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

**Energy Cooperatives to support the  
National Coal Resources Data System  
(NCRDS)**

**PROGRAM ANNOUNCEMENT No. 10HQPA0010**

**For Fiscal Years 2010 to 2014  
ISSUE DATE: January 13, 2010**

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**CLOSING DATE & TIME:**

**February 25, 2010      4:00 p.m. EDT**

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**PAPERWORK REDUCTION ACT STATEMENT:**

A Federal agency may not 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. Public burden for the collection of this information is estimated to average 20 hours per application, including the time for reviewing instructions and completing the form; and 4.6 hours per annual or final report. Comments regarding this collection of information should be directed to the Bureau Clearance Officer, U.S. Geological Survey, 12201 Sunrise Valley Drive, MS 807, Reston, VA 20192 (mail); or 703-648-7174 (phone).

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### HELP!

For all technical questions about applying through *Grants.gov*, call the *Grants.gov* Help Desk at: 1-800-518-GRANTS

For questions concerning this Program Announcement, please contact Desiree T. Santa, Grant Specialist, at (703)648-7382; dsanta@usgs.gov.

**Energy Cooperatives to support the National Coal Resources  
Data System  
Announcement for Fiscal Years 2010 to 2014  
CFDA 15.819**

**I. Funding Opportunity Description**

The Energy Resources Program (ERP) of the U.S. Geological Survey (USGS) is offering a five-year cooperative agreement opportunity, renewed annually based on available funds, to State agencies and institutions of higher education. The purpose of this Program Announcement is to help fund States' ability to conduct research on United States (US) solid-fuel energy resources at the State level and assist in dissemination of results to the US public through USGS provision of technical expertise, scientific equipment and facilities otherwise not available to the States. Legal authority for this program is provided under 43 USC 36d and 30 USC208-1. Funded work includes the generation of stratigraphic, geochemical, geotechnical and Geographic Information System (GIS) data on solid-fuel energy resources. Assessment of energy resources at the State level serves the public purpose of wise resource stewardship. Reports resulting from the agreements, in many cases co-authored by USGS staff, are disseminated to the public through multiple avenues, the most prominent being USGS National Coal Resources Data System (NCRDS) national databases and ERP energy assessment projects that are regional and national in scope. Joint recipient and USGS research on coal and other solid-fuel energy is conducted within the context of environmental concerns and economic framework. Results of energy resource assessments and energy-derived environmental impact assessments in the US assist in formulation of public policy and sound use of energy resources by industry.

**II. Award Description**

The total amount of funding available for this Program Announcement is expected to be about \$390,000 annually for fiscal years FY2010 through FY2014, subject to the availability of funds. As of the posting date of this Announcement the Federal appropriations process for FY 2010 was not complete. If changes are required because of the appropriations process, notice will be distributed by the same means as this notice. If no further notice is received, the dates and amounts reported here should be taken as firm.

Individual applications are restricted to a maximum annual funding level of \$15,000. Work performance under these awards must be completed within the five-year cycle from the start date. The start date will be determined by the timing of funds availability and the signing of the award, although July 1, 2010 is the anticipated start date for work proposed under this program announcement. Substantial involvement of the USGS is anticipated to integrate project products into national databases, collaborate in the

analysis and publishing of results, and provide final dissemination of the data to the public; therefore awards will be cooperative agreements.

### **III. Eligibility Information**

#### **A. Topic eligibility**

The USGS Energy Resources Program's use of the National Coal Resources Data System (NCRDS) since 1975 has focused on compiling digital information at a national scale on the occurrence and distribution of coal and its chemical attributes. Information is stored in databases, the most active being the US\_Stratigraphy (USTRAT) database - a point source database on coal occurrence that currently has more than 400,000 entries. The USTRAT database provides the geologic knowledge base for coal resource assessments at both Federal and State levels. Priority objectives for USTRAT are to collect, interpret, and correlate stratigraphic coal data, as well as to acquire or generate related chemical and GIS data. Priority GIS data include outcrop, areas of mining, and other relevant societal or environmental energy-related GIS layers. Point-source data from energy exploration activities across the country will continue to be added to USTRAT for compilation in national databases. Historically, the submission of data in a wide range of formats has been problematic and standardization of information on the location, quality, quantity, and availability of U.S. energy resources is necessary. Therefore submittal of digital information under this Announcement must follow data format guidelines provided by the USGS.

Other acceptable application topics include information related to coal beds that can be used to support regional or national studies (such as gas occurrence, gas storage potential, produced gas and water chemical attributes, well completion and production data, and geotechnical data related to coal conversion processes). Also considered are projects that characterize organic-rich shales (i.e. hydrocarbon-, gas-, kerogen-rich shales), through geophysical or seismic data, sample collection for generation of thermal maturity data, and other geologic information that can be used to support resource assessments.

