

**UNITED STATES DEPARTMENT OF THE INTERIOR  
U.S. GEOLOGICAL SURVEY**

**VOLCANO HAZARDS PROGRAM**

**Authorized by American Recovery and Reinvestment Act**

**GRANT PROGRAM ANNOUNCEMENT  
No. 09HQPA0022  
ATN: ARRA-SV0008A  
For Fiscal Years 2009 & 2010**

**ISSUE DATE: XXXX**

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**CLOSING DATE & TIME:**

**XXXX  
Eastern Daylight Time**

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**PAPERWORK REDUCTION ACT STATEMENT:** The Paperwork Reduction Act says that we must tell you why we are collecting this information, how we will use it, and whether you have to give it to us. The Volcano Hazards Program is collecting this information to evaluate submitted proposals to acquire funding for volcano related research and monitoring. Your response is required to receive funding. A Federal agency cannot conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. The average estimated burden associated with this collection estimated to average 35 hours (per respondent) to complete the application process and 8 hours (per respondent) to complete and submit the required final report. This includes: time for reviewing instructions and completing the required information. Comments regarding this collection of information should be directed to the Bureau Clearance Officer, U.S. Geological Survey 2150 Centre Avenue Fort Collins, CO 80525. OMB has approved and assigned OMB Control No. 1028-XXX which expires on *(expiration date goes here)*

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### List of Attachments

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Attachment B – FY 2009 & FY 2010 VHP Proposal Information Summary  
Attachment C – Budget Summary  
Attachment D – Special Terms and Conditions  
Attachment E – Cost Principles, Audit, and Administrative Requirements

**Applicants should note all requirements and stipulations described both in this Announcement and in the Priorities (Attachment A) and in the Special Terms and Conditions (Attachment D). There are many specific proposal requirements as well as reporting requirements and deadlines that are different from past USGS award requirements.**

## **Part I: Program Overview, Eligibility, Program Priorities, Important Dates**

### **A. The Volcano Hazards Program**

The objective of the Volcano Hazards Program (VHP) is to advance the scientific understanding of volcanic processes and to lessen the harmful impacts of volcanic activity. The VHP monitors active and potentially active volcanoes, assesses their hazards, responds to volcanic crises, and conducts research on how volcanoes work, in order to fulfill a Congressional mandate (P.L. 93-288) that the U.S. Geological Survey (USGS) issue "timely warnings" of potential volcanic hazards to responsible emergency-management authorities and to the populace affected. Cooperative Agreements are entered into under the authority at 43 USC 36d. During FY09 and FY10, the Volcano Hazards Program will provide funding under the American Recovery and Reinvestment Act (ARRA) for improvement of the volcano and other monitoring systems and other monitoring-related activities that contribute to mitigation of volcano hazards.

For more on the Volcano Hazards Program visit: <http://volcanoes.usgs.gov/>

### **B. Application Submission Opening Date: TBD**

**Application Submission Closing Date: TBD**

### **C. Electronic Application Requirement**

**All proposals shall be submitted electronically via Grants.gov** (<http://www.grants.gov>). Hard/paper submissions will NOT be accepted. Electronic copies submitted via e-mail will NOT be accepted under any circumstances. All proposals must be submitted electronically through Grants.gov on or before:

**TBD, 4 pm, Eastern Daylight Time**

**Please be aware that the electronic submission process requires first time users to register using an e-Authentication process. This registration process can be somewhat complex and can take up to several days to complete. Be advised that it is virtually impossible to begin the process of electronic submission for the first time if you start just a few days before the due date. If you are from a university, contact your Office of Sponsored Programs. They may already have completed the registration process and should work with you to submit the application.**

Once at the website, click "Get Registered" under the "For Applications" heading and follow the instructions provided. In order to complete the SF 424 forms, **everyone** must use the Adobe Reader version which is available for download from the grants.gov site

at: [http://www.grants.gov/help/download\\_software.jsp#adobe811](http://www.grants.gov/help/download_software.jsp#adobe811). To ensure that you have the correct version of Adobe Reader, you can use the versioning test located

at: <http://www.grants.gov/applicants/AdobeVersioningTestOnly.jsp>. Any and all edits made to the application package must be made with the Adobe Reader version specified on Grants.gov. Grants.gov does not guarantee to support other versions of Adobe Reader released prior to version 8.1.1. For more information on Adobe Reader, please see: [http://www.grants.gov/applicants/applicant\\_faqs.jsp#adobe-](http://www.grants.gov/applicants/applicant_faqs.jsp#adobe-)

[reader-error](#). Please note that there is an underscore between “applicant” and “faqs” in the URL. If you have any questions regarding the registration process, please contact the Grants.gov help desk at 1-800-518-4726.

In the Grants.gov forms, floating your mouse over a field will provide instructions for completing that field. You can also click on the Check Package for Errors button to check the entire application for validation errors (incomplete fields, etc.)

There are several steps of the submission process that require careful attention by applicants in order to assure that the application has been fully accepted. It is suggested that applicants read the document available at <http://www.grants.gov/assets/TrackingYourApplicationPackage.pdf>

For more information on the Grants.gov registration and submission process, please see <http://www.usgs.gov/contracts/grants/grantsgov.html>

During the application period an applicant may submit a revised or corrected proposal through grants.gov. Include a cover letter as the first page of the proposal stating that the proposal is revised and indicating that the previous submittal is to be withdrawn from consideration. Such submissions must be completed by TBD, 2009 at 4:00 pm Eastern Daylight Time.

See Part II, A, Application Preparation Guidelines, which describes requirements for the proposal and other application components.

**Please allow sufficient time for the proposal to be submitted electronically through Grants.gov and allow time for possible computer delays. Applicants are strongly advised not to wait until the last minute for submission. A proposal received after the closing date and time will not be considered for award. If the USGS determines that a proposal will not be considered for award due to lateness, the applicant will be notified immediately.**

#### **D. Funds and Start Dates**

The total amount of funding from the Volcano Hazards Program available for cooperative agreements through the ARRA is expected to be about \$8 million and the number of funded cooperative agreements to be approximately twelve. This estimate does not bind the USGS to a specific number of awards or to the amount of any award. The funding will be in support of monitoring and research activities associated with each of the six volcano observatories in the VHP: Alaska Volcano Observatory (AVO; managed out of Anchorage, AK), Cascades Volcano Observatory (CVO; Vancouver, WA), Hawaii Volcano Observatory (HVO; Island of Hawaii), Yellowstone Volcano Observatory (YVO; managed out of Menlo Park, CA), Long Valley Observatory (LVO; managed out of Menlo Park, CA), and Commonwealth of the Northern Mariana Islands Volcano Observatory (MIVO; managed out of Anchorage, AK).

The earliest start date for new cooperative agreements will be about four weeks after the review panel concludes its deliberations. Deliberations are expected to be completed by \_\_\_\_\_. However, the start dates are subject to negotiation.

Awards under this Program Announcement will be made between fourth quarter FY2009 and fourth quarter FY2010.

#### **E. Application Requirements**

A. Only those applications that respond to and meet the criteria of this announcement will be considered for funding. Applications that do not meet the criteria of this announcement will be returned to the applicant.

B. Work under all awards must be completed no later than September 30, 2011. All funds must be drawn down from the Payment Management (PMS) system by September 30, 2011.

C. Proposed operations and developmental activities shall be conducted by the applicant. Proposed funding for activities other than those outlined in this Program Announcement will not be considered for funding.

D. The application shall be prepared in accordance with the application preparation instructions. (See Part II, A)

**F. Objectives and Requirements for Volcano Monitoring Upgrades Under ARRA**

Funding of cooperative agreements under the program covered by this announcement will be guided by the priorities of both the VHP and the ARRA. These include:

- Modernization and replacement of aging seismometers, geodetic instruments, and telemetry equipment at hazardous volcanoes, and augmentation of existing networks with additional instruments.
- Activities related to monitoring of hazardous and active volcanoes, including field observations and sampling, geophysical data analysis, geologic mapping, and GIS-based hazard and vulnerability assessments.
- Computer-based research and development in the fields of data visualization and analysis, network design, and data archiving.
- Creation and preservation of jobs, and youth employment.

See Attachment A for specific priorities.

**G. Eligibility – Who May Submit a Proposal**

Applications for support with ARRA funds must be for scientific and technical projects that are within the USGS's area of responsibility and which can be completed by September 30, 2011. The majority of funds are used to support activities that will enhance existing, long-term collaborative projects in the areas of volcano monitoring and research. Colleges, universities, and state and local governments may make application for support by a named principal investigator. Applicants should have demonstrable expertise and capacity that complements and augments the Volcano Hazard Program's base, in-house capacities.

**H. Applications Considered Unsuitable**

Applications for activities at volcano observatories not currently associated with the USGS or that do not address the requirements within the Program Objectives and Requirements (Attachment A) will not be considered for funding and will be returned to the applicant.

## Part II: Applicant Guidelines

### A. Application Preparation Guidelines

Your electronic submission shall consist of forms SF-424, SF-424a, and SF-424b, plus the items described below. No additional documents or materials may be submitted. Failure to comply with the required application components listed below may result in the proposal being rejected. To view complete forms instructions, please visit the Grants.gov Forms Repository at [http://www.grants.gov/agencies/aapproved\\_standard\\_forms.jsp#1](http://www.grants.gov/agencies/aapproved_standard_forms.jsp#1)

Items (1) through (3) as described below shall be combined together, in the order noted below, and submitted through Grants.gov in either MS Word or PDF format. **The application shall not exceed 15 single-spaced pages** (including figures, tables, references, appendices, etc.), and the **type size shall not be smaller than 11 point**. All pages of the application shall be numbered. All text, figures, and tables shall be sized to fit on 8½" by 11" paper. The SF forms and vitae do **not** count toward the 15-page limit. The application shall be in color as needed for review by peer review panel members. Do not submit copies of published papers with the application.

In the Grants.gov forms, floating your mouse over a field will provide instructions for completing that field. You can also click on the Check Package for Errors button to check the entire application for validation errors (incomplete fields, etc.)

The application submitted through grants.gov as the Project Narrative Attachment Form (in MS Word or PDF format) shall be **assembled in the following order**:

- (1) Proposal Information Summary. This summary is mandatory in all proposals and shall follow the same format as shown in Attachment B.
- (2) Proposal Technical Text. This text should include the following:
  - (a) Significance of the project. Discuss the specific problem addressed and its importance. Include a discussion of how the proposed work will support the purpose of the American Recovery and Reinvestment Act and make progress towards improved volcano hazard mitigation by the Volcano Hazards Program.
  - (b) Project plan. This section should contain a detailed description of the tasks proposed for funding.
  - (c) Institutional qualifications. State the relevant experience and the resources available at the institution. Resources include personnel, computer and library facilities, and ties to both sources of data and potential users of the results.
  - (d) Project management plan. The Project Management Plan should project milestones and related due dates for the proposed work and required progress reports.
  - (e) Project personnel and bibliography of directly related work. Provide a one-page curriculum vita for the professional staff, summarizing education, experience, and selected bibliographic information related to the proposed work. Curriculum vitae for post-doctoral researchers, who contribute significantly to the project, must also be included.
  - (f) Current support and pending applications. List all sources of support (in addition to the proposed effort) to which the senior research members have committed a portion of their time for the period

covered by the proposal. The information should account for 100 percent of the work time of each investigator and include titles, annual budget levels, period of the awards, and the person-months committed in each case, as appropriate. This section must also list research proposals under consideration by, or that will be submitted to, other possible sponsors. This information will not affect the evaluation of the proposal. Also list the total dollar amount of USGS funding per year for fiscal years 2007-2009 (including supplements and no-cost extensions), and the total number of person months committed by each senior investigator each year.

