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CONNECTING AMERICA'S COMMUNITIES

Broadband Technology Opportunities Program

Award Closeout Notification Package

Comprehensive Community Infrastructure (CCI) Projects

June 2013

Version 3.2

**National Telecommunications and Information Administration
Broadband Technology Opportunities Program
1401 Constitution Avenue, NW
Washington, DC 20230**



Closing out the BTOP Award Agreement

Introduction to BTOP Award Closeout

Closeout is the process by which the National Telecommunications and Information Administration (NTIA) and National Oceanic and Atmospheric Administration (NOAA) Grants Office determine that the recipient has completed all applicable administrative actions and all required work. The Federal Program Office (FPO) will work with the recipient to verify that it submits all mandatory final documentation that federal regulations require.

Closeout Timeline

Under 15 C.F.R. §§ 14.71 and 24.50, all BTOP recipients must submit all final reports within 90 calendar days after the end date of an award.

Timeline of the BTOP Award Closeout Process	
90 Days Prior to the Award End Date	<ul style="list-style-type: none"> ■ This <i>Award Closeout Notification Package</i> notifies the recipient that the award period is nearing its award end date and outlines the schedule of activities that must be completed for the award to be closed out with the Department of Commerce. This package is meant to help prepare recipients with their closeout requirements. ■ Upon receiving this <i>Award Closeout Notification Package</i>, recipients should begin to discuss the closeout requirements specific to their particular project with their FPO and Grants Specialist using the <i>Award Closeout Checklist for Recipients</i>, included on the following pages
Award End Date	<ul style="list-style-type: none"> ■ The award end date is the last day of the recipient's award period as noted in the original award agreement (Form CD-450) or as modified by an Award Amendment (Form CD-451) identifying an earlier, requested end date.
Closeout	<ul style="list-style-type: none"> ■ The closeout period begins immediately following the award end date and lasts for 90 calendar days. Closeout activities are limited to the preparation of final reports in accordance with Department of Commerce Standard Terms and Conditions, as instructed below. ■ The award closeout date occurs 90 calendar days after the award end date. All final required documentation must be submitted no later than close of business on the award closeout date.

Upon receipt, NOAA and NTIA will review all final documentation. NOAA will issue a notification to the recipient when the award is closed.

After an award has been closed, recipients must retain all records relating to the award for three years from the date of submission of the accepted final expenditure report. In cases where litigation, claims, or audits are initiated prior to the expiration of the three-year period, records must be retained until completion or resolution of any issues associated with the award, or the end of the three-year retention period, whichever is later. Detailed record retention requirements can be found in 15 C.F.R. §§14.53 and 24.42.

Resources

Refer to the following resources for additional information on the BTOP closeout procedures:

- 15 CFR § 14.71 – Closeout Procedures for Non-Profit and Commercial Entities and Institutions of Higher Education
- 15 CFR § 24.50 – Closeout for State, Local, and Tribal Entities
- Department of Commerce Office of Acquisition Management Updated Grants Manual, Chapter 12 – Award Close-out (March 2013), available at [http://www.osec.doc.gov/oam/grants_management/policy/documents/FINAL%20Master%20DOC%20Grants%20Manual%202013%20\(03.01.13\)_b.pdf](http://www.osec.doc.gov/oam/grants_management/policy/documents/FINAL%20Master%20DOC%20Grants%20Manual%202013%20(03.01.13)_b.pdf) (starting on page 80).





Broadband Technology Opportunities Program Award Closeout Checklist for CCI Recipients

The National Telecommunications and Information Administration (NTIA) developed the following checklist for recipients to use during the Broadband Technology and Opportunities Program (BTOP) Award Closeout process. The checklist will guide recipients through all three closeout phases:

- **Preparing for Award Closeout**
- **Submitting all Required Documentation During Closeout**
- **Completing Award Closeout and Retaining Documentation**

The checklist also provides guidance for those recipients requesting a closeout earlier than their award end date. Recipients that anticipate that the project will close at earlier than the award end date should follow steps A, B, and C outlined below in **Requesting an Early Closeout** before proceeding to step 1 of **Preparing for Award Closeout**.

Recipients should review the process with their BTOP FPO leading up to and during the quarter preceding the award end date.

