

**US ENVIRONMENTAL PROTECTION AGENCY (EPA)  
FEDERAL DEMONSTRATION PARTNERSHIP (FDP) IV  
AGENCY SPECIFIC REQUIREMENTS  
(February 2005)**

**Environmental Protection Agency Home Page** <http://www.epa.gov>  
**EPA Grants Information** <http://www.epa.gov/epahome/grants.htm>  
**National Center for Environmental Research** <http://es.epa.gov/ncerqa/>  
**OMB Circulars** <http://www.whitehouse.gov/OMB/grants/index.html>

**Article 1. Awards Covered by FDP T&Cs**

Research grants and cooperative agreements to FDP members funded by EPA's National Center for Environmental Research (NCER). The FDP T&Cs do not apply to contracts.

**Article 2. Prior Approval Requirements Not Included in the General T&Cs**

Prior written EPA approval is required for foreign travel.

Prior written EPA approval is required for (1) projects exceeding 5 years and (2) projects needing extensions beyond that authorized in FDP General Term and Condition 25(c)(2). See Article 8, Paragraph F(1).

**Article 3. Unallowable Direct Costs Aside from Those in A-21/A-122**

None

**Article 4. Contact Information for Technical Matters**

Questions regarding technical matters should be referred to the EPA project officer cited in the assistance agreement.

**Article 5. Contact Information for Administrative Matters**

Questions regarding administrative matters should be referred to the EPA grant specialist cited in the assistance agreement.

**Article 6. Contact Information for Intellectual Property Matters**

Questions regarding intellectual property matters should be referred to the EPA grant specialist cited in the assistance agreement.

### **Article 7. Revised Budget Requirements**

EPA does not require standard budget forms. Revised budgets should be submitted in the same general format as the original budget submission.

### **Article 8. Technical Reporting**

General. As a result of this agreement, the recipient agrees to provide to EPA's Center for Environmental Research (NCER) annual progress reports with associated summaries, and a final report with an executive summary along with a copy of any papers resulting from the research conducted.

A. Annual Progress Reports. The recipient agrees to submit annual progress reports to the EPA Project Officer within 90 days after the end of each reporting period regardless of whether the agreement was fully or partially funded. If the agreement was partially funded, so that an additional increment of funding is to be provided, EPA may elect to not provide further funding until the recipient has submitted the required annual progress report. The reporting period begins at the project start date, or, for subsequent years, on the annual anniversary of the start date. The reports should generally not exceed five 8 1/2" X 11" pages, exclusive of the summary discussed below. These reports shall provide the information requested below.

(1) Brief statements covering work status, work progress, preliminary data results, and evaluations made during the reporting period, including a comparison of actual accomplishments with the goals and objectives for the period. Address difficulties you have encountered (or might encounter) in carrying out this project and remedial actions (to be) taken. If the aims of the project have not changed from the original application, state this. If these have been modified, provide the revised aims and discuss the reason for the modification.

(2) A discussion of any absence or changes of key personnel involved in the project.

(3) A discussion of expenditures to date along with a comparison of the percentage of the project completed to the project schedule, and an explanation of any costs which are higher than originally estimated. Revised budget information will be required under this agreement if any significant changes in the size or scope of the project or in the originally-negotiated total estimated costs are anticipated for the project period.

(4) Statements addressing how the quality assurance requirements of the agreement are being met, especially focusing on the assurance of data quality relevant to environmental measurements and data generation.

(5) Results to date, emphasizing findings and their significance to the field, their relationship to the general goals of the award, their relevance to the Agency's mission, and their potential practical applications.

(6) Planned activity for the subsequent reporting period, including a description of equipment, techniques, and materials to be used or evaluated.

(7) Publications arising from this project. Copies of publications and reprints which have not previously been submitted to the Agency should be enclosed with the report.

(8) Annual Report Summaries with each annual progress report. These will be placed on the EPA/NCER HomePage. NCER will not alter the content of a summary without consultation with the Principal Investigator. The summary should be submitted in the following format:

NCER Assistance Agreement Annual Report Summary (1-2 pages)

Date of Report:

EPA Agreement Number:

Title:

Investigators:

Institution:

Research Category:

Project Period:

Objective of Research:

Progress Summary/Accomplishments:

Publications/Presentations:

Future Activities:

Supplemental Keywords:

Relevant Web Sites:

B. Final Report. The recipient agrees to submit a final report to the EPA Project Officer by 90 calendar days after the expiration of the project period. The Project Officer may require clarifications of the final report before the report is considered acceptable. Although there are no page restrictions on the final report (other than on the executive summary below), EPA does not expect a final report of great length. However, this document shall include a discussion of:

(1) Project activities over the entire period of funding, describing the recipient's achievements with respect to the stated project purposes and objectives.