#### **B. Applicant eligibility**

Applicants can be affiliated (but are not required to be affiliated) with State agencies, universities, Tribal governments or organizations. Applicants must have the ability to conduct research consistent with the Energy Resources Program goals (see 'Application Topic Eligibility' section above). Applicants must not be employed by a U.S. Federal agency.

Discussion and coordination between internal and external researchers is encouraged; however, USGS personnel are prohibited from helping an external organization prepare its application for competitive funding.

Application announcement date: **January 12, 2010**

Applications must be submitted by the closing date of **February 25, 2010**.

All work must be completed by the end of the five-year cycle (dependent upon actual project period of performance) and final reports generated within 90 days of completion.

#### **IV. Application Submission Procedure**

A submitter must be registered at <http://www.grants.gov>. Start with the “Get Registered” tab in the menu bar on the left side of the home page. Once registered, go to the “Apply for Grant” tab in the menu bar on the left side of the home page and search for this Program Announcement. You will be required to download free software, the PureEdge Viewer/Adobe Reader. Information and download links are available at [http://www.grants.gov/help/download\\_software.jsp](http://www.grants.gov/help/download_software.jsp)

**Applicants are to submit applications electronically at <http://www.grants.gov/Apply> no later than **February 25, 2010 @ 4:00 p.m. EST**. If you have questions concerning the submission process, please contact Laura Mahoney, at (703) 648-7344, [lmahoney@usgs.gov](mailto:lmahoney@usgs.gov); or Desiree Santa, at (703) 648-7382, [dsanta@usgs.gov](mailto:dsanta@usgs.gov). Applicants will receive an automated email response from Grants.gov to acknowledge receipt of submitted applications.** Although no changes to the program announcement are anticipated, check back periodically at [www.grants.gov](http://www.grants.gov) to make certain no modifications have been issued.

Applications submitted through [http://www.grants.gov /Apply](http://www.grants.gov/Apply) after the closing date and time may not be considered for award. If it is determined that an application will not be considered due to lateness, the applicant will be so notified immediately.

NOTE: An award grant issued by the USGS Office of Acquisition and Grants is required for the recipient agency to obligate USGS funds. Costs may be incurred only after the receipt of an award signed by the Contracting Officer of the USGS (see Appendix A. ‘Award Terms and Conditions’).

Submit the following documents and forms:

- 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.
- Standard Form 424A Budget Information Non-Construction Programs
  - Mandatory form provided in grants.gov
- Standard Form 424B Assurances Non-Construction Programs
  - Mandatory form provided in grants.gov
- Project Narrative
  - For five-year period (see format and content below)
- Budget Breakdown Sheet

- Attach one sheet for each year to project narrative. Please read section “Budget Sheets” below for more information.
- Negotiated Rate Agreement
  - Most States and universities have an indirect cost rate agreement. They are usually titled “State and Local Rate Agreement” or “Colleges and Universities Rate Agreement.” The document provides the rates approved for use on grants, contracts, and other agreements with the Federal Government that apply to the indirect cost rate listed in the project budget. This should be included as an attachment at the end of the project narrative.
- Mandatory or other optional documents such as letters of support can be submitted as a single file at the end of the project narrative.

## V. Application Instructions and Format

Please prepare your application according to the format provided below, following the detailed instructions provided. Following this format ensures that every application contains all essential information and is evaluated equitably. **Failure to follow these guidelines may result in your application not being considered.**

The downloaded PureEdge Viewer will enable applicants to view and complete the following required forms: SF-424, SF-424a, and SF-424b. Instructions are attached to these forms and more detailed instructions follow.

### A. Completing Forms

#### 1. SF-424 Application for Federal Assistance

Follow instructions provided with SF-424. All blocks in yellow must be filled out or the application submission will be rejected by grants.gov. In addition please note the below:

Item 2. Type of Application - **New**

Item 11. Catalog of Federal Domestic Assistance Number - **15.819. Title – Energy Cooperatives to support the National Coal Resources Data System**

Item 15. Descriptive Title of Applicant's Application - Please make your title both descriptive and unique.

Item 17. Proposed Project Start and End Dates – The start date should be July 1, 2010. The end date should be one day short of five years after the start date, June 30, 2015.

Item 18 Estimated Funding – provide numbers for the five-year total

Item 19. Is Application Subject to Review By State Under Executive Order 12372 Process? **Select C.** Program is not covered by E.O. 12372.

2. SF-424A Budget Information

Follow instructions provided with SF-424A. In addition please note the below:

Section B - Budget Categories

In Column 1 indicate cost category allocation of Federal funds.

