number: 32-99-0281
Expiration Date: 12/31/2011

Paperwork Burden Statement
According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control number for this information collection is 32-99-0281. Public reporting burden for this collection of information is estimated to average 1.5 hours 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 this 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 (32-99-0281), Washington, DC 20503.

- The FFR details all financial transactions from award inception to the completion of the award, including administrative costs that may be incurred during closeout
- Final FFR may not include any unliquidated obligations
- Line C (cash on hand) should be zero





Final PPR

RECIPIENT NAME:
AWARD NUMBER:
DATE:

OMB CONTROL NUMBER: 0680-0037
EXPIRATION DATE: 12/31/2013

QUARTERLY PERFORMANCE PROGRESS REPORT FOR PUBLIC COMPUTER CENTERS

General Information

1. Federal Agency and Organizational Element to Which Report is Submitted	2. Award Identification Number	3. DUNS Number
4. Recipient Organization		
5. Current Reporting Period End Date (MM/DD/YYYY)	6. Is this the last Report of the Award Period? <input type="radio"/> Yes <input type="radio"/> No	
7. Certification: I certify to the best of my knowledge and belief that this report is complete and true for performance of activities for the purposes set forth in the award documents.		
7a. Typed or Printed Name and Title of Certifying Official	7c. Telephone (area code, number and extension)	
	7d. Email Address	
7b. Signature of Certifying Official	7e. Date Report Submitted (MM/DD/YYYY):	

Sample Not for Submission

- The Final PPR should describe the recipient's performance against project indicators for the final quarter (or portion thereof), using the same process and definitions as prior quarterly reports
- The recipients should mark the PPR that covers the time period between the last quarterly report and the award end date as "Final"





Final APR

RECIPIENT NAME:
AWARD NUMBER:
DATE:

OMB CONTROL NUMBER: 0950-0037
EXPIRATION DATE: 12-31-2013

ANNUAL PERFORMANCE PROGRESS REPORT FOR PUBLIC COMPUTER CENTERS

General Information

1. Federal Agency and Organizational Element to Which Report is Submitted	2. Award Identification Number	3. DUNS Number
4. Recipient Organization		
5. Current Reporting Period End Date (MM/DD/YYYY)	6. Is this the last Annual Report of the Award Period? <input checked="" type="radio"/> Yes <input type="radio"/> No	
7. Certification: I certify to the best of my knowledge and belief that this report is correct and true and represents performance of activities for the purposes set forth in the award documents.		
7a. Typed or Printed Name and Title of Certifying Official	7c. Telephone (area code, number and extension)	
	7d. Email Address	
7b. Signature of Certifying Official	7e. Date Report Submitted (MM/DD/YYYY):	

Sample Not for Submission

- A Final APR should be completed using the same process and definitions as prior annual reports
- A recipient must submit an APR for every year the award was active
- If the award end date falls within 2013, the recipient will submit an APR for 2013 and will mark it as final
- If the award end date is 1/30/2014, the recipient will submit an APR for 2013 and an APR for 2014, marking the 2014 APR as final