(3) Detailed Budget. The detailed budget shall include the amount proposed for each of the following items in this order:

- (a) Salaries and wages. Identify individuals or categories of salaries and wages, estimated hours or percent of time, and the rate of compensation proposed for each person or category. Include an explanation of the amounts included for projected increases if the rate of pay shown is higher than the current rate of pay. Identify each person with a task in the project. For students (undergraduate and graduate), requests for support must clearly identify the role of the individual in the operation and maintenance or development and expansion of the network, and the hours assigned to these tasks.
- (b) Fringe benefits/labor overhead. Indicate the rates/amounts in conformance with normal accounting procedures. Explain what costs are covered in this category and the basis of the rate computations. Indicate whether rates are used for proposal purposes only or whether they are also fixed or provisional rates for billing purposes. **Include a copy of the Negotiated Rate Agreement or internal memo supporting the proposed rates.**
- (c) Equipment. Show the cost of all special-purpose equipment necessary for achieving the objectives of the project. "Special-purpose equipment" means scientific equipment having a useful life of more than 1 year and having an acquisition cost of \$5,000 or more per item. Each item should be itemized and include a full justification and a dealer or manufacturer quote, if available. General-purpose equipment must be purchased from the applicant's operating funds. Title to non-expendable personal property shall be vested solely with the Recipient. Under **no** circumstances shall property title be vested in a sub-tier recipient.
- (d) Supplies. Enter the cost for all tangible property. Include the cost of office, laboratory, computing, and field supplies separately. Provide detail on any specific item that represents a significant portion of the proposed amount. (Note: publications costs will not be considered.)
- (e) Services or consultants. Identify the tasks or problems for which contract services or consultants would be used. List the contemplated sub-recipients by name (including consultants), the estimated amount of time required, and the quoted rate per day or hour. If known, state whether the consultant's rate is the same as she/he has received for similar services or under government contracts or assistance awards.
- (f) Travel. Travel is allowable for station installation and field work. State the purpose of the trip and itemize the estimated travel costs to show the number of trips required, the destinations, the number of people traveling, the per diem rates, the cost of transportation, and any miscellaneous expenses for each trip. Calculations of other special transportation costs (such as charges for use of applicant-owned vehicles or vehicle rental costs) should also be shown.

- (g) Other direct costs. Itemize the different types of costs not included elsewhere, such as shipping and equipment-use charges. Provide breakdowns showing how the cost was estimated (for example, equipment-use charges should show the type of equipment, estimated time of use, and the established rates).
- (h) Total direct costs. Total of items (a) through (g).
- (i) Indirect cost/general and administrative (G&A) cost. Show the proposed rate, cost base, and proposed amount for allowable indirect costs based on the cost principles applicable to the Applicant's organization. If the Applicant has separate rates for recovery of labor overhead and G&A costs, each charge should be shown. Explain the distinction between items included in the two cost pools. The Applicant should propose rates for evaluation purposes that they are also willing to establish as fixed or ceiling rates in any resulting award. **A copy of the negotiated indirect cost rate agreement with the Federal government shall be included with the paper original. If one is not established, a letter from a Certified Public Accountant must be included to support the cost.**
- (j) Amount proposed. Total items (h) and (i).
- (k) Total project cost. Total Federal and non-Federal amounts, if any.

## **B. Rejection of Proposals after Initial Review**

If a proposal does not meet all requirements, such as addressing Program priorities that are specified in the Announcement as determined by the Contracting Officer in consultation with the VHP Program Coordinator, the applicant will be promptly notified in writing of the rejection along with the reason for the rejection.

## **C. Involvement of Federal Employees**

Federal employees, including USGS employees, are prohibited from assisting in any capacity (paid or unpaid) with preparation of any proposal submitted under this Announcement. Proposals that have a real, or the appearance of, conflict of interest related to Federal employees will not be processed for evaluation. This does not prohibit cooperation or collaboration between USGS and non-USGS scientists once a grant is in place.

## **D. Proposal Evaluation**

### (1) Peer Panel

VHP proposals will be reviewed by a peer panel consisting of 6 scientists drawn from the USGS VHP and outside entities (i.e., Federal, State, Local, and regional agencies, universities, and/or private industry). The panel will be moderated by the Associate Program Coordinator, who will be part of the panel and may also vote.

### (2) Proposal Evaluation Criteria

- (a) All proposals submitted will be evaluated in accordance with the criteria listed below.



(b) Evaluation criteria will be weighted as follows:

- (i) Relevance and timeliness: This factor considers the relevance and timeliness of the proposed research activities as they relate to the USGS Volcano Hazards Program goals, including regional emphasis where appropriate. (20 points)
- (ii) Technical quality of the proposal: This factor considers the technical and/or scientific merit of the proposed approach and the probability of achieving positive results within the designated period. (20 points)
- (iii) Competence and recent performance of PI and research or technical team: This factor considers experience and competence of the PI and coworkers and the promptness with which results have been achieved. This factor includes performance records and capability to provide the necessary facilities and support that will ensure satisfactory completion of the proposed work, and whether reporting requirements from previous USGS awards have been satisfied. In the case of research, This factor includes the timely publication of project results and data in peer-reviewed journals and the impact of the results. (20 points)
- (iv) Appropriateness and reasonableness of the budget: This factor considers whether the proposed budget is commensurate with the level of effort needed to accomplish the project objectives and whether the cost of the project is reasonable relative to the value of the anticipated results. (20 points)
- (v) Alignment with ARRA purposes: This factor considers whether the proposed work contributes to ARRA objectives including preserving or creating jobs, promoting economic recovery, and spurring technological advances in science. (20 points)

(3) Funding Recommendations

Although the majority of recommendations follow the rankings of the peer review panels, other factors which may be taken into consideration by VHP are: funding allocations for each program objective, program goals, regional considerations, evaluation criteria, and the best interests of the USGS. The VHP reserves the right to deviate from the order of ranking to accommodate program priorities, special conditions, and available funds. Based on the panel's recommendations and programmatic considerations, the VHP Program Coordinator will propose actions and allocations to the Office of Acquisition and Grants (OAG). Funding recommendations that differ markedly from the panel's rank order are to be supported by written rationale to OAG. The Contracting Officer will make the necessary final determinations.

**E. Notification**

Following the peer panel reviews, the USGS will make funding decisions and will notify applicants of one of three possible decisions: the proposal has been recommended for funding in FY 2009/10; the proposal is being declined and will not be funded; or a portion of the proposal is declined for funding and the applicant will be notified and requested to submit an amended proposal and budget.

**F. Award Terms and Conditions**

Award Recipients shall comply with grant award Special Terms and Conditions (see **Attachment D**) and Cost Principles, Audit, and Administrative Requirements (see **Attachment E**).

- (1) No pre-award costs are authorized.
- (2) No-cost extensions are discouraged. The timely conduct of funded projects is important to achieving program goals under ARRA. Applicants should consider time commitments prior to applying for a cooperative agreement. Requests for no-cost extensions will be considered on a case-by-case basis. The USGS reserves the right to limit the length of time and number of no-cost extensions. Please note that no-cost extensions are not intended to be used merely for the purpose of expending unobligated balances. Applicants should supply documentation supporting their request for an extension, as described in Attachment D, Section 4.
- (3) Supplemental Funds. Requests for increases in funds beyond the amount awarded are also discouraged. The peer review panel recommends funding at a rate according to their judgment of the merit of a proposal and their expert knowledge of the expenses likely to be incurred in the conduct of the project. [Note: No ARRA funding is available after September 30, 2010.]

### **G. Final Technical Reports to VHP**

All awards made under the VHP will require submittal of a Final Technical Report that shall document and summarize the results of the work, in addition to the stated deliverables. Such reports shall contain a comparison of actual accomplishments to the goals established for the period; reasons why established goals were not met, if applicable; and other pertinent information. Final technical reports shall be submitted electronically to the Associate Program Coordinator, William Burton ([bburton@usgs.gov](mailto:bburton@usgs.gov)), with a copy of the transmittal letter to the Contracting Officer, Margaret Eastman ([mrussell@usgs.gov](mailto:mrussell@usgs.gov)) within ninety (90) days after the completion of the performance period.

### **H. Paperwork Reduction Act Statement**

The Paperwork Reduction Act of 1995 (44 U.S.C. 3501 et. seq.) requires us to inform you that this information collection is being conducted for the Volcano Hazards Program (VHP) to receive and review proposals to acquire funding for projects under ARRA. We estimate the public reporting burden associated with this collection estimated to average 35 hours (per respondent) to complete the application process and 8 hours (per respondent) to complete and submit the required final report. This includes: time for reviewing instructions and completing the required information. Direct comments regarding the burden estimate or any other aspect of this collection of information to: Bureau Clearance Officer, USGS, Fort Collins Science Center, 2150 Centre Avenue, Fort Collins, CO 80526-8118.

### **I. Payment to Foreign Recipients**

The USGS requires that all financial assistance payments be made using the Department of Health and Human Services (DHHS) Payment Management System (PMS). Paper based claims for reimbursement are no longer acceptable. In order to receive payment, Recipients will be required to establish an account with PMS. With the award of each grant, a sub-account will be set up from which the Recipient can draw down funds. It should be noted that foreign recipients will only be permitted to draw down funds if a U.S. corresponding bank is linked to their account (i.e., the recipient must bank directly with a US bank or their foreign bank must have a corresponding US bank). It is the responsibility of the applicant to verify that, in the event they receive a grant, they can meet this condition of the award. It is strongly recommended that foreign applicants make any necessary banking arrangements prior to submitting their applications. Applicants who are recommended for funding who cannot meet this condition may not receive an award.

## **J. American Recovery and Reinvestment Notices**

### ***2 CFR §176.150 Notice of Required Use of American Iron, Steel, and Manufactured Goods—Section 1605 of the American Recovery and Reinvestment Act of 2009.***

(a) Definitions. “Manufactured good,” “public building and public work,” and “steel,” as used in this notice, are defined in the 2 CFR 176.140.

(b) Requests for determinations of inapplicability. A prospective applicant requesting a determination regarding the inapplicability of section 1605 of the American Recovery and Reinvestment Act of 2009 (Pub. L. 111-5)(Recovery Act) should submit the request to the award official in time to allow a determination before submission of applications or proposals. The prospective applicant shall include the information and applicable supporting data required by paragraphs (c) and (d) of the award term and condition at 2 CFR 176.140 in the request. If an applicant has not requested a determination regarding the inapplicability of 1605 of the Recovery Act before submitting its application or proposal, or has not received a response to a previous request, the applicant shall include the information and supporting data in the application or proposal.

#### *(c) Evaluation of project proposals.*

If the Federal government determines that an exception based on unreasonable cost of domestic iron, steel, and/or manufactured goods applies, the Federal Government will evaluate a project requesting exception to the requirements of section 1605 of the Recovery Act by adding to the estimated total cost of the project 25 percent of the project cost, if foreign iron, steel, or manufactured goods are used in the project based on unreasonable cost of comparable manufactured domestic iron, steel, and/or manufactured goods.

#### *(d) Alternate project proposals.*

(1) When a project proposal includes foreign iron, steel, and/or manufactured goods not listed by the Federal Government at paragraph (b)(2) of the award term and condition at 2 CFR 176.140, the applicant also may submit an alternate proposal based on use of equivalent domestic iron, steel, and/or manufactured goods.

(2) If an alternate proposal is submitted, the applicant shall submit a separate cost comparison table prepared in accordance with paragraphs (c) and (d) of the award term and condition at 2 CFR 176.140 for the proposal that is based on the use of any foreign iron, steel, and/or manufactured goods for which the Federal Government has not yet determined an exception applies.

(3) If the Federal government determines that a particular exception requested in accordance with paragraph (b) of the award term and condition at 2 CFR 176.140 does not apply, the Federal Government will evaluate only those proposals based on use of the equivalent domestic iron, steel, and/or manufactured goods, and the applicant shall be required to furnish such domestic items.

### ***2 CFR§176.170 Notice of Required Use of American Iron, Steel, and Manufactured Goods (covered under International Agreements)—Section 1605 of the American Recovery and Reinvestment Act of 2009.***

(a) **Definitions.** “Designated country iron, steel, and/or manufactured goods,” “foreign iron, steel, and/or manufactured good,” “manufactured good,” “public building and public work,” and “steel,” as used in this provision, are defined in 2 CFR 176.160(a).

