

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

Department of the Interior Regional Climate Science Centers

**OBJECTIVES**

- O Provide land, water, fish and wildlife, ocean, coastal, and cultural heritage resource managers with the tools and information to develop and execute strategies for successfully adapting to and mitigating the impacts of climate change.**
- O Provide modeling and forecasting information and tools, integrate physical climate models with ecological models, assess climate change vulnerabilities, forecast changes, and develop standardized approaches.**
- O Provide funding for researchers through cooperative agreements that involve climate change science as a major component.**

**PROGRAM ANNOUNCEMENT No. 10HQPA00XX**

**For Fiscal Year 2010 - 2014**

**ISSUE DATE:** [To Be Determined]

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**CLOSING DATE & TIME**

[To Be Determined]

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**PLEASE READ THE ENTIRE ANNOUNCEMENT CAREFULLY**

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**PAPERWORK REDUCTION ACT STATEMENT:** The Paperwork Reduction Act requires us to tell you why we are collecting this information, how we will use it, and whether or not you have to respond. The information that we are collecting will be used by the U.S. Geological Survey to evaluate proposals submitted to acquire funding for the establishment of a network of geographically dispersed Regional Climate Change Response Centers. Your response is required to receive funding. A Federal agency may not conduct or sponsor and you are not required to respond to a collection of information unless it displays a currently valid OMB Control Number. We estimate that it will take an average of 20 hours to complete the proposal narrative required in this announcement. You may send comments concerning the burden estimates or any aspect of this information collection to the Information Collection Clearance Officer, U.S. Geological Clearance Officer, 2150 Centre Avenue, Fort Collins, CO 80525.

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## LIST OF ATTACHMENTS

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Attachment D - SF 425– Federal Financial Report (due at the end of project period)  
(*download in grants.gov*).

## PART I. Background Information

### A. Department of the Interior Regional Climate Science Centers

The Department of the Interior (DOI) is establishing a network of geographically dispersed DOI Regional Climate Science Centers (Regional Centers). The Regional Centers are described in Department of the Interior Secretarial Order 3289 (<http://www.doi.gov/climatechange/index.html>) as Regional Climate Change Response Centers. These Centers will be co-located at cooperating organizations at non-USGS facilities. The Regional Centers will include USGS employees and staff from other organizations, and will work in close partnership with the climate change science and land, water, fish and wildlife, ocean, coastal and cultural heritage resource management communities. The goal of the Regional Centers is to work with these partners to understand high priority science needs, and to develop science information and tools that can help land, water, fish and wildlife, and cultural heritage resource managers develop strategies for responding to climate change.

The primary functions of the Regional Centers will be:

- Work with downscaled GCMs to create derivative models and tools that link physical forcing factors with biological, physical, ecological and cultural resource response variables.
- Develop regional response models and projections for priority ecosystems, species, habitats, and other natural and cultural resources within the region.
- Work with Advisory Councils to set priorities for development of response models and forecasts, to support adaptation and adaptive management strategies.
- Help partners define natural, physical, and cultural resource outcomes and endpoints for their adaptation activities, in a way that can be measured and used to refine the next iteration of models and outputs.
- Facilitate and fund research that supplies regional-level information on the effects of climate change on land, water, fish and wildlife, and cultural heritage resources, and on related model and tool development.

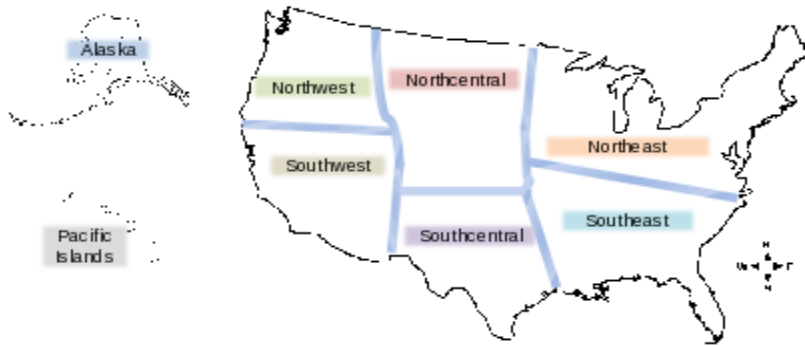
Regional Centers will be based at organizations (hereafter termed “Hosts”) that have suitable facilities, partnerships, and science capabilities, and will involve multiple active collaborators. The specific staffing and expertise at each Regional Center will depend upon the scientific priorities and focus of that Center, and on the available partnerships. However, USGS employees who will be located at a Regional Center will generally include a Center Leader, two administrative support personnel, and a small cadre of researchers with expertise in climate change, and ecological and population modeling. In addition to being variable among Regional Centers, staffing (USGS and other) may vary over time at a given Center.

