STATE AND LOCAL IMPLEMENTATION GRANT PROGRAM (SLIGP)

NEW RECIPIENT ON-BOARDING WEBINAR

August 12, 2013

WELCOME AND HOUSEKEEPING

- Congratulations on receiving your SLIGP grant award
- All participants will be placed on mute for the entirety of the webinar to allow us to get through the content
- If you have a question during the webinar, please enter the question via the chat box feature
- We will respond to questions in writing and provide those responses to all participants

MEET YOUR SLIGP SPEAKERS

NTIA Team

Mike Dame
(Program Director)

- **Claudia Wayne**
  (Federal Program Officer)
- **David Buchanan**
  (Federal Program Officer)

NIST Team

Jannet Cancino
(Grants Officer)

- **Husai Rahman**
  (Non-Supervisory Grants Officer)
- **Ebony Simmons**
  (Grants Specialist)

OBJECTIVES

Grant recipients will:

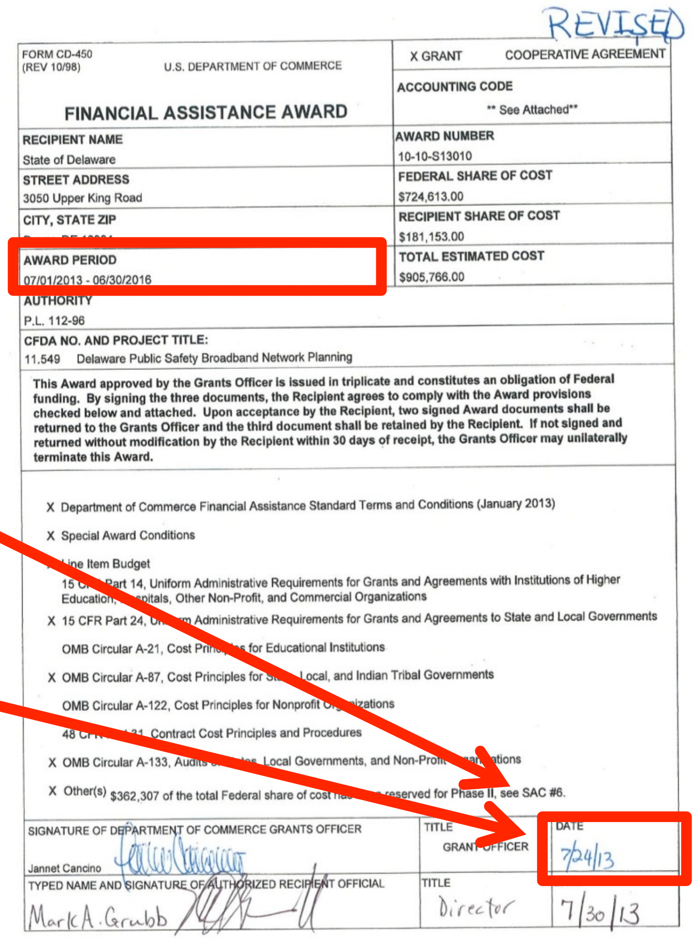
1. Understand the timeline for immediate next steps and upcoming deadlines
2. Learn about programmatic and financial performance requirements
3. Understand grant compliance requirements
4. Receive an overview of the grant monitoring approach

AGENDA

- Calendar: After the Grant Is Issued
- Programmatic and Financial Performance
- Grant Compliance
- Grant Monitoring Overview
- Appendix: SLIGP Resources

CALENDAR: THE FIRST 30 DAYS

- The ***award period*** is the three-year period during which recipients can expend grant funds
- The ***date the grant is issued*** is the date that the Grants Officer, Jannet Cancino, signs the CD-450 award document
- All SLIGP recipients are to submit two documents:
  - Baseline/Expenditure Plan: A Special Award Condition (SAC). *Submit within 30 days of the date the grant is issued*.
  - Human Subjects Research Memo. *Try to submit within 30 days of the date the grant is issued*.