In Column 2 indicate cost category allocation of applicant in-kind match.

Section E- Budget Estimates of Federal Funds Needed for Balance of the Project

Fill in federal budget totals for the remaining four years. Funding for future years is dependent on availability.

3. SF-424B Assurances – Non-Construction Programs

Please read the form, which will be pre-populated with the authorized representative information from Grants.gov at the point of submission.

**B. Project Narrative**

1. Cover Sheet

The first page of the application must contain the following information:

Project Title:

Principal Investigator(s) (person we can contact, if needed):

Name:

Name of university, state agency, or other organization:

Address:

Phone:

FAX:

Email:

Total Funds Requested: \$ \_\_\_\_\_

2. Project Text. The text (a-f below, including figures and tables), should be ***no longer than 10 pages*** when printed on letter-size paper, with 1-inch margins and a font size no smaller than 12 points. All geographic-based applications should include an index map showing the location of the proposed study area(s).

**Applications not following these guidelines will not be considered.** Please include the following sections:

- a. Statement of Problem. Give a brief introduction to the research problem or need for the work to be performed.

- b. Objectives. Clearly define goals and objectives of project.
  - c. Relevance and Impact. Explain why the work is important. Specify the contribution relative to regional or national energy resource issues.
  - d. Work Plan. This section should include a fairly detailed discussion of the work plan, accomplishments schedule, and technical approach. Identify types of data to be generated or collected and the geographic areas and stratigraphic intervals to be covered and the time frame over the multi-year period.
  - e. Prior Work, On-going Work, and Preliminary Results. If relevant, provide a brief summary of findings or outcomes of any prior work you or others have completed in this area. If on-going work is being funded through another source of funds, specify what work is already funded and what work will be conducted with funds requested in this application.
  - f. Planned Products – Dissemination of Findings. List intended product(s) (reports, analyses, digital data, etc.) that will be delivered at the end of the project period to satisfy the Final Technical Report requirement (see ‘Reporting Requirements and Instructions’ section below). Identify customers other than the USGS that would benefit from the results of your research and describe any plan for dissemination of project data and results beyond the requirements for a Final Technical Report.
  - g. References Cited. List all references to which you refer in text and recent references from your past work in the field that the research problem addresses.
  - h. Project Personnel. List the Principal Investigator first, followed by the names and titles of other individuals. Indicate the role for each participant in the project (geologist, geochemist, field assistant, etc.). Include a **brief** vita for each person. Emphasize previous experience in the field of study that the application addresses.
3. Budget Sheets. A budget sheet for each year is required that provides more detail than what is entered under the SF-424A form. In this budget breakdown sheet please separate federal from cost-sharing funds (see ‘In-kind Resource Match’ section below). It is understood that this information is estimated; therefore, prior approval of the Contracting Officer is not required for transfer of funds between direct cost categories when the cumulative amount of the transfers during the performance period does not exceed ten percent (10%) of the total USGS cash award. Prior written approval is required from the Contracting Officer for transfers of funds in excess of the ten percent limitation.

A set cost-sharing percentage for the recipient is not mandated, but a 50 percent match of in-kind services is encouraged and should be denoted within the budget as cost sharing. Please include the following categories for both federal and cost-sharing funds:

- a. Salaries and Wages. List names, titles of positions, and rate of compensation of personnel. If contract employees are hired, include their total time, rate of compensation, job titles, and roles.



- b. Fringe benefits/labor overhead. Indicate the rates/amounts in conformance with normal accounting procedures. Explain what costs are covered in this category, the basis of the rate computations and audit agency if rates are audit-approved.
- c. Field Expenses. Briefly itemize the estimated travel costs (i.e., number of people, number of travel days, lodging and transportation costs, and other travel costs such as mileage and per diem).
- d. Lab Analyses. Briefly itemize cost of all analytical work. Include geochemical analyses, geotechnical analyses, etc.
- e. Supplies. Enter the cost for all tangible property less than \$5,000 acquisition cost. Separate the cost of office, laboratory, computing, and field supplies.
- f. 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. If new equipment is critical for conducting the proposed research, then cost-sharing with the PI's institution or a third party for equipment purchases is encouraged.
- g. Services or consultants. Identify the tasks or problems for which such services would be used. Identify proposed contractors by name (including consultants), the estimated amount of time required, and the quoted rate per day or hour.
- h. Travel (non-field related). State the purpose and destination of the trip and estimate travel costs to show the number of trips required, the number of people traveling, the per diem rates, and the cost of transportation. Calculations of other special transportation costs (such as charges for use of applicant-owned vehicles or vehicle rental costs) should also be shown.
- i. Publication costs. Show the estimated cost of publishing the results of the research, including the final report. Include costs of drafting or graphics, reproduction, page or illustration charges, and a minimum number of reprints. Publication costs covered by the recipient should be included under cost-sharing.
- j. Other direct costs. Itemize the different types of costs not included elsewhere; such as, shipping, computing, equipment-use charges, or other services.
- k. Total Direct Charges. Total of direct charges (a through j) for federal and cost-sharing.
- l. Indirect Charges (Overhead). Indirect cost/general and administrative (G&A) cost. Show the proposed rate, cost base, and proposed amount for 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. A copy of the negotiated indirect cost rate agreement should be included. Be sure that indirect charges apply only to

