U.S. Department Of Commerce

Federal Financial Assistance Recipient Fraud Awareness Training

This training is a mandatory requirement for all U.S. Department of Commerce (DOC) Federal Financial Assistance recipient Key Personnel.

DOC Federal Financial Assistance Recipient Fraud Awareness Training

As specified in the relevant specific award condition (SAC), within 90 calendar days of the Federal award date or amendment incorporating the SAC, Department of Commerce (DOC) Federal Financial Assistance recipient Key Personnel must successfully complete this training, maintain documentation of compliance, and provide such documentation, upon request.

Failure to comply with this requirement may result in a finding of non-compliance with the terms and conditions of your award.

DOC Federal Financial Assistance Recipient Fraud Awareness Training Overview

Topics covered in this training:

- Introduction to DOC's Mission and Programs
- DOC Federal Financial Assistance Recipient Compliance Requirements
- The DOC Office of Inspector General (OIG)
- Fraud and Fraud Indicators
- Case Examples
- Recommendations for Recipients
- Certificate of Training Completion

Introduction to DOC's Mission and Programs

Introduction to DOC's Mission and Programs

- The DOC's mission is to create conditions for economic growth and opportunity for all Americans.
- The DOC's Federal Financial Assistance programs are key to that mission, and the DOC takes seriously its role as a steward of public funds, as entrusted by the American taxpayers.
- A top priority for the DOC is to ensure that every dollar disbursed is used lawfully, efficiently, and as intended. This is a Government-wide commitment, shared throughout this Administration, and is a top priority of the President, as demonstrated by Executive Order 14395, *Establishing the Task Force to Eliminate Fraud*.
- There are significant consequences for committing fraud. In addition to remedies available to DOC under 2 CFR § 200.339 and 2 CFR § 200.339, the Federal government can pursue, both, criminal and civil penalties (e.g., prison time and fines) under various Federal statutes.
- Robust fraud detection, prevention, and oversight measures for existing and future financial assistance awards are central to DOC's effort to eliminate fraud. To that end, the DOC has instituted a new specific award condition (SAC) for Federal Financial Assistance awards that requires annual certification and training requirements, ensuring greater control and transparency over taxpayer funding.
- You must read and understand the requirements applicable to the program under which your award is funded, including the applicable Notice of Funding Opportunity (NOFO), SACs, and General Terms and Conditions (GT&Cs).

DOC Federal Financial Assistance Recipient Compliance Requirements

DOC Federal Financial Assistance Recipient Compliance Requirements

Recipients must comply with:

- 2 CFR part 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards,
- Department of Commerce Financial Assistance General Terms and Conditions,
- Any bureau-specific standard or general award conditions, and
- Specific award conditions (SACs) (unique to each award).

DOC Federal Financial Assistance Recipient Compliance Requirements: Mandatory Disclosure

Mandatory Disclosure of Fraud

2 CFR 200.113 - Mandatory disclosures

An applicant, recipient, or subrecipient of a Federal award **must promptly disclose** whenever, in connection with the Federal award (including any activities or subawards thereunder), it has credible evidence of the commission of a violation of Federal criminal law involving fraud, conflict of interest, bribery, or gratuity violations found in Title 18 of the United States Code or a violation of the civil False Claims Act (31 U.S.C. §§ 3729-3733).

The disclosure must be made **in writing** to the Federal agency, the agency's Office of Inspector General, and pass-through entity (if applicable). Recipients and subrecipients are also required to report matters related to recipient integrity and performance in accordance with Appendix XII of this part. Failure to make required disclosures can result in any of the remedies described in § 200.339. (See also 2 CFR part 180, 31 U.S.C. § 3321, and 41 U.S.C. § 2313.)

See also slide 31 of this presentation for more information on 2 CFR 200.339.

DOC Federal Financial Assistance Recipient Compliance Requirements: Eligibility

Eligibility

Within their DOC assistance application/proposal, applicants make numerous certifications or recertifications as to their eligibility to receive a Federal award, among other certifications.

Falsely certifying to any material fact or representation contained in a certification is fraud.