REVISED

FORM CD-450
(REV 10/98)
U.S. DEPARTMENT OF COMMERCE

X GRANT COOPERATIVE AGREEMENT

FINANCIAL ASSISTANCE AWARD

RECIPIENT NAME State of Delaware	ACCOUNTING CODE ** See Attached**
STREET ADDRESS 3050 Upper King Road	AWARD NUMBER 10-10-S13010
CITY, STATE ZIP [illegible]	FEDERAL SHARE OF COST $724,613.00
AWARD PERIOD 07/01/2013 - 06/30/2016	RECIPIENT SHARE OF COST $181,153.00
AUTHORITY P.L. 112-96	TOTAL ESTIMATED COST $905,766.00

CFDA NO. AND PROJECT TITLE:
11.549 Delaware Public Safety Broadband Network Planning

This Award approved by the Grants Officer is issued in triplicate and constitutes an obligation of Federal funding. By signing the three documents, the Recipient agrees to comply with the Award provisions checked below and attached. Upon acceptance by the Recipient, two signed Award documents shall be returned to the Grants Officer and the third document shall be retained by the Recipient. If not signed and returned without modification by the Recipient within 30 days of receipt, the Grants Officer may unilaterally terminate this Award.

X Department of Commerce Financial Assistance Standard Terms and Conditions (January 2013)

X Special Award Conditions

[illegible] Line Item Budget

15 C[illegible] Part 14, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, [illegible]spitals, Other Non-Profit, and Commercial Organizations

X 15 CFR Part 24, U[illegible]m Administrative Requirements for Grants and Agreements to State and Local Governments

OMB Circular A-21, Cost Prin[illegible]s for Educational Institutions

X OMB Circular A-87, Cost Principles for S[illegible] Local, and Indian Tribal Governments

OMB Circular A-122, Cost Principles for Nonprofit O[illegible]izations

48 C[illegible] Contract Cost Principles and Procedures

X OMB Circular A-133, Audits [illegible] Local Governments, and Non-Profi[illegible]ations

X Other(s) $362,307 of the total Federal share of cost [illegible] reserved for Phase II, see SAC #6.

SIGNATURE OF DEPARTMENT OF COMMERCE GRANTS OFFICER Jannet Cancino	TITLE GRANTS OFFICER	DATE 7/24/13
TYPED NAME AND SIGNATURE OF AUTHORIZED RECIPIENT OFFICIAL Mark A. Grubb	TITLE Director	7/30/13

PROGRAMMATIC AND FINANCIAL PERFORMANCE

BASELINE/EXPENDITURE PLAN

BASELINE/EXPENDITURE PLAN

- The Baseline/Expenditure Plan (due within 30 days of the date the grant is issued):
  - Provides NTIA insight into specific activities recipients will accomplish over the three-year award period
  - Identifies "Milestone Activity Categories" (e.g., stakeholder meetings, training sessions) that reflect the types of activities that recipients will undertake
  - Asks recipients to project spending of federal and non-federal funds by quarter over the three-year award period
- Recipients will be able to revise their Baseline/Expenditure Plan when Phase 2 funds are released. NTIA may determine additional times when recipients will be allowed to revise their plans

DIRECTIONS

- The Baseline/Expenditure Plan identifies milestone activity categories. The directions instruct recipients to identify the number of activities they plan to complete each quarter
- NTIA has clarified the milestone activity categories and directions based on a more in-depth view of the activities recipients will undertake
- All recipients should complete the Baseline/Expenditure Plan according to the guidance provided here as it is more expansive than those provided with the form

MILESTONE CATEGORIES: DEFINITIONS

Milestone Activity Category	Definition	Data to Be Reflected
1. Stakeholder Meetings	Events during which SLIGP-funded staff, or representatives of the SLIGP program, meet with stakeholders for the purpose of consultation, education, and outreach. Events may include meetings, conferences, and regional summits. Events do NOT include governance meetings	Number of individuals reached via meetings
2. Training Sessions	This milestone activity category will not be used at this time	N/A
3. Conferences	Conferences hosted by a third party that you attend as part of your SLIGP activities	Number of people who are sent to conferences using grant funds

MILESTONE CATEGORIES: DEFINITIONS (CONT.)