The geographic scope of each Regional Center (Figure 1) will have “fuzzy boundaries” such that Centers can work together across boundaries, depending on the science issues to be addressed and the needs of regional and local partners. Initially, during phase 1, USGS, on behalf of the Department of the Interior, is seeking proposals for DOI Regional

Climate Science Centers in the Northwest, Southeast, Southwest and North Central regions. We anticipate a phase 2 program announcement during 2011 for Centers located in the Northeast, South Central and Pacific Islands regions. The total number of Centers and configurations of regions will ultimately be determined by need and available resources over time.

Figure 1. Geographical areas targeted for Regional Climate Science Center establishment.

## DOI Regional Climate Science Centers



The purpose of this Program Announcement is to identify organizations that are willing to host a Regional Center, and to determine if their science and partnership capabilities are sufficient to serve as a Host organization. Host organizations must be able to contribute climate science capabilities that complement and enhance USGS and DOI scientific and computational capacity, and those of other science partners. Host science collaborations and experience with regional land, water, fish and wildlife, and cultural resource partnerships and communities will be a valuable and necessary component of serving as a Host. Regional Climate Change Response Center-Host partnerships will be established on a 5-year renewable basis.

Potential benefits to Host institutions include:

- The presence of a Regional Center will augment the Host's reputation and role in climate change science.
- Researchers from USGS and other DOI Bureaus located at the Regional Center can serve as a source of information on the overall mission and programs of their

- respective organizations.
- A Regional Center provides potential opportunities for DOI participants to educate others on climate change science.
  - USGS and other scientists may present enhanced opportunities for collaborative research projects with a Host organization.
  - A Regional Center will serve as a conduit to enhance Host linkages with other climate science organizations and natural resource partners.

#### B. Regional Climate Science Center Host Proposals

Only one proposal will be accepted from each potential Regional Center Host organization. Host proposals can be from a single organization, or a group of collaborating organizations with an identified lead. ***A written letter of support from at least three federal (non-USGS), state, or NGO partners willing to engage cooperatively with the Regional Center on climate change science or resource management activities must accompany all proposals.*** These letters must accompany the original proposal package, and will not be accepted separately or after the deadline.

### PART II. Timetables, Eligibility, Format Instructions, and Proposal Evaluation

#### A. Timetables

Proposal Announcement Date: [To Be Determined]  
Closing Date and Time for Proposal Submission: [To Be Determined]  
(Eastern Standard Time)

#### B. Eligibility - Who May Submit a Proposal

Institutions of higher education and other nonprofit organizations interested in hosting Centers in the Northwest, Southeast, Southwest or North Central region.

#### C. Proposal Format Instructions

Arrange your proposal according to the format provided below. Following this format ensures that every proposal contains all essential information, and is evaluated equitably. The proposal narrative, budget page, and letters of support must be placed in one PDF document.

All proposals shall include the following documents:

1. Standard Form 424, Application for Federal Assistance (**mandatory form provided in grants.gov**). The person who electronically submits the SF-424 must have the authority to bind the organization to the terms of the assistance award.
2. SF-424A, Budget Information – Non-Construction Programs (**mandatory**

