

|  |  |  |  |
|--|--|--|--|
| 1. DATE ISSUED MM/DD/YYYY<br>07/06/2023  |  | 1a. SUPERSEDES AWARD NOTICE dated<br>except that any additions or restrictions previously imposed remain in effect unless specifically rescinded |  |
| 2. CFDA NO.<br>15.945 - Cooperative Research and Training Programs – Resources of the National Park System |  |  |  |
| 3. ASSISTANCE TYPE Master Cooperative Agreement  |  |  |  |
| 4. GRANT NO. P23AM01229-00<br>Originating MCA #  |  | 5. TYPE OF AWARD<br>Other  |  |
| 4a. FAIN P23AM01229  |  | 5a. ACTION TYPE New  |  |
| 6. PROJECT PERIOD MM/DD/YYYY<br>From 07/07/2023  |  | Through 07/06/2028   |  |
| 7. BUDGET PERIOD MM/DD/YYYY<br>From 07/07/2023   |  | Through 07/06/2028   |  |
| 8. TITLE OF PROJECT (OR PROGRAM)<br>CESU Master Agreement Renewal 2023-2028                                |  |  |  |

# NOTICE OF AWARD



AUTHORIZATION (Legislation/Regulations)

54 U.S.C. § 101702(b) Cooperative Research and Training Programs

9a. GRANTEE NAME AND ADDRESS  
AUSTIN PEAY STATE UNIVERSITY  
601 College St  
Clarksville, TN, 37044-0001

9b. GRANTEE PROJECT DIRECTOR  
Dr. Chad Brooks  
601 College Street  
Clarksville, TN, 37044-001  
Phone: 931-221-7881

10a. GRANTEE AUTHORIZING OFFICIAL  
Dr. Chad Brooks  
601 College St  
Clarksville, TN, 37044-0001  
Phone: 931-221-7881

10b. FEDERAL PROJECT OFFICER  
Mr. Ray Albright  
2017 Kemper Lane  
Knoxville, TN, 37920-0000  
Phone: 8659748443

**ALL AMOUNTS ARE SHOWN IN USD**

|  |                |           |  |
|--|----------------|-----------|--|
| <b>11. APPROVED BUDGET (Excludes Direct Assistance)</b>                            |                | <b>II</b> |  |
| I Financial Assistance from the Federal Awarding Agency Only                       |                |           |  |
| II Total project costs including grant funds and all other financial participation |                |           |  |
| a. Salaries and Wages  | \$ 0.00        |           |  |
| b. Fringe Benefits   | \$ 0.00        |           |  |
| c. Total Personnel Costs   | \$ 0.00        |           |  |
| d. Equipment   | \$ 0.00        |           |  |
| e. Supplies  | \$ 0.00        |           |  |
| f. Travel  | \$ 0.00        |           |  |
| g. Construction  | \$ 0.00        |           |  |
| h. Other   | \$ 0.00        |           |  |
| i. Contractual   | \$ 0.00        |           |  |
| j. TOTAL DIRECT COSTS  | \$ 0.00        |           |  |
| k. INDIRECT COSTS  | \$ 0.00        |           |  |
| <b>I. TOTAL APPROVED BUDGET</b>  | <b>\$ 0.00</b> |           |  |
| m. Federal Share   | \$ 0.00        |           |  |
| n. Non-Federal Share   | \$ 0.00        |           |  |

|   |                |
|---|----------------|
| <b>12. AWARD COMPUTATION</b>                                      |                |
| a. Amount of Federal Financial Assistance (from item 11m)         | \$ 0.00        |
| b. Less Unobligated Balance From Prior Budget Periods             | \$ 0.00        |
| c. Less Cumulative Prior Award(s) This Budget Period              | \$ 0.00        |
| <b>d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION</b>              | <b>\$ 0.00</b> |
| <b>13. Total Federal Funds Awarded to Date for Project Period</b> | <b>\$ 0.00</b> |

|   |                    |      |                    |
|---|--------------------|------|--------------------|
| <b>14. RECOMMENDED FUTURE SUPPORT</b><br>(Subject to the availability of funds and satisfactory progress of the project): |                    |      |                    |
| YEAR  | TOTAL DIRECT COSTS | YEAR | TOTAL DIRECT COSTS |
| a. 2  | \$                 | d. 5 | \$                 |
| b. 3  | \$                 | e. 6 | \$                 |
| c. 4  | \$                 | f. 7 | \$                 |

**15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:**

- a. DEDUCTION
- b. ADDITIONAL COSTS
- c. MATCHING
- d. OTHER RESEARCH (Add / Deduct Option)
- e. OTHER (See REMARKS)

b

**16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARDING AGENCY ON THE ABOVE TITLED PROJECT AND IS SUBJECT TO THE TERMS AND CONDITIONS INCORPORATED EITHER DIRECTLY OR BY REFERENCE IN THE FOLLOWING:**

- a. The grant program legislation
- b. The grant program regulations.
- c. This award notice including terms and conditions, if any, noted below under REMARKS.
- d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

**REMARKS** (Other Terms and Conditions Attached -  Yes  No)  
Federal Financial Reports (FFR) and the Performance Progress Report (PPR) are not required for Master CESU Cooperative Agreements. FFR and PPR are required for all Task Agreements using P23AM01229 as an authority.

**GRANTS MANAGEMENT OFFICIAL:**  
Brian Straka, Grants Management Officer  
107 Park Headquarter Road  
Gatlinburg, TN, 37738-4102  
Phone: 8654361217

| 17. VENDOR CODE 0071396438 |                | 18a. UEI RWKCVTBEDCX7 |            | 18b. DUNS 627345531 |          | 19. CONG. DIST. 08  |  |
|----------------------------|----------------|-----------------------|------------|---------------------|----------|---------------------|--|
| LINE#                      | FINANCIAL ACCT | AMT OF FIN ASST       | START DATE | END DATE            | TAS ACCT | PO LINE DESCRIPTION |  |
|                            |                |                       |            |                     |          |                     |  |
|                            |                |                       |            |                     |          |                     |  |

# AWARD ATTACHMENTS

AUSTIN PEAY STATE UNIVERSITY

P23AM01229-00

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1. P23AM01229 - Master CESU

**Master Cooperative Agreement P23AM01229**

**Between**

**The United States Department of the Interior – The National Park Service**

**and**

**Austin Peay State University**

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**I. PROJECT TITLE**

Provide research, technical assistance and education for resource management and research

## II. THE PURPOSE OF THIS MASTER COOPERATIVE AGREEMENT

To support the National Park Service by providing research, technical assistance, and education through the cooperative relationship with partners of The Southern Appalachian Cooperative Ecosystem Studies Unit (SA-CESU) Cooperative and Joint Venture Agreement NPS # NPS-SOAP-CESU-2019. The partnership proposed by the Recipient was selected due to merit review evaluations from the Notice of Funding Opportunity P23AS00132; titled NPS Cooperative Ecosystems Studies Units (CESU) Master Cooperative Agreements. The Recipient demonstrated expertise in disciplines and subject areas of relevance to cooperative research and training. The Recipient met the program interests of NPS with expertise, facilities, experience, diversity of programs, and history of collaborative research projects.

## III. LEGAL AUTHORITY

National Park Service (NPS) enters into this Agreement pursuant to:

**a. 54 U.S.C. § 100703 - Agreements with Educational Institutions to Study National Park System Resources and Non-Park Service Resources:** The NPS is authorized and directed to enter into cooperative agreements with colleges and universities in partnership with other Federal and State agencies, to establish cooperative study units to conduct multi-disciplinary research and develop integrated information products on the resources of the National Park System or the larger region of which parks are a part.