(2) The complete details of all technical aspects of the project--both negative and positive--the recipient's findings, conclusions, and results, including the associated quality assurance results.

(3) An evaluation of (a) the technical effectiveness and economic feasibility of the methods or techniques investigated or demonstrated, if applicable, and/or (b) an explanation of how the research adds to our understanding of or solutions for environmental problems or is otherwise of

benefit to the environment and human health. This discussion should be a minimum of one paragraph long and written in terms understandable by the educated layman.

(4) For projects involving computer modeling, the recipient agrees to provide the following information with the final report:

- a. Model description, key assumptions, version, source and intended use;
- b. Performance criteria for the model related to the intended use;
- c. Test results to demonstrate the model performance criteria were met (e.g., code verification, sensitivity analyses, history matching with lab or field data, as appropriate);
- d. Theory behind the model, expressed in non-mathematical terms;
- e. Mathematics to be used, including formulas and calculation methods;
- f. Whether or not the theory and mathematical algorithms were peer reviewed, and, if so, include a summary of theoretical strengths and weaknesses;
- g. Number and uncertainty associated with parameters (how data was selected/obtained and assessed to assure it met requirements, or, documentation of the weakness due to known uncertainty and variability);
- h. Input data requirements and how data will be selected/obtained and later assessed to assure it met requirements, or, documentation of the weakness due to known uncertainty and variability;
- i. Hardware requirements; and
- j. Documentation (e.g., users' guide, journal publications, model code).

(5) Also, the recipient agrees to submit an Executive Summary with the final report. This will be placed on the EPA/NCER HomePage along with a list of publications. NCER will not alter the content of a summary without consultation with the Principal Investigator. Note: the recipient need not create this summary if the final report is ten pages or less, and is suitable for inclusion in the NCER Homepage. The summary should be submitted in the following format:

NCER Assistance Agreement Final Report Executive Summary (3-5 pages)

Date of Final Report:

EPA Agreement Number:

Title:

Investigators:

Institution:

Research Category:

Project Period:

Description and Objective of Research:

Summary of Findings:

Conclusions:

Publications/Presentations:

Supplemental Keywords: (do not duplicate terms used in Progress summary)

Relevant Web Sites

C. Annual Meeting Attendance. The Principal Investigator or Co-Investigator (Project Manager) will attend annual EPA Research Grants Seminars (otherwise known as program reviews or All-Investigator's Meetings) if requested by EPA, to present and discuss the project. Per original RFA instructions, expenses for travel to these meetings have been provided within the funding for this agreement.

D. Publications and/or Other Public Release of Results.

(1) The recipient will provide copies of any peer reviewed journal article(s) resulting from this research, in addition to the final technical report. The recipient shall submit three copies of each article to the EPA Project Officer. EPA encourages the independent publication of the results of its extramural research in appropriate scientific journals. Any journal article so published, however, must follow the FDP requirements for publications.

(2) Because NCER intends to post references to all publications resulting from the agreement on its HomePage, the recipient is encouraged to continue to notify the Project Officer of any papers that are published based on the research under the agreement.

(3) An acknowledgment of EPA support should be included on Web pages and stated during all media interviews.

E. Form of Reports. The recipient agrees to provide final and annual reports and associated summaries in both hard copy and electronic form. The electronic version should be on a DOS-formatted diskette using commonly available word processing software (e.g., WordPerfect® or Word®). The EPA standard at present is WordPerfect®. The electronic version of these reports may also be provided in PDF format or sent via E-mail.

F. Other recipient responsibilities.

(1) Although FDP General Term and Condition 25(c)(2) allows the recipient to grant itself a one-time extension to the project period under certain conditions, the recipient may not do so if, via this extension, the project period will exceed five years. Any extension of the expiration date which approaches five years must be requested at least thirty days in advance and approved by the Project Officer and Award Official. This approval is necessary due to certain Federal restrictions on the use of funds. For any other extension the recipient is required to notify the EPA Award Official and Project Officer in writing, with the supporting reasons and revised expiration date, at last 10 days before the expiration date specified in the award.

(2) If the recipient desires to transfer, by contract or other means, a significant part of the research effort after an award has been made, the recipient must submit a written justification to the Project Officer. This statement should include a description of the scientific/technical impact on the project and a budget estimate to the Award Official. (Contractual arrangements that were proposed in the application do not require additional approval.) The agency decision will be transmitted in writing by the Award Official.