DOC Federal Financial Assistance Recipient Compliance Requirements: Duplication of Benefits

Duplication of Benefits is Prohibited

Other Federal Awards with Similar Programmatic Activities

"The recipient must immediately provide written notification to the DOC Program Officer and the DOC Grants Officer if, subsequent to receipt of the DOC award, other financial assistance is received to support or fund any portion of the scope of work incorporated into the DOC award. DOC will not pay for costs that are funded by other sources." *DOC Financial Assistance General Terms and Conditions, September 22, 2025.*

2 CFR 200.1 – Definitions, Improper payment

Improper payment means any payment that should not have been made or that was made in an incorrect amount under statutory, contractual, administrative, or other legally applicable requirements. The term improper payment includes: any payment to an ineligible recipient; any payment for an ineligible good or service; any duplicate payment; any payment for a good or service not received, except for those payments where authorized by law; any payment that is not authorized by law; and any payment that does not account for credit for applicable discounts. See OMB Circular A-123 Appendix C, Requirements for Payment Integrity Improvement for additional definitions and guidance on the requirements for payment integrity.

DOC Federal Financial Assistance Recipient Compliance Requirements: Cost Sharing or Matching

Cost Sharing or Matching

- The non-Federal share, which may be referred to as "cost sharing" or "matching", of the approved project budget must be borne by the recipient or provided to the recipient by a third party as a contribution for the purposes of and subject to the terms of the award.
- The recipient must meet its non-Federal share commitment as set forth in the terms and conditions of the award.
  - Failure to do so may result in specific award conditions or other further actions in accordance with General Term A.06 of the DOC GTCs "Unsatisfactory Performance or Non-Compliance with Award Provisions."
  - The recipient or subrecipient must create and maintain sufficient records justifying all non-Federal sharing requirements to facilitate questions and audit.
  - Additional documentation may be requested by DOC in order to substantiate the availability of the matching funds.
  - See also 2 CFR 200.306 "Cost sharing."

The DOC Office of Inspector General (OIG)

The DOC Office of Inspector General (OIG)

- Created by the Inspector General Act of 1978 to:
  - Combat fraud, waste, and abuse in connection with DOC programs and operations;
  - Conduct audits and investigations of DOC operations; and
  - Keep the DOC and Congress informed.
- OIG's Mission
  - To conduct independent and objective audits, evaluations, and investigations that promote economy, efficiency and effectiveness—and deter fraud, waste, and abuse—in the programs and operations of the Department of Commerce.

This includes oversight of all DOC Federal Financial Assistance programs.

The DOC Office of Inspector General (OIG)

- Office of Audit and Evaluation
  - Performance Audits
  - Financial Audits
  - Single Audits
- Office of Investigations
  - Criminal
  - Civil
  - Administrative
  - Employee misconduct
  - Public corruption

The DOC Office of Inspector General (OIG) Whistleblower Protections

Federal employees, applicants, and employees of Federal contractors **and Federal Financial Assistance recipients** who make certain disclosures—to OIG or elsewhere—are protected under the law from suffering retaliation because of those disclosures.

Basic elements of whistleblower protection law: (1) you make a protected disclosure; (2) you are subject to certain retaliatory acts; and (3) there is a causal connection between your protected disclosure and the retaliatory act.

OIG receives, reviews, and where appropriate, investigates allegations of whistleblower reprisal.

Whistleblower complaints may be submitted to the OIG via the hotline located on the OIG website: https://www.oig.doc.gov/Pages/Hotline.aspx#complainthotline or by phone at (800) 424-5197.

Whistleblower complaints may also be submitted to the Office of Special Counsel via their website: https://osc.gov/file-complaint/

DOC-OIG Whistleblower Protection Coordinator contact information (https://www.oig.doc.gov/whistleblower/protection-program/):

Email: WBCoordinator@oig.doc.gov

Phone: 202-792-3338

Fraud in DOC Federal Financial Assistance Programs

Definition of Fraud

Although it can take many forms, fraud, at its core, is **deception** through the **misrepresentation** or **omission** of **material facts** for the purpose of **illegitimate gain**.

Examples of Fraud in DOC Federal Financial Assistance Programs

Examples of fraud within DOC Federal Financial Assistance programs include, but are not limited to:

- Accepting Federal funding in multiple assistance awards for the same work (duplication of benefits).
- Misrepresentations regarding the eligibility of the project or recipient (eligibility).
- Misrepresentations or omissions about the recipient's facilities, ownership/control, or the work to be performed by the recipient.
- Providing falsified letters of support.
- Misrepresentations concerning the use of funds expended, work performed, results achieved, or compliance with program requirements under the award.
- Inflated labor costs.

