

Worksheet for *Modifications* FY16

February 2016

As we all learn new processes, this worksheet may be updated periodically. GSPs and AGOs will be notified of major changes. Minor changes, for clarification, will be noted by “modification date” in FishNet.

For example of preferred layout of an agreement folder in FishNet, see *Field Stations/1000 EXAMPLE/FY16*

Financial Assistance Team:

Region 1: Connie Sauer

Region 8: Patrick Schulze

Folder/File Name	Directions	What to do if something is missing:	Location of Form
Budget	<p>The recipient completes the budget on a SF424a Budget Form if it is a budgetary mod.</p> <p><u>The Budget folder (in FishNet) needs:</u></p> <ol style="list-style-type: none">1. A budget for the base Agreement.2. A budget for any previous mods for which funds were added or de-obligated.3. A budget for current mod if funds were added or de-obligated. (Must be on an OMB Form.)	<p>If previous budgets are missing, create a cumulative budget, on an OMB form, encompassing the missing budgets. It is helpful if you note which agreement/mods are encompassed on the naming convention. Example: Budget (agreement-mod 1) 10111AJ312</p>	<p>Forms & Templates/Standard Form Series (OMB)/Budget Forms and Example/Budget Forms.</p> <p>Choose either Budget SF 424A (Non-Construction) or SF 424C (Construction). Please note that many construction projects have elements that can't be documented on a construction budget alone, and may require the non-construction budget additionally.</p>
Budget Review	<p>This is a new form, required for <u>budgetary</u> modifications. It must be completed and signed by the Project Officer/Leader or an individual familiar with Federal Cost Principles.</p> <p>Please upload this form to your Budget folder in FishNet.</p>	<p>Because a Budget Review was not a required form before January 2016, you may not find any previous budget review forms.</p>	<p>Forms and Templates/Budget-Merit Review/Budget Review</p>

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Correspondence and Other	Upload: <ul style="list-style-type: none"> • Indirect Cost Agreement, when applicable • Statement of Work (when listed as an attachment to the Agreement) • Anything listed as an attachment or exhibit to the Agreement • E-mails, letters (Awards, Pre-closeout, Closeout) • Documented phone conversations. 		
FAADS	<u>This folder should contain FAADS for:</u> <ol style="list-style-type: none"> 1. The base agreement. 2. All previous modifications- if they were budgetary or if the period of performance was extended. 3. The FAADS for the current mod, if it is budgetary or if the period of performance has been extended (submitted via PRISM). 	FAADS for open awards in PRISM can be retrieved in PRISM and uploaded to this folder. Previous FAADS reports for CONVERTED AWARDS are not retrievable. If missing, upload a Word document to explain that you do not have a copy of the FAADS in your official file.	You will submit the FAADS through PRISM then will need to print and upload a copy of it into FishNet.
Modification	<u>This folder should contain Mods for:</u> <ol style="list-style-type: none"> 1. All previous modifications. (They should be completely signed.) 2. The current modification. (When the modification is fully signed, please upload it to this folder, replacing the unsigned copy.) <p>It is helpful if you note the number of the mod within the file name. Example: Mod 1 F15AC00098</p> <p>Please note that if doing a modification to extend the period of performance, you will need to provide a brief explanation about why the project needs additional time. Examples: weather conditions, supply issues, etc.</p>	<ul style="list-style-type: none"> • Check the hard file. • If previous modifications are missing they should be accounted for: <ul style="list-style-type: none"> ○ If for a mod to award funds, deobligate funds, extend POP- the modification should be recreated. ○ If an Admin mod for FAADS, TAS, WBS correction, upload Word doc to explain. <p>Contact FA Team if additional clarification is needed.</p>	A standard Mod form can be found in Forms and Templates/2. Modification NOA Templates FY16