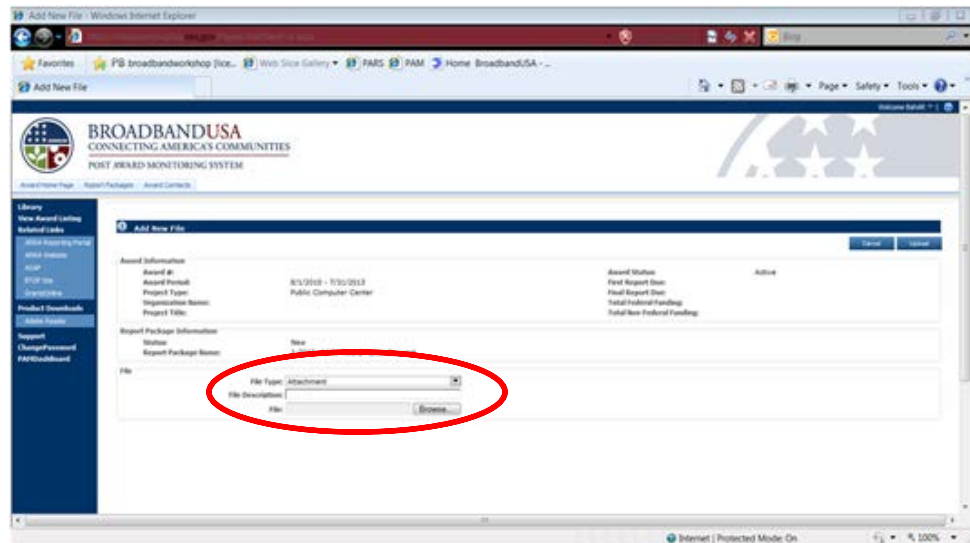




Final Closeout AAR

U.S. DEPARTMENT OF COMMERCE	
Award Action Request	
3. Recipient Name GEORGIA PARTNERSHIP FOR TELEHEALTH INC	1. Award Number 12-43-B10576 2. Award Period From Sep 1, 2010 4. Award Period To Aug 31, 2013
5. Project Title ARRA ? GBA - TeleConnect Georgia for Better Health	6. CFDA Number 11.557
7. Report Type <input type="text" value="Other"/>	
7a. If Other, please describe Submitting final closeout documentation.	
8. Justification All documentation for early closeout of Teleconnect Georgia for Better Health.	
9. Submitted By Lloyd Simons	10. Date Submitted (MM/DD/YYYY) 12-28-2012

- The Final Closeout AAR should be created as an AAR package and should specify in the description that the attached documents are being submitted for closeout
- All file descriptions should be noted as "Final" in PAM
- Please include a list of documents under Section 8 in the AAR





Final SF-424A or SF-424C

BUDGET INFORMATION - Non-Construction Programs							OMB Approval No. 0348-0044	
SECTION A - BUDGET SUMMARY								
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget				
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)		
1.		\$	\$	\$	\$	\$	0	
2.							0	
3.							0	
4.							0	
5. Totals		\$	\$	\$	\$	\$	0	
SECTION B - BUDGET CATEGORIES								
Object Class Categories		GRANT PROGRAM FUNCTION OR ACTIVITY				Total		
		(1)	(2)	(3)	(4)	(5)		
a. Personnel								
b. Fringe Benefits								
c. Travel								
d. Equipment								
e. Supplies								
f. Contractual								
g. Construction								
h. Other								
i. Total Direct Char								
j. Indirect Charges								
k. TOTALS (sum c)								
7. Program Income								

BUDGET INFORMATION - Construction Programs				OMB Approval No. 0348-0044	
NOTE: Certain Federal assistance programs require additional computations to arrive at the Federal share of project costs eligible for participation. If such is the case, you will be notified.					
COST CLASSIFICATION	a. Total Cost		b. Costs Not Allowable for Participation		c. Total Allowable Costs (Columns a-b)
	1. Administrative and legal expenses	\$.00 \$	\$.00 \$
2. Land, structures, rights-of-way, appraisals, etc.	\$.00 \$	\$.00 \$	0.00
3. Relocation expenses and payments	\$.00 \$	\$.00 \$	0.00
4. Architectural and engineering fees	\$.00 \$	\$.00 \$	0.00
5. Other architectural and engineering fees	\$.00 \$	\$.00 \$	0.00
6. Project inspection fees	\$.00 \$	\$.00 \$	0.00
7. Site work	\$.00 \$	\$.00 \$	0.00
8. Demolition and removal	\$.00 \$	\$.00 \$	0.00
9. Construction	\$.00 \$	\$.00 \$	0.00
10. Equipment	\$.00 \$	\$.00 \$	0.00
11. Miscellaneous	\$.00 \$	\$.00 \$	0.00
12. SUBTOTAL (sum of lines 1-11)	\$	0.00 \$	\$	0.00 \$	0.00
13. Contingencies	\$.00 \$	\$.00 \$	0.00
14. SUBTOTAL	\$	0.00 \$	\$	0.00 \$	0.00
15. Project (program) income	\$.00 \$	\$.00 \$	0.00
16. TOTAL PROJECT COSTS (subtract #15 from #14)	\$	0.00 \$	\$	0.00 \$	0.00
FEDERAL FUNDING					
17. Federal assistance requested, calculate as follows: (Consult Federal agency for Federal percentage share.) Enter the resulting Federal share: Enter eligible costs from line 16c: Multiply X _____% \$ 0.00 To autocalculate, press TAB key after entering percent. These instructions will not print.					

