

Coastal Impact Assistance Program

GULF OF MEXICO GRANT WORKSHOP

**DAY 1
JUNE 24, 2009**

Coastal Impact Assistance Program

Reference Web Sites

Cost Principles

http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?sid=fffb473de08a96e8002ac7841c7871bc&c=ecfr&tpl=/ecfrbrowse/Title02/2tab_02.tpl

Administrative Principles

<http://www.doi.gov/pam/index.html>

OMB Forms

http://www.whitehouse.gov/omb/grants/grants_forms.html

Coastal Impact Assistance Program

**WHICH PROGRAM
ANNOUNCEMENT TO USE FOR
APPLICATIONS?**

**Non-Construction or
Construction?**

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WHICH IS EASIEST FOR YOU?

**COMPARE THE COST
ELEMENTS WITHIN THE
2 APPLICATION FORMS**

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CONSTRUCTION FORM

Administrative

Architectural & Engineering Fees

Project Inspection Fees

Construction

Equipment

Miscellaneous

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NON-CONSTRUCTION FORM

Personnel

Fringe Benefits

Travel

Equipment

Supplies

Contractual

Construction

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Most Important to Us?

**Must Have a Signed SF-424D
Assurances- Construction for
any Project with Construction
and Adequate Explanation of the
Costs in the
Budget Narrative**

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MOST IMPORTANT TO US?

**EACH ELEMENT OF COST IS:
REASONABLE
ALLOWABLE
ALLOCABLE
NECESSARY**

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SF-424 FORM ERRORS

- **Block 8c: Correct DUNS Number**
- **Block 8d: Zip+4**
- **Block 14: Areas Affected by Project
(i.e. Lake Pontchartrain,
Tangipahoa Parish, Louisiana)**

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SF-424 FORM ERRORS

**Block 16: Congressional
District(s)**

**Block 17: Proposed Project Start
& End Dates**

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SF-424 FORM ERRORS

Block 21: Authorized Representative—must bind your organization contractually (or have authorized person send a signed paper copy of the form)

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SF-424A/C BUDGET FORM ERRORS

**SF-424A or C Budget Amounts
and Durations Match Those in
Project Narrative and Budget
Narrative**

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SF-424A BUDGET FORM ERRORS

**Section D Forecasted Cash
Needs Should Accurately Reflect
What You Anticipate You Will
Spend During that Period**

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SF-424A BUDGET FORM ERRORS

Section E Budget Estimates of Federal Funds Needed for Balance of Project

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SF-424A BUDGET FORM ERRORS

**The First Year is the First Period
After the Period You've Applied
For Funds**

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PRIVITY OF CONTRACT

**MMS DOES NOT HAVE A
CONTRACTUAL RELATIONSHIP
WITH YOUR
SUBCONTRACTORS OR
SUBGRANTEES**

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PRIVITY OF CONTRACT

- **May Enter Into Contractual Agreements with a Third Party**
- **MMS Has No Direct Contractual Relationship (Privity of Contract)**
- **Recipient May Not Delegate or Transfer its Responsibility to Another Party**

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PRIVITY OF CONTRACT Recipient

- **Ultimately Responsible for Use of CIAP Funds**
- **Exclusively Responsible for Complying with any Requirements**

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PRIVITY OF CONTRACT Recipient

**Communicates all Relevant Federal
Statutory and Regulatory
Requirements and Terms of CIAP
Grant Agreement to Each Contractor**

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PRIVITY OF CONTRACT Recipient

**Must Inform MMS if Recipient Authorizes
a Third Party to Communicate with MMS
and Conduct Transactions for the
Recipient's Benefit**

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PRIVITY OF CONTRACT Recipient

**Provides a Written Statement Detailing
Specific Transactions 3rd Party is
Authorized to Conduct on Behalf of
Recipient**

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PRIVITY OF CONTRACT

Certain Actions Cannot Be Delegated

- **Contract Procurement Methods and Procedures Conducted by the Recipient**
- **Directing the Recipient's Auditor to Include CIAP in the A-133 Audit**

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PRIVITY OF CONTRACT

Certain Actions Cannot Be Delegated

- **Certifications Regarding Lobbying**
- **How Payments from MMS to the Recipient Will be Handled**

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PRIVITY OF CONTRACT

Certain Actions Cannot Be Delegated

Providing MMS a Description of the Acquisition Process the Recipient Used When Selecting Contractors

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CONFLICT OF INTEREST

Personal Conflicts of Interest

Recipients will establish and maintain written safeguards to prohibit employees from using their positions for purposes that create an actual conflict of interest, or give the appearance of being motivated by desire for private gain for themselves or others (apparent conflict of interest), particularly those with whom they have family, business, or other ties.