those direct cost items allowable under the negotiated cost rate agreement. Usually, sub-contract direct costs are either excluded from indirect charges, or there is a cap on the amount of subcontract costs eligible for indirect charges.

- m. Amount proposed. Total direct and indirect costs to be requested of the USGS and those that are cost-sharing.
- n. Multi-year projects. The Applicant shall provide a detailed budget for each of the five years. Future years will depend on availability of funds.

#### **In-Kind Resource Match**

- Examples of in-kind resource match are: salaries, contract support, student assistance fees, travel expenses, venue costs, software purchase equipment dedicated to the project, computer servers hosting data, production of outreach materials, and indirect costs or overhead charges. All contributions, including cash and third party in-kind, will be accepted as part of the recipients' in-kind match when such contributions meet all of the following criteria:
  - verifiable from the recipients' records.
  - not included as contributions for any other federally-assisted project or program.
  - necessary and reasonable for proper and efficient accomplishment of project or program objectives.
  - allowable under the applicable cost principles.
  - not paid by the Federal Government under another award, except where authorized by Federal statute to be used for cost matching.
  - provided for in the approved budget when required by the Federal awarding agency.
  - Conform to the provision of the appropriate OMB Circular, as applicable.
  
- Unrecovered indirect costs may be included as part of the in-kind match.
  
- Volunteer services furnished by professional and technical personnel, consultants, and other skilled and unskilled labor may be counted as in-kind match if the service is an integral and necessary part of the project. Rates for volunteer services shall be consistent with those paid for similar work in the recipient's organization. In those instances in which the required skills are not found in the recipient organization, rates shall be consistent with those paid for similar work in the labor market in which the recipient competes for the kind of services involved. In either case, paid fringe benefits that are reasonable, allowable, and allocable may be included in the valuation.
  
- Match calculation: For example, with a request for an award of \$5,000 of Federal assistance, a 50% in-kind match contribution by the applicant would be \$2,500 in value for a total of \$7,500 value committed to the project (\$5,000 and \$2,500 Federal and applicant, respectively).

- Applicant must document the amount and type of in-kind resource that will be contributed to the fulfillment of the project and include this information in the detail budget breakdown.
- (The DI-2010 U.S. Department of the Interior Certifications Regarding Debarment, Suspension and Other Responsibility Matters, Drug-Free Workplace Requirements and Lobbying is required but is not yet available through Grants.gov. This form will be completed when the grant/cooperative agreement is awarded).

## **VI. Application Evaluation Procedure and Criteria**

Applications will be reviewed by an ad-hoc panel. All reviewers will have expertise in energy resources and familiarity with the objectives of the ERP and NCRDS and will provide a written evaluation.

A set cost-sharing percentage for the recipient is not mandated, but a 50 percent match of in-kind services is encouraged and should be denoted within the budget as cost sharing.

All applications will be considered in accordance with the criteria written below:

### **A. Scientific Quality and Impact**

1. How well does this work (1) advance the understanding of (a) the occurrence, quality, quantity, and environmental characteristics of solid-fuel energy resources, (b) the fundamental processes that create and modify them, or (c) the life cycle of solid –fuel energy materials; or (2) contribute to assessing energy resources; or interpreting the potential environmental impact of development?
2. To what extent does this work contribute to resolution of issues involving the economy, sustainable use, land stewardship, environmental impact, or public health with regard to energy?

### **B. Work Plan and Technical Approach**

1. How clear are the objectives and scientific strategy for completion?
2. How appropriate is the time frame for the proposed scientific objectives?
3. How appropriate are the geographic areas selected for study?
4. How appropriate are the proposed deliverables?

### **C. Experience/Competence of Research Personnel**

1. For previous NCRDS award recipients:
  - a. Was publication or data generation achieved in a timely manner?
  - b. Were reporting requirements from previous NCRDS awards satisfied?
  - c. Was the work completed in a competent fashion?
2. Has the applicant demonstrated (through bibliographic references, previous experience, awards, etc.) that they are capable of doing the proposed research?
3. Has the applicant demonstrated a thorough knowledge of the scientific problem?