(b) **Requests for determinations of inapplicability.** A prospective applicant requesting a determination regarding the inapplicability of section 1605 of the American Recovery and Reinvestment Act of 2009 (Pub. L. 111-5)(Recovery Act) should submit the request to the award official in time to allow a determination before submission of applications or proposals. The prospective applicant shall include the information and applicable supporting data required by paragraphs (c) and (d) of the award term and condition at 2 CFR 176.160 in the request. If an applicant has not requested a determination regarding the inapplicability of 1605

of the Recovery Act before submitting its application or proposal, or has not received a response to a previous request, the applicant shall include the information and supporting data in the application or proposal.

*(c) Evaluation of project proposals.*

If the Federal government determines that an exception based on unreasonable cost of domestic iron, steel, and/or manufactured goods applies, the Federal Government will evaluate a project requesting exception to the requirements of section 1605 of the Recovery Act by adding to the estimated total cost of the project 25 percent of the project cost if foreign iron, steel, or manufactured goods are used based on unreasonable cost of comparable domestic iron, steel, or manufactured goods.

*(d) Alternate project proposals.*

(1) When a project proposal includes foreign iron, steel, and/or manufactured goods, other than designated country iron, steel, and/or manufactured goods, that are not listed by the Federal Government in this Buy American notice in the request for applications or proposals, the applicant may submit an alternate proposal based on use of equivalent domestic or designated country iron, steel, and/or manufactured goods.

(2) If an alternate proposal is submitted, the applicant shall submit a separate cost comparison table prepared in accordance with paragraphs (c) and (d) of the award term and condition at 2 CFR 176.160 for the proposal that is based on the use of any foreign iron, steel, and/or manufactured goods for which the Federal Government has not yet determined an exception applies.

(3) If the Federal government determines that a particular exception requested in accordance with paragraph (b) of the award term and condition at 2 CFR 176.160 does not apply, the Federal Government will evaluate only those proposals based on use of the equivalent domestic or designated country iron, steel, and/or manufactured goods, and the applicant shall be required to furnish such domestic or designated country items.

***2 CFR§176.190 Award term- Wage Rate Requirements under Section 1606 of the Recovery Act***

(a) Section 1606 of the Recovery Act requires that all laborers and mechanics employed by contractors and subcontractors on projects funded directly by or assisted in whole or in part by and through the Federal Government pursuant to the Recovery Act shall be paid wages at rates not less than those prevailing on projects of a character similar in the locality as determined by the Secretary of Labor in accordance with subchapter IV of chapter 31 of title 40, United States Code.

Pursuant to Reorganization Plan No. 14 and the Copeland Act, 40 U.S.C. 3145, the Department of Labor has issued regulations at 29 CFR Parts 1, 3, and 5 to implement the Davis-Bacon and related Acts. Regulations in 29 CFR 5.5 instruct agencies concerning application of the standard Davis-Bacon contract clauses set forth in that section. Federal agencies providing grants, cooperative agreements, and loans under the Recovery Act shall ensure that the standard Davis-Bacon contract clauses found in 29 CFR 5.5(a) are incorporated in any resultant covered contracts that are in excess of \$2,000 for construction, alteration or repair (including painting and decorating).

(b) For additional guidance on the wage rate requirements of section 1606, contact your awarding agency. Recipients of grants, cooperative agreements and loans should direct their initial inquiries concerning the application of Davis-Bacon requirements to a particular federally assisted project to the Federal agency funding the project. The Secretary of Labor retains final coverage authority under Reorganization Plan Number 14.

**SPECIAL NOTICE:** Full or partial funding for requirements to be completed by resultant financial assistance award(s) may utilize funds provided by the American Recovery and Reinvestment Act of 2009. Inclusion of unique provisions required implementing the Act, including those for significant reporting and transparency requirements by the successful recipient(s), will be required in any resultant financial assistance award.

## **Questions?**

For Grants.gov issues, see:

[http://www.grants.gov/applicants/app\\_help\\_reso.jsp](http://www.grants.gov/applicants/app_help_reso.jsp)

<http://www.usgs.gov/contracts/grants/grantsgov.html>

Contact Laura Mahoney, (703) 648-7344, [lmahoney@usgs.gov](mailto:lmahoney@usgs.gov)

For Contract issues, contact Maggie Eastman, (703) 648-7366, [mrussell@usgs.gov](mailto:mrussell@usgs.gov)

For VHP Program Coordinator, contact John Eichelberger, (703) 648-6711, [jeichelberger@usgs.gov](mailto:jeichelberger@usgs.gov)

For VHP Associate Program Coordinator (Grants Program Manager), contact William Burton, (703) 648-6904, [bburton@usgs.gov](mailto:bburton@usgs.gov)

## **Priorities for coordinated volcano monitoring and research activities in FY 2009 & 2010**

The volcano monitoring and research priorities presented here are organized by volcanic region and reflect the mission of the USGS Volcano Hazards Program and the goals of the American Recovery and Reinvestment Act (ARRA). ARRA funding for cooperative agreements will be awarded starting in FY 2009 and continuing through FY 2010 (ending on September 30, 2010, with the performance period ending by September 30, 2011). Applicants are encouraged to review the priorities listed under each activity region below before submitting proposals. Proposals may be directed towards more than one of the priority activities listed in each region. Questions may be directed to Margaret Eastman, Contract Officer, [mrussell@usgs.gov](mailto:mrussell@usgs.gov)

### **Activity Region A: Aleutian and Cook Inlet Volcanoes, Alaska Coordinator: Tom Murray, Alaska Volcano Observatory**

#### **Proposals may address any subset of these activities:**

1. Install upgrades to real-time monitoring networks at Alaskan volcanoes while working collaboratively with other Alaska Volcano Observatory (AVO) field parties. Procure or assemble new instrumentation such as infrasound sensors as appropriate.
2. Develop and implement web-based methods and techniques to disseminate AVO warning messages and deliver to the public data and information derived from AVO's real-time data acquisition and processing systems. Systems and tools will be compatible with AVO public web site.
3. Conduct, as part of a team of interdisciplinary geoscientists, geologic and geophysical field work to document and investigate recent and ongoing eruptions of Alaskan volcanoes.
4. Coordinate fixed- and rotary-wing supported AVO activities, including developing a comprehensive schedule of summer field work for 2010 and 2011, and procure necessary ARRA-funded aviation services.
5. Develop an integrated alarm system using real-time or near-real-time data from AVO data acquisition systems including seismic, geodetic, and satellite-based systems. Where feasible, systems should be compatible with the USGS-supported Earthworm data acquisition system and VALVE databases and interfaces.
6. Conduct geochemical investigations as part of an interdisciplinary team of geoscientists to characterize processes at work during recent eruptions of Alaskan volcanoes.
7. Improve reliability and the capabilities of AVO's remote sensing, geodetic, and seismic data acquisition and processing systems. Where feasible, systems should be compatible with the USGS-supported Earthworm data acquisition system, USGS VALVE, and National Science Foundation Plate Boundary Observatory databases and interfaces.
8. Improve AVO's ability to monitor and document volcanic eruptions by developing novel methods to acquire, analyze, or display incoming data, including analysis of new geologic samples and eruptive products, or procuring new instrumentation or systems suitable for use during eruption responses.
9. Conduct geochemical investigations to address regional and arc-wide petrologic processes, evolution of magmatic systems, and the interplay of tectonism and magmatism in the Aleutians.
10. Develop new hardware and software systems to enable more rapid dissemination of value-added satellite remote sensing data and imagery to the public, AVO cooperators such as the National Weather Service, and customers interested in the dispersal of volcanic ash.
11. Investigate using ground based samplers and new airborne or remote sensing techniques the physical and chemical properties of volcanic ash and aerosol clouds, particularly as it relates to air quality and human

health on the ground and to the potential hazard to aircraft, and to validate existing satellite techniques such from the Ozone Monitoring Instrument on NASA's EOS-Aura satellite.

12. Determine both regional tectonic and volcanically induced stress fields within the earth's crust using existing data from AVO's permanent geophysical monitoring networks.
13. Develop new methodologies to analyze changes in volcanically induced crustal stress and to improve AVO's ability to use stress field changes to forecast hazardous volcanic activity.
14. Use existing data from AVO's permanent geophysical monitoring networks to image the Earth's crust beneath Alaskan volcanoes.
15. Use existing data from AVO's permanent geophysical monitoring networks to develop new techniques to detect and evaluate time dependent changes in the physical condition of volcanic systems.

### **Activity Region B: Hawaiian Volcanoes, Hawaii**

**Coordinator: Jim Kauahikaua, Hawaii Volcano Observatory**

**Proposals may address any subset of the numbered tasks, but should address all lettered subtasks of the tasks selected:**

1. Develop accurate and timely volcanic gas forecasting with a program of verification based on best choice gas dispersion and wind models; develop near real-time volcanic gas emission rate measurement methods
  - A. Develop a model for gas dispersion from Kilauea volcano that is capable of accurately forecasting SO<sub>2</sub> and PM<sub>2.5</sub> concentrations in Hawai'i Island communities in a timely manner. Results should be based on the ability of the model to successfully forecast maximum 15-minute average concentrations within a pre-set range (e.g., SO<sub>2</sub> would use the current color code ranges) within time intervals of 3 hours.
  - B. In support of the forecast modeling, develop high spatial and temporal resolution wind field models for use in the gas dispersion calculations.
  - C. In support of the forecast modeling, cooperatively develop and deploy an array of stationary SO<sub>2</sub> sensors to record the spatial characteristics of Kilauea's gas plume in high temporal and spatial resolution to be used for verification and improvement of the gas dispersion forecasting.
  - D. Improve statistical quantification of all existing volcanic gas concentration data for the purpose of estimating historical concentration frequency-of-exposure.
  - E. Cooperatively develop and deploy an array of scanning UV spectrometers to provide accurate and timely SO<sub>2</sub> emission rate estimates.
  - F. Characterize/quantify gas emissions from coastal lava flows entering the ocean for the purpose of establishing long-term monitoring.
2. Improve understanding of basaltic eruption dynamics and mechanisms through studies of effusive and explosive Hawaiian eruptions, using the following questions as a guide:
  - A. What factors control whether Hawaiian eruptions are effusive or explosive? If effusive, what factors determine whether the eruption will be prolonged?
  - B. How can we quantify two-phase flow in near-vertical volcanic conduits?
  - C. How can seismic tremor, infrasound, satellite-measured radiant heat output, and/or radiant spectra be used to infer the scale and nature of basaltic eruptive activity?
  - D. What effects do superficial features, such as vent geometry, have on effusive and explosive behaviors? (might include 3D mapping of the active Halema'uma'u and Pu'u 'O 'O vents).
3. Improve understanding of basaltic flow field development through consideration of the following questions:

- A. What factors controlling lava flow within tubes and/or lava tube construction determine the formation of flow field features like rootless shields, shatter rings, and surface flow breakout points?
- B. What factors determine the stability of lava deltas?
- 4. Conduct research on the structural factors controlling dike propagation in Hawaiian volcanoes, and the factors that control sustained flow within dikes in Hawaiian volcano rift zones.
- 5. Develop effective ways to convey multi-hazard information and risk on oceanic islands exposed to many types of natural hazards.