### **Article 9. Financial Reporting**

The recipient agrees to submit a final Financial Status Report (FSR) (Standard Form 269) within 90 days after the end of this budget period to the following address:

U.S. Environmental Protection Agency  
Las Vegas Financial Management Center  
P.O. Box 98515  
Las Vegas, Nevada 89193-8515

When the recipient submits a final FSR, the recipient will in one of the following ways make an adjustment for the amount of Federal funds, if any, received in excess of the EPA share of the reported total budget period costs:

- (a) If the recipient is paid through EPA-ACH, they shall, in accordance with the enclosed payment guidance dated May 1995, refund excess assistance funds by either submitting a credit on a current EPA-ACH Payment Request or by sending a check to the lockbox address: U.S. Environmental Protection Agency, Las Vegas Financial Management Center, P.O. Box 371293M, Pittsburgh, Pennsylvania 15251.
- (b) If the recipient is paid by treasury check, they shall, in accordance with the enclosed payment guidance dated May 1995, refund excess assistance funds by submitting a check to the lockbox address in paragraph (a).

If funds are due to the recipient at the time of submission of the final FSR, the recipient shall follow the procedures as outlined on the enclosed payment guidance to request the appropriate amount of funds from EPA.

### **Article 10. Incremental Funding Actions**

Generally, no additional documentation is required to initiate an increment.

## **EPA AGENCY SPECIFIC REQUIREMENTS RELATED TO ARTICLES IN THE GENERAL TERMS AND CONDITIONS**

### **Article 11. Payments**

#### **REFERENCE: FDP ARTICLE 22**

If the recipient's method of payment is through the Automated Clearing House (ACH), the following term and condition applies:

By accepting this agreement for the electronic method of payment through the Automated Clearing House (ACH) network using the EPA-ACH payment system, the recipient agrees to:

- (a) Request funds based on the recipient's immediate disbursement requirements by presenting an EPA-ACH Payment Request to your EPA Servicing Finance Office (see EPA-ACH Payment System Recipient's Manual for additional information).
- (b) Provide timely reporting of cash disbursements and balances in accordance with the EPA-ACH Payment System Recipient's Manual; and
- (c) Impose the same standards of timing and reporting on subrecipients, if any.

Failure on the part of the recipient to comply with the above conditions may cause the recipient to be placed on the reimbursement payment method.

If the recipient's method of payment is not through the Automated Clearing House, the following term and condition applies:

In order to comply with the Debt Collection Improvement Act of 1996, the recipient will complete and return the attached "Payment Information Form ACH Vendor Payment System," (TFS Form 3881) to the following address:

U.S. Environmental Protection Agency  
Las Vegas Financial Management Center  
P.O. Box 98515  
Las Vegas, Nevada 89193-8515

## **OTHER AGENCY REQUIREMENTS**

### **Article 12. Research Misconduct**

The recipient agrees to notify the EPA Project Officer in writing about research misconduct involving research activities that are supported in whole or in part with EPA funds under this project. EPA defines research misconduct as fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results [65 FR 76262. I],

or ordering, advising or suggesting that subordinates engage in research misconduct. The recipient agrees to:

(1) immediately notify the EPA Project Officer who will then inform the EPA Office of Inspector General (OIG) if, at any time, an allegation of research misconduct falls into one of the categories listed below:

1. Public health or safety is at risk.
2. Agency resources or interests are threatened.
3. Circumstances where research activities should be suspended.
4. There is a reasonable indication of possible violations of civil or criminal law.
5. Federal action is required to protect the interests of those involved in the investigation.
6. The research entity believes that the inquiry or investigation may be made public prematurely so that appropriate steps can be taken to safeguard evidence and protect the rights of those involved.
7. Circumstances where the research community or public should be informed. [65 FR 76263.III]

(2) report other allegations to the OIG when they have conducted an inquiry and determined that there is sufficient evidence to proceed with an investigation. [65 FR 76263. III]

### **Article 13. Lobbying**

In accordance with EPA guidance and OMB Circular No. A-21 or A-122, as appropriate, the recipient agrees that it will not use assistance funds (Federal or non-Federal share) for lobbying or political activities.

### **Article 14. Lobbying and Litigation Certification**

The recipient agrees to provide EPA Form 5700-53, Lobbying and Litigation Certificate as mandated by EPA's annual appropriations act. A chief executive officer of any entity receiving funds under this Act shall certify that none of these funds have been used to engage in the lobbying of the Federal Government or in litigation against the United States unless authorized under existing law. The certification must be submitted in accordance with the instructions provided by the EPA award official and is due 90 days after the end of the project period.