- Recipients submit a Final SF-424A or SF-424C detailing actual expenditures from award inception to the completion of the grant period, inclusive of closeout costs incurred after the award end date
- The SF-424A should be used unless the major project purpose is construction, in which case the SF-424C should be completed
- The SF-424A or SF-424C totals should align with the total federal expenditures and total match contributions (non-federal expenditures) listed in the Final FFR and PPR





List of Intellectual Property

A	B	C	D	E	F	G	H	I
Recipient Name: Grant Number: Program Contact Name: Program Contact Email:								
This information is intended to be used as a resource listing for each category.								
Category	Type	Resource Name	Description	Format	URL	Organization	Contact Name	Contact Email
Planning/Project Management	Planning Documents	Computer Use Policy	This policy outlines acceptable and non-acceptable use of workstations at our POC sites.	Word document	[recipient website here]	N/A	N/A	N/A
Research/Evaluation	Evaluation and Research Reports	Evaluation of Digital Literacy Training Program	Report of findings from our training evaluation, which collected data from more than 200 training participants	PowerPoint	N/A	N/A	N/A	N/A
Training	Curricula	Computer Basics (Spanish)	Curriculum for a two-hour training session for Spanish-speaking individuals. The curriculum is in Spanish. It targets beginners and reviews how to use a mouse, keyboard, etc.	PDF	[partner's website here]	Digital Literacy Training Group	Jasae Doe	jasae@training.org
Outreach Materials	Public Service Advertisement	Learn Computers (30)	Radio PSA (recorded in English and Spanish) to promote training classes	Audio file	[our website here]	N/A	N/A	N/A
Press/Publications	Press Article	Computer Training Help: New Americans	Newspaper story in "Our Hometown News," which ran 10/15/12; shares our success in providing digital literacy training to Spanish-speaking	Webpage	[newspaper article link]	N/A	N/A	N/A
Other Media	Photos	Photos from training classes	Photos taken at various training classes during October	Flickr	[web address]	N/A	N/A	N/A

- Recipients should upload a list of materials created, acquired, or developed using BTOP funds, including studies, publications, curriculum, and/or work products (e.g., links on website to reports, datasets)
- Recipients should be aware that NTIA may ultimately request copies of these materials once a final hosting location is determined





List of Intellectual Property (IP) – Resource Submission

- Upon review of the IP list, your FPO may request certain resources and materials that may be useful to researchers and other organizations
- Recipients will have multiple ways to send files to NTIA
 - PAM (preferred)
 - Submit as Program Other Request (POR)
 - File size limit is 32 MB, up to 9 attachments may be uploaded in one POR
 - Multiple PORs may be submitted
 - FTP (preferred)
 - DOC FTP site: <https://sft2.doc.gov/courier/web/1000@/wmLogin.html>
 - Send to FPO and DHerndon.ctr@ntia.doc.gov
 - Email
 - Email to FPO cc: DHerndon.ctr@ntia.doc.gov
 - Physical Media
 - DVDs and CDs
 - USB drives are not accepted per DOC IT policies