Examples of Fraud in DOC Federal Financial Assistance Programs (Continued)

- Misuse or conversion of assistance award funds (*e.g.* using funds for personal expenses).
- Theft of government owned property (18 U.S.C. § 666).
- Embezzlement (18 U.S.C. § 666).
- Fabrication or falsification of data, in applying for, carrying out, or reporting results from an assistance award.
- Intentional noncompliance with applicable federal cost principles governing grants / cooperative agreements.
- Undisclosed self-dealing, such as a sub-award to an entity in which an awardee, executive, or key employee (or family members of the aforementioned individuals) has a financial interest.
- "Buying Expenses" or reporting expenses incurred by another entity for work unrelated to the assistance award.

Fraud Indicator

A fraud indicator is a sign, clue, or **red flag** that suggests the possibility of **dishonest or illegal activity**.

Examples of Fraud Indicators

Examples of fraud indicators within DOC Federal financial assistance programs include, but are not limited to:

- Recordkeeping issues
  - Repetitive invoice amounts
  - Rounded dollar amounts
  - Missing or altered receipts/invoices
- Budget changes without justification
- Financial report issues (late, incomplete, etc.)
- Drawdown red flags
  - Large sums drawn down right after award
  - Drawdowns do not match completed work
  - Increases of drawdowns before end of budget period
  - Unusual or large amount of cash transactions

Examples of Fraud Indicators (Continued)

- Behavioral Flags
  - Resistance to audits or oversight
  - Unwillingness to share documentation or answer questions
  - Excessive control over funds
  - Use of personal credit card
  - Charging for costs that have not actually been incurred
  - Falsifying information (e.g., fake invoices)
- Performance Flags
  - Selecting same vendor repeatedly
  - Vendor and employee share the same address
  - Contracts awarded below approval thresholds
  - Supporting evidence not provided to support outputs
  - Reusing success metrics across various grants
  - Multiple grants for similar work (could be from multiple agencies)

Fraud Case Examples

Fraud Case Example: Eligibility

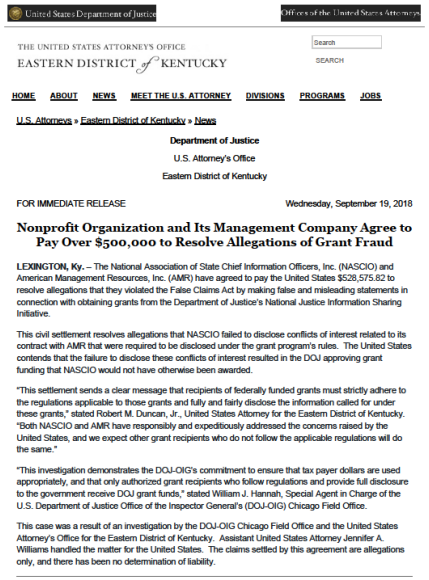
Eligibility

Allegations included:

- Nonprofit organization made false and misleading statements to obtain Federal grant funding.
- Failure to disclose conflicts of interest that were required to be disclosed.

Outcome:

- Nonprofit agreed to pay $528,575.82 to resolve allegations they violated the False Claims Act.



United States Department of Justice — Offices of the United States Attorneys

THE UNITED STATES ATTORNEY'S OFFICE
EASTERN DISTRICT of KENTUCKY

Search
SEARCH

HOME ABOUT NEWS MEET THE U.S. ATTORNEY DIVISIONS PROGRAMS JOBS

U.S. Attorneys » Eastern District of Kentucky » News

Department of Justice
U.S. Attorney's Office
Eastern District of Kentucky

FOR IMMEDIATE RELEASE — Wednesday, September 19, 2018

Nonprofit Organization and Its Management Company Agree to Pay Over $500,000 to Resolve Allegations of Grant Fraud

LEXINGTON, Ky. – The National Association of State Chief Information Officers, Inc. (NASCIO) and American Management Resources, Inc. (AMR) have agreed to pay the United States $528,575.82 to resolve allegations that they violated the False Claims Act by making false and misleading statements in connection with obtaining grants from the Department of Justice's National Justice Information Sharing Initiative.