**b. 54 U.S.C. § 101702(b) – Cooperative Research and Training Programs:** The NPS is authorized to enter into cooperative agreements with public or private educational institutions, States, and their political subdivisions, for the purpose of developing adequate, coordinated, cooperative research and training activities concerning the resources of the NPS.

**c. 54 U.S.C. § 101702(a) – Agreements for the Transfer of Appropriated Funds to Carry out NPS Programs:** The NPS is authorized to enter into cooperative agreements that involve the transfer of National Park Service appropriated funds to State, local and tribal governments, other public entities, educational institutions, and private nonprofit organizations for the public purpose of carrying out National Park Service programs.

**d. 54 U.S.C. § 101702(d)(1) – Cooperative Agreements for National Park Natural Resource Protection:** The NPS is authorized to enter into cooperative agreements with State, local, or tribal governments, other Federal agencies, other public entities, educational institutions, private nonprofit organizations, or participating private landowners for the purpose of protecting natural resources of units of the National Park System through collaborative efforts on land inside and outside of National Park System units.

**e. 54 U.S.C. § 200103(g)(1) - Outdoor Recreation of Programs, Research and Education:** The NPS is authorized to sponsor, engage in, and assist in research relating to outdoor recreation, directly or by contract or cooperative agreements, and make payments for such purposes without regard to the limitations of section 3324(a) and (b) of title 31 concerning advances of funds when he considers such action in the public interest, (2) undertake studies and assemble information concerning outdoor recreation, directly or by contract or cooperative agreement, and disseminate such information without regard to the provisions of section 3204 of title 39, and (3) cooperate with educational institutions and others in order to assist in establishing education programs and activities and to encourage public use and benefits from outdoor recreation.

#### **IV. PERFORMANCE GOALS AND PROJECT OBJECTIVES**

The Cooperative Ecosystem Studies Units network is a national consortium of Federal agencies, tribes, academic institutions, state and local governments, nongovernmental conservation organizations, and other partners working together to support informed public trust resource stewardship. The CESU network includes 390 non-Federal partners and 15 Federal Agencies in seventeen (17) CESUs representing biogeographic regions encompassing all 50 states and U.S. territories. The CESU network is well positioned as a platform to support research, technical assistance, education and capacity building that is responsive to long-standing and contemporary science and resource management priorities.

The seventeen (17) CESUs bring together scientists, resource managers, students, and other conservation professionals, drawing upon expertise from across the biological, physical, social, cultural, and engineering disciplines (from Anthropology to Zoology) to conduct collaborative and interdisciplinary applied projects that address natural and cultural heritage resource issues at multiple scales and in an ecosystem context. Each CESU is structured as a working collaborative with participation from numerous Federal and non-Federal institutional partners. CESUs are based at host universities and focused on a particular biogeographic region of the country.

The NPS is required under “Research Mandate” 54 USC 100702 to ensure the management of NPS units are “enhanced by the availability and utilization of a broad program of the highest quality science and information.” To help answer this mandate, the NPS works cooperatively with approved CESU cooperators.

The goals and objectives of this agreement are to:

- Provide research, technical assistance and education to NPS for land management, and research

- Develop a program of research, technical assistance and education that involves the biological, physical, social, and cultural sciences needed to address resources issues and interdisciplinary problem-solving at multiple scales and in an ecosystem context at the local, regional, and national level
- Place special emphasis on the working collaboration among NPS, universities, and their related partner institutions
- Provide usable knowledge to support informed decision making
- Ensure the independence and objectivity of research
- Create and maintain effective partnerships among the Federal agencies and universities to share resources and expertise
- Take full advantage of university resources while benefiting faculty and students
- Encourage professional development of current and future Federal and non-Federal scientists, resource managers, and environmental leaders; and
- Manage Federal resources effectively.

## V. PUBLIC PURPOSE

This agreement fulfills a Public Purpose of support and economic stimulation by:

- Projects will engage recipients, partners, communities, and/or visitors in shared environmental stewardship
- Projects will promote greater public and private participation in historic preservation programs and activities. The project builds resource stewardship ethics in its participants
- The information, outcomes, and/or services identified or developed by projects will be shared through a variety of strategies to increase public awareness, knowledge and support for historic preservation and stewardship of the nation's cultural and historical heritage
- Projects will support the Government's objective to provide opportunities for youth to learn about the environment by spending time working on projects in National Parks. The NPS receives the indirect benefit of completing conservation projects
- Projects will motivate interns and participants to become involved in the natural, cultural and /or historical resource protection of their communities and beyond
- Students will gain "real world" or hands-on experience outside of the classroom of natural, cultural and/or historical resource projects
- The scientific community and/or researchers external to NPS gains by new knowledge provided through research and related results dissemination of natural, cultural and/or historical resource information; and

- Projects assist in the creation, promotion, facilitation, and/or improvement of the public's understanding of natural, cultural, historic, recreational and other aspects of areas such as ecological conservation areas, and state and local parks.

## **VI. STATEMENT OF WORK**

Detailed statements of work will be defined at the task agreement level based on the goals, objectives, and public purpose of this agreement.

### **A. The Recipient agrees to:**

- Conduct, a program of research, technical assistance, and education related to the CESU objectives and allow and encourage faculty to participate in the program as appropriate
- Promote the application of biological, physical, and cultural information to the conservation, restoration, and management of NPS's resources
- Allow and encourage faculty to engage in NPS research, technical assistance and education activities related to the CESU objectives, as appropriate
- Obtain research collecting permits through the appropriate NPS administrative unit for work accomplished through this Agreement
- Participate in symposiums, conferences, or workshops to promote the understanding and use of biodiversity information on NPS parks
- Support professional development for recipient interns, participants and visitors, whenever possible, with projects under this Agreement
- Provide to the NPS expert consultation in support of environmental policy and management of natural and cultural resources
- Assist the NPS in outreach to national and international audiences with information about the resources that are supported by national parks
- Provide the NPS with reports, manuscripts, popular-press articles, monographs, and research data generated by personnel conducting projects under this Agreement.

### **B. NPS agrees to:**

- Provide administrative assistance, as appropriate, necessary to execute this Agreement and subsequent modifications
- Participate in project activity research, technical assistance and education related to the CESU objectives to the extent allowed by NPS authorizing legislation
- Provide opportunities for research on national park lands or using federal facilities in cooperation with NPS, as appropriate, and according to all applicable laws, regulations, and policies
- Provide project funds and/or collaboration to support specific research, technical assistance, and education projects, as appropriate

- Comply with the Recipient's rules, regulations, and policies regarding professional conduct, health, safety, use of services and facilities, use of animals, recombinant DNA, infectious agents, or radioactive substances, as well as other policies generally applied to the Recipient's personnel
- Ensure its employees follow the Code of Ethics for Government Service (Pub. L. 96-303) and Standards of Ethical Conduct (5 CFR Part 2635)
- Allow NPS employees to participate in the activities of the Recipient, including serving on graduate committees and teaching courses, as appropriate, and as specifically determined in modifications to the Agreement; and
- Provide substantial guidance and consultation to the Recipient in connection with projects, as appropriate.
- Familiarize the Recipient with parks and park resources.
- Provide the Recipient with timely information on changes to park boundaries or land ownership.
- Provide access to and use of the natural and cultural resources of units of the National Park System for appropriate research, monitoring, and educational activities of the Recipient, except for those activities which may conflict with the values and purposes of the area as stated in Federal law or policy.