**form provided in grants.gov).**

3. SF-424B Assurances - Non-Construction Programs (**mandatory form provided in grants.gov**)
4. Negotiated Rate Agreement. Most States and Universities have a rate agreement. They are usually titled “State and Local Rate Agreement” or “Colleges and Universities Rate Agreement.” These documents provide the rates approved for use on grants, contracts and other agreements with the Federal Government. Some organizations may have an individual audit agency review and provide an agreement. It is basically the documentation that is used that determines the indirect cost rate that is listed on your budget. You can include this as an attachment at the end of your proposal.
5. Proposal Technical Text. Please provide answers to the following questions in enough detail to describe your organization’s ability to host a Regional Center. Answers must conform to the length criteria specific for each question, using Times New Roman 12 pt font, single-spaced, and one inch page margins. Please include the section titles at the beginning of each section. If additional information about your natural resource and climate change research program and partnerships can be found online, please refer to the appropriate links. Exceeding the page limit will **not** be to your benefit. The text should include the following:
  - a. Title page. Provide basic information regarding your organization, including name, physical address, and contact information for a single primary point of contact regarding this proposal.
  - b. Section 1. Current Climate Change Science Program (maximum of three pages). Describe the major scientific focus and scope of the organization related to the effects of climate change on the response of fish and wildlife, aquatic and terrestrial habitats, landscapes, ecosystems, land, water, ocean, coastal, and cultural resources. This should include research, computing infrastructure, training, and technical support.
  - c. Section 2. Existing Linkages with DOI (maximum of one page). Describe whether the organization has existing science or operational relationships with the DOI. Include how these might facilitate establishment of a Regional Center. Be specific when describing the type of collaboration (Cooperative Agreement, Memorandum of Understanding, Memorandum of Agreement, Cooperative Ecosystem Studies Unit, Cooperative Research Unit, etc.) and how it would facilitate Center establishment.
  - d. Section 3. Existing Linkages with Potential Regional Center Partners

(maximum of three pages). Provide a summary of other Federal, state, tribal, academic, or non-governmental partners with whom the organization currently collaborate specifically related to the management of land, water, fish and wildlife and cultural heritage resources in relation to climate change. What regional resource partnerships does the organization participate in that could act as resources to identify and prioritize collaborative research at a Regional Center? Include a short description of the nature and scope of each relevant collaboration or partnership, and a point of contact and related contact information.

- e. Section 4. Organization capabilities and contributions (maximum of four pages). Detail the support and collaboration capabilities that the organization is willing to bring to bear specifically in regard to hosting a Regional Center. This includes scientific capabilities, space and facilities, outreach or extension services, data management, networks, computational services, or super-computing capacity that the organization or collaborating partners could provide or share. Please detail any anticipated costs to USGS or its DOI partners for these capabilities and contributions.
- f. Section 5. Summary (maximum of two pages). Using key points from the sections above, and other information the organization believes is relevant, summarize why the organization is particularly well suited to provide the infrastructure and collaborative environment that will be needed as a foundation for a vibrant and effective Regional Climate Change Response Center.

- 2. Budget Sheets. **(Attachment A)** Include only one summary budget page per proposal, but it should include annual and total costs for the full 2010 – 2014 period. There is no page limit on the detailed budget information that can be provided. Itemize budget sheets and include rates for salary and travel logistics. If there is an item that represents a large proportion of your proposal, the Review Panel will want to know some details. The nature and value of all in-kind contributions by the Host organization should be explicitly described for each budget category. Examples of cost share include researcher, student, or staff salary or assistantships; travel expenses; laboratory analysis, facilities or rent; or other non-Federal support. If cost share includes support from another organization outside of the university, include a letter from that organization as evidence. **Please read each category description below and provide the detailed breakdown that is required for each. This will help avoid possible delays in processing a funded proposal, as an award will not be issued until all required information is provided.**

The budget should contain the following:

- a. Salaries. Identify individuals or categories of salaries and wages, estimated hours or percent of time, and the rate of compensation proposed shall be identified 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. Principal Investigator time should be limited with majority of salary for students. Tuition remission and other forms of compensation paid as, or in lieu of, wages to students performing necessary work are allowable; provided that the tuition or other payments are reasonable compensation for the work performed and are conditioned explicitly upon the performance of the work.
- b.
- c. Fringe Benefits. Propose the rates/amounts. If rates are audit approved, include a copy of the audit agreement and/or the name of the audit agency.
- d. Space and Facilities: List any charges to the USGS for space to house the Regional Center staff and support their operations. Within this category, include any costs associated with IT operational or infrastructure support.
- e. Miscellaneous. This is the section to itemize costs that are not identified elsewhere on the budget sheet.
- f. Total Direct Charges. Total for items a – d.
- g. Indirect Charges. Show proposed rate and amount. Proposals must include a copy of the Indirect Negotiated Cost Rate between the organization and the Federal Government.
- h. Total. Total for items e and f.