**Activity Region C: Cascade Volcanoes, Washington, Oregon, and California.**  
**Coordinator: Cynthia Gardner, Cascade Volcano Observatory**

**Proposals may address some or all of the lettered geographic targets:**

- 1. Obtain high-quality, high-accuracy LiDAR data for select volcanoes and surrounding areas in the Cascades. This work should include QA/QC of data, data archiving, and data distribution. Ability to obtain high-quality, high-accuracy data over steep mountainous terrain must be demonstrated. Data should be acquired at volcanoes during minimum snowpack, and at drainages during maximum leaf off and minimum water flow. The LiDAR data produced under this task is to be freely available to the academic, governmental and private sectors, except for fees associated with distribution.
  - A. Glacier Peak, (WA) and the upper Sauk and Suiattle drainages (approximately 300 square miles)
  - B. Mount Baker (WA) and the upper Nooksack River valleys (approximately 170 square miles)
  - C. The upper Toutle River drainages at Mount St. Helens (approximately 80 square miles)
  - D. The northwest quarter of Newberry Volcano, including Newberry crater (OR) (approximately 500 square miles)
  - E. The western half of Crater Lake National Park (OR) (approximately 215 square miles)
  - F. Mount Shasta and upper Sacramento River and McCloud Creek (CA) (approximately 450 square miles)

**Proposals should address all of the lettered activities:**

- 2. Develop multi-hazard risk and vulnerability assessments at select drainages around Mount Rainier (WA) and Mount Hood (OR) using methodologies that would be applicable to other volcanic areas.
  - A. Convene multi-agency workshops to develop consensus among Federal, State, Tribal, and local governments and private partners regarding methodologies and products for multi-hazard assessments.
  - B. Use GIS methodologies and FEMA's HAZUS program to integrate infrastructure loss estimates with societal vulnerabilities and show interdependencies of decision making on, for example, transportation, health, commerce, just-in-time inventories, places of shelter, etc.
  - C. Import volcanic hazard zones into a loss-estimate database and integrate with other natural hazard zones (e.g., earthquake, landslide, and floods, etc.)
  - D. Where applicable upgrade FEMA's HAZUS database to include infrastructure information obtained by LiDAR surveys.
- 3. Upgrade monitoring capabilities and prepare for future volcanic crises in the Cascades.
  - A. Optimize existing regional network seismic stations and telemetry to interface with the Cascades Volcano Observatory's improved backbone telemetry nodes in Washington and Oregon.



- B. Improve volcano earthquake locations by determining volcano-specific 1-D and, where possible, 3-D seismic velocity models and integrate resultant models with routine earthquake location procedures employed by regional seismic networks in the Pacific Northwest.
- C. Adapt established volcano-monitoring techniques (such as RSAM and SSAM) for use in the new Earthworm data acquisition system that is being used in Washington, Oregon and California. Collaborate with CVO to integrate into the volcano-monitoring system used at CVO.
- D. Develop and implement real-time alarm systems that can be dynamically configured to trigger on swarms of small volcanic earthquakes, on volcanic tremor and on RSAM and SSAM derived data streams. Such work should be done in close collaboration with existing Volcano Hazard Program initiatives to improve alarming capabilities.

**Activity Region D: Yellowstone Caldera, Wyoming, Montana, and Idaho.  
Coordinator: Jake Lowenstern, Yellowstone Volcano Observatory**

**Proposals may address some or all of these activities:**

1. Design, assemble, help permit, and install seismic-station upgrades to ten existing seismic monitoring stations of the Yellowstone Seismic Network. Plans should include conversion of ten existing stations from analog to digital, conversion from single-component to three-components, addition of strong motion accelerometers and in most cases broadband sensors. Depending on locations of the site and wilderness restrictions, access to the stations may be by boat, horse, foot, automobile or helicopter. Telemetry design can include combination of satellite, radio, cellular or other technologies, but must be consistent with the Yellowstone National Park Wireless Management Plan and environmental guidelines for wilderness and other backcountry installations. Most equipment for the seismic upgrades will be purchased directly by USGS with ARRA funding, such that organizations interested in cooperative work should contact the Yellowstone Coordinator directly to receive detailed information on existing equipment available for the upgrade. Telemetry upgrades should be accomplished in collaboration with ANSS regional seismic networks.
2. Develop realtime display of seismic, geodetic and other data for use by local government agencies in states immediately surrounding Yellowstone National Park. Such systems would enable state and university partners to keep abreast of dynamic geological activity during periods of geological unrest in the Yellowstone Caldera.
3. Conduct geologic or stratigraphic studies to determine eruptive chronologies of the Yellowstone volcanic system, including late Pleistocene volcanic rocks. The work should include characterization of geological materials available from surface exposures as well as cuttings obtained during drilling of Plate Boundary Observatory strainmeter holes in 2007-2008.
4. Create a crisis GIS (Geographic Information System) for use during caldera unrest at Yellowstone. The cooperator would work with the USGS to assemble existing maps of bedrock and surficial geology, seismic catalogs, potential-field data, hydrologic data, and relevant earth-science and cultural datasets for inclusion in a publicly-accessible web archive with a variety of derived products (e.g., shapefile, KML). The GIS would provide data access to the public, but would also be aimed for observatory staff to create figures and plots for public posting that provide real-time information on dynamic hazardous conditions.
5. Implement software tools for automatic location of  $M > 1.0$  earthquakes for instantaneous posting on public-facing servers. Develop metrics to assess the stability and reliability of these tools to avoid false locations. Such tools should be developed in association with USGS-supported software systems such as Earthworm, Swarm and/or Valve.
6. Implement software tools for automatic location of long-period earthquakes, spasmodic bursts, and hydrothermal tremor sources that can be used at Yellowstone and other volcanic and hydrothermal systems. Such tools should be developed in association with USGS-supported software systems such as Earthworm, Swarm and/or Valve.

**Activity Region E: Volcanoes of the Commonwealth of the Northern Mariana Islands**  
**Coordinator: Tom Murray, Alaska Volcano Observatory**

**Proposals should address all of these activities:**

1. Provide local coordination of field work and logistical support associated with installation and upgrades to volcano monitoring systems in Saipan at the CNMI Emergency Management Office and on the islands of Anatahan and Sarigan for 2010 and 2011.
2. Provide local coordination and technical assistance to establish a small monitoring network on Saipan to monitor hydrogen sulfide and sulfur dioxide gases emanating from volcanoes north of Saipan, to be operated by the CNMI Emergency Management Office.
3. Develop and implement web-based methods and techniques to disseminate CNMI/Emergency Management Office (EMO) volcano warning messages and deliver to the public data and information derived from USGS's real-time data acquisition and processing systems.

**FY 2009 & FY 2010 VHP Proposal Information Summary**

Use the format below for the required Proposal Information Summary

**Name of the Cooperating Institution:**

**Project Title:**

**Principal Investigator(s):** (Name)  
(Institute/Organization Name)  
(Street Address/P.O. Box)  
(City, State, Zip Code)  
(Telephone Number), (FAX Number), (E-mail Address)

**Authorized Institutional Representative:** (Name)  
(Institute/Organization Name)  
(Organizational Unit)  
(Street Address/P.O. Box)  
(City, State, Zip Code)  
(Telephone Number), (FAX Number), (E-mail Address\*)

**Component of Program Priority from Attachment A:** Activity Region\_\_\_\_ Task\_\_\_\_ Subtask\_\_\_\_

**Amount Requested:**

**Proposed Duration:** (The date you would like to start work; between xx/xx/20xx and xx/xx/20xx)

**Proposed Duration:**

\* Please provide an email address for an individual (not for an office)

## Budget Summary \*

Project Title:

Principal Investigator(s):

Cost Category	Federal Funding Requested	Non-Federal/Matching Funds Identified	TOTAL
1. Salaries and Wages	\$	\$	\$
2. Fringe Benefits/ Labor Overhead	\$	\$	\$
3. Equipment	\$	\$	\$
4. Supplies	\$	\$	\$
5. Services or Consultants	\$	\$	\$
6. Travel	\$	\$	\$
7. Other Direct Costs	\$	\$	\$
8. Total Direct Costs (sum of 1-7)	\$	\$	\$
9. Indirect cost/G&A	\$	\$	\$
10. Amount Proposed (8 + 9)	\$	\$	\$
11. Total Project Cost (Federal + non-Federal amounts)			\$

\* Use this sheet for the Budget Summary that precedes the detailed budget.

## Special Terms and Conditions

### 1. Method of Payment

The U.S. Geological Survey (USGS) is using the Department of Health and Human Services (DHHS) Payment Management System (PMS) to provide electronic invoicing and payment for assistance award recipients. The Recipient has established or will establish an account with PMS. With the award of each grant/cooperative agreement, a sub-account will be set up from which the Recipient can draw down funds. The sub-account number will be shown in block 4 of the face page of each award or modification.

Payments will be made available through the PMS. The PMS is administered by the DHHS, Division of Payment Management of the Financial Management Service, Program Support Center. The DHHS will forward instructions for obtaining payments to the recipients. Inquiries regarding payment should be directed to:

Division of Payment Management  
Department of Health and Human Services  
P.O. Box 6021  
Rockville, MD 20852

The Division of Payment Management web address is [www.dpm.psc.gov](http://www.dpm.psc.gov). Problems or questions with electronic drawdown procedures should be directed to Raynette Robinson at (301) 443-9180 or the help desk at (877) 614-5533 or email to [PMSSupport@psc.gov](mailto:PMSSupport@psc.gov).

Payments may be drawn in advance only as needed to meet immediate cash disbursement needs. All payments must be drawn down by September 30, 2011.

### 2. Definitions

#### A. Grant Agreement

A grant agreement is the legal instrument reflecting a relationship between the Federal Government and a State or local government or other recipient whenever:

- (1) the principal purpose of the relationship is the transfer of money, property, services, or anything of value to the State or local government or other recipient in order to accomplish a public purpose of support or stimulation authorized by Federal statute, rather than acquisition, by purchase, lease, or barter, of property or services for the direct benefit or use of the Federal Government; and
- (2) no substantial involvement is anticipated between the executive agency, acting for the Federal Government, and the State or local government or other recipient during performance of the contemplated activity.

#### B. Cooperative Agreement

A cooperative agreement is the legal instrument reflecting a relationship between the Federal Government and a State or local government or other recipient whenever:

- (1) the principal purpose of the relationship is the transfer of money, property, services, or anything of value to the State or local government or other recipient to accomplish a public purpose of support, or stimulation authorized by Federal statute, rather than acquisition, by purchase, lease, or barter, of property or services for the direct benefit or use of the Federal Government; and
- (2) substantial involvement is anticipated between the executive agency, acting for the Federal Government, and State or local government or other recipient during performance of the activity.

C. Grantee/Cooperator

Grantee or cooperator means the nonprofit corporation or other legal entity to which a grant or cooperative agreement is awarded and which is accountable to the Federal Government for the use of the funds provided. The grantee or cooperator is the entire legal entity even if only a particular component of the entity is designated in the award document. For example, a grant or cooperative agreement award document may name as the grantee one school or campus of a university. In this case, the granting agency usually intends, or actually requires, that the named component assume primary or sole responsibility for administering the grant-assisted project or program. Nevertheless, the naming of a component of a legal entity as the grantee or cooperator in a grant or cooperative agreement award document shall not be construed as relieving the whole legal entity from accountability to the Federal Government for the use of the funds provided.

The term “grantee” or “cooperator” does not include secondary recipients such as sub grantees, contractors, etc., who may receive funds from a grantee pursuant to a grant.

D. Recipient

Recipient means grantee or cooperator.

E. Principal Investigator

The Principal Investigator is the individual designated by the Recipient (and approved by the USGS) who is responsible for the technical direction of the research project. The Principal Investigator cannot be changed or become substantially less involved than was indicated in the Recipient's proposal, without the prior written approval of the Contracting Officer.

F. Grants Program Manager

- (1) The Grants Program Manager will work closely with the Principal Investigator to ensure that all technical requirements are being met. The Grants Program Manager's responsibilities include, but are not limited to, providing technical advice on the accomplishment of the proposal's objectives; reviewing the technical content of reports and the other information delivered to the USGS; determining the adequacy of technical reports; and conducting site visits, in coordination with the Regional Coordinator and the Contracting Officer, as frequently as practicable.
- (2) The Associate Coordinator for the Volcano Hazards Program (VHP) Manager is William Burton, will serve as the Grants Manager, U.S. Geological Survey, MS926A, 12201 Sunrise Valley Drive, Reston, VA 20192. The VHP Program Coordinator is John Eichelberger, U.S. Geological Survey, 904 National Center, 12201 Sunrise Valley Drive, Reston, VA 20192. Neither the VHP Coordinator nor the VHP Program Manager have the authority to issue any technical direction which constitutes an assignment of additional work outside the scope of the award; in any manner causes a change in the total cost or the time required for performance of the award; or change any of

the terms, conditions, or general provisions of the award.