C. The Recipient and NPS jointly agree to:

- Maintain the CESU closely following the mission and goals of the CESU Network as Issue individual funding documents, in accordance with NPS procedures, developed cooperatively between the NPS and Recipient that individually include a specific "scope of work" statement and a brief explanation of the following:
  - the proposed work
  - the project contribution to the objectives of the CESU
  - the methodology of the project
  - the substantial involvement of each party
  - the project budget and schedule
  - the specific project outputs or products.
- Provide data on CESU projects to the CESU Network National Office and/or host institution in accordance with CESU Network Council guidelines as posted on the CESU Network National Office website ([www.cesu.org](http://www.cesu.org));
- Engage in collaborative activities consistent with federal scientific and scholarly integrity directives and policies (e.g., Presidential and OSTP Scientific Integrity Memoranda, as appropriate. The Code of Scientific and Scholarly Conduct for the Department of the Interior can be found at:



<https://www.doi.gov/sites/doi.gov/files/migrated/scientificintegrity/upload/DOI-Code-of-Scientific-and-Scholarly-Conduct-Poster-December-2014.pdf>

## VII. RESPONSIBILITIES OF THE PARTIES

As subsequent task agreements are entered into under this agreement, specific party responsibilities, including NPS substantial involvement, will be developed for each project or activity having a separate statement of work and budget and will be developed cooperatively between the NPS and Recipient.

## VIII. COST-SHARE REQUIREMENT

Non-Federal cost-share is not required for this Agreement.

## IX. PRE-AWARD INCURRENCE OF COSTS

The Recipient is not authorized to incur costs prior to the award of this Agreement. Costs incurred prior to the award of this agreement are not allowable.

## X. AWARD AND PAYMENT

A. The commitment of funds in furtherance of this Agreement will be authorized by individual Task Agreements issued against this Cooperative Agreement identifying each project or group of projects, the amount of financial assistance and any other special terms or conditions applicable to that project tasks.

Federal Funds Obligated by this Master Cooperative Agreement: \$0.00

B. Recipient must request payment as applicable in accordance with the following:

1. **Method of Payment.** Payment will be made by advance and/or reimbursement through the Department of Treasury's Automated Standard Application for Payments (ASAP) system.
2. **Requesting Advances.** Requests for advances must be submitted via the ASAP system. Requests may be submitted as frequently as required to meet the needs of the Financial Assistance (FA) Recipient to disburse funds for the Federal share of project costs. If feasible, each request should be timed so that payment is received on the same day that the funds are dispersed for direct project costs and/or the proportionate share of any allowable indirect costs. If same-day transfers are not feasible, advance payments must be as close to actual disbursements as administratively feasible.

3. **Requesting Reimbursement.** Requests for reimbursements must be submitted via the ASAP system. Requests for reimbursement should coincide with normal billing patterns. Each request must be limited to the amount of disbursements made for the Federal share of direct project costs and the proportionate share of allowable indirect costs incurred during that billing period.
  4. **Adjusting Payment Requests for Available Cash.** Funds that are available from repayments to, and interest earned on, a revolving fund, program income, rebates, refunds, contract settlements, audit recoveries, credits, discounts, and interest earned on any of those funds must be disbursed before requesting additional cash payments.
  5. **Bank Accounts.** All payments are made through electronic funds transfer to the bank account identified in the ASAP system by the FA Recipient.
  6. **Supporting Documents and Agency Approval of Payments.** Additional supporting documentation and prior NPS approval of payments may be required when/if a FA Recipient is determined to be “high risk” or has performance issues. If prior Agency payment approval is in effect for an award, the ASAP system will notify the FA Recipient when they submit a request for payment. The Recipient must then notify the NPS AO that a payment request has been submitted. The NPS AO may request additional information from the Recipient to support the payment request prior to approving the release of funds, as deemed necessary. The FA Recipient is required to comply with these requests. Supporting documents may include invoices, copies of contracts, vendor quotes, and other expenditure explanations that justify the reimbursement requests.
- C. Any award beyond the current fiscal year is subject to availability of funds; funds may be provided in subsequent fiscal years if project work is satisfactory, and funding is available.
  - D. Expenses charged against awards under the Agreement may not be incurred prior to the beginning of the Agreement and may be incurred only as necessary to carry out the approved objectives, scope of work and budget with prior approval from the NPS AO. The Recipient must not incur costs or obligate funds for any purpose pertaining to the operation of the project, program, or activities beyond the expiration date stipulated in the award.

- E. Any non-Federal share, whether in cash or in-kind, is expected to be paid out at the same general rate as the Federal share. Exceptions to this requirement may be granted by the AO based on sufficient documentation demonstrating previously determined plans for or later commitment of cash or in-kind contributions. In any case, the Recipient must meet their cost share commitment over the life of the award.
- F. The Federally negotiated indirect rate to be applied against task agreements under this Master Agreement must be 17.5% (Modified Total Direct Cost [MTDC]), according to the Cooperative Ecosystem Studies Unit, Cooperative and Joint Venture Agreement Number: NPS # NPS-SOAP-CESU-2019, Article 5 paragraph C.

## **XI. INSURANCE AND LIABILITY**

- A. **Insurance.** The recipient must be required to (1) obtain liability insurance or (2) demonstrate present financial resources in an amount determined sufficient by the Government to cover claims brought by third parties for death, bodily injury, property damage, or other loss resulting from one or more identified activities carried out in connection with this financial assistance agreement. The Recipient is an agency of the State of Tennessee and is self-insured under the Tennessee Claims Commission Act, Tenn. Code Ann. §§9-8-301 et seq. The Tennessee Claims Commission Act covers certain tort liability for actual damages up to \$300,000 per claimant and \$1,000,000 per occurrence.
- B. **Liability of Recipient.** Any liability of Recipient to NPS and third parties for any claims, damages, losses, or costs arising out of or related to acts performed by the Recipient under this Agreement will be governed by the Tennessee Claims Commission Act, Tenn. Code Ann. §§ 9-8-301, et. seq.  

The Recipient hereby agrees to provide workers' compensation protection to the Recipient's employees.

The Recipient hereby agrees to cooperate with NPS in the investigation and defense of any claims that may be filed with NPS arising out of the activities of the Recipient, its employees.
- C. **Flow-down:** For the purposes of this Article VIII, "Recipient" includes such sub-Recipients, contractors, or subcontractors as, in the judgment of the Recipient and subject to the NPS's

determination of sufficiency, have sufficient resources and/or maintain adequate and appropriate insurance to achieve the purposes of this Article

## **XII. REPORTS AND/OR OUTPUTS/OUTCOMES**

SF425 Federal Financial Reports (FFR) and Performance Reports submission dates and requirements must be set at the task agreement level.

## **XIII. PERIOD OF PERFORMANCE**

- A. The Agreement will become effective **July 7, 2023**, and extend through **July 6, 2028**, unless terminated earlier per Article XI. The period from the Effective Date to the Expiration Date is the period of performance for the Agreement (Agreement Term).
- B. For the purposes of this Agreement, amendments are changes (edits, deletions, or additions) to the Agreement that do not involve the transfer of funds. Amendments may be proposed by NPS or the Recipient. Amendments must be in writing, signed, and agreed to by NPS and the Recipient.
- C. The expiration of this Agreement will not affect the validity or duration of projects, which have been initiated under this Agreement prior to such expiration.