Milestone Activity Category	Definition	Data to Be Reflected
4. Staff Hires (Full Time Equivalent)	State personnel FTEs supporting SLIGP. This includes new hires and existing staff who will spend time supporting SLIGP, and should align with the staff listed in the "Personnel" cost category. This includes individuals devoting 100% of their time to SLIGP, as well as individuals spending a portion of their time supporting SLIGP. It includes individuals supported by Federal and matching funds	Number of FTE supporting SLIGP activities
5. Contract Executions	Contracts that are executed by the recipient. This should align with the contractors listed in the "Contractual" cost category	Number of contracts executed
6. Statutory or Regulatory Changes	This milestone activity category will not be used at this time	N/A

MILESTONE CATEGORIES: ADDITIONAL ACTIVITIES

- In addition to the milestone activity categories listed in the form, the Program Office requests that you add the following categories:

Milestone Activity Category	Definition	Data to Be Reflected
Governance Meetings	Meetings of the governance body. This includes meetings by subcommittees or working groups for the purpose of governance	Number of meetings held
Education and Outreach Materials	Materials developed by the recipient for the purpose of informing others about SLIGP and the NPSBN	Volume of materials distributed plus hits to any websites supported by SLIGP
Subrecipient Agreements Executed	Subrecipient agreements that are executed by the recipient. This should align with any subrecipients listed in the "Other" cost category	Number of agreements executed
Phase 2	To Be Determined	To Be Determined

MILESTONE CATEGORIES: TIMEFRAMES

- **Align the quarter on the chart to the calendar year:**

Quarter	Calendar Period
Q1	July 1, 2013 – September 30, 2013 + pre-award
Q2	October 1, 2013 – December 31, 2013
Q3	January 1, 2014 – March 31, 2014
Q4	April 1, 2014 – June 30, 2014
Q5	July 1, 2014 – September 30, 2014
Q6	October 1, 2014 – December 31, 2014
Q7	January 1, 2015 – March 31, 2015
Q8	April 1, 2015 – June 30, 2015
Q9	July 1, 2015 – September 30, 2015
Q10	October 1, 2015 – December 31, 2015
Q11	January 1, 2016 – March 31, 2016
Q12	April 1, 2016 – Award End Date

MILESTONE CATEGORIES: EXAMPLE

- **Staff Hires (Reflect FTEs in the quarter in which the staff will start work on SLIGP)**
  - The state has several existing employees (3.5 FTE) who will begin work immediately (Q1)
  - The state plans to hire a full time project manager (1.0 FTE). Taking into consideration the hiring process, the recipient anticipates this staff member starting work in Q2
  - The state plans to hire two outreach coordinators. Each coordinator will spend 60% of his/her time on SLIGP (total of 1.2 FTE for both positions). The recipient anticipates these two staff members will start work in Q3
- **Governance Meetings (Reflect number of meetings held)**
  - The recipient plans to hold one meeting each quarter of the entire SIEC, plus one working group meeting each month (total of 4 meetings each quarter: 1 SIEC + 3 working group)
  - The recipient will start holding these meetings in October 2013 (Q2)

		Year 1				Year 2				Year 3			
Category	**Total**	**Q1**	**Q2**	**Q3**	**Q4**	**Q5**	**Q6**	**Q7**	**Q8**	**Q9**	**Q10**	**Q11**	**Q12**
Staff Hires	5.7	3.5	1.0	1.2	0	0	0	0	0	0	0	0	0
Gov. Meetings	44	0	4	4	4	4	4	4	4	4	4	4	4

KEY INDICATORS: EXPENDITURES BY COST CATEGORY

- The Baseline/Expenditure Plan asks recipients to project quarterly spending for the three-year award period
- The directions in the form state expenses "should be reported in the quarter you are anticipating expending the funds." HOWEVER, we are requesting that you report expenditures **cumulatively**
- Recipients may reflect Phase 2 expenditures in a separate row at the bottom of the form, as it is not yet determined when Phase 2 will begin