SF-428

TANGIBLE PERSONAL PROPERTY REPORT SF-428		Page	of Pages
1. Federal Agency and Organization Element to Which Report is Submitted	2. Federal Grant or Other Identifying Number Assigned by Federal Agency	3a. DUNS	3b. EIN
4. Recipient Organization (Name and complete address including zip code)		5. Recipient Account or Identifying Number	
6. Attachment (Check applicable) <input type="checkbox"/> Annual Report (SF-428-A) <input checked="" type="checkbox"/> Final (Award Closeout) Report (SF-428-B) <input type="checkbox"/> Disposition Report/Request (SF-428-C)		7. Supplemental Sheet <input type="checkbox"/> Yes <input type="checkbox"/> No	
8. Comments			
9a. Typed or Printed Name and Title of Authorized Certifying Official		9c. Telephone (area code, number, extension)	
		9d. Email address	
9b. Signature of authorized Certifying Official		9e. Date report submitted (Month, Day, Year)	
		10. Agency use only	

SF-428 Tangible Personal Property Report
OMB Approval Number: 3050-0208
EXPIRATION DATE: 04/30/2013

- Recipients account for BTOP-funded tangible personal property by completing a SF-428, SF-428B, and SF-428S
- All recipients must submit a SF-428 cover sheet and Attachment B (if there is no tangible property to report, recipients should write "Not Applicable" under Section 8)
- A supplemental sheet, SF-428S, may be necessary to provide detailed information for each item





SF-428 Attachment B

TANGIBLE PERSONAL PROPERTY REPORT Final Report SF-428- B	
Federal Grant or Other Identifying Number Assigned by Federal Agency (Block 2 on SF-428).	
1. Report (Select all that apply)	
a. <input type="checkbox"/> Federally-owned Property (List on Supplemental Sheet SF-428S or recipient equivalent and complete Section 2a below.)	
b. <input type="checkbox"/> Acquired Equipment with acquisition cost of \$5,000 or more for which the awarding agency has reserved the right to transfer title (List on Supplemental Sheet SF-428S or recipient equivalent and complete Section 2b below.)	
c. <input type="checkbox"/> Residual Unused Supplies with total aggregate fair market value exceeding \$5,000 not needed for any other Federally sponsored programs or projects. (Complete Section 2c below)	
d. <input type="checkbox"/> None of the above	
2. Complete relevant section(s)	For Agency Use Only
2a. Federally-owned Property (Select one or more.)	Agency response to requested disposition of Federally owned property:
(i) <input type="checkbox"/> Request transfer to Award _____	(i) Recipient request approved ___ denied ___
(ii) <input type="checkbox"/> Request Federal Agency disposition instructions	(ii) Dispose in accordance with attached instructions ___.
(iii) <input type="checkbox"/> Other (Provide detail in Block 3 or attach request)	
2b. Acquired Equipment (Select one or more.)	Agency response to requested disposition of acquired equipment:
(i) <input type="checkbox"/> Request unconditional transfer of title with no further obligation to the Federal Government.	(i) Recipient request approved ___ denied ___
(ii) <input type="checkbox"/> Request Federal Agency disposition instructions	(ii) Dispose in accordance with attached instructions ___
Note: If the awarding agency does not provide disposition instructions within 120 days the recipient may continue to use the equipment for Federally supported projects or dispose in accordance with the applicable property standards.	Authorized Awarding Agency Official
	Signature: _____ Date: _____
	Name: _____ Phone: _____
	Title: _____ Email: _____
2c. Reportable Residual Unused Supplies	
(i) <input type="checkbox"/> Sale proceeds or <input type="checkbox"/> Estimate of current fair market value	\$ _____
(ii) <input type="checkbox"/> Percentage of Federal participation	_____ %
(iii) <input type="checkbox"/> Federal share	\$ _____
(iv) <input type="checkbox"/> Selling and handling allowance	\$ _____
(v) <input type="checkbox"/> Amount remitted to the Federal Government.....	\$ _____
3. Comments	
FINAL REPORT ATTACHMENT TO SF-428	
Agency use only	
OMB Approval Number: 3090-0289 Expiration Date: 4/30/2015	

- The SF-428B is used during award closeout to allow recipients to request disposition instructions for equipment items (items with a per-unit acquisition cost of \$5,000 or greater)
- Recipients select all applicable options in Section 1 and complete the corresponding questions 2a-2c