## **XIV. KEY OFFICIALS**

### **1. National Park Service**

#### **Financial Assistance Officer**

**Brian J. Straka**

(865) 436-1217

Brian\_Straka@nps.gov

#### **Agreement Technical Representative (ATR)**

**Ray Albright**

(865) 974-8443

[ray\\_albright@nps.gov](mailto:ray_albright@nps.gov)

### **2. Austin Peay State University**

#### **Grantee Administrative Official (ADO) /Grantee Authorizing Official**

The Grantee Administrative Official (ADO) is responsible; for the oversight of activities performed by the Grantee Security Monitor, accepts award on behalf of organization, submit applications/amendments, submit federal financial reports, view awards

**Dr. Chad Brooks**

(931) 221-7414

[brooksc@apsu.edu](mailto:brooksc@apsu.edu)

**Principal Investigator / Program Director (PI/PD)** - The Principal Investigator/Program

Director (PI/PD) is responsible for the oversight of activities performed by the Grantee

Support Staff. submit applications/amendments, submit federal financial reports, view awards

**Kelly Pitts**

(931) 221-7881

[pittsk@apsu.edu](mailto:pittsk@apsu.edu)

**XV. AWARD SPECIFIC TERMS AND CONDITIONS**

NOT APPLICABLE

**XVI. CESU COOPERATIVE AND JOINT VENTURE AGREEMENT COMPLIANCE**

In addition to the terms and conditions of this Agreement, the Recipient must also comply with the terms and conditions of the Cooperative Ecosystem Studies Unit, Cooperative and Joint Venture Agreement Document Number: NPS # NPS-SOAP-CESU-2019. In the instance of conflicting terms and conditions, the terms and conditions of this Agreement must apply.

## **XVII. STANDARD TERMS AND CONDITIONS**

### **1. DEPARTMENT OF INTERIOR STANDARD TERMS AND CONDITIONS, 2 CFR 200, 2 CFR 1402**

Recipients must also adhere to the Department of Interior Standard Terms and Conditions located at: <https://www.doi.gov/grants/doi-standard-terms-and-conditions>

Please use version 3, starting June 1, 2023.

- eCFR :: 2 CFR Part 200 -- Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards
- eCFR :: 2 CFR Part 1402 -- Financial Assistance Interior Regulation, Supplementing the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards

### **2. KEY OFFICIALS**

- A. Communications - The recipient must address any communication regarding this Agreement to the ATR/Program Officer with a copy to the Awarding/Grants Management Officer. Communications that relate solely to technical matters may be sent only to the ATR/Program Officer.
- B. Changes in Key Officials - Recipient may not make any permanent change in a key official without written notice to the other party reasonably in advance of the proposed change. The notice will include a justification with sufficient detail to permit evaluation of the impact of such a change on the scope of work specified within this Agreement. Any permanent change in key officials will be made only by Agency Approval.

### **3. PRIOR APPROVAL**

The Recipient must obtain prior approval for budget and program revisions, in accordance with 2 CFR 200.308.

### **4. PROPERTY UTILIZATION**

All tools, equipment, and facilities furnished by NPS will be on a loan basis. Tools, equipment and facilities will be returned in the same condition received except for normal wear and tear in project use. Property management standards set forth in 2 CFR 200.310 through 200.316 apply to

this Agreement. All provided items must be consistently tracked and accounted for by the recipient and NPS both when provided to the recipient and upon return.

**5. MODIFICATION, REMEDIES FOR NONCOMPLIANCE, TERMINATION**

- A. This Agreement may be modified at any time, prior to the expiration date, only by agreement executed by both parties. Modifications will be in writing and approved by the NPS Awarding Officer and the authorized representative of Recipient.
- B. Additional conditions may be imposed by NPS if it is determined that the Recipient is non-compliant to the terms and conditions of this agreement. Remedies for Noncompliance can be found in 2 CFR 200.339.
- C. This Agreement may be terminated consistent with applicable termination provisions for Agreements found in 2 CFR 200.340 through 200.343.

**6. REPORTING OF MATTERS RELATED TO RECIPIENT INTEGRITY AND PERFORMANCE**

A. General Reporting Requirement

- i. If the total value of your currently active grants, cooperative agreements, and procurement contracts from all Federal awarding agencies exceeds \$10,000,000 for any period of time during the period of performance of this Federal award, then you, as the recipient, during that period of time must maintain the currency of information reported to the System for Award Management (SAM) that is made available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)) about civil, criminal, or administrative proceedings described in paragraph 2 of this award term and condition. This is a statutory requirement under section 872 of Public Law 110-417, as amended (41 U.S.C. 2313). As required by section 3010 of Public Law 111-212, all information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for Federal procurement contracts, will be publicly available.

B. Proceedings You Must Report

- i. Submit the information required about each proceeding that:

- ii. Is in connection with the award or performance of a grant, cooperative agreement, or procurement contract from the Federal Government.
- iii. Reached its final disposition during the most recent five-year period; and
- iv. Is one of the following:
  - a) A criminal proceeding that resulted in a conviction, as defined in paragraph 5 of this award term and condition; or
  - b) A civil proceeding that resulted in a finding of fault and liability and payment of a monetary fine, penalty, reimbursement, restitution, or damages of \$5,000 or more; or
  - c) An administrative proceeding, as defined in paragraph 5 of this award term and condition, that resulted in a finding of fault and liability and payment of either a monetary fine or penalty of \$5,000 or more; or reimbursement, restitution, or damages in excess of \$100,000; or
  - d) Any other criminal, civil, or administrative proceeding if:
    - 1. It could have led to an outcome described in paragraph 2.c.(1), (2), or (3) of this award term and condition.
    - 2. It had a different disposition arrived at by consent or compromise with an acknowledgment of fault on your part; and
    - 3. The requirement in this award term and condition to disclose information about the proceeding does not conflict with applicable laws and regulations.

C. Reporting Procedures

- i. Enter in the SAM Entity Management area the information that SAM requires about each proceeding described in paragraph 2 of this award term and condition. You do not need to submit the information a second time under assistance awards that you received if you already provided the information through SAM because you were required to do so under Federal procurement contracts that you were awarded.

D. Reporting Frequency

- i. During any period of time when you are subject to the requirement in paragraph 1 of this award term and condition, you must report proceedings information through SAM for the most recent five-year period, either to report new information about any proceeding(s) that you have not reported previously or affirm that there is no new information to report. Recipients that have Federal contract, grant, and cooperative agreement awards with a cumulative total value greater than \$10,000,000 must disclose semiannually any information about the criminal, civil, and administrative proceedings.



E. Definitions

- i. For purposes of this award term and condition:
  - a) Administrative proceeding means a non-judicial process that is adjudicatory in nature in order to make a determination of fault or liability (*e.g.*, Securities and Exchange Commission Administrative proceedings, Civilian Board of Contract Appeals proceedings, and Armed Services Board of Contract Appeals proceedings). This includes proceedings at the Federal and State level but only in connection with performance of a Federal contract or grant. It does not include audits, site visits, corrective plans, or inspection of deliverables.
  - b) Conviction means a judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, and includes a conviction entered upon a plea of *nolo contendere*.
  - c) Total value of currently active grants, cooperative agreements, and procurement contracts includes—
    1. Only the Federal share of the funding under any Federal award with a recipient cost share or match; and
    2. The value of all expected funding increments under a Federal award and options, even if not yet exercised.

**7. FUNDING USED FOR THE PURCHASE AND OPERATION OF UNMANNED AIRCRAFT SYSTEMS (UAS)**

If Federal funding is provided to a State, local, tribal, or territorial government for the purchase or use of UAS for their operations, the recipient must have in place policies and procedures to safeguard individuals' privacy, civil rights, and civil liberties prior to expending such funds.