Recipient:	
Award Number:	
Project Title:	

	Activity	Associated Documents	Submission Method	Status		
				Done	Date	N/A
Requesting an Early Closeout (For Projects Ending Earlier than the Award End Date Stated on CD-450)						
A	Discuss project status and possibility of early closeout with BTOP FPO	BTOP Award Closeout Checklist for Recipients	N/A	<input type="checkbox"/>		<input type="checkbox"/>
B	Determine with FPO an appropriate amended end date for project	BTOP Award Closeout Checklist for Recipients	N/A	<input type="checkbox"/>		<input type="checkbox"/>
C	Submit an Award Action Request (AAR) for an amended award end date	AAR	GOL	<input type="checkbox"/>		<input type="checkbox"/>
Preparing for Award Closeout (One Quarter Preceding the Award End Date)						
1	Discuss closeout process and award end date with BTOP FPO	BTOP Award Closeout Checklist for Recipients	N/A	<input type="checkbox"/>		
2	Verify that all funds necessary for project completion will be obligated by the end date	None	N/A	<input type="checkbox"/>		





Activity		Associated Documents	Submission Method	Status		
				Done	Date	N/A
3	Verify that all project activities will be completed by the award end date	None	N/A	<input type="checkbox"/>		
4a	Audits For-Profit Recipients: Prepare for Program-Specific Audit, which must be submitted within 180 days after the award end date	Program-Specific Audit Documentation	Send directly to the Office of Inspector General (OIG); electronic copy should be submitted via PAM - Other Request (POR)	<input type="checkbox"/>		
		4b	All Other Recipients: Prepare for Single Audit due on regularly scheduled audit submission date ¹			
Submitting all Required Documentation during Closeout (Within 90 Days Following Award End Date)						
5	Final American Recovery and Reinvestment Act (ARRA) Report	Final ARRA Report	FederalReporting.gov	<input type="checkbox"/>		
6	If applicable, submit any final requests for reimbursement (Final Invoice) from the Automated Standard Application for Payments (ASAP) System	Final ASAP Reimbursement Request	ASAP	<input type="checkbox"/>		<input type="checkbox"/>
7	Quarterly Performance Progress Report (PPR)—covering activities for the last quarter of the award, final project expenses, and closeout costs (due on the next quarterly schedule)	PPR	PAM	<input type="checkbox"/>		<input type="checkbox"/>
8	Final Federal Financial Report (SF-425)—covering expenses incurred during the last quarter of the project and during closeout	FFR	GOL	<input type="checkbox"/>		
9	Final PPR—covering the entire award period; should be identical to approved quarterly PPR (due within the 90 day closeout period, after quarterly PPR has been approved)	Final PPR	GOL	<input type="checkbox"/>		

¹ Single-Audits (OMB Circular A-133) are not necessarily due during closeout, but must be submitted per the recipient's normal A-133 audit submission frequency (within nine months after the end of any financial year in which the recipient expends \$500,000 or more in Federal funds).





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Activity	Associated Documents	Submission Method	Status			
			Done	Date	N/A	
10	Final Annual Progress Report (APR)—covering the period from January 1 st to award end date	Final APR	PAM	<input type="checkbox"/>		
11	Initiate PAM Other Request (POR), including all the final documentation listed below and any other additional documents requested by NTIA or NOAA		PAM – Other Request (POR)	<input type="checkbox"/>		
12	Final Budget Information—Construction Programs (SF-424C), accounting for all award activities and expenditures during closeout	Final SF-424C ²		<input type="checkbox"/>		
13	Tangible Personal Property Report (SF-428, SF-428B, SF-428S)	SF-428 and attachments ³		<input type="checkbox"/>		
14	Real Property Status Report (SF-429)	SF-429 ⁴		<input type="checkbox"/>		
15	If applicable to your award, submit federal interest filings (UCC-1, Covenants of Use, and Attorney's Certification) for all personal and real property ⁵	UCC-1 filings, Covenants, and Attorney's Certification		<input type="checkbox"/>		<input type="checkbox"/>
16	Patent Report or Statement	Patent Report ⁶ or AOR letter		<input type="checkbox"/>		<input type="checkbox"/>
17	Special Award Condition (SAC) Checklist	SAC Checklist				

² SF-424C can be located at <http://www2.ntia.doc.gov/compliance#closeout>.

³ SF-428 and attachments can be located at <http://www2.ntia.doc.gov/compliance#closeout>.

⁴ SF-429 can be located at <http://www2.ntia.doc.gov/files/sf-429.pdf>.

⁵ UCC-1 filings, security interest covenants, and attorney's certifications are required for projects that have acquired or improved real and personal property, in whole or in part, under a BTOP award. Recipients should review the Federal Interest Fact Sheet at http://www2.ntia.doc.gov/files/fact_sheet_federal_interest_082510_v2_1.pdf and contact their FPO for additional information.

⁶ Patent Report can be located at <http://www2.ntia.doc.gov/compliance#closeout>.





Activity	Associated Documents	Submission Method	Status		
			Done	Date	N/A
18 For-Profit Recipients: Program-Specific Audit	Program-Specific Audit Documentation	Send directly to OIG; electronic copy should be submitted via PAM – Other Request	<input type="checkbox"/>		<input type="checkbox"/>

Remember: Recipients are responsible for retaining all documentation related to a BTOP project until the later of three years following the completion date of the project's closeout or until the resolution of any related litigation, claims, or audits.