**PLEASE NOTE THAT THE ABOVE COST CATEGORIES MUST BE BROKEN DOWN AS DESCRIBED ABOVE.**

- 3. Support letters from at least three federal (non-USGS), tribal, state, or NGO partners willing to engage cooperatively with the Regional Center on climate change science or resource management activities. It is highly recommended that discussions occur with the partners prior to the request of a letter of support, and that the proposal be reviewed by the partners prior to submission. If additional organizations are supporting this project, letters of support are welcome.



## D. Proposal Evaluation

Regional Climate Change Response Center Host proposals will be reviewed by a five-member panel. At least two (2) members will be USGS staff; the remaining members will be from the Department of the Interior and other federal Bureaus.

Evaluation Criteria. All proposals will be considered using criteria outlined below:

### **1. Current Climate Change Program:**

- a) The nature and extent of on-going activities related to the effects of climate change on physical and natural resources administered by the Department of the Interior and its partners, including: fish and wildlife; terrestrial, aquatic, coastal, and marine ecosystems; and land, air, water, tribal, and cultural heritage resources.  
(20 points)

### **2. Existing Linkages with Department of the Interior (DOI) Bureaus:**

- a) Can the organization build upon or leverage existing science or operational relationships with DOI Bureaus, and capitalize on existing DOI presence or organizations?
- b) Does the organization host or work with organizations such Cooperative Ecosystems Studies Units, Cooperative Research Units, or other forums that support the DOI mission, particularly with regard to climate change?
- c) Do adaptation partnerships such as Landscape Conservation Cooperatives already exist, or will soon be established, in this region, and does the institution participate?
- d) How can these linkages facilitate establishment of a Regional Climate Science Center?  
(10 points)

### **3. Existing Linkages with Potential Center Partners:**

- a) The number, activity, and capabilities of other Federal, state, tribal, academic, or non-governmental partners that the organization currently collaborates with regarding the conservation and management of physical, natural, and cultural heritage resources in relation to climate change.
- b) What regional-level natural resource networks or partnerships does the organization participate in that could facilitate collaborative research?
- c) What research partnerships does the organization have with NOAA, NASA, Department of Energy, US Department of Agriculture, or other science organizations engaged in climate change research?
- d) How well established are these networks or partnerships, and how effectively have they functioned to promote the use of science for developing effective resource management actions or strategies in relation to climate change impacts?
- e) Does the organization have a proven record of creating and delivering, and participating in partnerships that deliver, research that contributes to solving real-world challenges that face resource managers working within an adaptive management or adaptation framework?
- f) What are the anticipated costs for these capabilities and contributions?

- g) To what degree would locating a Regional Center at this organization build upon and support on-going research projects or activities being funded by the Center?  
(20 points)

**4. Organization capabilities and contributions:**

- a) What support and collaboration capabilities is the organization willing and able to bring to bear in regard to hosting a Regional Center, including other non-government institutions and organizations?
- b) What unique capabilities does this organization have, or will soon develop, that will facilitate the National Center and Regional Center missions? This includes providing and working with other organizations and institutions to provide:
- i. scientific capabilities in the physical and natural sciences relative to climate change;
  - ii. climate adaptation and adaptive management expertise;
  - iii. the capability to conduct social and economic research as related to climate change and natural, physical, cultural, and tribal resources.
  - iv. space and facilities;
  - v. access to graduate students and post-doctoral researchers;
  - vi. opportunities to build adaptation management capacity by training future scientists and resource managers;
  - vii. outreach or extension services;
  - viii. data management, networks, computational services, or super-computing capacity;
  - ix. the capability to reduce or minimize the carbon footprint of Regional Center operations.
- (30 points)

**5. Regional climate change science needs and adaptation partner availability:**

To what degree is the region in which the potential Host is located considered a priority in terms of critical or near-term climate change impacts, extent of science needs, and urgency of adaptation actions? Do adaptation partnerships such as Landscape Conservation Cooperatives already exist, or will soon be established, in this region? To what degree would locating a Regional Center at this Host organization build upon and support on-going research projects or activities being funded by the DOI?  
(20 points)