Per the policy memorandum issued by National Park Service Director, dated June 19, 2014, the launching, landing, and operating of unmanned aircraft, that is not under the control of the Federal government, on lands and waters administered by the National Park Service is prohibited unless approval is received from the Associate Director for such purposes as:

Scientific study, search and rescue operations, fire operations, and law enforcement.

Administrative use includes the use of unmanned aircraft by:

- (i) NPS personnel as operators or crew;

- (ii) cooperators such as government agencies and universities that conduct unmanned aircraft operations for the NPS pursuant to a written agreement; and
- (iii) other entities, including commercial entities, conducting unmanned aircraft operations for the NPS, provided such entities are in compliance with all applicable FAA and Department of the Interior requirements.

## 8. PATENTS AND INVENTIONS (37 CFR 401)

Recipients of agreements which support experimental, developmental, or research work must be subject to applicable regulations governing patents and inventions, including the government-wide regulations issued by the Department of Commerce at 37 CFR 401, Rights to Inventions Made by Non-profit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements. These regulations do not apply to any agreement made primarily for educational purposes.

In accordance with 37 CFR 401.3(a), the provision at 37 CFR 401.14(a), with authorized modifications for the National Park Service, is hereby included in this agreement:

### (a) Definitions

- (1) *Invention* means any invention or discovery which is or may be patentable or otherwise protectable under Title 35 of the United States Code, or any novel variety of plant which is or may be protected under the Plant Variety Protection Act (7 U.S.C. 2321 et seq.).
- (2) *Subject invention* means any invention of the recipient conceived or first actually reduced to practice in the performance of work under this agreement, provided that in the case of a variety of plant, the date of determination (as defined in section 41(d) of the Plant Variety Protection Act, 7 U.S.C. 2401(d)) must also occur during the period of agreement performance.
- (3) *Practical Application* means to manufacture in the case of a composition or product, to practice in the case of a process or method, or to operate in the case of a machine or system; and, in each case, under such conditions as to establish that the invention is being utilized and that its benefits are, to the extent permitted by law or government regulations, available to the public on reasonable terms.
- (4) *Made* when used in relation to any invention means the conception or first actual reduction to practice of such invention.

(5) *Small Business Firm* means a small business concern as defined at section 2 of Public Law. 85-536 (15 U.S.C. 632) and implementing regulations of the Administrator of the Small Business Administration. For the purpose of this provision, the size standards for small business concerns involved in government procurement and subcontracting at 13 CFR 121.3-8 and 13 CFR 121.3-12, respectively, will be used.

(6) *Nonprofit Organization* means a university or other institution of higher education, or an organization of the type described in section 501(c)(3) of the Internal Revenue Code of 1954 (26 U.S.C. 501(c) and exempt from taxation under section 501(a) of the Internal Revenue Code (25 U.S.C. 501(a)) or any nonprofit scientific or educational organization qualified under a state nonprofit organization statute.

(b) Allocation of Principal Rights.

The Recipient may retain the entire right, title, and interest throughout the world to each subject invention subject to this provision and 35 U.S.C. 203. With respect to any subject invention in which the Recipient retains title, the Federal government must have a nonexclusive, nontransferable, irrevocable, paid-up license to practice or have practiced for or on behalf of the United States the subject invention throughout the world.

(c) Invention Disclosure, Election of Title and Filing of Patent Application by Recipient

(1) The Recipient will disclose each subject invention to the National Park Service within two months after the inventor discloses it in writing to Recipient personnel responsible for patent matters. The disclosure to the National Park Service must be in the form of a written report and must identify the agreement under which the invention was made and the inventor(s). It must be sufficiently complete in technical detail to convey a clear understanding to the extent known at the time of the disclosure, of the nature, purpose, operation, and the physical, chemical, biological or electrical characteristics of the invention. The disclosure must also identify any publication, on sale or public use of the invention and whether a manuscript describing the invention has been submitted for publication and, if so, whether it has been accepted for publication at the time of disclosure. In addition, after disclosure to the National Park Service, the Recipient will promptly notify the National Park Service of the acceptance of any manuscript describing the invention for publication or of any on sale or public use planned by the Recipient.

(2) The Recipient will elect in writing whether or not to retain title to any such invention by notifying the National Park Service within two years of disclosure to the National Park Service. However, in any case where publication, on sale or public use has initiated the one-year statutory period wherein valid patent protection can still be obtained in the United States, the period for election of title may be shortened by the National Park Service to a date that is no more than 60 days prior to the end of the statutory period.

(3) The Recipient will file its initial patent application on a subject invention to which it elects to retain title within one year after election of title or, if earlier, prior to the end of any statutory period wherein valid patent protection can be obtained in the United States after a publication, on sale, or public use. The Recipient will file patent applications in additional countries or international patent offices within either ten months of the corresponding initial patent application or six months from the date permission is granted by the Commissioner of Patents and Trademarks to file foreign patent applications where such filing has been prohibited by a Secrecy Order.

(4) Requests for extension of the time for disclosure, election, and filing under subparagraphs (1), (2), and (3) may, at the discretion of the National Park Service, be granted.

(d) Conditions When the Government May Obtain Title.

The Recipient will convey to the National Park Service, upon written request, title to any subject inventions

(1) If the Recipient fails to disclose or elect title to the subject invention within the times specified in (c), above, or elects not to retain title; provided that the National Park Service may only request title within 60 days after learning of the failure of the Recipient to disclose or elect within the specified times.

(2) In those countries in which the Recipient fails to file patent applications within the times specified in (c) above; provided, however, that if the Recipient has filed a patent application in a country after the times specified in (c) above, but prior to its receipt of the written request of the National Park Service, the Recipient must continue to retain title in that country.

(3) In any country in which the Recipient decides not to continue the prosecution of any application for, to pay the maintenance fees on, or defend in reexamination or opposition proceeding on, a patent on a subject invention.

(e) Minimum Rights to Recipient and Protection of the Recipient Right to File

(1) The Recipient will retain a nonexclusive royalty-free license throughout the world in each subject invention to which the Government obtains title, except if the Recipient fails to disclose the invention within the times specified in (c), above. The Recipient's license extends to its domestic subsidiary and affiliates, if any, within the corporate structure of which the Recipient is a party and includes the right to grant sublicenses of the same scope to the extent the Recipient was legally obligated to do so at the time the agreement was awarded. The license is transferable only with the approval of the National Park Service except when transferred to the successor of that party of the Recipient's business to which the invention pertains.

(2) The Recipient's domestic license may be revoked or modified by the National Park Service to the extent necessary to achieve expeditious practical application of the subject invention pursuant to an application for an exclusive license submitted in accordance with applicable provisions at 37 CFR part 404 and the National Park Service licensing regulations (if any). This license will not be revoked in that field of use or the geographical areas in which the Recipient has achieved practical application and continues to make the benefits of the invention reasonably accessible to the public. The license in any foreign country may be revoked or modified at the discretion of the National Park Service to the extent the Recipient, its licensees, or the domestic subsidiaries or affiliates have failed to achieve practical application in that foreign country.

(3) Before revocation or modification of the license, the National Park Service will furnish the Recipient a written notice of its intention to revoke or modify the license, and the Recipient will be allowed thirty days (or such other time as may be authorized by the National Park Service for good cause shown by the Recipient) after the notice to show cause why the license should not be revoked or modified. The Recipient has the right to appeal, in accordance with applicable regulations in 37 CFR part 404 and National Park Service regulations (if any) concerning the licensing of Government-owned inventions, any decision concerning the revocation or modification of the license.