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Performance Reports	<p>Review the Reporting Requirements on the Agreement at this time.</p> <p>Please note:</p> <ol style="list-style-type: none"> 1. If the original Agreement or previous Mods do not include the current DOI Reporting Requirements, please add them to your current Modification. 2. Ensure that all previous Performance Reports are in this folder. 3. The Performance Report must be generated by the recipient. <ol style="list-style-type: none"> a. A narrative report should be on the recipient's letterhead, stationary, template, or email, or display a handwritten signature to show that it was generated by the recipient. b. The SF PPR form <u>can no longer be used</u> by the recipient for reporting. 4. It is helpful to date the performance reports in the FishNet file title. Example: Progress June 2013 F14AC00098 	<p>If Performance Reports are overdue, request that your recipient create a summary performance report indicating progress made at each report due date. The progress that has been accomplished needs to be documented. If no progress, or very little, the recipient is to explain problems, delays or adverse conditions that materially impaired the ability to meet the objectives. They need to include efforts undertaken to try and resolve problems.</p>	<p>A narrative report should be on the recipient's letterhead, stationary, template, or email, or display a handwritten signature- to show that it was generated by the recipient.</p> <p>For info regarding what should be on the report, see: <i>Forms and Templates/Performance Reports/INFORMATION REQUIRED ON PERFORMANCE REPORTS</i></p>
PR/Requisition	<p><u>Scan and save the PR-Requisition for:</u></p> <ol style="list-style-type: none"> 1. The base award. 2. All previous modifications. 3. The current modification. <p>It is helpful to number the PRs within your folder name. Example: PR- Agreement F16AC00098 or PR- Mod 1 F15AC00098</p> <p>PRs are only needed for funded mods- they are not needed for mods that are for a time extension with no funds added.</p>	<ol style="list-style-type: none"> 1. If PRs created in FFS are missing, create a Word doc to explain that you do not have them in your files and FFS is no longer operational. 2. If PRs created in FBMS/SAP are missing, please retrieve them. 	
Checklists	<p>This folder should contain the Regional Office checklist for:</p>	<p>If the checklist for agreements/mods created before January 2012 is missing, upload a Word</p>	<p>View 1000 Example, FY16 folder for example.</p>

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	<ol style="list-style-type: none"> 1. The base award (uploaded by the FA Team after their review) 2. All previous modifications (uploaded by the FA Team after their review) <p>A National New Award Checklist is not needed for a modification.</p>	<p>document explaining that the RO checklist cannot be found in your official file.</p> <p>If the checklist for agreements/mods created after January 2012 is missing, please notify the FA Team.</p>	
Risk Assessment	<p><u>This folder should contain a Risk Assessment for:</u></p> <ol style="list-style-type: none"> 1. The base award. 2. Each following year. Each program must perform an annual Risk Assessment for each active recipient (rather than for each award). Risk Assessments processed by other programs cannot be used by your program. 3. As of January 1, 2016 an exclusion report must be run in SAM on the day the award is released in PRISM. (See Forms and Templates/Risk Assessment for details.) 4. Retain all previous Risk Assessments as evidence that they were conducted. 5. A note about Risk Assessments for <u>Individuals</u>: Individuals are not required to register in SAM; however a SAM exclusion report is needed. (See directions in Forms and Templates/Risk Assessment.) A FAC for an individual is not needed. <p><u>Business Entities need:</u></p> <ol style="list-style-type: none"> 1. SAM (<i>including check for excluded individuals</i>) 2. Form 3-2462 "Financial Assistance Recipient Risk Assessment Rating Sheet" (<i>completed by Project Officer</i>) 3. Federal Audit Clearinghouse "FAC" <i>-If the FAC does not display audits for</i> 	<ol style="list-style-type: none"> 1. Upload a Word document to say that you check the hard files and they do not contain previous Risk Assessments. Sign and date it. 2. Conduct a current Risk Assessment and place it in the FishNet Risk Assessment folder. 3. More info and a template for A-133 Waiver Statement can be found in Forms and Templates/Risk Assessment/A-133 Waiver Statement (FACs with NO audit findings) 	<p>Detailed Directions for risk assessment requirements can be found in Forms & Templates/Risk Assessment/How to do a Risk Assessment FY16</p>

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	<p><i>either 2013 or 2014, an A-133 Waiver Statement is needed from the recipient.</i></p> <p>Individuals need:</p> <ol style="list-style-type: none"> 1. SAM (by the name of the individual) <ul style="list-style-type: none"> ✓ Please note that individuals are not required to be registered in SAM, however, you do need to run an exclusion report on the day of obligation. (See Forms and Templates/Risk Assessment for details. 2. Form 3-2462 "Financial Assistance Recipient Risk Assessment Rating Sheet" (completed by Project Officer). <p>It is advisable to scan and save all components of the Risk Assessment as one document; then title it with the current date. This process should enable you to keep track of your Risk Assessments over time.</p> <p><i>Example:</i> Risk Assess (June 2014) F13AC00099 Risk Assess (June 2015) F13AC00099</p>		
Funds Tracking	<p><u>Prior to FY12</u> Please upload all SF270s and invoices to this folder. Do not upload invoices after FY12.</p> <p><u>FY12 to date:</u></p> <ul style="list-style-type: none"> - The field stations are expected to monitor ASAP activity, monthly, either by ASAP access or by running monthly BOBJ reports. - Please upload this documentation to the Funds Tracking folder. - Please do not accept invoices from the recipients enrolled in ASAP. Return them to the recipient, with a letter to 	N/A	View 1000 Example folder, FY12 for example of ASAP documentation.