#### **D. Budget Justification and Clarity**

1. Is staff sufficient to accomplish the proposed goals?
2. Are field expenses, supplies, lab work, and other expenses appropriate?
3. Are expenses adequately itemized?
4. Is cost-sharing proposed?
5. Appropriateness and reasonableness of the budget. This factor considers whether the proposed budget is commensurate with the level of effort needed to accomplish project objectives and whether the cost of the project is reasonable relative to the value of the anticipated results.

#### **E. Planned Products and Dissemination of Results**

1. How clearly defined are the final products?
2. How likely are these products to be produced in the proposed time frame with resources requested?
3. What kind of plan is provided for dissemination of the project results to the scientific community and general user community (i.e., appropriate professional organizations; local, State, regional and federal agencies; and the general public)?

#### **F. Report Preparation Instructions**

1. Final Technical Report: A final report that summarizes findings or data submittal progress is due within 90 days following the expiration of the grant agreement. Data submittal progress should include the number of points, analyses, or GIS layers and their geographic distribution. The final report may be mailed electronically, but should also be submitted as a PDF file or WORD doc on a CD-ROM or DVD-ROM to:

NCRDS Technical Officer  
(Susan J. Tewalt or Joseph A. East)  
U.S. Geological Survey  
956 National Center  
12201 Sunrise Valley Drive  
Reston, VA 20192

#### **Format for Final Technical Report**

- a. Title page must contain the following information:
  - Award number
  - Name of principal investigator(s)
  - Title of the report
  - Date of report
  - Statement that reads as follows:

*“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.”*

b. It is recommended that the final report follow the format used by the USGS for Open-File Reports (WORD template available on the NCRDS WIKI or through the USGS Technical Officer). Any figures, tables, or equations should be embedded in the report and included in the PDF or WORD file. Provide alternative text for each figure, table, and equation; this text, combined with the caption or title, should convey to the non-sighted person what the image or equation conveys to the sighted person.

c. The report should contain a list of citations for all publications (including abstracts) that may have resulted from work funded by the USGS. Publication means any book, report, photograph, map, chart, or recording published or disseminated to the scientific community. Preprints of any articles submitted for publications can be accepted as final reports. All publications that contain work performed during the project period shall include the following statements:

*“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.”*

2. Progress Report: Recipients shall submit an annual progress report within 30 days after the end of the funding period. Work that was proposed for the first year should have been completed in that year. Page 1 of the report should include (a) the award number, (b) the Principal Investigator’s name, and (c) the title of the research project. The progress report shall consist of accomplishments, unanticipated problems encountered, plans for solving unanticipated problems, and any other information pertinent to the progress of the project. Funding not expended by the award recipient during the year must also be explained in the Progress Report. The Progress Report should be submitted as an Adobe Acrobat PDF file or WORD document via e-mail attachment to the USGS Technical Officer with “Progress Report for NCRDS award [recipient insert award number]” in the subject line.

## **VII. Notification and Agency Contacts**

### **A. Notification**

The contact person listed on the first page of the SF-424 will be notified via postal mail whether or not a proposal was selected for award or an explanation as to why it was not selected. The formal authorizing notice of award will come from the USGS Grants Specialists in the form of the Assistance Award document. This document contains the

project start and end dates, the funding amount, and all the administrative details for the project. When this is received the project can commence.

**B. Award Terms and Conditions**

Award Recipient must comply with award Special Terms and Conditions (Attachment A) and Cost Principals, Audit, and Administrative Requirements (Attachment B). Submittal of an application constitutes the applicant's acceptance of the terms and conditions for inclusion on any award resulting from their application. Any concerns with the requirements of the Special Terms and Conditions shall be presented to the Contracting Officer at least three (3) days prior to the closing date of the Announcement.

**C. Grants.gov**

For technical questions concerning the application process at *Grants.gov*:

Grants.gov Help Desk at:  
Phone: 1-800-518-GRANTS  
Email: [support@grants.gov](mailto:support@grants.gov)

USGS Grants.gov contact:  
Laura Mahoney  
(703) 648-7344 Phone  
(703) 648-7901 Fax  
[lmahoney@usgs.gov](mailto:lmahoney@usgs.gov)

**D. Program Announcement**

Direct questions concerning this Program Announcement to:  
Desiree T. Santa, Grant Specialist  
U.S. Geological Survey - HQ  
Office of Acquisition and Grants  
National Center, Mail Stop 205  
Reston, VA 20192  
Phone: (703) 648-7382  
E-Mail: [dsanta@usgs.gov](mailto:dsanta@usgs.gov)