G. Regional Coordinator

- (1) A Regional Coordinator will work closely with the Grants Program Manager and the Principal Investigator to ensure coordination with other appropriate Principal Investigators and appropriate USGS project scientists working in the same region for overall conformance with USGS program goals and objectives within that region. The Regional Coordinator's responsibilities include, but are not limited to, providing technical advice on the accomplishment of the proposal's objectives; reviewing the technical content of reports and other information delivered to the USGS; determining the adequacy of the technical reports; and conducting site visits, in coordination with the Grants Program Manager and contract personnel, as frequently as practicable.
- (2) The Regional Coordinator does not have the authority to issue any technical direction which constitutes an assignment of additional work outside the scope of the award; in any manner causes a change in the total cost or the time required for performance of the award; or changes any of the terms, conditions, or general provisions of the award.

H. Contracting Officer (CO)

Contracting officers are individuals who have been delegated in writing by the USGS Office of Acquisition and Grants as the sole authority designated to obligate Federal funds and create terms and conditions of awards. They are the only individuals who have authority to negotiate, enter into, and administer awards resulting for this program. Contracting officers have responsibility to ensure the effective use of Federal funds.

Functions of the contracting officer include but are not limited to:

- (1) Issuing the grant program announcement in coordination with the grants program manager.
- (2) Receiving grant proposals and related documents in response to a grant program announcement. The contracting officer as receiving official shall mark all proposals with a control number and the date officially received. He shall notify each applicant of the receipt of its proposal.
- (3) Approving the grant program manager's Technical Evaluation Plan, which describes in detail the evaluation process for a competitive grant/cooperative agreement program. The contracting officer shall ensure the openness and fairness of the evaluation and selection process.
- (4) Serving in an advisory capacity at peer review panel meetings. He shall interpret grant management policies to panel members.
- (5) Notifying grant program applicants whether or not they were selected for funding or of any other disposition of their application.
- (6) Negotiating, as necessary, the final grant/cooperative agreement budget.
- (7) Issuing grant/cooperative agreement awards and revisions to awards.
- (8) Approving invoice payments.

- (9) Receiving all requests for changes to an award. The contracting officer shall serve as the mandatory control point for all official communications with the grantee which may result in changing the amount of the grant/cooperative agreement, the grant/cooperative agreement budget, or any other terms and conditions of the grant.
- (10) Receiving financial reports required by the terms and conditions of the award.
- (11) Closing out grant/cooperative agreement awards when all applicable award requirements have been complied with.

**3. Reporting Requirements and Dissemination of Results**

Data generated as a part of work funded under this program must be made readily available; there is no provision for PIs to have exclusive access to data for a proprietary period of time. The USGS reserves a royalty-free, nonexclusive and irrevocable license to reproduce, publish, or otherwise use, and to authorize others to use, the data for Government purposes.

For cooperative agreements under the American Recovery and Reinvestment Act for upgrades to existing volcano monitoring and improving volcano hazard mitigation, USGS will be substantially involved with the PI(s) and other institution staff as upgrades are accomplished. Specifically, the USGS will be substantially involved during the performance of the work. Points of contact (POC) for cooperative agreements will be the Regional Coordinator for the USGS and the PI for the cooperating institution. However, other USGS staff and other staff at the PI’s institution may be involved in collaborative discussions. It is expected that there will be frequent contact between the Regional Coordinator and the PI to discuss progress and problems. In the case of field work, joint planning will be necessary to achieve logistical efficiency. The USGS will also provide technical guidance as needed, for example to ensure that data systems are compatible with other parts of the project and with VHP as a whole.

A. **Required reports/documents.** The Principal Investigator or Director, Sponsored Research Office is required to submit the following reports or documents:

<b>Report/Document</b>	<b>No. of Copies and Method of Transmittal</b>	<b>Submit To</b>	<b>When Due</b>
(1) ARRA* Reporting	See Section 3.B(1)	See Section 3.B(1)	See Section 3.B(1)
(2) Final Technical Report	Send Adobe Acrobat PDF file as an email attachment; Maximum size: 10 MB	Grants Program Manager	Within 90 calendar days after the end of each 12-month budget period. <b>See details of formatting in section B(2) below.</b>
(3) SF 272 Federal Cash Transactions Report	Electronic submission	USGS via PMS Electronic 272 System [see Section 3.B(3)]	See Section 3.B(3)



(4) SF 269 Financial Status Report	See Section 3.B(4)	See Section 3.B(4)	See Section 3.B(4)
(5) Final SF 269 Financial Status Report	See Section 3.B(5)	See Section 3.B(5)	See Section 3.B(5)

\*ARRA – American Recovery and Reinvestment Act

B. **Report preparation instructions.** The Recipient shall prepare the reports/documents in accordance with the following instructions:

(1) *American Recovery and Reinvestment Act (ARRA) Recipient Reporting*

Recipients of Federal awards from funds authorized under Division A of the ARRA must comply with all requirements specified in Division A of the ARRA (Public Law 111-005), including reporting requirements outlined in Section 1512 of the Act. For purposes of reporting, recipients of ARRA funds from Department of the Interior must report on sub-recipient activities as specified below. Not later than ten (10) days after the end of each calendar quarter, starting with the quarter ending June 30, 2009 and reporting by July 10, 2009, the recipient must submit a report to the Department of the Interior that will posted to Recovery.gov, containing the following information:

(a) The total amount of ARRA funds under this award;

(b) The amount of ARRA funds received under this award that were obligated and expended to projects or activities;

(c) The amount of unobligated award balances;

(d) A detailed list of all projects or activities for which ARRA funds under this award were obligated and expended, including:

- (1) The name of the project or activity;
- (2) Description of the project or activity;
- (3) An evaluation of the completion status of the project or activity;
- (4) An estimate of the number of jobs created and the number of jobs retained by the project or activity; and
- (5) For infrastructure investments made by State and local governments, the purpose, total cost, and rationale of the agency for funding the infrastructure investment with funds made available under this Act, and the name of the person to contact at the agency if there are concerns with the infrastructure investment.

(e) Detailed information on any subcontracts or sub-grants awarded by the grant recipient to include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282). For any sub-award equal to or larger than \$25,000, the following information:

- The name of the entity receiving the sub-award;
- The amount of the sub-award;
- The transaction type;

- The North American Industry Classification System code or Catalog of Federal Domestic Assistance (CFDA) number;
- Program source;
- An award title descriptive of the purpose of each funding action;
- The location of the entity receiving the award;
- The primary location of performance under the award, including the city, State, congressional district, and country; and
- A unique identifier of the entity receiving the award and of the parent entity of the recipient, should the entity be owned by another entity.

(f) All sub-awards less than \$25,000 or to individuals may be reported in the aggregate, as prescribed by the Department of the Interior.

(g) Recipients must account for each ARRA award and sub-award separately. Recipients will draw down funds on an ARRA award by ARRA award basis. Pooling or commingling of ARRA award funds with other funds for drawdown or other purposes is not permitted.

(h) Recipients must account for each ARRA award by referencing the assigned CFDA number for each award.

The definition of terms and data elements, as well as any specific instructions for reporting, including required formats, will be provided in subsequent guidance issued by Department of the Interior.

(2) *Final Technical Report.* The final technical report shall document and summarize the results of the work. Such reports shall contain a comparison of actual accomplishments to the goals established for the period; reasons why established goals were not met, if applicable; and other pertinent information. The final report shall be submitted within 90 calendar days of the end of the project period.

(a) Submit the Final Technical Report electronically as an Adobe Acrobat PDF file e-mail attachment to: Bill Burton at [bburton@usgs.gov](mailto:bburton@usgs.gov), with a copy of the transmittal sent to Margaret Eastman at [mrussell@usgs.gov](mailto:mrussell@usgs.gov).

(b) Final Technical reports shall consist of the following sections:

- (i) Cover page with the following information:
  - Award Number
  - Title
  - Author and Affiliation with Address and zip code
  - Author's Telephone numbers, fax numbers and E-mail addresses
  - Term covered by the award (start and end dates)
  - Submittal Date of Final Technical Report
- (ii) Abstract
- (iii) Main body of the report shall be single-spaced in 8 ½" x 11" format. The main body of the report shall be formatted double-sided, including figures and bibliography. Oversized pages should be used only if they are critical to convey data or conclusions. Electronic versions of oversized illustrations are also required to be sent with the electronic version of reports.

- (3) *SF 272, Federal Cast Transactions Report* is required quarterly for each PMS sub-account. Quarterly reports are due 45 working days after the end of each fiscal quarter until Financial Status Report is submitted. Instructions for submitting the SF272 can be found at the following website:

[http://www.dpm.psc.gov/grant\\_recipient/psc\\_272\\_reports/psc\\_272\\_reports.aspx?explorer.event=true](http://www.dpm.psc.gov/grant_recipient/psc_272_reports/psc_272_reports.aspx?explorer.event=true)

If after 45 days, the recipient has not submitted a report, the account will be placed in a manual review status. Funds may be withheld for accounts with delinquent reports.

- (4) *SF 269, Financial Status Report (original)* is required annually and is due 90 calendar days after the end of the annual budget period. Reports will be submitted to the Contracting Officer at the address shown in Block 5 of the award form.

(5) *Final SF 269, Financial Status Report.*

- (a) The recipient will liquidate all obligations incurred under the award and submit a final SF 269 Financial Status Report due no later than 90 calendar days after the grant completion date. The recipient will promptly return any unexpended federal cash advances or will complete a final draw from PMS to obtain any remaining amounts due. Once 120 days has passed since the grant completion date, the PMS subaccount for this award may be closed by USGS at any time.

(b) Subsequent revision to the final SF269, Financial Report, will be considered only as follows:

- (1) When the revision results in a balance due to the Government, the recipient must submit a revised SF 269 and refund the excess payment whenever the overcharge is discovered, no matter how long the lapse of time since the original due date of the report.
- (2) When the revision represents additional reimbursement costs claimed by the recipient, a revised SF 269 may be submitted to the Contracting Officer with an explanation. If approved, the USGS will either request and pay a final invoice or re-establish the PMS subaccount to permit the recipient to make a revised final draw. Any revised final report representing additional reimbursable amounts must be submitted no later than 1 year from the due date of the original report, i.e., 15 months following the agreement completion date. USGS will not accept any revised SF 269 report covering additional expenditures after that date and will return any late request for additional payment to the recipient.

**C. Adherence to reporting requirements. A Recipient's failure to submit the required Final Technical Report and final financial report, generally within 6 months of the end date of the award, will likely result in delay or non-issuance of new awards. Failure to submit a Progress Report for multi-year awards will likely result in delayed renewal of funds.**

#### **4. Adherence to Original Research Objective and Budget Estimate**

- A. Any commitments or expenditures incurred by the Recipient in excess of the funds provided by this award shall be the responsibility of the Recipient. Expenditures incurred prior to the effective date of this award cannot be charged against award funds.
- B. The following requests for change **require advance written approval by the Contracting Officer shown on your award. Your request must be submitted to the Contracting Officer at least 45 calendar days prior to the requested effective date of the change:**

- (1) Changes in the scope, objective, or key personnel referenced in the Recipient's proposal.

- (2) Request for supplemental funds.
- (3) Transfer of funds between direct cost categories when the cumulative amount of transfers during the project period exceeds 10 percent of the total award.
- (4) Foreign travel not approved at time of award.
- (5) Acquisition of nonexpendable personal property (equipment) not approved at time of award.
- (6) Creation of any direct cost line item not approved at time of award.
- (7) Any other significant change to the award.
- (8) No-cost Extensions to the Project Period. **No cost extensions are discouraged.** The Earthquake Hazards Program (EHP) awards grants and cooperative agreements for research that extends or supplements ongoing research within the USGS. The timely conduct of funded projects is of great importance to the achievement of ARRA and VHP goals. Applicants should consider their time commitments at the time of application for a grant. Requests for no cost extensions will be considered on a case-by-case basis. The USGS reserves the right to limit the length of time and number of no-cost extensions. Please note that no-cost extensions are not intended to be used merely for the purpose of expending unobligated balances. Applicants must supply documentation supporting their request for an extension.