This civil settlement resolves allegations that NASCIO failed to disclose conflicts of interest related to its contract with AMR that were required to be disclosed under the grant program's rules. The United States contends that the failure to disclose these conflicts of interest resulted in the DOJ approving grant funding that NASCIO would not have otherwise been awarded.

"This settlement sends a clear message that recipients of federally funded grants must strictly adhere to the regulations applicable to those grants and fully and fairly disclose the information called for under these grants," stated Robert M. Duncan, Jr., United States Attorney for the Eastern District of Kentucky. "Both NASCIO and AMR have responsibly and expeditiously addressed the concerns raised by the United States, and we expect other grant recipients who do not follow the applicable regulations will do the same."

"This investigation demonstrates the DOJ-OIG's commitment to ensure that tax payer dollars are used appropriately, and that only authorized grant recipients who follow regulations and provide full disclosure to the government receive DOJ grant funds," stated William J. Hannah, Special Agent in Charge of the U.S. Department of Justice Office of the Inspector General's (DOJ-OIG) Chicago Field Office.

This case was a result of an investigation by the DOJ-OIG Chicago Field Office and the United States Attorney's Office for the Eastern District of Kentucky. Assistant United States Attorney Jennifer A. Williams handled the matter for the United States. The claims settled by this agreement are allegations only, and there has been no determination of liability.

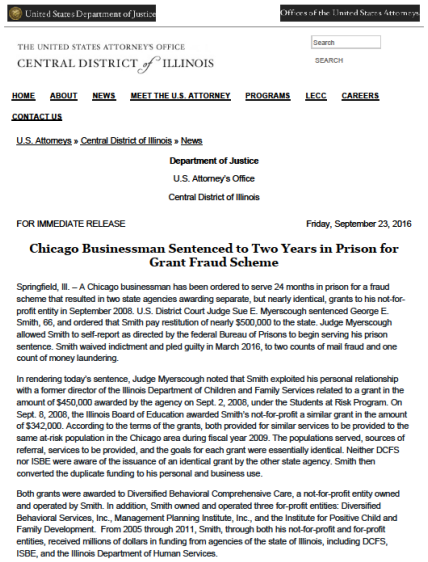
Link to press release: https://www.justice.gov/usao-edky/pr/nonprofit-organization-and-its-management-company-agree-pay-over-500000-resolve

Fraud Case Example: Duplication of Benefits

Duplication of Benefits

Allegations included:

- Not-for-profit owner applied for funding for similar services.
- Owner converted the duplicate funding for his personal and business use.



United States Department of Justice — Offices of the United States Attorneys

THE UNITED STATES ATTORNEY'S OFFICE
CENTRAL DISTRICT of ILLINOIS

Search
SEARCH

HOME ABOUT NEWS MEET THE U.S. ATTORNEY PROGRAMS LECC CAREERS CONTACT US

U.S. Attorneys » Central District of Illinois » News

Department of Justice
U.S. Attorney's Office
Central District of Illinois

FOR IMMEDIATE RELEASE — Friday, September 23, 2016

Chicago Businessman Sentenced to Two Years in Prison for Grant Fraud Scheme

Springfield, Ill. – A Chicago businessman has been ordered to serve 24 months in prison for a fraud scheme that resulted in two state agencies awarding separate, but nearly identical, grants to his not-for-profit entity in September 2008. U.S. District Court Judge Sue E. Myerscough sentenced George E. Smith, 66, and ordered that Smith pay restitution of nearly $500,000 to the state. Judge Myerscough allowed Smith to self-report as directed by the federal Bureau of Prisons to begin serving his prison sentence. Smith waived indictment and pled guilty in March 2016, to two counts of mail fraud and one count of money laundering.

In rendering today's sentence, Judge Myerscough noted that Smith exploited his personal relationship with a former director of the Illinois Department of Children and Family Services related to a grant in the amount of $450,000 awarded by the agency on Sept. 2, 2008, under the Students at Risk Program. On Sept. 8, 2008, the Illinois Board of Education awarded Smith's not-for-profit a similar grant in the amount of $342,000. According to the terms of the grants, both provided for similar services to be provided to the same at-risk population in the Chicago area during fiscal year 2009. The populations served, sources of referral, services to be provided, and the goals for each grant were essentially identical. Neither DCFS nor ISBE were aware of the issuance of an identical grant by the other state agency. Smith then converted the duplicate funding to his personal and business use.