**E. National Coal Resources Data System**

Direct questions for contents, goals, and objectives of the NCRDS program to:  
Susan J. Tewalt  
U.S. Geological Survey  
Mail Stop 956  
12201 Sunrise Valley Drive  
Reston, Virginia 20192  
Email: [stewalt@usgs.gov](mailto:stewalt@usgs.gov)

Phone: 703-648-6437  
Fax: 703-648-6419

**Attachment A**  
**Award Terms and Conditions**  
**(This information applies to awarded cooperative agreements)**

**1. Consideration**

- a. The Recipient's proposal, as identified in the award document on Page 1, block 6, is incorporated by reference. The total estimated cost of the USGS share for the performance of the cooperative agreement is the Federal Share amount indicated in block 8 of the award document. Costs hereunder shall in no event exceed that amount.
- b. Prior approval of the Contracting Officer (CO) is not required for transfer of funds between direct cost categories when the cumulative amount of the transfers during the performance period does not exceed ten (10) percent of the total USGS cash award. Prior written approval is required from the CO for transfers in excess of the ten (10) percent limitation.

**2. Method of Payment**

- a. Until APRIL 1, 2010 (or until notified by the Contracting Officer), the U. S. Geological Survey (USGS) is using the Department of Health and Human Services (HHS) Payment Management System (PMS) to provide electronic invoicing and payment for assistance award recipients.
  - (i) The Recipient agrees that it 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.
  - (ii) Instructions for obtaining payments will be provided to the recipients by HHS. Inquiries regarding payment should be directed to:  
  
Division of Payment Management  
Department of Health and Human Services  
P. O. Box 6021  
Rockville, MD 20852  
  
[www.dpm.psc.gov](http://www.dpm.psc.gov)  
  
Raynette Robinson -- (301) 443-9180  
Raynette.Robinson@psc.hhs.gov
- b. On and after APRIL 1, 2010 (or as notified by the Contracting Officer), the USGS is using the Department of the Treasury Automated Standard Application for Payments (ASAP) to provide electronic invoicing and payment for assistance award recipients.



- (i) The Recipient agrees that it has established or will establish an account with ASAP. 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.
- (ii) Instructions for obtaining payments will be provided to the recipients by ASAP. Inquiries regarding payment should be answered via the Contact Us icon at: <http://www.asap.gov>

<b>Regional Financial Center</b>	<b>Time Zone</b>	<b>Phone Number</b>	<b>Business Hours</b>	<b>Mailing Address</b>
<b>Philadelphia</b>	Eastern	(215) 516-8021	7:30 a.m - 4:00 p.m.	P.O. Box 51317 Philadelphia, PA 19115-6317
<b>Kansas City</b>	Central	(816) 414-2100	7:30 a.m - 4:00 p.m.	P.O. Box 12599-0599 Kansas City, MO 64116-0599
<b>San Francisco</b>	Mountain or Pacific	(510) 594-7182	7:30 a.m - 4:00 p.m.	P.O. Box 24700 Oakland, CA 94623-1700

3. Payments may be drawn in advance only to meet immediate cash disbursement needs.

**3. Definitions**

a. 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 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 **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.

b. 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 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 **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.

c. Principal Investigator

Cooperative Agreements are awarded to Institutions, not to the Principal Investigators. The “recipient” is the Institution where the funds will be going to. 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 Administrative Contracting Officer.

d. Technical Officer

The Technical Officer is the coordinator that works closely with the recipient to ensure that all technical requirements are being met but 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.

Technical Officers are Susan J. Tewalt and Joseph A. East, USGS MS 956 12201 Sunrise Valley Drive, Reston, VA 20192.

e. 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 from this announcement. 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/cooperative agreement program announcement in coordination with the grants program manager.
- (2) Receiving grant/cooperative agreement 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. She shall notify each applicant of the receipt of its proposal.

- (3) Approving the grant/cooperative agreement program’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. She shall interpret grant /cooperative agreement management policies to panel members.
- (5) Notifying grant/cooperative agreement 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) 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/awardee 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.
- (9) Receiving financial reports required by the terms and conditions of the award.
- (10) Closing out grant/cooperative agreement awards when all applicable award requirements have been complied with.

**4. Reporting Requirements.**

a. The Recipient 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>
Annual Technical Report	Submitted by email attachment	Project Officer	30 days after project budget period end date
Final Technical Report	Submitted by email attachment	Project Officer	within 90 days after completion of project
Quarterly and Final Financial Reports	See Section 5.a and b below	See Section 5. a and b below	See Section 5.a and b below

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

- (1) **Annual Technical Project Report.** The Recipient is required to submit an Annual Project Report within 30 days after the end of the budget period date. Annual report should be submitted as an attachment by email to the Project Officer.