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	<p>say that they are no longer required to send courtesy copies of the invoices. Do not keep them and do not upload them to FishNet.</p> <ul style="list-style-type: none"> - SF270s from waived recipients are needed. 		
SF424 Applications	<p>THIS IS THE OBLIGATING DOCUMENT WITHIN THE FBMS SYSTEM. The estimated funding amount should be the amount being obligated on the current modification and should not include previously awarded funding.</p> <p><u>This folder should contain SF424s for:</u></p> <ol style="list-style-type: none"> 1. The original agreement. 2. All previous modifications. 3. The current modification. 	<p>If SF 424s prior to FY12 are missing, please upload a Word document to explain that they were not required at the time of the previous action then sign and date it.</p> <p>If SF424s for FY12+ are missing, and the recipient did not submit them, they will need to do a summary SF424 to account for all funds to date.</p>	<p><i>Forms and Templates/Standard Form Series (OMB)/SF424 Application</i></p> <p>View 1000 Example folder, FY16 for example.</p>
SF425 Federal Financial Reports	<p>Please check your agreement/mods to determine when SF425s are due. Be sure to monitor and add the required SF 425 Reports, per your Agreement.</p>	<p>Older agreements may have used the SF269 form. If missing request that your recipient create a summary of financial status on a SF425. It is helpful if you put the summary dates in the Name of the document. For example: SF425 Summary (2007-2010) F10AC00098</p>	<p><i>Forms and Templates/Standard Form Series (OMB)/SF425 Financial Report.</i></p> <p>Detailed instructions: <i>Forms and Templates/Standard Form Series (OMB)/SF425 Financial Report/SF-425 Instructions.</i></p>
Milestones	<p>It is advisable to update your Milestone Plan in PRISM.</p>	<p>At a minimum, please establish baseline Milestones'</p>	<p>Forms and Templates/Milestones</p>

Items not needed for a modification in black:

ASAP Enrollment	<p>Does not need to be checked for a modification. However, please check to ensure that the recipient's SAM registration is active.</p>		
Grants.gov	<p>Does not need to be done for a modification.</p>	<p>If a <u>required</u> Grants.gov posting is not in the FishNet folder:</p> <ol style="list-style-type: none"> 1. Check your hard file 2. Upload a Word document to explain <p>If the award was not required to be posted, leave this folder blank.</p>	<p>Various relevant documents can be found in: Forms and Templates/Grants.gov</p> <p><i>View 1000 Example folder, FY16 for example.</i></p>

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Assurances	Not needed for a modification, as long as there is one in FishNet for the base award	If missing, have the recipient sign a current Assurances form and place it in this folder.	<i>Forms and Templates/Standard Form Series (OMB)/Assurances</i> (choose either SF424D Construction or SF 424B Non-Construction)
D and F Compliance	Not needed for a modification, as long as there is one in FishNet for the base award	If the original D&F is missing, create one now.	<i>Forms and Templates/D and F-Compliance Template</i>
Merit Review	Not required for a modification.		
Notice of Award for Base Award	At this point, the base award in your FishNet folder should be fully signed. Please make sure that it is uploaded to this file.	The <u>signed</u> Agreement <u>must be</u> in the file.	View 100 Example folders, FY16 for example.
Selection Process	Each agreement file will need to have just one written documentation of recipient selection. If this is in placed in the FishNet folder for this agreement, no further action is needed.	<p>If the Selection Process documentation is missing:</p> <p>*If the current Project Officer <u>WAS NOT PRESENT</u> during the selection process, please upload a Word document stating that the PO is no longer present and the selection process is unknown.</p> <p>*If the current Project Officer <u>WAS PRESENT</u> during the selection process, you may document the selection process in one of the following ways:</p> <ol style="list-style-type: none"> 1. <u>Single Source awards (that were not competed:</u> <ol style="list-style-type: none"> a. Use form FWS 3-2452 b. Form must be signed by Project Officer on lower left of last page & Delegated Signer on lower right of last page <ul style="list-style-type: none"> • Stations should send the form directly to the Delegated Signer for signature prior to <u>creating the award in PRISM.</u> • The FA Team can tell you who the Delegated 	

Folder/File Name	Directions	What to do if something is missing:	Location of Form
		<p>Signer is if you are not certain.</p> <p>2. <u>Awards that were opened for competition:</u></p> <p>a. Upload documentation of why you chose the recipient. This can be done as a narrative report, by decision matrix, table or graph, etc.</p> <p>3. Please keep applicant proposals, applications and any other materials related to the selection process in the hard file on file. They may be requested in the event of an audit, protest or by the FA Team.</p>	
NOFA “Notice of Funding Availability”	A NOFA is not required for a modification.		