KEY INDICATORS: TIMEFRAMES

- **Align the quarter on the chart to the calendar year. Report cumulatively:**

Quarter	Calendar Period
Q1	July 1, 2013 – September 30, 2013 + pre-award
Q2	October 1, 2013 – December 31, 2013 + all previous quarters
Q3	January 1, 2014 – March 31, 2014 + all previous quarters
Q4	April 1, 2014 – June 30, 2014 + all previous quarters
Q5	July 1, 2014 – September 30, 2014 + all previous quarters
Q6	October 1, 2014 – December 31, 2014 + all previous quarters
Q7	January 1, 2015 – March 31, 2015 + all previous quarters
Q8	April 1, 2015 – June 30, 2015 + all previous quarters
Q9	July 1, 2015 – September 30, 2015 + all previous quarters
Q10	October 1, 2015 – December 31, 2015 + all previous quarters
Q11	January 1, 2016 – March 31, 2016 + all previous quarters
Q12	April 1, 2016 – Award End Date + all previous quarters

KEY INDICATORS: EXAMPLE

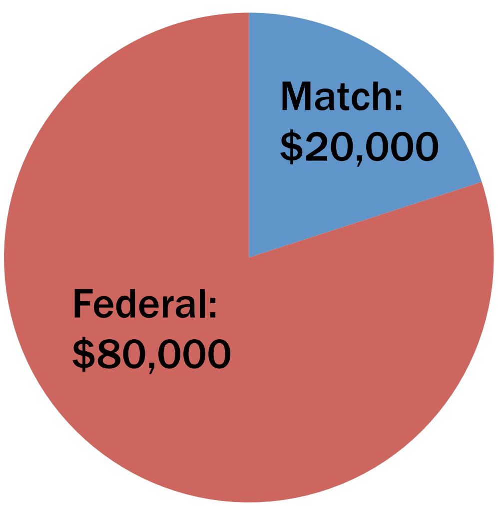
- **Personnel: Federal Funds**
  - The recipient plans to hire one project manager in Q2. The total budget for this position is $180,000. This breaks down to $16,374/quarter. ($180,000/11 quarters)
  - The recipient plans to hire two outreach coordinators in Q3. The total budget for these two positions is $150,000. This breaks down to $15,000/quarter. ($150,000/10 quarters)
  - Federal expenditures for personnel during the first four quarters would be:
    - Q1– $0 (no staff has been hired yet)
    - Q2– $16,374 (project manager at $16,374)
    - Q3– $47,728 (project manager at $16,374 + outreach coordinators at $15,000 + all previous quarters at $16,374)
    - Q4– $79,092 (project manager at $16,374 + outreach coordinators at $15,000 + all previous quarters at $47,728)

		Year 1			
Cost Category	**Total Federal**	**Q1**	**Q2**	**Q3**	**Q4**
Personnel	$330,000	$0	$16,374	$47,728	$79,092

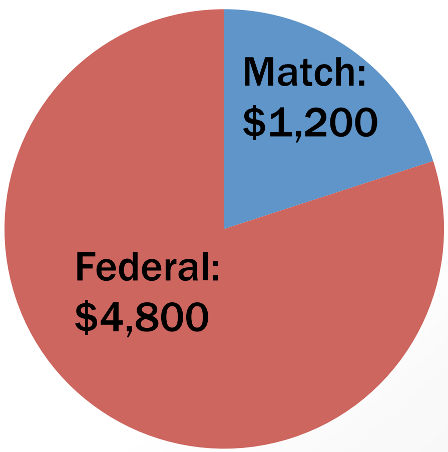
MATCH PROPORTIONALITY

- DOC Standard Terms and Conditions states that the non-federal share is expected to be paid out at the same general rate as the federal share
- If your budget is 20% match and 80% Federal funds, then each quarter your total actual expenditures should be at least 20% match and at most 80% Federal funds
- If you are unable to meet match proportionality requirements, you must request a waiver from the Grants Office