**PART III. Proposal Delivery and Submission Instructions**

Applicants are held responsible for the proposal to be electronically submitted into grants.gov ([www.grants.gov](http://www.grants.gov)) by [To Be Determined]. (Eastern Standard Time). To obtain step by step instructions for grants.gov please visit the following website: <http://www.usgs.gov/contracts/grants/grantsgov.html>. Please be aware that the electronic submission system is relatively complex for first-time users and involves several preliminary registrations steps to be taken before the proposal can be submitted (go to [www.grants.gov](http://www.grants.gov) and click on the “Get Registered” link in the red Applicants section on the left side of the page). 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. Please allow sufficient time for the proposal to be submitted electronically and allow time for possible computer delays. It is 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 it is determined that a proposal will not be considered due to lateness, the applicant will be so notified immediately.

All grant programs are required to use grants.gov to advertise proposals. Any form that is not available online may be submitted as attachments at the end of the proposal.

**-- END OF PROGRAM ANNOUNCEMENT --**

**BUDGET SUMMARY**<sup>1</sup>

Project Title: \_\_\_\_\_

Principal Investigator(s): \_\_\_\_\_

Proposed Start Date: \_\_\_\_\_

Proposed Completion Date: \_\_\_\_\_

<b>COST CATEGORY</b>	<b>Federal First Year</b>	<b>Federal Second Year<sup>2</sup></b>	<b>TOTAL Both years<sup>2</sup></b>
1. Salaries and Wages	\$	\$	\$
<b>Total Salaries and Wages</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>
2. Fringe Benefits/Labor Overhead	\$	\$	\$
3. Space and Facilities	\$	\$	\$
4. Miscellaneous	\$	\$	\$
5. Other Direct Costs	\$	\$	\$
<b>6. Total Direct Costs (items 1-4)</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>
7. Indirect cost/General and Administrative (G&A) cost	\$	\$	\$
8. Amount Proposed (items 6&7)	\$	\$	\$
9. Total Project Cost (Total of Federal and non-Federal amounts)	\$	\$	\$

<sup>1</sup> **Use this format** for the required Budget Summary. The detailed budget **must** be keyed directly to the Budget Summary page.

<sup>2</sup> These Columns only for two-year projects

## 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.

### 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. Project Officer

- (1) The Project Officer will work closely with the Principal Investigator to ensure that all technical requirements are being met. The Project Officer'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 Project Officer is Hardy Pearce, Senior Staff Scientist, U.S. Geological Survey, 12201 Sunrise Valley Drive, Reston, VA 20192. The Project Officer 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 change any of the terms, conditions, or general provisions of the award.

#### G. 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. **Dissemination of Results and Reporting Requirements**

The Principal Investigator is strongly encouraged to disseminate research results promptly to the

scientific community and appropriate professional organizations; local, state, regional and federal agencies; and the general public. It is the expectation of the USGS that Principal Investigators will publish the results of funded research in peer-reviewed scientific or technical journals. In addition, all data products and computer codes must be made readily available within the public domain. The Government may publish, reproduce, and use all technical data developed as a result of this award in any manner and for any purpose, without limitation, and may authorize others to do the same.

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. Any project funded under this program shall fall under this clause. Should any questions arise, both the USGS Contracting Officer and the Recipient will determine which data fall in this category.

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) Publication*	Adobe Acrobat PDF file as an email attachment (or 1 reprint if PDF not possible)	Project Officer	Immediately following publication. <b>See Section B(1).</b>
(2) Final Technical Report	Send Adobe Acrobat PDF file as an email attachment; Maximum size: 10 MB	Project Officer	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 425/272 Federal Cash Transactions Report	Electronic submission	USGS via PMS Electronic 272 System [see Section 3.B(3)]	See Section 3.B(3)
(4) SF 425/269 Financial Status Report	See Section 3.B(4)	See Section 3.B(4)	See Section 3.B(4)
(5) Final SF 425/269 Financial Status Report	See Section 3.B(5)	See Section 3.B(5)	See Section 3.B(5)

\* Publication means any book, report, photograph, map, chart, or recording published or disseminated to the scientific community. Preprints of articles submitted for publications will be accepted as final reports.