Glossary of BTOP Closeout Terms and Definitions

Terms	Definitions
Award Action Request (AAR) to Amend Award and/or End Date	Recipient initiates an AAR by submitting a request to GOL with relevant supporting documentation for early closeout or other project modification.
Award Closeout Date	The date that is 90 calendar days after the award end date, when all of the recipient's closeout documentation must be submitted.
Award Closeout Notification Package	This package, sent to recipients approximately 90 days prior to the end of an award period, notifying the recipient that the award period is nearing its end date and outlines the schedule of activities that must be completed for the award to be closed out with the Department of Commerce. It also provides a checklist to aid recipients in the closeout process.
Award End Date	The award end date is the last day of the recipient's award period as noted in the original award agreement (Form CD-450) or as modified by an Award Action Request (AAR or Form CD-451) requesting an earlier end date.
Closeout Confirmation Letter	Letter from the Grants Office to the recipient confirming the completion of the award closeout process.
Closeout Period	The closeout period begins immediately following the award end date, during which the recipient must submit all required documentation, perform any final financial accounting of a BTOP award, and receive final review by NTIA and the applicable Grants Office.
Federal Interest	The undivided, equitable, revisionary interest held by NTIA in all BTOP property—equal to the share of NTIA's participation in the project. Please refer to the BTOP Federal Interest Requirements Fact Sheet at http://www2.ntia.doc.gov/ManagementResources for more information.
Final A-133 Audit Report	For nonprofits, state, tribal, and local government or universities that expend \$500,000 or more in federal funds in a year, a final A-133 single audit report must be submitted for BTOP purposes within 30 calendar days of receiving it from the auditor, and no later than nine months after the end of the recipient's fiscal year.





Terms	Definitions
Final American Recovery & Reinvestment Act (ARRA) Report	This report accounts for all project activities to program end date and must be marked "final."
Final Annual Performance Progress Report (APR)	On the APR form, the recipient should select "yes" in response to the question, "Is this the last annual report of the award period?" Additionally, the final APR should describe the project's accomplishments and cumulative totals for project milestones and indicators.
Final Performance Progress Report (Final PPR)	The Final PPR should be marked final and cover activities for the last quarter of the project. The Final PPR should be identical to the approved quarterly PPR submitted earlier in the closeout period.
Final Program-Specific Audit Report	For commercial and for-profit entities that have received a BTOP award greater than \$100,000, recipients must submit their final program-specific audit within 180 calendar days following the award end date to the DOC Office of Inspector General and submit an electronic copy to PAM for Grants Office review.
Patent Report	The Patent Report template is included on the NTIA website at http://www2.ntia.doc.gov/compliance#closeout .
Quarterly Performance Progress Report (PPR)	Recipients are requested to submit a PPR on the next quarterly schedule. The recipient should <u>not</u> select "yes" in response to the question, "Is this the last report of the award period?" The subsequently submitted Final PPR will be identical to the approved Quarterly PPR.
SF-424C Final Budget and Expenditure Comparison for Construction Projects	This report details actual expenditure by budget category for CCI projects with a construction component from award inception to the completion of the grant period, including closeout costs incurred after the award end date.
SF-425 Final Federal Financial Report (FFR)	This report details all financial transactions from award inception to the completion of the award, including administrative costs that may be incurred during closeout. The Final FFR SF-425 may not include any unliquidated obligations.
SF-428 Tangible Personal Property Report	Recipients and sub-recipients must account for BTOP-funded equipment. This includes all equipment purchased at a cost of \$5,000 or greater and unused residual supplies valued at \$5,000 or more. Items with a current fair market value of \$5,000 or more must be listed attachment B.
SF-429 Real Property Status Report	Recipients and sub-recipients must account for BTOP-funded real property. This includes all property acquired or improved under the BTOP award. If no real property has been acquired or improved using BTOP funds, the recipient should indicate this in the comments section.
Special Award Condition (SAC) Checklist	Recipients must complete the SAC checklist to self-certify they have complied with BTOP Special Award Conditions
Uniform Administrative Requirements—15 CFR 14, 15 CFR 24	The Uniform Administrative Requirements, defined in the Code of Federal Regulations (CFR), help guide the implementation of the grants. 15 CFR Part 14 applies to institutions of higher education, hospitals, other nonprofits, and commercial entities, while 15 CFR Part 24 applies to state, local, and tribal governments.





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Terms	Definitions
Uniform Commercial Code (UCC-1) Filings, Security Interest Covenants, and Attorney's Certification	Recipients and sub-recipients with awards that include a construction component are required to record the Federal Interest in BTOP property and provide an attorney's certification that this interest has been properly protected. Please refer to the BTOP Federal Interest Requirements Fact Sheet at http://www2.ntia.doc.gov/ManagementResources for more information.