SF-428 Attachment S

TANGIBLE PERSONAL PROPERTY REPORT Supplemental Sheet SF-428S							
Federal Grant or Other Identifying Number Assigned by Federal Awarding Agency (Block 2 of SF-428)				Attachment Type ___ Annual Report ___ Final (Award Closeout) Report ___ Disposition Request/Report		Page	Of Pages
Complete one row for each item:							
Award Number (a)	GP or ACQ (b)	Description of Item (c)	Identification Number (d)	Acq. Date (e)	Cond. Code (f)	Acq. Cost (g)	Disp. Req. (h)
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							

SF-428S Supplemental Sheet - Attachment to SF-428
OMB Approval Number: 3090-0089
Expiration Date: 4/30/2013

- The SF-428S is used by recipients to provide detailed information on individual items
- Grantees who checked "Yes" to Question 7 on the SF-428 or selected option 1b on the SF-428B should complete Attachment S or submit an equivalent document





SF-429

REAL PROPERTY STATUS REPORT SF-429 (COVER PAGE)			
		Page: _____	of: _____ Pages
1. Federal Agency and Organizational Element to Which Report is Submitted:		2. Federal Grant(s) or Other Identifying Number(s) Assigned by Federal Agency(ies):	
3. Recipient Organization (name and complete address including zip code):			
4a. DUNS Number:	4b. EIN:	5. Recipient Account or Identifying Number:	6. Contact Person for this Report: Name: Phone: Email: Fax:
7. Report End Date: (MM/DD/YYYY)			
8. Real Property Status Report – Attachments: [check the applicable block(s)]: <input type="checkbox"/> Attachment A (General Reporting) attached <input type="checkbox"/> Attachment B (Request to Acquire, Improve or Furnish) attached <input type="checkbox"/> Attachment C (Disposition Request) attached			
9. Comments (attach additional sheets if necessary):			
10. Certification: I certify to the best of my knowledge and belief that all information presented in this report is true, correct and complete and constitutes a material representation of fact upon which the Federal government may rely.			
11a. Typed or Printed Name and Title of Authorized Certifying Official:		11c. Telephone (area code, number, extension):	
		11d. Email Address:	
11b. Signature of Authorized Certifying Official:		11e. Date Report Submitted (MM/DD/YYYY):	
		12. Agency use only	

1 Standard Form 429 (9/2011)

- Recipients account for real property (e.g., land or improvements) by completing a SF-429
- All recipients must submit a SF-429 cover sheet even if there is no real property to report
- Only those who purchased/improved real property using BTOP funds or contributed it as match must complete the SF-429A





SF-429 Attachment A

OMB Control No. 3090-0296
Expires: 07/31/2014

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

Federal Grant or Other Identifying Number Assigned by Federal Agency (R2 on cover page) _____ Page: _____ of: _____ Pages

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): _____

<p>14c. Land Acreage or Square Units: Enter Amount: _____ Select units: _____ Acres _____ Square Feet _____ Square Kilometers _____ Square Meters</p>	<p>14d. Gross and Usable Square Footage/Meters (i.e., of building, house, etc.): Enter Amounts: Gross _____ Usable _____ Select Units: _____ Square Feet _____ Square Meters</p>
---	--

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: _____

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 (attach additional sheets if necessary): _____

14k. In accordance with the National Historic Preservation Act (NHPA), does the property possess historic significance, and/or is it listed or eligible for listing in the National Register of Historic Places? Yes No
 If yes, describe them (attach additional sheets if necessary): _____

15. Has a significant change occurred with the real property, or is there an anticipated change expected during the next reporting period? Yes No
 If yes, describe the change (attach additional sheets if necessary): _____

16. Real Property Disposition Status:
 A. Sold B. Transferred to different award C. Used in other Federally sponsored project/program
 D. Transferred title E. Retained Title F. N/A

I. If the Federal agency provided the recipient disposition instructions to sell or retain title to the real property, enter the amount of funds owed to the Federal government: _____

II. If applicable, enter the amount of any net proceeds from the sale of the real property and describe how the proceeds were distributed: _____

III. If the Federal agency directed the recipient to transfer title to the real property, enter the amount of funds the Federal Agency owes: _____