Both grants were awarded to Diversified Behavioral Comprehensive Care, a not-for-profit entity owned and operated by Smith. In addition, Smith owned and operated three for-profit entities: Diversified Behavioral Services, Inc., Management Planning Institute, Inc., and the Institute for Positive Child and Family Development. From 2005 through 2011, Smith, through both his not-for-profit and for-profit entities, received millions of dollars in funding from agencies of the state of Illinois, including DCFS, ISBE, and the Illinois Department of Human Services.

Outcome:

- Owner pleaded guilty to mail fraud and money laundering.
- Sentenced to 24 months in prison.
- Ordered to pay $480,901 in restitution.

Link to press release: https://www.justice.gov/usao-cdil/pr/chicago-businessman-sentenced-two-years-prison-grant-fraud-scheme

Fraud Case Example: Matching Funds

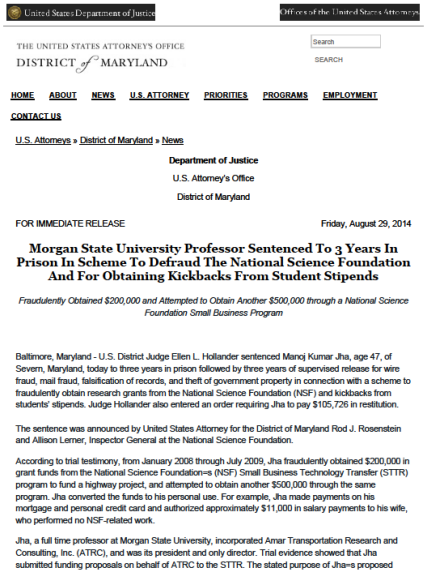
Matching Funds

Allegations included:

- Small business owner made several false statements and misrepresentations to obtain federal grant funding.
- Owner misrepresented that he obtained a $100,000 investment from a third party in order to qualify for federal matching funds.
- Owner converted grant funds to personal use.

Outcome:

- Owner convicted at trial for wire fraud, mail fraud, falsification of records, and theft of government property.
- Sentenced to 36 months in prison.
- Ordered to pay $105,726 in restitution.
- Owner debarred for 5 years.



United States Department of Justice — Offices of the United States Attorneys

THE UNITED STATES ATTORNEY'S OFFICE
DISTRICT of MARYLAND

Search
SEARCH

HOME ABOUT NEWS U.S. ATTORNEY PRIORITIES PROGRAMS EMPLOYMENT CONTACT US

U.S. Attorneys » District of Maryland » News

Department of Justice
U.S. Attorney's Office
District of Maryland

FOR IMMEDIATE RELEASE — Friday, August 29, 2014

Morgan State University Professor Sentenced To 3 Years In Prison In Scheme To Defraud The National Science Foundation And For Obtaining Kickbacks From Student Stipends

Fraudulently Obtained $200,000 and Attempted to Obtain Another $500,000 through a National Science Foundation Small Business Program

Baltimore, Maryland - U.S. District Judge Ellen L. Hollander sentenced Manoj Kumar Jha, age 47, of Severn, Maryland, today to three years in prison followed by three years of supervised release for wire fraud, mail fraud, falsification of records, and theft of government property in connection with a scheme to fraudulently obtain research grants from the National Science Foundation (NSF) and kickbacks from students' stipends. Judge Hollander also entered an order requiring Jha to pay $105,726 in restitution.

The sentence was announced by United States Attorney for the District of Maryland Rod J. Rosenstein and Allison Lerner, Inspector General at the National Science Foundation.

According to trial testimony, from January 2008 through July 2009, Jha fraudulently obtained $200,000 in grant funds from the National Science Foundation=s (NSF) Small Business Technology Transfer (STTR) program to fund a highway project, and attempted to obtain another $500,000 through the same program. Jha converted the funds to his personal use. For example, Jha made payments on his mortgage and personal credit card and authorized approximately $11,000 in salary payments to his wife, who performed no NSF-related work.