(2) **Final Technical Project Report.** These reports should be submitted as an attachment by email to the Project Officer. The final project report is due within 90 days of the end date of the project.

**5. CASH MANAGEMENT AND FINANCIAL REPORTING REQUIREMENTS**

a. QUARTERLY FEDERAL FINANCIAL REPORT

STANDARD FORM 272, FEDERAL CASH TRANSACTIONS REPORT (or its successor SF 425, Federal Financial Report) is required quarterly for each PMS/ASAP subaccount. Quarterly reports are due 45 days after the end of each fiscal quarter until the final Federal Financial Report is submitted. Instructions for submitting SF 272/SF 425 can be found at the PMS 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)

On and after APRIL 1, 2010 (or as notified by the Contracting Officer), the SF 425 Federal Financial Report must be submitted by mail to the Contracting Officer at the address shown in Block 5 of the assistance award form.

If after 45 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.

b. FINAL FEDERAL FINANCIAL REPORT

i. The recipient will liquidate all obligations incurred under the award and submit a final STANDARD FORM 425, FEDERAL FINANCIAL REPORT (which replaces the current SF 269, Financial Status Report) no later than 90 calendar days after the grant/cooperative agreement completion date. Recipient will promptly return any unexpended federal cash advances or will complete a final draw from PMS/ASAP to obtain any remaining amounts due. Once 120 days has passed since the grant/agreement completion date, the PMS/ASAP subaccount for this award may be closed by USGS at any time.

ii. Subsequent revision to the final SF 425 will be considered only as follows-

(i) When the revision results in a balance due to the Government, the recipient must submit a revised final Federal Financial Report (SF 425) 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.

(ii) When the revision represents additional reimbursable costs claimed by the recipient, a revised final SF 425 may be submitted to the Contracting

Officer with an explanation. If approved, the USGS will either request and pay a final invoice or reestablish the PMS/ASAP 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 covering additional expenditures after that date and will return any late request for additional payment to the recipient.

**Adherence to reporting requirements.**

A recipient's failure to submit the required reports/documents, in a timely manner, may result in the withholding of payment, in termination of the award, or in delay or non-issuance of a new award.

**6. Adherence to Original Project Objective and Budget Estimate**

1. 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 unless provided for in this award.
2. The following requests for change require advance written approval by the Contracting Officer shown on the award document. Your request must be submitted directly to the Contracting Officer at least 30 calendar days prior to the requested effective date of the change:
  - (a) Changes in the scope, objective, or key personnel (Principal Investigator) referenced in the recipient's proposal.
  - (b) Transfer of funds between direct cost categories when the cumulative amount of transfers during the project period exceeds 10 percent of the total award.
  - (c) Foreign travel not approved at time of award.
  - (d) Acquisition of nonexpendable personal property (equipment) not approved at time of award.
  - (e) Change in project period. No-cost extensions will be allowed for extenuating circumstances only. The timely conduct of funded projects is of great importance to the achievement of the goals of the ERP. Applicants should consider their time commitments at the time of applying for a grant. Requests for no-cost extensions will be considered on a case-by-case basis. Applicants should supply documentation supporting their request for an extension.
  - (f) Creation of any direct cost line item not approved at time of award.
  - (g) Any other significant change to the award.

3. 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.
4. Additional funds will be given to accommodate annual follow-on funding through the five-year cycle, once the assistance award has been made.

**7. Nonexpendable Personal Property**

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 with the recipient: (to be completed at time of award.)

**8. 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.

**9. Pre-agreement Costs**

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

**10. Metric Conversion Requirements**

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 units (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 fails to comply with the terms of this award, the Contracting Officer may terminate the award, withhold any payment or monies due, or take any other action to remedy the recipient's breach of obligations.

**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 Item 5 of these Special Terms and Conditions. Failure to adhere to the reporting requirements may result in the non-payment of your final award invoice or in other adverse action.

**13. Partnership with Recipients/Cooperators**

The U.S. Geological Survey, through its Federal 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 Requirements**

**Notice:** 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 FY 2000 and thereafter, 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 Requirements**

The recipient shall not use any part of the Department of Interior provided hereunder for any activity or the publication or distribution of literature that in any way tends to promote or oppose any legislative proposal on which Congressional action is not complete.

**16. Seat Belt Provision**

The recipient of cooperative agreements and/or sub-awards is 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**

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

- *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*

- *the agreement authorizes joint dissemination of information and promotion of activities being supported; and*
- *the recipient is not a State government, a local government, or a Federally-recognized Indian Tribal government.*

1. The 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.
2. 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.

3. The 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.
4. The 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. Rights in Technical Data**

The U.S. Government may publish, reproduce, and use all data obtained from this Cooperative Agreement project in any manner and for any purpose, without limitation, and may authorize others to do the same.