17. Indicate the cumulative energy consumption for the previous 12 months:
 A. Electric (kWh) _____ or (Btu) _____ B. Petroleum (Gal) _____ C. Natural Gas (cu ft) _____ D. Other (Specify) _____

18. Remarks (attach additional sheets if necessary): _____

Attachment A (General Reporting) to Real Property Status Report SF-429

ii Revised Form 429 (9/2011)

- The SF-429A allows recipients to provide the requested information in section 13-18 of Attachment A for each parcel of real property reported





Federal Interest - Covenant Of Purpose, Use And Ownership

Sample NIST Covenant of Purpose, Use and Ownership

COVENANT OF PURPOSE, USE AND OWNERSHIP

THIS COVENANT OF PURPOSE, USE AND OWNERSHIP dated this _____ day of _____, 201__ (hereinafter referred to as the "Covenant"), by and between _____ whose address is _____

(hereinafter with its successors as **INSTITUTE OF STANDARDS COMMERCE, UNITED STATES** Gaithersburg, Maryland 20899 (b_____

WHEREAS, Recipient submitted No. _____ for financing (here _____

WHEREAS, by offer of Award, financial assistance award in the Amount") to assist in financing _____

(hereinafter called "Project");

WHEREAS, said Project include described in Exhibit "A" attached improvements called "Property")

WHEREAS, on _____ "Award Agreement") subject to _____ and agreed to comply with the re _____

WHEREAS, under the authority Project's Estimated Useful Life (authorized to permit Recipient to lease, transfer, convey, mortgage from the Grants Officer, NIST, or Grants Officer"), unless NIST is Covenant) in the Property;

WHEREAS, Recipient as owner attached hereto, agreed to record _____

UCC FINANCING STATEMENT

FOLLOW INSTRUCTIONS. PRINT AND REVIEW CAREFULLY.

A. NAME & PHONE OF CONTACT AT FILER (REQUIRED)

B. SEND ACKNOWLEDGEMENT TO: (Name and Address)

THIS ABOVE SPACE IS FOR FILING OFFICE USE ONLY

1. DEBTOR'S EXACT FULL LEGAL NAME (Start only with debtor name (1a) or (1b); do not abbreviate or combine names)

(1) ORGANIZATION'S NAME

(2) INDIVIDUAL'S LAST NAME FIRST NAME MIDDLE NAME SUFFIX

(3) MAILING ADDRESS CITY STATE ZIP+4 CODE COUNTRY

(4) TAX ID # EIN OR BIN **(5) ADD. SECTION** (6) TYPE OF ORGANIZATION **(7) JURISDICTION OF ORGANIZATION** **(8) ORGANIZATIONAL USE ONLY** **SOLE**

2. ADDITIONAL DEBTOR'S EXACT FULL LEGAL NAME (Start only with debtor name (2a) or (2b); do not abbreviate or combine names)

(1) ORGANIZATION'S NAME

(2) INDIVIDUAL'S LAST NAME FIRST NAME MIDDLE NAME SUFFIX

(3) MAILING ADDRESS CITY STATE ZIP+4 CODE COUNTRY

(4) TAX ID # EIN OR BIN **(5) ADD. SECTION** (6) TYPE OF ORGANIZATION **(7) JURISDICTION OF ORGANIZATION** **(8) ORGANIZATIONAL USE ONLY** **SOLE**

3. SECURED PARTY'S NAME (a) NAME OF FILER (b) FULL ADDRESS OF ASSIGNEE (c) (Start only with secured party name (3a) or (3b))

(1) ORGANIZATION'S NAME

(2) INDIVIDUAL'S LAST NAME FIRST NAME MIDDLE NAME SUFFIX

(3) MAILING ADDRESS CITY STATE ZIP+4 CODE COUNTRY

4. THIS FINANCING STATEMENT covers the following collateral:

ALL TANGIBLE PERSONAL PROPERTY OF ALL KINDS ALL REAL ESTATE ALL INSTRUMENTS ALL RIGHTS ALL RECEIVABLES ALL ACCOUNTS ALL COMMERCE ALL INVENTORY ALL EQUIPMENT ALL FUTURE ACQUISITIONS ALL RIGHTS IN INTELLECTUAL PROPERTY ALL RIGHTS IN INVESTMENT PROPERTY ALL RIGHTS IN CONTRACTS ALL RIGHTS IN CONTRACTS ALL RIGHTS IN CONTRACTS ALL RIGHTS IN CONTRACTS