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



- (1) **Publications.** All publications that contain work performed during the project period shall include the following statement:

“Research supported by the U.S. Geological Survey (USGS), Department of the Interior, under USGS award number (*Recipient, insert award number*). The views and conclusions contained in this document are those of the authors and should not be interpreted as necessarily representing the official policies, either expressed or implied, of the U.S. Government.”

Submit an Adobe Acrobat PDF file of publications to:

[hardy\\_pearce@usgs.gov](mailto:hardy_pearce@usgs.gov)

If PDF is not possible, send one (1) reprint to:

U.S. Geological Survey  
Hardy Pearce, Senior Staff Scientist  
12201 Sunrise Valley Drive  
Reston, VA 20192

- (1) **Final Technical Report.** Final Technical Reports shall describe in detail the work performed and results obtained during the grant period. Final Technical Reports are due 90 days after the conclusion of the project period. Any information contained in a previously submitted progress report shall be repeated or restated in the Final Technical Report.

(a) Submit the Final Technical Report as an Adobe Acrobat PDF file with all figures, photographs, maps, illustrations embedded, etc., and all pages numbered. Submit the report as an e-mail attachment in PDF format to:

[hardy\\_pearce@usgs.gov](mailto:hardy_pearce@usgs.gov)

Maximum size; 10 MB

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

- (1) **Cover page** with the following information:

Award Number

Title

Author(s) and Affiliation(s) with Address and zip code

Author's Telephone numbers, fax numbers and E-mail address

Term covered by the award (start and end dates)

- (2) **Abstract**

(3) **Main body of the report.** The main body of the report and all illustrations and figures shall be single-spaced on 8 ½" x 11" paper.

(4) **Bibliography** of all publications resulting from the work performed under the award. One copy of each publication is required if the Recipient has not previously submitted them to the Grants Program Manager.

(3) **SF 425/272, Federal Financial Report/Federal Cash Transactions Report** is required quarterly for each PMS sub-account. Quarterly reports are due 30 working days after the end of each fiscal quarter until Financial Status Report is submitted

If after 30 days, 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 425/269, Federal Financial Report/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 425/269, Federal Financial Report/Financial Status Report.**

(a) The recipient will liquidate all obligations incurred under the award and submit a final SF 425/269 Financial Status Report due no later than 90 calendar days after the grant completion date. 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 SF425/269, 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 425/269 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 425/269 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 425/269 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. Continuation Proposal for Second-Year Funding**

Required Continuation proposal documents. The Recipient, approved for two-year funding, shall submit the following documents for continued funding in year 2:

<b>Document</b>	<b>No. of Copies</b>	<b>Submit To</b>	<b>Due Date</b>
Progress Report	Send Adobe Acrobat PDF file as an email attachment	Project Officer	At least 60 calendar days prior to the end of the budget period.

**Progress Report.** Recipients of two-year awards shall submit a report that summarizes the progress of the project during the first funding period. **Please note** that Progress Report will not be published on

the USGS website, so all research data described in a Progress Report must be repeated or restated in the Final Technical Report. Submit a Word or PDF file (maximum size: 10 MB) with embedded graphics as an E-mail attachment to:

**Hardy\_pearce@usgs.gov.**

The subject of your email should be “**Progress Report - insert your grant / project number here**”.

**Format the Progress Report as follows:**

- Single spaced and formatted for 8 ½ x 11” paper
- Number all pages
- Embed figures in the Word or PDF file
- Figure captions directly under figures
- 2 to 5 pages.

**At the top of the first page the heading should be centered and include:**

- Title of the project, as stated on the original proposal
- Grant award number (see your award documents)
- Investigator(s) name(s)
- Institution
- Address
- Telephone number, FAX number, E-mail address, and website
- Term covered by the report.

**The body of the report should consist of the following:**

- Investigations undertaken
- Accomplishments to date
- Problems encountered
- Reports published
- Funding expended for the term covered by the report.

**5. 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) A request for change in the project period requires advance written approval by the Contracting Officer.

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.

#### **6. 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: N/A

#### **7. 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.

#### **8. Pre-agreement Costs**

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

#### **9. 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.

#### **10. 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.

**11. 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.

**12. 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.

**13. 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.

**14. 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.

**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. 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 subaward to any subrecipient, except for a subaward to a State government, a local government, or to a Federally-recognized Indian tribal government.