The Recipient **shall include** in the request:

- the cause of the needed extension,
- a description of the remaining work to be completed,
- the proposed new end date, and
- the amount of funds remaining.

A request for an extension that is received by the Contracting Officer after the expiration date shall **not** be honored. Requests for no-cost extensions shall be submitted to the Contracting Officer **at least 45 days** before the grant end date.

- C. The Contracting Officer will notify the Recipient in writing within 30 calendar days after receipt of the request for revision or adjustment whether the request has been approved.

## 5. Nonexpendable Personal Property

The recipient shall comply with 2 CFR Part 215, Section 215.34. Title to nonexpendable personal property acquired wholly or in part with Federal funds shall be vested in the Recipient unless otherwise specified in the award document. The Recipient shall retain control and maintain a property inventory of such property as long as there is a need for such property to accomplish the purpose of the project, whether or not the project continues to be supported by Federal funds. When there is no longer a need for such property to accomplish the purpose of the project, the Recipient shall use the property in connection with other Federal awards the Recipient has received. Under no circumstances shall title to such property be vested in a sub-tier recipient. Disposal of nonexpendable personal property shall be in accordance with the applicable OMB circular.

The following equipment shall be vested: To be determined at award

**6. Record Retention Period**

Unless a longer period is requested by the award, a Recipient shall retain all records for 3 years after the end of the project period for which it uses USGS award funds.

**7. Pre-agreement Costs**

Pre-agreement costs are not authorized under this program. Costs must be obligated during the project period.

**8. Site Visits**

Site visits may be made by USGS representatives to review program accomplishments and management control systems and to provide technical assistance, as required.

**9. Metric Conversion (43CFR Sec 12.915)**

All progress and final reports, other reports, or publications produced under this award shall employ the metric system of measurements to the maximum extent practicable. Both metric and inch-pound unit (dual units) may be used if necessary during any transition period(s). However, the recipient may use non-metric measurements to the extent the recipient has supporting documentation that the use of metric measurements is impracticable or is likely to cause significant inefficiencies or loss of markets to the recipient, such as when foreign competitors are producing competing products in non-metric units.

**10. Violation of Award Terms**

If a Recipient materially fails to comply with the terms of the award, the Contracting Officer may suspend, terminate, or take such other remedies as may be legally available and appropriate in the circumstances.

**11. Award Closeout**

Awards will be closed out once all requirements have been met. Technical and financial reports must be submitted on time as specified in section 3, above. Failure to adhere to the reporting requirements may result in no future awards.

**12. Partnership with Grantees/Cooperators**

The USGS, through its federal grant/cooperative agreement awards, will collaborate with universities, federal state, local and tribal governments, and private organizations and businesses to provide relevant, timely, objective knowledge and information on natural resources, hazards, and the environment.

**13. Buy American Act Notice (43 CFR Sec. 12.710(c))**

Pursuant to Section 307(b) of the Department of the Interior (DOI) and Related Agencies Appropriations Act, FY 2000, Public Law 106-113, please be advised on the following:

“In the case of any equipment or product that may be authorized to be purchased with financial assistance provided using funds made available in this Act, it is the sense of the Congress that entities receiving the assistance should, in expending the assistance, purchase only American-made equipment and products.”

**14. Buy American - Use of American Iron, Steel, and Manufactured Goods (ARRA Term)**

Recipients may not use any funds obligated under this award for the construction, alteration, maintenance, or repair of a public building or public work unless all of the iron, steel, and manufactured goods used in the project are produced in the United States unless the Department of the Interior waives the application of this provision. (ARRA Sec. 1605)

**15. Anti-Lobbying (43 CFR Part 18)**

The Recipient shall not use any part of the appropriated funds from the Department of the Interior for any activity or the publication or distribution of literature that in any way tends to promote public support or opposition to any legislative proposal on which Congressional action is not complete.

**16. Seat Belt Provision (43 CFR Sec. 12.2(e))**

Recipients of grants/cooperative agreements and/or sub-awards are encouraged to adopt and enforce on-the-job seat belt use policies and programs for their employees when operating company-owned, rented, or personally owned vehicles. These measures include, but are not limited to, conducting education, awareness, and other appropriated programs for their employees about the importance of wearing seat belts and the consequences of not wearing them.

**17. Whistleblower Protection (ARRA Term)**

Each recipient or sub-recipient awarded funds made available under the ARRA shall promptly refer to the Department of the Interior, Office of Inspector General any credible evidence that a principal, employee, agent, contractor, sub-recipient, subcontractor, or other person has submitted a false claim under the False Claims Act or has committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity, or similar misconduct involving those funds. (ARRA Sec. 1553) The Department of the Interior, Office of Inspector General can be reached at 1-800-424-5081 or via e-mail at <http://www.oig.Department.gov/fraud/hotline/>

**18. No Endorsement Provision (43 CFR 12.2(d))**

*[Paragraph (B) applies to all awards. The remainder of this provision applies only when:*

*(1) the principal purpose of the agreement is a partnership where the recipient/partner contributes resources to promote agency programs or publicize agency activities, assists in fundraising, or provides assistance to the agency; and*

*(2) the agreement authorizes joint dissemination of information and promotion of activities being supported; and*

*(3) the recipient is not a State government, a local government, or a Federally-recognized Indian tribal government. ]*

(A) Recipient shall not publicize or otherwise circulate, promotional material (such as advertisements, sales brochures, press releases, speeches, still and motion pictures, articles, manuscripts or other publications) which states or implies governmental, Departmental, bureau, or government employee endorsement of a product, service, or position which the recipient represents. No release of information relating to this award may state or imply that the Government approves of the recipient's work products, or considers the recipient's work product to be superior to other products or services.

(B) All information submitted for publication or other public releases of information regarding this project shall carry the following disclaimer:

The views and conclusions contained in this document are those of the authors and should not be interpreted as representing the opinions or policies of the U.S. Government. Mention of trade names or commercial products does not constitute their endorsement by the U.S. Government.

(C) Recipient must obtain prior Government approval for any public information releases concerning this award which refer to the Department of the Interior or any bureau or employee (by name or title). The specific text, layout photographs, etc. of the proposed release must be submitted with the request for approval.

(D) A recipient further agrees to include this provision in a sub-award to any sub-recipient, except for a sub-award to a State government, a local government, or to a Federally-recognized Indian tribal government.

### **19. Use of U.S. Flag Air Carriers**

Any air transportation to, from, between or within a country other than the U.S. of persons or property, the expense of which will be paid in whole or in part by U.S. Government funding, must be performed by, or under a code-sharing arrangement with, a U.S. flag air carrier if service provided by such a carrier is "available" (49 U.S.C. 40118, commonly referred to as the Fly America Act). Tickets (or documentation for electronic tickets) must identify the U.S. flag air carrier's designator code and flight number. See the Federal Travel Regulation §301-10.131 - §301-10.143 for definitions, exceptions, and documentation requirements. (See also Comp. Gen. Decision B-240956, dated September 25, 1991.)

### **20. DUNS/CCR (ARRA Term)**

Recipients must require that first tier sub-recipients begin planning activities, including obtaining a DUNS number (or updating the existing DUNS record), and registering with the Central Contractor Registration (CCR) no later than the first time ARRA data requirements are due.

### **21. Activities on Private and Other Non-Federal Lands**

*[Paragraph B applies to all awards. The remainder of this provision applies only when the award involves funds appropriated to the biological research activity of the USGS.]*

A. Funds provided for the biological research activity in USGS annual appropriations may not be used to conduct surveys on private property, unless specifically authorized in writing by the property owner.

(i) Accordingly, the recipient shall not enter non-Federal real property for the purpose of collecting information regarding the property, unless the owner of the property has –

- consented in writing to the entry;
- been provided notice of that entry; and
- been notified that any raw data collected from the property must be made available at no costs, if requested by the land owner.

(ii) In this provision, the term “recipient” includes any person that is an officer, employee, or agent of the recipient, including a person acting pursuant to a contract or sub-agreement.

B. The recipient shall comply with applicable State, local, and Tribal government laws, including laws relating to private property rights.

The Recipient shall comply with applicable State, local, and Tribal government laws, including laws relating to private property rights.

## **22. Access to Research Data**

A. By regulation (43 CFR 12.936), recipients that are institutions of higher education, hospitals, or non-profit organizations are required to release research data first produced in a project supported with Federal funds that are cited publicly and officially by a Federal agency in support of an action that has the force and effect of law (e.g., regulations and administrative orders). "Research data" is defined as the recorded factual material commonly accepted in the scientific community as necessary to validate research findings. It does not include preliminary analyses; drafts of scientific papers; plans for future research; peer reviews; communications with colleagues; physical objects (e.g., laboratory samples, audio or video tapes); trade secrets; commercial information; materials necessary to be held confidential by a researcher until publication in a peer-reviewed journal; information that is protected under the law (e.g., intellectual property); personnel and medical files and similar files, the disclosure of which would constitute an unwarranted invasion of personal privacy; or information that could be used to identify a particular person in a research study.

B. These requirements do not apply to commercial organizations or to research data produced by State or local governments. However, if a State or local governmental grantee contracts with an educational institution, hospital, or non-profit organization, and the contract results in covered research data, those data are subject to these disclosure requirements.

C. Requests for the release of research data subject to this policy are required to be made to USGS, which will handle them as FOIA requests under 43 CFR 2.25. If the data are publicly available, the requestor will be directed to the public source. Otherwise, the USGS Contracting Officer/Grants Officer, in consultation with the affected recipient and the PI, will handle the request. This policy also provides for assessment of a reasonable fee to cover recipient costs as well as (separately) the USGS costs of responding.

## **23. Trafficking in Persons (22 U.S.C. § 7104(g))**

A. Provisions applicable to a recipient that is a private entity.

(i) You as the recipient, your employees, sub-recipients under this award, and sub-recipients' employees may not--

- (a) Engage in severe forms of trafficking in persons during the period of time that the award is in effect;
- (b) Procure a commercial sex act during the period of time that the award is in effect; or
- (c) Use forced labor in the performance of the award or sub-awards under the award.

(ii) We as the Federal awarding agency may unilaterally terminate this award, without penalty, if you or a sub-recipient that is a private entity --

- (a) Is determined to have violated a prohibition in paragraph a.1 of this award term; or
- (b) Has an employee who is determined by the agency official authorized to terminate the award to have violated a prohibition in paragraph a.1 of this award term through conduct that is either—
  - 1. Associated with performance under this award; or



2. Imputed to you or the sub-recipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, “OMB Guidelines to Agencies on Government-wide Debarment and Suspension (Non-procurement),” as implemented by our agency at 43 CFR Part 42.

B. Provisions applicable to a recipient other than a private entity. We as the Federal awarding agency may unilaterally terminate this award, without penalty, if a sub-recipient that is a private entity --

(i) Is determined to have violated a prohibition in paragraph a.1 of this award term; or

(ii) Has an employee who is determined by the agency official authorized to terminate the award to have violated a prohibition in paragraph a.1 of this award term through conduct that is either—

(a) Associated with performance under this award; or

(b) Imputed to you or the sub-recipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, “OMB Guidelines to Agencies on Government-wide Debarment and Suspension (Non-procurement),” as implemented by our agency at 43 CFR Part 42.

C. Provisions applicable to any recipient.

(i) You must inform us immediately of any information you receive from any source alleging a violation of a prohibition in paragraph a.1 of this award term.

(ii) Our right to terminate unilaterally that is described in paragraph a.2 or b of this section:

(a) Implements section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA), as amended (22 U.S.C. 7104(g)), and

(b) Is in addition to all other remedies for noncompliance that are available to us under this award.

(iii) You must include the requirements of paragraph a.1 of this award term in any sub-award you make to a private entity.