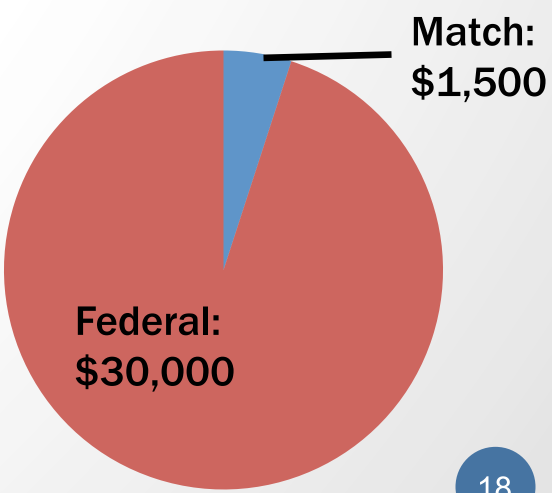
Total Project Budget



Q1 Actual Expenditures: In Proportion



Q2 Actual Expenditures: NOT In Proportion



BASELINE/EXPENDITURE PLAN: TIPS

- Refer to your Budget Detail and Budget Narrative when completing the “Milestone Categories.” Many recipients indicated the planned number of meetings, trips, new staff, etc. when developing their budgets
- Take into account start-up time. You may not be able to accomplish many activities or spend many funds in Q1
- Take into account the time needed to hire new staff or contractors, to procure supplies, etc.
- Alert your FPO if you anticipate being out of proportion in your Federal and match spending. You will be asked to submit a proportionality waiver request
- Do your best. NTIA understands that it may be challenging to anticipate your activities and expenditures this early in the award period
- Reach out to your assigned Federal Program Officer (FPO) if you have any questions or concerns
- Phase 2 data will not be requested until NTIA and the Grants Office approve those activities by releasing the Phase 2 Special Award Condition

SUBMITTING THE PLAN

- Recipients should:
  - Email the Baseline/Expenditure Plan to SLIGP email account (sligp@ntia.doc.gov) and cc your assigned Federal Program Officer
  - Submit the Baseline/Expenditure Plan within 30 days of the date the award is issued to be in compliance with the Special Award Condition
- FPOs will review the Baseline/Expenditure Plans and will contact recipients with any questions
- Recipients may be asked to revise their Baseline/Expenditure Plans to clarify any issues; FPOs will inform recipients when the Baseline/Expenditure Plan has been accepted

GRANT COMPLIANCE

HUMAN SUBJECTS RESEARCH PROTECTION

OTHER SPECIAL AWARD CONDITIONS

MATCH CONTRIBUTION GUIDELINES

HUMAN SUBJECTS RESEARCH (HSR) PROTECTION

- Several SLIGP recipients indicated plans to conduct surveys of individuals to collect information as part of their SLIGP activities
- Because of these plans, NTIA needs to make sure that *all* recipients understand and comply with human subjects research protection policies
- Across all Federal grant programs, grant recipients need to comply with human subjects research protection policies
- These policies ensure that people will not be harmed when participating in research studies conducted as part of Federal grants

HSR PROTECTION: WHAT IT MEANS

- A "human subject" is a living individual *about whom* an investigator conducting research obtains either data through intervention or interaction with the individual, or identifiable private information
- Department of Commerce (DOC) defines "research" broadly to encompass the study, testing, or evaluation of human behavior, reactions, and thought processes as well as tangible study of the human body
- Each SLIGP recipient must submit a memo and indicate whether it:
  - Is not conducting human subjects research
  - Is requesting an exemption from the HSR policy
  - Is conducting research that requires review and approval by an Institutional Review Board (IRB)
- FPOs will be available to talk through which HSR classification category best fits your situation prior to your submitting the HSR Memo

HUMAN SUBJECTS RESEARCH MEMO

- **Provide an HSR Memo with the information necessary for NTIA, as soon as possible after your award date and prior to conducting research activities, to certify one of the following:**

HSR State Procedure Classification Category	Definitions
Not Conducting Human Subjects Research	• Activities do not qualify as research and/or involve human subjects • Only valid as long as the status of no research remains unchanged
Request an Exemption From HSR Policy	• **Research involving the use of established or commonly accepted educational practices, tests, surveys, interview or public observation procedures** • Research involving the collection or study of existing or publically available data, documents, records, pathological specimens, or diagnostic specimens • The information obtained will not be recorded in such a manner that human subjects can be identified, or placed at risk of criminal or civil liability • Only valid as long as the research on which the exemption is based remains unchanged
HSR Approved by an Institutional Review Board (IRB)	• HSR procedures, proposed protections, and evaluation instruments that required IRB review and were approved by the U.S. Department of Health and Human Services • Requires annual update