#### **18. 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.)

#### **19. 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.

#### **20. 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.

**20. 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, subrecipients under this award, and subrecipients' 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 subawards under the award.

(ii) We as the Federal awarding agency may unilaterally terminate this award, without penalty, if you or a subrecipient 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 subrecipient 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 Governmentwide Debarment and Suspension (Nonprocurement)," 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 subrecipient 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 subrecipient 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 Governmentwide Debarment and Suspension (Nonprocurement)," 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 subaward 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 subrecipient 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).

## **22. 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.

## **23. 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.

**24. 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).

**End of Special Terms and Conditions**

## **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

#### **C. Non-Profit Organizations**

- 2 CFR Part 230, Cost Principles for Non-Profit Organizations (OMB Circular A-122), except recipients listed in Appendix C to Part 230 are subject to Federal Acquisition Regulation (FAR) Subpart 31.2, Contracts with Commercial Organizations (Contract Cost Principles and Procedures)
- 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

#### **D. Organizations for Profit, Individuals, and Others Not Covered Above**

- Federal Acquisition Regulation (FAR) Subpart 31.2, Contracts with Commercial Organizations (Contract Cost Principles and Procedures)
- 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,

- FAR Subpart 42.1, Contract Audit Services; FAR Subpart 42.7, Indirect Cost Rates; FAR Subpart 42.8, Disallowance of Costs

## II. ADDITIONAL REGULATIONS

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

- (1) 2 CFR 180, Government Debarment and Suspension (Nonprocurement)
- (2) 2 CFR 1400, Department of the Interior Nonprocurement 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, Governmentwide Requirements for Drug Free Workplace

**Attachment D**

**This is an example; please go to grants.gov to download an original version of this form.**

**FEDERAL FINANCIAL REPORT**

(Follow form instructions)

1. Federal Agency and Organizational Element to Which Report is Submitted		2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment)		Page	1	of		
pages								
3. Recipient Organization (Name and complete address including Zip code)								
4a. DUNS Number	4b. EIN	5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment)		6. Report Type <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annual <input type="checkbox"/> Annual <input type="checkbox"/> Final		7. Basis of Accounting <input type="checkbox"/> Cash <input type="checkbox"/> Accrual		
8. Project/Grant Period From: (Month, Day, Year)			To: (Month, Day, Year)		9. Reporting Period End Date (Month, Day, Year)			
10. Transactions						Cumulative		
<i>(Use lines a-c for single or multiple grant reporting)</i>								
<b>Federal Cash (To report multiple grants, also use FFR Attachment):</b>								
a. Cash Receipts								
b. Cash Disbursements								
c. Cash on Hand (line a minus b)								
<i>(Use lines d-o for single grant reporting)</i>								
<b>Federal Expenditures and Unobligated Balance:</b>								
d. Total Federal funds authorized								
e. Federal share of expenditures								
f. Federal share of unliquidated obligations								
g. Total Federal share (sum of lines e and f)								
h. Unobligated balance of Federal funds (line d minus g)								
<b>Recipient Share:</b>								
i. Total recipient share required								
j. Recipient share of expenditures								
k. Remaining recipient share to be provided (line i minus j)								
<b>Program Income:</b>								
l. Total Federal program income earned								
m. Program income expended in accordance with the deduction alternative								
n. Program income expended in accordance with the addition alternative								
o. Unexpended program income (line l minus line m or line n)								
11. Indirect Expense		a. Type	b. Rate	c. Period From	Period To	d. Base	e. Amount Charged	f. Federal Share
		g. Totals:						
12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation:								
13. Certification: By signing this report, I certify that it is true, complete, and accurate to the best of my knowledge. I am aware that any false, fictitious, or fraudulent information may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)								
a. Typed or Printed Name and Title of Authorized Certifying Official				c. Telephone (Area code, number and extension)				
				d. Email address				
b. Signature of Authorized Certifying Official				e. Date Report Submitted (Month, Day, Year)				
				14. Agency use only:				

Standard Form 425  
OMB Approval Number: 0348-0061  
Expiration Date: 10/31/2011

**Paperwork Burden Statement**

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is 0348-0061. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project ( 0348-0060), Washington, DC 20503.