(f) Recipient Action to Protect the Government's Interest

(1) The Recipient agrees to execute or to have executed and promptly deliver to the National Park Service all instruments necessary to

- (i) establish or confirm the rights the Government has throughout the world in those subject inventions to which the Recipient elects to retain title, and
- (ii) convey title to the National Park Service when requested under paragraph (d) above and to enable the government to obtain patent protection throughout the world in that subject invention.

(2) The Recipient agrees to require, by written agreement, its employees, other than clerical and non-technical employees, to disclose promptly in writing to personnel identified as responsible for the administration of patent matters and in a format suggested by the Recipient each subject invention made under agreement in order that the Recipient can comply with the disclosure provisions of paragraph (c), above, and to execute all papers necessary to file patent applications on subject inventions and to establish the government's rights in the subject inventions. This disclosure format should require, as a minimum, the information required by (c)(1), above. The Recipient must instruct such employees through employee agreements or other suitable educational programs on the importance of reporting inventions in sufficient time to permit the filing of patent applications prior to U.S. or foreign statutory bars.

(3) The Recipient will notify the National Park Service of any decisions not to continue the prosecution of a patent application, pay maintenance fees, or defend in a reexamination or opposition proceeding on a patent, in any country, not less than thirty days before the expiration of the response period required by the relevant patent office.

(4) The Recipient agrees to include, within the specification of any United States patent applications and any patent issuing thereon covering a subject invention, the following statement, "This invention was made with government support under (identify the agreement) awarded by (identify the Federal agency). The government has certain rights in the invention."

(g) Subcontracts. The Recipient will include this provision, suitably modified to identify the parties, in all sub-agreements or subcontracts, regardless of tier, for experimental, developmental or research work. The sub-recipient or subcontractor will retain all rights provided for the

Recipient in this provision, and the Recipient will not, as part of the consideration for awarding the sub-agreement or subcontract, obtain rights in the sub-recipient's or subcontractor's subject inventions.

(h) Reporting on Utilization of Subject Inventions. The Recipient agrees to submit on request periodic reports no more frequently than annually on the utilization of a subject invention or on efforts at obtaining such utilization that are being made by the Recipient or its licensees or assignees. Such reports must include information regarding the status of development, date of first commercial sale or use, gross royalties received by the Recipient, and such other data and information as the National Park Service may reasonably specify. The Recipient also agrees to provide additional reports as may be requested by the National Park Service in connection with any march-in proceeding undertaken by the National Park Service in accordance with paragraph (j) of this provision. As required by 35 U.S.C. 202(c)(5), the National Park Service agrees it will not disclose such information to persons outside the government without permission of the Recipient.

(i) Preference for United States Industry. Notwithstanding any other part of this provision, the Recipient agrees that neither it nor any assignee will grant to any person the exclusive right to use or sell any subject inventions in the United States unless such person agrees that any products embodying the subject invention or produced through the use of the subject invention will be manufactured substantially in the United States. However, in individual cases, the requirement for such an agreement may be waived by the National Park Service upon a showing by the Recipient or its assignee that reasonable but unsuccessful efforts have been made to grant licenses on similar terms to potential licensees that would be likely to manufacture substantially in the United States or that under the circumstances domestic manufacture is not commercially feasible.

(j) March-in Rights. The Recipient agrees that with respect to any subject invention in which it has acquired title, the National Park Service has the right in accordance with the procedures in 37 CFR 401.6 and any supplemental regulations of the National Park Service to require the Recipient, an assignee or exclusive licensee of a subject invention to grant a nonexclusive, partially exclusive, or exclusive license in any field of use to a responsible applicant or applicants, upon terms that are reasonable under the circumstances, and if the Recipient, assignee, or exclusive licensee refuses such a request the National Park Service has the right to grant such a license itself if the National Park Service determines that:

(1) Such action is necessary because the Recipient or assignee has not taken or is not expected to take within a reasonable time, effective steps to achieve practical application of the subject invention in such field of use.

(2) Such action is necessary to alleviate health or safety needs, which are not reasonably satisfied by the Recipient, assignee or their licensees.

(3) Such action is necessary to meet requirements for public use specified by Federal regulations and such requirements are not reasonably satisfied by the Recipient, assignee or licensees; or

(4) Such action is necessary because the agreement required by paragraph (i) of this provision has not been obtained or waived or because a licensee of the exclusive right to use or sell any subject invention in the United States is in breach of such agreement.

(k) Special Provisions for Agreements with Nonprofit Organizations.

If the Recipient is a nonprofit organization, it agrees that:

(1) Rights to a subject invention in the United States may not be assigned without the approval of the National Park Service, except where such assignment is made to an organization which has as one of its primary functions the management of inventions, provided that such assignee will be subject to the same provisions as the Recipient;

(2) The Recipient will share royalties collected on a subject invention with the inventor, including Federal employee co-inventors (when the National Park Service deems it appropriate) when the subject invention is assigned in accordance with 35 U.S.C. 202(e) and 37 CFR 401.10;

(3) The balance of any royalties or income earned by the Recipient with respect to subject inventions, after payment of expenses (including payments to inventors) incidental to the administration of subject inventions, will be utilized for the support of scientific research or education; and

(4) It will make efforts that are reasonable under the circumstances to attract licensees of subject invention that are small business firms and that it will give a preference to a small business firm when licensing a subject invention if the Recipient determines that the small business firm has a plan or proposal for marketing the invention which, if executed, is equally as likely to bring the invention to practical application as any plans or



proposals from applicants that are not small business firms; provided, that the Recipient is also satisfied that the small business firm has the capability and resources to carry out its plan or proposal. The decision whether to give a preference in any specific case will be at the discretion of the Recipient. However, the Recipient agrees that the National Park Service may review the Recipient's licensing program and decisions regarding small business applicants, and the Recipient will negotiate changes to its licensing policies, procedures, or practices with the National Park Service when this review discloses that the Recipient could take reasonable steps to implement more effectively the requirements of this paragraph (k)(4).

(l) Communication. Communications regarding matters relating to this provision must be directed to the Deputy Associate Solicitor, Branch of Procurements and Patents, Office of the Solicitor, U.S. Department of the Interior, 1849 C Street NW, Washington, D.C. 20240.

9. **ENSURING THE FUTURE IS MADE IN ALL OF AMERICA BY ALL OF AMERICA'S WORKERS PER E.O. 14005 (dated January 25, 2021)**

Per Executive Order 14005, entitled "Ensuring the Future Is Made in All of America by All of America's Workers" the Recipient must maximize the use of goods, products, and materials produced in, and services offered in, the United States, and whenever possible, procure goods, products, materials, and services from sources that will help American businesses compete in strategic industries and help America's workers thrive.

10. **SECTION 508 OF THE REHABILITATION ACT OF 1973 (29 U.S.C. §794 (d))**

While the requirements of Section 508 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794d), do not apply to financial assistance agreements, the NPS is subject to the Act's requirements that all documents posted on an NPS or NPS-hosted website comply with the accessibility standards of the Act. Accordingly, final deliverable reports prepared under this agreement and submitted in electronic format must be submitted in a format whereby NPS can easily meet the requirements of Section 508 of the Rehabilitation Act of 1973, as amended. *NOTE: Quarterly Progress Reports and financial reports are not considered final deliverables and therefore the following requirements do not apply.*

All electronic documents prepared under this Agreement must meet the requirements of Section 508 of the Rehabilitation Act of 1973, as amended. The Act requires that all electronic products prepared for the Federal Government be accessible to persons with disabilities,

including those with vision, hearing, cognitive, and mobility impairments. View [Section 508 of the Rehabilitation Act, Standards and Guidelines](#) for detailed information.