Jha, a full time professor at Morgan State University, incorporated Amar Transportation Research and Consulting, Inc. (ATRC), and was its president and only director. Trial evidence showed that Jha submitted funding proposals on behalf of ATRC to the STTR. The stated purpose of Jha=s proposed

Link to press release: https://www.justice.gov/usao-md/pr/morgan-state-university-professor-sentenced-3-years-prison-scheme-defraud-national

Fraud Case Example: Theft of Grant Funds

Theft of Grant Funds

Fraudulent conduct:

- An employee of the recipient of an NTIA grant, created fraudulent invoices and expense reports that were used to misappropriate over $800,000 from the grant.
- Instead of purchasing equipment to support the broadband project, the subject used the grant funds to purchase luxury vehicles and expensive farming equipment.

Outcome:

- Subject agreed to plead guilty to a violation of 18 U.S.C. § 1343 (wire fraud).
- In April 2025, the subject was sentenced to 28 months in prison followed by 3 years of supervised release. The court also ordered the subject to pay $828,151.99 in restitution.
- Subject was debarred for three years.

Link to press release: https://www.justice.gov/usao-edva/pr/grant-manager-sentenced-over-two-years-prison-embezzling-funds-intended-serve-native

Fraud Case Example: False Claims for Reimbursement from Grant Funds

False Claims for Reimbursement from Grant Funds

Allegations included:

- A 501(c)(3) non-profit charitable organization submitted false information to EDA in connection with an EDA grant.
- The final request for reimbursement that the organization submitted to EDA for construction costs related to a medical and nurse training facility contained false information about construction costs.

Outcome:

- The organization agreed to pay the government $364,126 to resolve allegations that it violated the False Claims Act.
- The investigation began with a whistleblower complaint regarding work performed under the grant.

Link to press release: https://www.justice.gov/usao-wdwa/pr/doj-and-california-non-profit-settle-allegations-false-claims-reimbursement

Fraud Case Example: Misuse of Grant Funds

Misuse of Grant Funds

Allegations included:

- A non-profit organization improperly requested payments from grants from NOAA, NASA, and NSF for expenses it had not incurred.
- The organization had inadequate internal controls for the federal funds it received, including inadequate documentation and controls over large cash transactions.
- The principals of the organization used grant funds to pay rent for their personal residence.

Outcome:

- The organization agreed to pay the government over $2.4 million to resolve allegations that it engaged in fraud related to the grants.
- The principals of the organization agreed to pay $203,776 to resolve allegations primarily related to the rental payments mentioned above.

Link to press release: https://www.justice.gov/usao-co/pr/boulder-weather-research-organization-and-officers-pay-over-2-million-resolve

Federal Agency Remedies for Noncompliance

Federal Agency Remedies for Noncompliance

2 CFR 200.339 – REMEDIES FOR NONCOMPLIANCE

The Federal agency or pass-through entity may implement specific conditions if the recipient or subrecipient fails to comply with the U.S. Constitution, Federal statutes, regulations, or terms and conditions of the Federal award. See § 200.208 for additional information on specific conditions. When the Federal agency or pass-through entity determines that noncompliance cannot be remedied by imposing specific conditions, the Federal agency or pass-through entity may take one or more of the following actions:

- Temporarily withhold payments until the recipient or subrecipient takes corrective action.
- Disallow costs for all or part of the activity associated with the noncompliance of the recipient or subrecipient.
- Suspend or terminate the Federal award in part or in its entirety.
- Initiate suspension or debarment proceedings as authorized in 2 CFR part 180 and the Federal agency's regulations, or for pass-through entities, recommend suspension or debarment proceedings be initiated by the Federal agency.
- Withhold further Federal funds (new awards or continuation funding) for the project or program.
- Pursue other legally available remedies.

Federal Agency Remedies for Noncompliance (Continued)

Administrative Remedies

- Termination of award in part or in its entirety.
- Government can suspend/debar the entity, owner, and/or employees.
  - Results in prohibition from receiving any federal grants or contracts, or working as a subrecipient on Federal grants or a sub-contractor on Federal contracts.
  - Debarment is typically for three years, but can be for a longer period.
- Administrative remedies are in addition to or in lieu of criminal and civil liability.