D. Definitions. For purposes of this award term:

(i) “Employee” means either:

(a) An individual employed by you or a sub-recipient who is engaged in the performance of the project or program under this award; or

(b) Another person engaged in the performance of the project or program under this award and not compensated by you including, but not limited to, a volunteer or individual whose services are contributed by a third party as an in-kind contribution toward cost sharing or matching requirements.

(ii) “Forced labor” means labor obtained by any of the following methods: the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.

(iii) “Private entity”:

(a) Means any entity other than a State, local government, Indian tribe, or foreign public entity, as those terms are defined in 2 CFR 175.25.

(b) Includes:

1. A nonprofit organization, including any nonprofit institution of higher education, hospital, or tribal organization other than one included in the definition of Indian tribe at 2 CFR 175.25(b).
2. A for-profit organization.

(iv) Severe forms of trafficking in persons,” “commercial sex act,” and “coercion” have the meanings given at section 103 of the TVPA, as amended (22 U.S.C. 7102).

#### **24. Research Integrity**

A. USGS requires that all grant or cooperative agreement recipient organizations adhere to the Federal Policy on Research Misconduct, Office of Science and Technology Policy, December 6, 2001, 65 Federal Register (FR) 76260, [http://www.ostp.gov/html/001207\\_3.html](http://www.ostp.gov/html/001207_3.html). The Federal Policy on Research Misconduct outlines requirements for addressing allegations of research misconduct, including the investigation, adjudication, and appeal of allegations of research misconduct and the implementation of appropriate administrative actions.

B. The recipient must promptly notify the USGS Project Office when research misconduct that warrants an investigation pursuant to the Federal Policy on Research Misconduct is alleged.

#### **25. Fiscal Integrity**

The recipient will notify the USGS Contracting Officer/Grants officer of any significant problems relating to the administrative or financial aspects of the award, such as misappropriation of Federal funds.

#### **26. Program Income**

A. The recipient will have no obligation to the Federal Government for program income earned from license fees and royalties for copyrighted material, in accordance with 43 CFR 12.924(h) (for A-110 recipients) or 43 CFR 12.65(e) (for A-102 recipients).

B. If a purpose of this award is to support a conference, symposium, or similar event, income related to that event will be deducted from total allowable costs to determine the net allowable costs before calculating the Government's share of reimbursable costs, as provided in 3 CFR 12.65(g)(1) (for A-102 recipients) or 43 CFR 12.924(b)(3) (for A-110 recipients).

C. If the recipient is an educational institution or nonprofit research organization, any other program income will be added to funds committed to the project by the Federal awarding agency and recipient and be used to further eligible project or program objectives, as described in 43 CFR 12.924(b)(1).

D. For all other types of recipients, any other program income will be deducted from total allowable costs to determine the net allowable costs before calculating the Government's share of reimbursable costs, as provided in 3 CFR 12.65(g)(1) (for A-102 recipients) or 43 CFR 12.924(b)(3) (for A-110 recipients).

#### **27. Wage Rate Requirements (ARRA Term)**

Subject to further clarification issued by the Office of Management and Budget and notwithstanding any other provision of law and in a manner consistent with other provisions of ARRA, all laborers and mechanics employed by contractors and subcontractors on projects funded directly by or assisted in whole or in part by and through the Federal Government pursuant to this award shall be paid wages at rates not less than those prevailing on projects of a character similar in the locality as determined by the Secretary of

Labor in accordance with subchapter IV of chapter 31 of title 40, United States Code. With respect to the labor standards specified in this section, the Secretary of Labor shall have the authority and functions set forth in Reorganization Plan Numbered 14 of 1950 (64 Stat. 1267; 5 U.S.C. App.) and section 3145 of title 40, United States Code. (ARRA Sec. 1606)

**28. Schedule of Expenditures of Federal Awards (ARRA Term)**

Recipients agree to separately identify the expenditures for each grant award funded under ARRA on the Schedule of Expenditures of Federal Awards (SEFA) and the Data Collection Form (SF-SAC) required by Office of Management and Budget Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations." This identification on the SEFA and SF-SAC shall include the Federal award number, the Catalog of Federal Domestic Assistance (CFDA) number, and amount such that separate accountability and disclosure is provided for ARRA funds by Federal award number consistent with the recipient reports required by ARRA Section 1512(c).

**29. Responsibilities for Informing Sub-recipients (ARRA Term)**

Recipients agree to separately identify to each sub-recipient, and document at the time of sub-award and at the time of disbursement of funds, the Federal award number, CFDA number, and amount of ARRA funds.

**30. 2 CFR §176.50 Award term--Reporting and Registration Requirements under Section 1512 of the American Recovery and Reinvestment Act, Public Law 111-5**

(a) This award requires the recipient to complete projects or activities which are funded under the American Recovery and Reinvestment Act of 2009 ("Recovery Act") and to report on use of Recovery Act funds provided through this award. Information from these reports will be made available to the public.

(b) The reports are due no later than ten calendar days after each calendar quarter in which the recipient receives the assistance award funded in whole or in part by the Recovery Act.

(c) Recipients and their first-tier recipients must maintain current registrations in the Central Contractor Registration ([www.ccr.gov](http://www.ccr.gov)) at all times during which they have active federal awards funded with Recovery Act funds. A Dun and Bradstreet Data Universal Numbering System (DUNS) Number ([www.dnb.com](http://www.dnb.com)) is one of the requirements for registration in the Central Contractor Registration.

(d) The recipient shall report the information described in section 1512(c) using the reporting instructions and data elements that will be provided online at [www.FederalReporting.gov](http://www.FederalReporting.gov) and ensure that any information that is pre-filled is corrected or updated as needed.

**31. 2 CFR §176.140 Award term- Required Use of American Iron, Steel, and Manufactured Goods—Section 1605 of the American Recovery and Reinvestment Act of 2009**

(a) **Definitions.** As used in this award term and condition—

"Manufactured good" means a good brought to the construction site for incorporation into the building or work that has been--

(1) Processed into a specific form and shape; or

(2) Combined with other raw material to create a material that has different properties than the properties of the individual raw materials.

“Public building” and “public work” means a public building of, and a public work of, a governmental entity (the United States; the District of Columbia; commonwealths, territories, and minor outlying islands of the United States; State and local governments; and multi-State, regional, or interstate entities which have governmental functions). These buildings and works may include, without limitation, bridges, dams, plants, highways, parkways, streets, subways, tunnels, sewers, mains, power lines, pumping stations, heavy generators, railways, airports, terminals, docks, piers, wharves, ways, lighthouses, buoys, jetties, breakwaters, levees, and canals, and the construction, alteration, maintenance, or repair of such buildings and works.

“Steel” means an alloy that includes at least 50 percent iron, between .02 and 2 percent carbon, and may include other elements.

(b) *Domestic preference.*

(1) This award term and condition implements Section 1605 of the American Recovery and Reinvestment Act of 2009 (Recovery Act)(Pub. L. 111-5), by requiring that all iron, steel, and manufactured goods used in the project are produced in the United States except as provided in paragraph (b)(3) and (b)(4) of this term and condition.

(2) This requirement does not apply to the material listed by the Federal Government as follows: none.

(3) The award official may add other iron, steel, and/or manufactured goods to the list in paragraph (b)(2) of this term and condition if the Federal government determines that—

(i) The cost of the domestic iron, steel, and/or manufactured goods would be unreasonable. The cost of domestic iron, steel, or manufactured goods used in the project is unreasonable when the cumulative cost of such material will increase the cost of the overall project by more than 25 percent;

(ii) The iron, steel, and/or manufactured good is not produced, or manufactured in the United States in sufficient and reasonably available quantities and of a satisfactory quality; or

(iii) The application of the restriction of section 1605 of the Recovery Act would be inconsistent with the public interest.

(c) *Request for determination of inapplicability of Section 1605 of the Recovery Act.*

(1)(i) Any recipient request to use foreign iron, steel, and/or manufactured goods in accordance with paragraph (b)(3) of this term and condition shall include adequate information for Federal Government evaluation of the request, including—

(A) A description of the foreign and domestic iron, steel, and/or manufactured goods;

(B) Unit of measure;

(C) Quantity;

(D) Cost;

(E) Time of delivery or availability;

(F) Location of the project;

(G) Name and address of the proposed supplier; and

(H) A detailed justification of the reason for use of foreign iron, steel, and/or manufactured goods cited in accordance with paragraph (b)(3) of this term and condition.

(ii) A request based on unreasonable cost shall include a reasonable survey of the market and a completed cost comparison table in the format in paragraph (d) of this term and condition.

(iii) The cost of iron, steel, and/or manufactured goods material shall include all delivery costs to the construction site and any applicable duty.

(iv) Any recipient request for a determination submitted after Recovery Act funds have been obligated for a project for construction, alteration, maintenance, or repair shall explain why the recipient could not reasonably foresee the need for such determination and could not have requested the determination before the funds were obligated. If the recipient does not submit a satisfactory explanation, the award official need not make a determination.

(2) If the Federal government determines after funds have been obligated for a project for construction, alteration, maintenance, or repair that an exception to section 1605 of the Recovery Act applies, the award official will amend the award to allow use of the foreign iron, steel, and/or relevant manufactured goods. When the basis for the exception is nonavailability or public interest, the amended award shall reflect adjustment of the award amount, redistribution of budgeted funds, and/or other actions taken to cover costs associated with acquiring or using the foreign iron, steel, and/or relevant manufactured goods. When the basis for the exception is the unreasonable cost of the domestic iron, steel, or manufactured goods, the award official shall adjust the award amount or redistribute budgeted funds by at least the differential established in 2 CFR 176.110(a).

(3) Unless the Federal Government determines that an exception to section 1605 of the Recovery Act applies, use of foreign iron, steel, and/or manufactured goods is noncompliant with section 1605 of the American Recovery and Reinvestment Act.

(d) <b>Data.</b> To permit evaluation of requests under paragraph (b) of this term and condition based on unreasonable cost, the Recipient shall include the following information and any applicable supporting data based on the survey of suppliers: FOREIGN AND DOMESTIC ITEMS COST COMPARISON			
Description	Unit of Measure	Quantity	Cost (Dollars)*
<b>Item 1:</b>			
Foreign steel, iron, or manufactured good	_____	_____	_____

**32. 2 CFR §176.160 Award term- Required Use of American Iron, Steel, and Manufactured Goods (covered under International Agreements)—Section 1605 of the American Recovery and Reinvestment Act of 2009**

(a) **Definitions.** As used in this award term and condition—

“Designated country” --

(1) A World Trade Organization Government Procurement Agreement country (Aruba, Austria, Belgium, Bulgaria, Canada, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hong Kong, Hungary, Iceland, Ireland, Israel, Italy, Japan, Korea (Republic of), Latvia, Liechtenstein, Lithuania, Luxembourg, Malta, Netherlands, Norway, Poland, Portugal, Romania, Singapore, Slovak Republic, Slovenia, Spain, Sweden, Switzerland, and United Kingdom);

(2) A Free Trade Agreement (FTA) country (Australia, Bahrain, Canada, Chile, Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras, Israel, Mexico, Morocco, Nicaragua, Oman, Peru, or Singapore); or

(3) A United States-European Communities Exchange of Letters (May 15, 1995) country:

Austria, Belgium, Bulgaria, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovak Republic, Slovenia, Spain, Sweden, and United Kingdom.

“Designated country iron, steel, and/or manufactured goods” --

- (1) Is wholly the growth, product, or manufacture of a designated country; or
- (2) In the case of a manufactured good that consist in whole or in part of materials from another country, has been substantially transformed in a designated country into a new and different manufactured good distinct from the materials from which it was transformed.

"Domestic iron, steel, and/or manufactured good" --

- (1) Is wholly the growth, product, or manufacture of the United States; or
- (2) In the case of a manufactured good that consists in whole or in part of materials from another country, has been substantially transformed in the United States into a new and different manufactured good distinct from the materials from which it was transformed. There is no requirement with regard to the origin of components or subcomponents in manufactured goods or products, as long as the manufacture of the goods occurs in the United States.