The following summarizes some of the requirements for preparing NPS reports in conformance with Section 508 for eventual posting by NPS to an NPS-sponsored website. For specific detailed guidance and checklists for creating accessible digital content, please go to [Section 508.gov, Create Accessible Digital Products](#). All accessible digital content must conform to the requirements and techniques of the [Web Content Accessibility Guidelines \(WCAG\) 2.0 or later](#), Level AA Success Criteria.

a. Electronic documents with images

Provide a text equivalent for every non-text element (including photographs, charts and equations) in all publications prepared in electronic format. Use descriptions such as "alt" and "longdesc" for all non-text images or place them in element content. For all documents prepared, vendors must prepare one standard HTML format as described in this statement of work AND one text format that includes descriptions for all non-text images. "Text equivalent" means text sufficient to reasonably describe the image. Images that are merely decorative require only a very brief "text equivalent" description. However, images that convey information that is important to the content of the report require text sufficient to reasonably describe that image and its purpose within the context of the report.

b. Electronic documents with complex charts or data tables

When preparing tables that are heavily designed, prepare adequate alternate information so that assistive technologies can read them out. Identify row and column headers for data tables. Provide the information in a non-linear form. Markups will be used to associate data cells and header cells for data tables that have two or more logical levels of row and column headers.

c. Electronic documents with forms

When electronic forms are designed to be completed on-line, the form will allow people using assistive technology to access the information, field elements, and functionality required for completion and submission of the form, including all directions and cues.

## 11. LOBBYING PROHIBITION

18 U.S.C. §1913, Lobbying with Appropriated Moneys, as amended by Public Law 107–273, Nov. 2, 2002 Violations of this section must constitute violations of section 1352(a) of title 31. In addition, the related restrictions on the use of appropriated funds found in Div. F, § 402 of the Omnibus Appropriations Act of 2008 (P.L. 110–161) also apply.

**12. ANTI-DEFICIENCY ACT**

Pursuant to 31 U.S.C. §1341 nothing contained in this Agreement must be construed as binding the NPS to expend in any one fiscal year any sum in excess of appropriations made by Congress, for the purposes of this Agreement for that fiscal year, or other obligation for the further expenditure of money in excess of such appropriations.

**13. ASSIGNMENT**

No part of this Agreement must be assigned to any other party without prior written approval of the NPS and the Assignee.

**14. MEMBER OF CONGRESS**

Pursuant to 41 U.S.C. § 22, no Member of Congress must be admitted to any share or part of any contract or agreement made, entered into, or adopted by or on behalf of the United States, or to any benefit to arise thereupon.

**15. AGENCY**

The Recipient is not an agent or representative of the United States, the Department of the Interior, NPS, or the Park, nor will the Recipient represent itself as such to third parties. NPS employees are not agents of the Recipient and will not act on behalf of the Recipient.

**16. NON-EXCLUSIVE AGREEMENT**

This Agreement in no way restricts the Recipient or NPS from entering into similar agreements, or participating in similar activities or arrangements, with other public or private agencies, organizations, or individuals.

**17. PARTIAL INVALIDITY**

If any provision of this Agreement or the application thereof to any party or circumstance must, to any extent, be held invalid or unenforceable, the remainder of this Agreement or the application of such provision to the parties or circumstances other than those to which it is held

invalid or unenforceable, must not be affected thereby and each provision of this Agreement must be valid and be enforced to the fullest extent permitted by law.

**18. NO EMPLOYMENT RELATIONSHIP**

This Agreement is not intended to and must not be construed to create an employment relationship between NPS and Recipient or its representatives. No representative of Recipient must perform any function or make any decision properly reserved by law or policy to the Federal government.

**19. NO THIRD-PARTY RIGHTS**

This Agreement creates enforceable obligations between only NPS and Recipient. Except as expressly provided herein, it is not intended, nor must it be construed to create any right of enforcement by or any duties or obligation in favor of persons or entities not a party to this Agreement.

**20. PROGRAM INCOME**

If the Recipient earns program income, as defined in 2 CFR §200.1, during the period of performance of this agreement, to the extent available the Recipient must disburse funds available from program income, and interest earned on such funds, before requesting additional cash payments (2 CFR §200.305 (5)). As allowed under 2 CFR §200.307, program income may be added to the Federal award by the Federal agency and the non-Federal entity. The program income must be used for the purposes, and under the conditions of, the Federal award. Disposition of program income remaining after the end of the period of performance must be negotiated as part of the agreement closeout process.

**21. RIGHTS IN DATA**

The Recipient must grant the United States of America a royalty-free, non-exclusive and irrevocable license to publish, reproduce and use, and dispose of in any manner and for any purpose without limitation, and to authorize or ratify publication, reproduction or use by others, of all copyrightable material first produced or composed under this Agreement by the Recipient, its employees or any individual or concern specifically employed or assigned to originate and prepare such material.

**22. CONFLICT OF INTREST**

(a) Applicability.

1. This section intends to ensure that non-Federal entities and their employees take appropriate steps to avoid conflicts of interest in their responsibilities under or with respect to Federal financial assistance agreements.
2. In the procurement of supplies, equipment, construction, and services by recipients and by subrecipients, the conflict-of-interest provisions in 2 CFR 200.318 apply.

(b) Requirements.

1. Non-Federal entities must avoid prohibited conflicts of interest, including any significant financial interests that could cause a reasonable person to question the recipient's ability to provide impartial, technically sound, and objective performance under or with respect to a Federal financial assistance agreement.
2. In addition to any other prohibitions that may apply with respect to conflicts of interest, no key official of an actual or proposed recipient or subrecipient, who is substantially involved in the proposal or project, may have been a former Federal employee who, within the last one (1) year, participated personally and substantially in the evaluation, award, or administration of an award with respect to that recipient or subrecipient or in development of the requirement leading to the funding announcement.
3. No actual or prospective recipient or subrecipient may solicit, obtain, or use non-public information regarding the evaluation, award, or administration of an award to that recipient or subrecipient or the development of a Federal financial assistance opportunity that may be of competitive interest to that recipient or subrecipient.

(c) Notification.

1. Non-Federal entities, including applicants for financial assistance awards, must disclose in writing any conflict of interest to the DOI awarding agency or pass-through entity in accordance with 2 CFR 200.112, Conflicts of interest.

(d) Recipients must establish internal controls that include, at a minimum, procedures to identify, disclose, and mitigate or eliminate identified conflicts of interest. The recipient is responsible for notifying the Financial Assistance Officer in writing of any conflicts of interest that may arise during the life of the award, including those that have been reported by subrecipients.

Restrictions on Lobbying. Non-Federal entities are strictly prohibited from using funds under this grant or cooperative agreement for lobbying activities and must provide the required certifications and disclosures pursuant to 43 CFR Part 18 and 31 USC 1352.

- (e) Review Procedures. The Financial Assistance Officer will examine each conflict-of-interest disclosure on the basis of its particular facts and the nature of the proposed grant or cooperative agreement and will determine whether a significant potential conflict exists and, if it does, develop an appropriate means for resolving it.
- (f) Enforcement. Failure to resolve conflicts of interest in a manner that satisfies the Government may be cause for termination of the award. Failure to make required disclosures may result in any of the remedies described in 2 CFR 200.338, Remedies for Noncompliance, including suspension or debarment (see also 2 CFR Part 180).