Criminal and Civil Consequences under Federal Statutes for Committing Fraud

Criminal and Civil Consequences under Federal Statutes for Committing Fraud

Criminal Prosecution

Lying to obtain a grant, or lying about the work performed may violate several criminal laws:

- 18 U.S.C. §1001, False Statements (up to 5 years in prison, forfeiture and $250K fine)
- 18 U.S.C. § 641, Theft of Federal Property (up to 10 years in prison, forfeiture and $250K fine)
- 18 U.S.C. § 1343, Wire Fraud (up to 20 years in prison, forfeiture and $250K fine)
- 18 U.S.C. § 666, Theft or bribery concerning programs receiving Federal funds (up to 10 years in prison, forfeiture and $250K fine)

Fines for organizations may be as high as $500K

Criminal forfeiture = full amount of the grant; personal assets can be seized to satisfy forfeiture or fine

Criminal and Civil Consequences under Federal Statutes for Committing Fraud (Continued)

Civil Prosecution

In addition to or in lieu of criminal prosecution,

Civil False Claims Act, 31 U.S.C. §§ 3729-3733

- Liability includes up to treble damages (3x actual damages) and a civil penalty of up to $23,607 for each false claim
- False claims liability may include payments received when the government relied upon false information in the award proposal, in a certification of current cost or pricing data, in a request for payment, or in progress reports
- Although the statute requires knowledge that the claim was false, knowledge includes "deliberate ignorance" or "reckless disregard of the truth"
- Whistleblowers can receive up to 30% of the recovery amount for reporting fraud via *qui tam* provisions of the False Claims Act

Recommendations and Additional Resources for DOC Federal Financial Assistance Recipients

Recommendations for DOC Federal Financial Assistance Recipients

The Government retains the right to examine the status of a DOC assistance award at any time.

Status checks may include:

- Site visits
- Requests for records including financial documents and timesheets

Good recordkeeping will help ensure successful status checks and eliminate potential issues.

Recommendations for DOC Federal Financial Assistance Recipients (Continued)

Good Recordkeeping: Key to Protecting Yourself

Documentation

- Records for hours worked by ALL involved employees (e.g., timesheets) (see 2 CFR 200.430).
- All financial receipts, invoices, and statements for expenses related to the project.

Updates on the project status, including successes/failures

- Keep regular records at the business-level so you have all facts on hand if needed/requested by the government.
- Documentation to support performance metrics.

Records retention time frames and other requirements

- See 2 CFR 200.334

Recommendations for DOC Federal Financial Assistance Recipients (Continued)

Important Reminder!

If you are unsure about any of the requirements of your DOC Federal financial assistance award:

- Contact the appropriate DOC Grants Officer and Program Officer and provide all relevant facts,
- Request written guidance from the DOC Grants Officer and Program Officer, and
- **Follow the requirements of your award!**

How To Report Fraud, Waste and Abuse

Report fraud, waste, and abuse to:

U.S. Department of Commerce
Office of Inspector General

Office of Investigations

OIG HOTLINE
Phone: (800) 424-5197

Online Complaint Form:
https://www.oig.doc.gov/Pages/Hotline.aspx#complainthotline

For more information, please visit our website
www.oig.doc.gov

Additional Resources

2 CFR Part 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards
https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II

Grant Fraud & Scams – Grants.gov
https://www.grants.gov/learn-grants/grant-fraud.html

Department of Commerce – Federal Financial Assistance Manual and General Terms and Conditions– can be found at the following website:
https://www.commerce.gov/oam/policy/financial-assistance-policy

Please contact the specific DOC Grants Officer and Program Officer for any agency-specific requirements.

Certificate of Completion: DOC Federal Financial Assistance Recipient Fraud Awareness Training

Certificate of Training Completion: DOC Federal Financial Assistance Recipient Fraud Awareness Training

- As specified in the relevant specific award condition, within 90 calendar days of the Federal award date or amendment, Department of Commerce (DOC) Federal Financial Assistance recipient Key Personnel must successfully complete this training, maintain documentation of compliance, and provide such documentation, upon request.
- Key personnel include those responsible for managing the recipient's finances and overseeing any contractors, sub-contractors, or subrecipients (for financial matters and/or general oversight related to the award).
- Three certificates are provided within this presentation – however, if there are additional key personnel, the recipient may replicate the certification to allow those personnel to sign.