SUBMITTING THE HSR MEMO

- HSR Memo templates and additional guidance will be provided via email from your FPO
- Email your HSR Memo to the SLIGP email account (SLIGP@ntia.doc.gov) and copy your FPO
- Once HSR memos are submitted, FPOs will review each submission for completeness
  - Recipients may be asked to revise their HSR Memo submission to clarify any issues
  - FPOs will inform recipients when the HSR Memo submission has been deemed complete prior to advancing the memo through the review process to the SLIGP Director
- The SLIGP Director will review the HSR Memo and then forward the memo to NTIA's Office of Chief Counsel (OCC) for review
- The Department of Commerce Standard Terms and Conditions pertaining to HSR will not be satisfied until OCC has concurred with the request and the determination has been submitted to the Assistant Secretary

SPECIAL AWARD CONDITIONS (SACs)

- Recipients are required to comply with
  - Uniform Administrative Requirements (15 CFR 24)
  - Cost principles (2 CFR 225)
  - Department of Commerce Financial Assistance Standard Terms and Conditions (updated January 2013)
  - Special Award Conditions for the SLIGP award
- FPOs will monitor to ensure that recipients fulfill SACs and will support recipients in complying with grant requirements. Adherence to and satisfaction of all SAC requirements provided in your award package is required to maintain SLIGP grant compliance.
- Take note of the following SACs:
  - Phase 2 funding reserve
  - Reporting requirements
  - Match requirements
  - Sub-recipient agreements and budgets, as applicable

GRANT MANAGEMENT: STATE POLICIES

- In addition to understanding Federal grant management requirements, be sure that all staff working on SLIGP are familiar with any state policies and requirements that must be followed
- States will likely have guidelines related to
  - Procurement
  - Sole sourcing
  - Travel
  - Ethics/reporting suspected waste, fraud, or abuse
  - Timekeeping
- Consider how you will educate new staff or contractors supporting grant management on these requirements and policies
- Identify resources you can consult if there are questions about how to apply grant management regulations in specific circumstances

MATCH CONTRIBUTION GUIDELINES

- Match Contributions
  - SLIGP recipients will provide at least 20 percent of the funds toward the total eligible project cost (Cash or In-Kind)
  - Contributions must be allowable, allocable, reasonable, and documented
- Tracking Match Contributions
  - Work with your accounting staff to understand the internal systems that will assist your State with documenting match
  - Costs and third party in-kind contributions counting towards the cost sharing or matching requirement must be verifiable from the records of recipients and subrecipient or cost-type contractors
  - These records must show how the value assigned to third party in-kind contributions was derived
  - Volunteer services should be documented using the same methods that the organization uses to support the allocability of regular personnel costs, to the greatest extent possible
  - Match contributions must be entered into your accounting system
  - Match contributions must be reported in the SF-425 Federal Financial Report in the quarter in which the contribution is made (e.g., If volunteers donate time in March 2014, the value of this contribution must be reported in the SF-425 for January – March 2014)

MATCH CONTRIBUTIONS: VOLUNTEER TIME

- Many recipients plan to use the value of donated time from local jurisdictions:
  - Time spent participating in governance meetings
  - Time spent attending educational/outreach conferences and events
  - Time spent meeting with data collectors as part of the Phase 2 data collection activities
- Recipients should establish a process for ***valuing and documenting*** volunteer time that will hold up to scrutiny in an audit
  - Time may be valued based on the volunteer's actual salary (exclusive of fringe benefits and overhead)
  - Time may be valued based on generally accepted national averages:
    - Independent Sector provides national and state values for volunteer time. These rates reflect an average wage for non-management, non-agricultural workers. The national average for volunteer time in 2012 is $22.14/hour (www.independentsector.org/volunteer_time)
    - The Bureau of Labor Statistics lists hourly wages by occupation for specialized skills (www.bls.gov/bls/blswage.htm)
  - Documentation will likely include the name of the individual, the date they volunteered, and the number of hours spent on grant activities