FILING OFFICE COPY — NATIONAL UCC FINANCING STATEMENT (FORM UCC1) (REV. 07/09/08)

FORM SHOULD BE TYPEWRITTEN OR COMPUTER GENERATED

- NTIA retains an undivided equitable reversionary interest in all real or personal property that recipients and subrecipients acquire or improve using Federal or match funds, for the entire useful life of the property
- During the duration of the Federal Interest, recipients cannot sell or transfer the asset without prior Grants Office approval or use the property for non-BTOP purposes without prior approval
- Recipients with substantial assets acquired with federal or match funds have to submit applicable documentation
 - Covenant of Purpose to document the Federal Interest in **real property**
 - UCC-1 to document the Federal Interest in **fixtures or personal property** other than supplies
 - Attorney Certification that documents were properly executed and filed in accordance with state law





Program Specific Audit (For-Profit recipients only)

- Commercial and for-profit entities may have to submit a program specific audit if the recipient received a BTOP award greater than \$100,000
- A copy of the Audit Report must be submitted within 180 days of the award end date to the DOC Office of the Inspector General (OIG) and PAM. This audit must include costs incurred during the closeout period
- For-profit entities required to do a program-specific audit during the closeout period may pay for those audit expenses using BTOP funds





After NTIA reviews and submits closeout documentation, NIST conducts a final review and takes the remaining steps to close the grant

- NIST Grants Office will perform financial reconciliation and notify the recipient that the award has been satisfactorily closed
- If applicable, the Grants Office prepares a Deobligation Memo and submits it to the NTIA Budget Office
- Recipients must maintain records relating to the grant for at least three years after the recipient submits its final federal expenditure report
- Recipients must continue to comply with any ongoing audit and property management requirements





Early Closeout

- A recipient may want to terminate its award early after completing all project goals
- To initiate the process, a recipient should initiate an "Other" AAR and attach a letter from the recipient's Authorized Organization Representative (AOR) requesting an amendment to the award end date. Once approved, this action will amend the award end date to the new requested end date. Upon project completion, the recipient will need to send all final closeout materials to its Grants Specialist, FPO, and Closeout Analyst to close out the award
 - Amended award end dates will always fall on the last day of the quarter
- Recipients wanting to terminate their awards early should submit their requests in PAM





What happens after the award closes?

Thank You!



- After the award is closed, Recipients must continue to:
 - Use BTOP-funded equipment for the purposes under the award
 - Retain grant files and related records for at least three years
 - Complete an inventory of grant-funded equipment
 - Update UCC-1 filings every five years





Additional Resources

- [15 CFR § 14.71](#) – Closeout Procedures for Non-Profit and Commercial Entities and Institutions of Higher Education
- [15 CFR § 24.50](#) – Closeout Procedures for State, Local, and Tribal Entities
- Department of Commerce Office of Acquisition Management Updated Grants Manual, Chapter 12 – Award Close-out, available at [http://www.osec.doc.gov/oam/archive/docs/Ch12%20Award%20Close-out%20\[revised%20June%202007\].pdf](http://www.osec.doc.gov/oam/archive/docs/Ch12%20Award%20Close-out%20[revised%20June%202007].pdf)
- Closeout documents are available on NTIA's website under Award Closeout Requirements at <http://www2.ntia.doc.gov/compliance>
- Additional guidance on completing closeout forms is available on the [BTOP Collaboration Wiki](#)





BROADBANDUSA
CONNECTING AMERICA'S COMMUNITIES

Questions

Made Possible by the Broadband Technology Opportunities Program

Funded by the American Recovery and Reinvestment Act of 2009