**19. Government Involvement Statement**

- A. Substantial involvement is anticipated through the term of the cooperative agreement between the USGS and the recipient (indicated in Block 4 of award document).
- B. The USGS and the recipient will collaborate and participate in program planning for each project.

**20. Public Domain**



All final data submitted to the U.S. Geological Survey (USGS) under this Cooperative Agreement will become part of the public domain, and will be available in a non-proprietary format, at the cost of reproduction, to any requesting organization or individual.

**21. 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. The U. S. Geological Survey (USGS) encourages the recipient to publish project reports in scientific and technical journals, in a peer reviewed form. 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 is not subject to proprietary period of exclusive data access. Any data generated must be made available to the USGS as soon as it is available. 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 in whole or part with funds obtained under this program shall fall under this clause. The USGS Contracting Officer is the sole person to decide which data fall in this category should any questions arise.

**22. 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.)

**23. Activities on Private and Other Non-Federal Lands**

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

**24. 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 in whole or in part 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.

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

- A. Provisions applicable to a Recipient that is a private entity.
  - (1) 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.
  - (2) 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:
      - (i) Associated with performance under this award; or
      - (ii) 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 at 2 CFR part 180, "OMB Guidelines to Agencies on

Government-wide Debarment and Suspension (Nonprocurement),” as implemented by our agency at 43 CFR Part 42.

B. Provision 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.

- 1) Is determined to have violated an applicable prohibition in paragraph A(1) of this award term; or
- 2) Has an employee who is determined by the agency official authorized to terminate the award to have violated an applicable 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 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 Government-wide Debarment and Suspension (Nonprocurement),” as implemented by our agency at 43 CFR Part 42.

C. Provisions applicable to any recipient

- (1) 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.
- (2) 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.
- (3) 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:

- (1) “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.
- (2) “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.
- (3) “Private entity”:

- (a) Means any entity other than a State, local government, Indian tribe, or foreign public entity, as those terms are defined at 2 CFR 175.25.
- (b) Includes:
  - (i) 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).
  - (ii) A for-profit organization.
- (4) 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).

**26. 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/cs/federal\\_policy\\_on\\_research\\_misconduct](http://www.ostp.gov/cs/federal_policy_on_research_misconduct). 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.

**27. 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.

**28. 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 at 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 at 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 at 3 CFR 12.65(g)(1) (for A-102 recipients) or 43 CFR 12.924(b)(3) (for A-110 recipients).

## Attachment B

### **General Provisions**

This information applies to awarded cooperative agreements.

#### **A. Office of Management and Budget (OMB) Circulars**

By accepting Federal assistance, your organization agrees to abide by the applicable OMB Circulars in the expenditure of Federal funds and performance under this program. However, States can propose other circulars in their proposal if these circulars are not applicable. Copies of these Circulars can be obtained from the Internet at: <http://whitehouse.gov/omb/circulars/index.html>.

#### **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>.

#### **Educational Institutions**

- a. 2 CFR 220, Cost Principles for Educational Institutions (OMB Circular No. A-21)
- b. 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
- 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

#### **State and Local Governments**

- a. 2 CFR 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87)
- b. OMB Circular A-102, Grants and Cooperative Agreements with State and Local Governments; as implemented in 43 CFR Part 12, Subpart C
- 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

### Non-Profit Organizations

- a. 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)
- b. 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
- 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

### Organizations for Profit, Individuals, and Others Not Covered Above

- a. Federal Acquisition Regulation (FAR) Subpart 31.2, Contracts with Commercial Organizations (Contract Cost Principles and Procedures)
- b. 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,
- c. FAR Subpart 42.1, Contract Audit Services; FAR Subpart 42.7, Indirect Cost Rates; FAR Subpart 42.8, Disallowance of Costs

### **B. Additional Regulations**

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

- 2 CFR 180, Government Debarment and Suspension (Non-procurement)

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

- 43 CFR Part 12, Subpart D: Government Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug Free Workplace.
- 43 CFR Part 12, Subpart E: Buy American Requirements for Assistance Programs
- 43 CFR Part 17, Subpart A: Nondiscrimination of the Basis of Race, Color, or National Origin
- 43 CFR Part 17, Subpart B: Nondiscrimination of the Basis of Handicap
- 43 CFR Part 17, Subpart C: Nondiscrimination of the Basis of Age
- 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.
- 43 CFR Part 18, New Restrictions on Lobbying

- 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).]*

--End of Program Announcement No. 10HQPA0010--