### 23. **BUILD AMERICA, BUY AMERICA**

As required by Section 70914 of the Bipartisan Infrastructure Law (also known as the Infrastructure Investment and Jobs Act), P.L. 117-58, on or after May 14, 2022, none of the funds under a federal award that are part of Federal financial assistance program for infrastructure may be obligated for a project unless all of the iron, steel, manufactured products, and construction materials used in the project are produced in the United States, unless subject to an approved waiver. The requirements of this section must be included in all subawards, including all contracts and purchase orders for work or products under this program.

Recipients of an award of Federal financial assistance are hereby notified that none of the funds provided under this award may be used for a project for infrastructure unless:

1. all iron and steel used in the project are produced in the United States--this means all manufacturing processes, from the initial melting stage through the application of coatings, occurred in the United States;
2. all manufactured products used in the project are produced in the United States—this means the manufactured product was manufactured in the United States; and the cost of the components of the manufactured product that are mined, produced, or manufactured in the United States is greater than 55 percent of the total cost of all components of the manufactured product, unless another standard for determining the minimum amount of domestic content of the manufactured product has been established under applicable law or regulation; and

3. all construction materials are manufactured in the United States—this means that all manufacturing processes for the construction material occurred in the United States.

The Buy America preference only applies to articles, materials, and supplies that are consumed in, incorporated into, or affixed to an infrastructure project. As such, it does not apply to tools, equipment, and supplies, such as temporary scaffolding, brought to the construction site and removed at or before the completion of the infrastructure project. Nor does a Buy America preference apply to equipment and furnishings, such as movable chairs, desks, and portable computer equipment, that are used at or within the finished infrastructure project but are not an integral part of the structure or permanently affixed to the infrastructure project.

For further information on the Buy America preference, please visit [“Buy America” Domestic Sourcing Guidance and Waiver Process for DOI Financial Assistance Agreements | U.S. Department of the Interior](#). Additional information can also be found at the White House Made in America Office website: [Made In America | OMB | The White House](#).

#### Waivers

When necessary, recipients may apply for, and the Department of the Interior (DOI) may grant, a waiver from these requirements, subject to review by the Made in America Office. The DOI may waive the application of the domestic content procurement preference in any case in which it is determined that one of the below circumstances applies:

1. Non-availability Waiver: the types of iron, steel, manufactured products, or construction materials are not produced in the United States in sufficient and reasonably available quantities or of a satisfactory quality;
2. Unreasonable Cost Waiver: the inclusion of iron, steel, manufactured products, or construction materials produced in the United States will increase the cost of the overall project by more than 25 percent; or
3. Public Interest Waiver: applying the domestic content procurement preference would be inconsistent with the public interest. There may be instances where an award qualifies, in whole or in part, for an existing DOI general applicability waiver as described at: [Approved DOI General Applicability Waivers | U.S. Department of the Interior](#).

If the specific financial assistance agreement, infrastructure project, or non-domestic materials meets the criteria of an existing general applicability waiver within the limitations defined within the waiver, the recipient is not required to request a separate waiver for non-domestic materials.

If a general applicability waiver does not already apply, and a recipient believes that one of the above circumstances applies to an award, a request to waive the application of the domestic content procurement preference may be submitted to the financial assistance awarding officer in writing. Waiver requests must include the below information. The waiver must not include any Privacy Act information, sensitive data, or proprietary information within their waiver request. Waiver requests will be posted to [“Buy America” Domestic Sourcing Guidance and Waiver Process for DOI Financial Assistance Agreements | U.S. Department of the Interior](#) and are subject to public comment periods of no less than 15 days. Waiver requests will also be reviewed by the Made in America Office.

1. Type of waiver requested (non-availability, unreasonable cost, or public interest).
2. Requesting entity and Unique Entity Identifier (UEI) submitting the request.
3. Department of Interior Bureau or Office who issued the award.
4. Federal financial assistance listing name and number (reference block 2 on DOI Notice of Award)
5. Financial assistance title of project (reference block 8 on DOI Notice of Award).
6. Federal Award Identification Number (FAIN).
7. Federal funding amount (reference block 11.m. on DO Notice of Award).
8. Total cost of Infrastructure expenditures (includes federal and non-federal funds to the extent known).
9. Infrastructure project description(s) and location(s) (to the extent known).
10. List of iron or steel item(s), manufactured goods, and construction material(s) the recipient seeks to waive from Buy America requirements. Include the name, cost, countries of origin (if known), and relevant PSC or NAICS code for each.
11. A certification that the recipient made a good faith effort to solicit bids for domestic products supported by terms included in requests for proposals, contracts, and nonproprietary communications with the prime contractor.
12. A statement of waiver justification, including a description of efforts made (e.g., market research, industry outreach) by the recipient, in an attempt to avoid the need for a



waiver. Such a justification may cite, if applicable, the absence of any Buy America-compliant bids received in response to a solicitation.

13. Anticipated impact if no waiver is issued. Approved waivers will be posted at [Approved Buy America Requests | U.S. Department of the Interior \(doi.gov\)](#); recipients requesting a waiver will be notified of their waiver request determination by an awarding officer.

Questions pertaining to waivers should be directed to the financial assistance awarding officer.

#### Definitions

“Construction materials” includes an article, material, or supply that is or consists primarily of:

- non-ferrous metals;
- plastic and polymer-based products (including polyvinylchloride, composite building materials, and polymers used in fiber optic cables);
- glass (including optic glass);
- lumber; or
- drywall.

“Construction Materials” does not include cement and cementitious materials, aggregates such as stone, sand, or gravel, or aggregate binding agents or additives.

“Domestic content procurement preference” means all iron and steel used in the project are produced in the United States; the manufactured products used in the project are produced in the United States; or the construction materials used in the project are produced in the United States.

“Infrastructure” includes, at a minimum, the structures, facilities, and equipment for, in the United States, roads, highways, and bridges; public transportation; dams, ports, harbors, and other maritime facilities; intercity passenger and freight railroads; freight and intermodal facilities; airports; water systems, including drinking water and wastewater systems; electrical transmission facilities and systems; utilities; broadband infrastructure; and buildings and real property.

Infrastructure includes facilities that generate, transport, and distribute energy.

“Project” means the construction, alteration, maintenance, or repair of infrastructure in the United States

## 24. GEOSPATIAL DATA

Geospatial Data Act of 2018, Pub. L. 115-254, Subtitle F – Geospatial Data, §§ 751-759C, codified at 43 U.S.C. §§ 2801–2811 - Federal recipient collection of geospatial data through the use of the Department of the Interior financial assistance funds requires a due diligence search at the GeoPlatform.gov list of datasets to discover whether the needed geospatial-related data, products, or services already exist. If the required data set already exists, the recipient must use it. If the required data is not already available, the recipient must produce the proposed geospatial data, products, or services in compliance with applicable proposed guidance and standards established by the Federal Geospatial Data Committee (FGDC) posted at [www.fgdc.gov](http://www.fgdc.gov).

Recipients must submit a digital copy of all GIS data produced or collected as part of the award funds to the bureau or office via email or data transfer. All GIS data files must be in open format. All delineated GIS data (points, lines or polygons) should be established in compliance with the approved open data standards with complete feature level metadata.

## 25. SIGNATURES

Recipients are NOT required to sign the Notice of Financial Assistance Award letter or any other award document. As per DOI standard award terms and conditions, the recipient's acceptance of a financial assistance award is defined as the start of work, drawing down funds, or accepting the award via electronic means.