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CONFLICT OF INTEREST

Organizational Conflicts of Interest

Recipients are responsible for upholding the integrity of the procurement process and must avoid organizational conflicts of interest and/or noncompetitive procurement practices

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ORGANIZATIONAL CONFLICTS OF INTEREST

Contractor is Unable to:

- **Render Assistance or Advice to the Recipient while Remaining Impartial**
- **Perform the Contract Work in an Objective Manner**

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Avoid an Unfair Competitive Advantage:

**The Contractor has Relevant
Information Not Available to all
Potential Contractors**

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Avoid an Unfair Competitive Advantage:

i.e. Contractor Prepares or Helps Prepare a Statement of Work (SOW) Used in Competitively Acquiring Services, or Provides Material Leading Directly to Such a SOW

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Contractor is Allowed to Compete if:

It's the Only Responsible Source

**--Participated in the Original
Development and Design
Work and Disallowing
Participation Would Negatively
Affect Time or Quality of
Production**

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Contractor is Allowed to Compete if:

- **One of Several Contractors Involved in Creation of the SOW, and**
- **Each Potential Contractor is Allowed Fair and Reasonable Opportunity to Compete for Award**

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Unavoidable Conflicts of Interest:

- **Longstanding Engineering Design Relationships on the Specific Project**
- **The Recipient's Staffing Situation Does Not Allow Them to Manage the CIAP Project with Recipient Employees**
- **The Recipient Uses Independent Contractor Employees to Fill Critical Positions Such as Accounting Functions**

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Recordkeeping Requirements

Develop and Maintain Appropriate Records!

- 1). How a Conflict of Interest was Avoided and/or the Necessary Steps Taken to Mitigate Such Conflict**
- 2). How Competitive Procurement Requirements and all Other Applicable Elements of 43 CFR § 12.76 Will be Satisfied Under the New Contract**

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REPORTING REQUIREMENTS

PERFORMANCE/PROGRESS REPORTS

FINANCIAL STATUS REPORTS

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REPORTING REQUIREMENTS

Reports can be found at:

http://www.whitehouse.gov/omb/grants/grants_forms.html



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Grants Management Forms

Some of the documents on this page were created as PDFs

[Click here for PDF assistance](#)

Proposed Government-Wide Standard Grants Reporting Forms

- [Grant Application Forms](#)
 - All standard grant application forms are available through "[Grants.gov](#)"
- [SF-269, Financial Status Report \(Long Form\) \(2 pages, 147 kb\)](#)
 - [SF-269A, Financial Status Report \(Short Form\) \(2 pages, 51 kb\)](#)
- [SF-270, Request for Advance or Reimbursement \(2 pages, 165 kb\)](#)
- [SF-271, Outlay Report and Request for Reimbursement for Construction Programs \(2 pages, 164 kb\)](#)
- [SF-272, Federal Cash Transactions Report \(2 pages, 26 kb\)](#)
 - [SF-272A, Federal Cash Transactions Report \(1 page, 5 kb\)](#)
- [SF-425, Federal Financial Report \(pdf \(1 page, 42 kb\)\) \(xls \(1 page, 58 kb\)\)*](#)
 - [Instructions for SF-425, Federal Financial Report \(1 page, 53 kb\)*](#)
- [SF-425A, Federal Financial Report Attachment \(pdf \(1 page, 23 kb\)\) \(xls \(1 page, 50 kb\)\)*](#)
 - [Instructions for SF-425A, Federal Financial Report Attachment \(1 page, 21 kb\)*](#)
- [SF-PPR, Performance Progress Report \(4 pages, 109 kb\) *](#)
 - [SF-PPR-2 \(Cover Page Continuation\) \(1 page, 55 kb\)](#)
 - [SF-PPR-A \(3 pages, 98 kb\)](#)
 - [SF-PPR-B \(2 pages, 82 kb\)](#)
 - [SF-PPR-C \(3 pages, 269 kb\)](#)
 - [SF-PPR-D \(2 pages, 127 kb\)](#)
 - [SF-PPR-E \(3 pages, 94 kb\)](#)

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REPORTING REQUIREMENTS Performance/Progress Reports

**MMS Not Currently Authorized to Use the
Standard SF-PPR Performance Progress
Report**

Use Optional Format Provided

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Performance/Progress Reports

Should Contain:

- A comparison of actual work accomplished relative to the annual goals and objectives
- Reasons for slippage, if established goals and objectives were not met
- Analysis and explanation of cost overruns or high unit costs
- Any foreseeable events that may occur affecting the project's completion schedule
- Favorable developments

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REPORTING REQUIREMENTS

**Financial Status and Federal Cash
Transactions Reports
SF-425**

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REPORTING REQUIREMENTS

The SF-425 Federal Financial Report

ONE FORM COMBINES the former:
SF-269/SF-269A Financial Status Report
SF-272 Federal Cash Transactions Report
**SF-271 Outlay Report and Request for
Reimbursement for Construction Programs**

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REPORTING REQUIREMENTS

The SF-425 Federal Financial Report

MMS Implemented on October 1, 2009

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THE END!