“Foreign iron, steel, and/or manufactured good” means iron, steel and/or manufactured good that is not domestic or designated country iron, steel, and/or manufactured good.

“Manufactured good” means a good brought to the construction site for incorporation into the building or work that has been--

- (1) Processed into a specific form and shape; or
- (2) Combined with other raw material to create a material that has different properties than the properties of the individual raw materials.

“Public building” and "public work" means a public building of, and a public work of, a governmental entity (the United States; the District of Columbia; commonwealths, territories, and minor outlying islands of the United States; State and local governments; and multi-State, regional, or interstate entities which have governmental functions). These buildings and works may include, without limitation, bridges, dams, plants, highways, parkways, streets, subways, tunnels, sewers, mains, power lines, pumping stations, heavy generators, railways, airports, terminals, docks, piers, wharves, ways, lighthouses, buoys, jetties, breakwaters, levees, and canals, and the construction, alteration, maintenance, or repair of such buildings and works.

“Steel” means an alloy that includes at least 50 percent iron, between .02 and 2 percent carbon, and may include other elements.

(b) *Iron, steel, and manufactured goods.*

(1) This award term and condition implements

(i) Section 1605(a) of the American Recovery and Reinvestment Act of 2009 (Pub. L. 111-5) (Recovery Act), by requiring that all iron, steel, and manufactured goods used in the project are produced in the United States; and

(ii) Section 1605(d), which requires application of the Buy American requirement in a manner consistent with U.S. obligations under international agreements. The restrictions of section 1605 of the Recovery Act do not apply to designated country iron, steel, and/or manufactured goods. The Buy American requirement in section 1605 shall not be applied where the iron, steel or manufactured goods used in the project are from a Party to an international agreement that obligates the recipient to treat the goods and services of that Party the same as domestic goods and services. This obligation shall only apply to projects with an estimated value of \$7,443,000 or more.

(2) The recipient shall use only domestic or designated country iron, steel, and manufactured goods in performing the work funded in whole or part with this award, except as provided in paragraphs (b)(3) and (b)(4) of this term and condition.

(3) The requirement in paragraph (b)(2) of this term and condition does not apply to the iron, steel, and manufactured goods listed by the Federal Government as follows: none.

(4) The award official may add other iron, steel, and manufactured goods to the list in paragraph (b)(3) of this award term and condition if the Federal government determines that—

(i) The cost of domestic iron, steel, and/or manufactured goods would be unreasonable. The cost of domestic iron, steel, and/or manufactured goods used in the project is unreasonable when the cumulative cost of such material will increase the overall cost of the project by more than 25 percent;

(ii) The iron, steel, and/or manufactured goods is not produced, or manufactured in the United States in sufficient and reasonably available commercial quantities of a satisfactory quality; or

(iii) The application of the restriction of section 1605 of the Recovery Act would be inconsistent with the public interest.

(c) *Request for determination of inapplicability of section 1605 of the Recovery Act or the Buy American Act.*

(1)(i) Any recipient request to use foreign iron, steel, and/or manufactured goods in accordance with paragraph(b)(4) of this term and condition shall include adequate information for Federal Government evaluation of the request, including—

(A) A description of the foreign and domestic iron, steel, and/or manufactured goods;

(B) Unit of measure;

(C) Quantity;

(D) Cost;

(E) Time of delivery or availability;

(F) Location of the project;

(G) Name and address of the proposed supplier; and

(H) A detailed justification of the reason for use of foreign iron, steel, and/or manufactured goods cited in accordance with paragraph (b)(4) of this term and condition.

(ii) A request based on unreasonable cost shall include a reasonable survey of the market and a completed cost comparison table in the format in paragraph (d) of this term and condition.

(iii) The cost of iron, steel, or manufactured goods shall include all delivery costs to the construction site and any applicable duty.

(iv) Any recipient request for a determination submitted after Recovery Act funds have been obligated for a project for construction, alteration, maintenance, or repair shall explain why the recipient could not reasonably foresee the need for such determination and could not have requested the determination before the funds were obligated. If the recipient does not submit a satisfactory explanation, the award official need not make a determination.

(2) If the Federal government determines after funds have been obligated for a project for construction, alteration, maintenance, or repair that an exception to section 1605 of the Recovery Act applies, the award official will amend the award to allow use of the foreign iron, steel, and/or relevant manufactured goods. When the basis for the exception is nonavailability or public interest, the amended award shall reflect adjustment of the award amount, redistribution of budgeted funds, and/or other appropriate actions taken to cover costs associated with acquiring or using the foreign iron, steel, and/or relevant manufactured goods.. When the basis for the exception is the unreasonable cost of the domestic iron, steel, or manufactured goods, the award official shall adjust the award amount or redistribute budgeted funds, as appropriate, by at least the differential established in 2 CFR 176.110(a).

(3) Unless the Federal Government determines that an exception to the section 1605 of the Recovery Act applies, use of foreign iron, steel, and/or manufactured goods other than designated country iron, steel, and/or manufactured goods is noncompliant with the applicable Act.

(d) Data. To permit evaluation of requests under paragraph (b) of this term and condition based on unreasonable cost, the applicant shall include the following information and any applicable supporting data based on the survey of suppliers: FOREIGN AND DOMESTIC ITEMS COST COMPARISON			
Description	Unit of Measure	Quantity	Cost (Dollars)*
Item 1:			
Foreign steel, iron, or manufactured good			
Domestic steel, iron, or manufactured good			
Item 2:			
Foreign steel, iron, or manufactured good			
Domestic steel, iron, or manufactured good			
[List name, address, telephone number, email address, and contact for suppliers surveyed. Attach copy of response; if oral, attach summary.]			
[Include other applicable supporting information.]			
[* Include all delivery costs to the construction site.]			

**33. 2 CFR §176.190 Award term- Wage Rate Requirements under Section 1606 of the Recovery Act**

(a) Section 1606 of the Recovery Act requires that all laborers and mechanics employed by contractors and subcontractors on projects funded directly by or assisted in whole or in part by and through the Federal Government pursuant to the Recovery Act shall be paid wages at rates not less than those prevailing on projects of a character similar in the locality as determined by the Secretary of Labor in accordance with subchapter IV of chapter 31 of title 40, United States Code.

Pursuant to Reorganization Plan No. 14 and the Copeland Act, 40 U.S.C. 3145, the Department of Labor has issued regulations at 29 CFR Parts 1, 3, and 5 to implement the Davis-Bacon and related Acts. Regulations in 29 CFR 5.5 instruct agencies concerning application of the standard Davis-Bacon contract clauses set forth in that section. Federal agencies providing grants, cooperative agreements, and loans under the Recovery Act shall ensure that the standard Davis-Bacon contract clauses found in 29 CFR 5.5(a) are incorporated in any resultant covered contracts that are in excess of \$2,000 for construction, alteration or repair (including painting and decorating).

(b) For additional guidance on the wage rate requirements of section 1606, contact your awarding agency. Recipients of grants, cooperative agreements and loans should direct their initial inquiries concerning the application of Davis-Bacon requirements to a particular federally assisted project to the Federal agency funding the project. The Secretary of Labor retains final coverage authority under Reorganization Plan Number 14.



**34. 2 CFR §176.210 Award term- Recovery Act Transactions listed in Schedule of Expenditures of Federal Awards and Recipient Responsibilities for Informing Sub-recipients**

(a) To maximize the transparency and accountability of funds authorized under the American Recovery and Reinvestment Act of 2009 (Public Law 111-5)(Recovery Act) as required by Congress and in accordance with 2 CFR 215, subpart \_\_. 21 “Uniform Administrative Requirements for Grants and Agreements” and OMB A-102 Common Rules provisions, recipients agree to maintain records that identify adequately the source and application of Recovery Act funds.

(b) For recipients covered by the Single Audit Act Amendments of 1996 and OMB Circular A-133, “Audits of States, Local Governments, and Non-Profit Organizations,” recipients agree to separately identify the expenditures for Federal awards under the Recovery Act on the Schedule of Expenditures of Federal Awards (SEFA) and the Data Collection Form (SF-SAC) required by OMB Circular A-133. This shall be accomplished by identifying expenditures for Federal awards made under Recovery Act separately on the SEFA, and as separate rows under Item 9 of Part III on the SF-SAC by CFDA number, and inclusion of the prefix “ARRA-” in identifying the name of the Federal program on the SEFA and as the first characters in Item 9d of Part III on the SF-SAC.

(c) Recipients agree to separately identify to each sub-recipient, and document at the time of sub-award and at the time of disbursement of funds, the Federal award number, CFDA number, and amount of Recovery Act funds. When a recipient awards Recovery Act funds for an existing program, the information furnished to sub-recipients shall distinguish the sub-awards of incremental Recovery Act funds from regular sub-awards under the existing program.

(d) Recipients agree to require their sub-recipients to include on their SEFA information to specifically identify Recovery Act funding similar to the requirements for the recipient SEFA described above. This information is needed to allow the recipient to properly monitor sub-recipient expenditure of ARRA funds as well as oversight by the Federal awarding agencies, Offices of Inspector General and the Government Accountability Office.

**30. Other Standard Terms and Conditions**

All other grant policy terms and conditions contained in applicable Department of the Interior Grant Policy Statements apply unless they conflict or are superseded by the following terms and conditions implementing the American Recovery and Reinvestment Act of 2009 (ARRA) requirements below. Recipients are responsible for contacting their grant managers for any needed clarifications. Sub-awards include sub-grants and sub-contracts issued from this award.

## COST PRINCIPLES, AUDIT, AND ADMINISTRATIVE REQUIREMENTS

The Recipient shall be subject to the following OMB circulars and regulations, which are incorporated herein by reference. Copies of these Circulars can be obtained from the Internet at: <http://www.whitehouse.gov/omb/circulars/index.html>.

### **I. OMB Circulars and Regulations**

#### **A. Educational Institutions**

- 2 CFR 220, Cost Principles for Educational Institutions (OMB Circular No. A-21)
- OMB Circular No. A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, hospitals, and Other Non-profit Organizations, as implemented in 2 CFR 215 and 43 CFR Part 12, Subpart F.
- OMB Circular No. A-133, Audits of States, Local Governments and Non-Profit Organizations, as implemented in 43 CFR Part 12, Subpart A: Administrative and Audit Requirements and Cost Principles for Assistance Programs

#### **B. State and Local Governments**

- 2 CFR 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87)
- OMB Circular A-102, Grants and Cooperative Agreements with State and Local Governments; as implemented in 43 CFR Part 12, Subpart C
- OMB Circular No. A-133, Audits of States, Local Governments and Non-Profit Organizations, as implemented in 43 CFR Part 12, Subpart A: Administrative and Audit Requirements and Cost Principles for Assistance Programs

### **II. ADDITIONAL REGULATIONS**

This award is subject to the following additional Government-wide regulations:

- (1) 2 CFR 180, Government Debarment and Suspension (Non-procurement)
- (2) 2 CFR 1400, Department of the Interior Non-procurement Debarment and Suspension

This award is subject to the following additional regulations of the U.S. Department of the Interior:

- (3) 43 CFR Part 12, Subpart E: Buy American Requirements for Assistance Programs
- (4) 43 CFR Part 17, Subpart A: Nondiscrimination on the Basis of Race, Color, or National Origin
- (5) 43 CFR Part 17, Subpart B: Nondiscrimination on the Basis of Handicap
- (6) 43 CFR Part 17, Subpart C: Nondiscrimination on the Basis of Age
- (7) 43 CFR Part 17, Subpart E: Enforcement of Nondiscrimination on the Basis of Handicap in Programs or Activities Conducted by the Department of the Interior
- (8) 43 CFR Part 18, New Restrictions on Lobbying
- (9) 43 CFR Part 41, Nondiscrimination on the basis of sex in education programs or activities receiving Federal financial assistance [*Applies only if this award provides assistance to an education program or student(s).*]
- (10) 43 CFR Part 43, Government-wide Requirements for Drug Free Workplace