Failure to comply with this requirement may result in a finding of non-compliance with the terms and conditions of your award.

Certificate of Training Completion: DOC Federal Financial Assistance Recipient Fraud Awareness Training

The undersigned has fully and completely reviewed this training on behalf of the applicant/recipient, understands the information presented in this training, and has the authority to make this certification as the recipient. The undersigned has also read and understood the Notice of Funding Opportunity, as well as the terms and conditions applicable to this Award, including Specific Award Conditions (SACs), the DOC General Terms and Conditions, and any bureau-specific general/standard terms and conditions.

The undersigned understands providing false or misleading information during any part of the application, award, or performance phase of a DOC assistance award may result in criminal, civil, and administrative sanctions, including but not limited to: fines, restitution, and/or imprisonment under 18 U.S.C. § 1001; treble damages and civil penalties under the False Claims Act, 31 U.S.C. § 3729 *et seq.*; civil recovery of award funds; suspension and/or debarment from all Federal procurement and non-procurement transactions, FAR Part 9.4 or 2 CFR Part 180; and other administrative remedies including termination of active DOC assistance awards.

_____ _____

Signature **Date**

_____

Name

Per the terms and conditions of the federal award and the training instructions, the recipient is responsible for maintaining documentation of compliance and shall provide such documentation, upon request. A separate Certification is required for each of the award recipient's key personnel (see relevant SAC).

_____

Entity Name

_____

Position Title

Award Number _____

Certificate of Training Completion: DOC Federal Financial Assistance Recipient Fraud Awareness Training

The undersigned has fully and completely reviewed this training on behalf of the applicant/recipient, understands the information presented in this training, and has the authority to make this certification as the recipient. The undersigned has also read and understood the Notice of Funding Opportunity, as well as the terms and conditions applicable to this Award, including Specific Award Conditions (SACs), the DOC General Terms and Conditions, and any bureau-specific general/standard terms and conditions.

The undersigned understands providing false or misleading information during any part of the application, award, or performance phase of a DOC assistance award may result in criminal, civil, and administrative sanctions, including but not limited to: fines, restitution, and/or imprisonment under 18 U.S.C. § 1001; treble damages and civil penalties under the False Claims Act, 31 U.S.C. § 3729 *et seq.*; civil recovery of award funds; suspension and/or debarment from all Federal procurement and non-procurement transactions, FAR Part 9.4 or 2 CFR Part 180; and other administrative remedies including termination of active DOC assistance awards.

_____ _____

Signature **Date**

_____

Name

_____

Entity Name

_____

Position Title

Award Number _____

Per the terms and conditions of the federal award and the training instructions, the recipient is responsible for maintaining documentation of compliance and shall provide such documentation, upon request. A separate Certification is required for each of the award recipient's key personnel (see relevant SAC).

Certificate of Training Completion: DOC Federal Financial Assistance Recipient Fraud Awareness Training

The undersigned has fully and completely reviewed this training on behalf of the applicant/recipient, understands the information presented in this training, and has the authority to make this certification as the recipient. The undersigned has also read and understood the Notice of Funding Opportunity, as well as the terms and conditions applicable to this Award, including Specific Award Conditions (SACs), the DOC General Terms and Conditions, and any bureau-specific general/standard terms and conditions.

The undersigned understands providing false or misleading information during any part of the application, award, or performance phase of a DOC assistance award may result in criminal, civil, and administrative sanctions, including but not limited to: fines, restitution, and/or imprisonment under 18 U.S.C. § 1001; treble damages and civil penalties under the False Claims Act, 31 U.S.C. § 3729 *et seq.*; civil recovery of award funds; suspension and/or debarment from all Federal procurement and non-procurement transactions, FAR Part 9.4 or 2 CFR Part 180; and other administrative remedies including termination of active DOC assistance awards.

_____ _____

Signature **Date**

_____

Name

_____

Entity Name

_____

Position Title

Award Number _____

Per the terms and conditions of the federal award and the training instructions, the recipient is responsible for maintaining documentation of compliance and shall provide such documentation, upon request. A separate Certification is required for each of the award recipient's key personnel (see relevant SAC).

Thank you for completing this mandatory training!