GRANT MONITORING OVERVIEW

NTIA'S APPROACH TO GRANTS MONITORING
REPORTING

NTIA'S APPROACH TO GRANTS MONITORING

- The NTIA Program Office wants to help recipients be successful
  - Implement proposed program activities
  - Address any challenges that arise
  - Comply with grant management regulations
- FPOs are committed to providing assistance to recipients to help them
  - Share best practices
  - Adapt program activities as needed over the course of the project period
- FPOs plan to engage with recipients frequently through various activities
  - Conference calls to discuss progress
  - Quarterly progress reports
  - Site visits
  - SLIGP workshops/conferences
- NTIA understands this approach to monitoring and engaging with recipients may be different from other agencies' approaches; the FPOs look forward to building collaborative relationships with their recipients

QUARTERLY REPORTING: FFR AND PPR

Federal Financial Report

- Each recipient must submit the Office of Management and Budget's (OMB) Standard Form 425 Federal Financial Report (SF-425 FFR)

Performance Progress Report

- The main objectives of the PPR are to gather key accomplishments, challenges, and expenditures to date
- FPOs will analyze submitted information to monitor the completion and achievement of key benchmarks and milestones of the recipient's project

SLIGP Quarterly Reports are short and low burden and will be posted online when complete

NTIA will provide training to recipients on completing reports in the coming months

Reports are due 30 days after the end of each calendar quarter

Due Dates by Quarter:

January – March (Due April 30)
April – June (Due July 30)
July – September (Due October 30)
October – December (Due January 30)

NEXT STEPS AND ACTION ITEMS

OVERVIEW OF SLIGP DELIVERABLES

PROGRAMMATIC TIMELINE

NEXT STEPS

- Start work on the Baseline/Expenditure Plan and HSR Memo
- Contact your FPO with any questions or concerns

Document	Due Date	Submission Method
Baseline/Expenditure Plan	Within 30 days of the date the grant is issued	Submit via email to the SLIGP email account (sligp@ntia.doc.gov) and your assigned FPO
Human Subjects Research (HSR) Memo	As soon as possible after the date the grant is issued and prior to conducting any research activities	Submit via email to the SLIGP email account (sligp@ntia.doc.gov) and your assigned FPO

APPENDICES: SLIGP RESOURCES

SLIGP POINTS OF CONTACT

SLIGP GENERAL INFORMATION

SOLE SOURCE AND PROCUREMENT GUIDANCE

APPENDIX A:
SLIGP POINTS OF CONTACT

Inquiry	Point of Contact
General Feedback, Comments, Concerns and Some State Assignments	• **Mike Dame**, Program Director, 202-482-1181, mdame@ntia.doc.gov
Assistance with Required Grant Documents and / or Day-to-Day Activities	• **Claudia Wayne**, Federal Program Officer, 202-482-2714, cwayne@ntia.doc.gov • **Dave Buchanan**, Federal Program Officer, 202-482-2706, dbuchanan@ntia.doc.gov

APPENDIX B:
SLIGP GENERAL INFORMATION

- FAQs
  - http://www.ntia.doc.gov/other-publication/2013/sligp-frequently-asked-questions
- Federal Funding Opportunity (FFO)
  - http://www.ntia.doc.gov/category/state-and-local-implementation-grant-program

APPENDIX C: PROCUREMENT AND SOLE SOURCE GUIDANCE

- **Procurement**
  - When procuring property and services for SLIGP, states will follow the same policies and procedures used for procurements from their non-federal funds. States will ensure that every purchase order or other contract includes any clauses required by federal statutes and executive orders and their implementing regulations.
  - Grantees and subgrantees will maintain a contract administration system which ensures that contractors perform in accordance with the terms, conditions, and specifications of their contracts or purchase orders.
- **Sole Source**
  - A cost analysis will be necessary when adequate price competition is lacking, and for sole source procurements, including contract modifications or change orders, unless price resonableness can be established on the basis of a catalog or market price of a commercial product sold in substantial quantities to the general public or based on prices set by law or regulation. A price analysis will be used in all other instances to determine the reasonableness of the proposed contract price.