

**EPA RESEARCH AND RELATED  
AGENCY SPECIFIC REQUIREMENTS  
(March 2014)**

**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://www.epa.gov/ncer/>  
**OMB Circulars** <http://www.whitehouse.gov/omb/circulars>

**Article 1. EPA Implementation of the Standard Research Terms and Conditions**

The EPA standard research terms and conditions apply to research grants and cooperative agreements awarded by the Office of Research and Development. The standard Research terms and conditions will not apply to research centers, conferences, training projects, fellowships, or awards made as part of the People, Prosperity, and the Planet (P3) program.

EPA implementation of the standard research terms and conditions includes the applicable EPA general terms and conditions available at:  
<http://www.epa.gov/ogd/tc.htm>.

**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 Research and Related General Term and Condition 25(c)(2). See Article 8, Paragraph F.

**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 Office of Research and Development (ORD) 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 calendar days after the end of each reporting period. 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. EPA may withhold payment if progress reports are not submitted by the due date. In addition, if EPA determines that the recipient has not made sufficient progress toward completing its research, EPA may terminate the assistance agreement. Sufficient progress is demonstrated by the grantee meeting the project schedule and milestones described in the approved research plan to the maximum extent practicable, while taking into account any extenuating factors that may have delayed progress. 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 include:

- (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 (outputs/outcomes) for the period. Address difficulties you have encountered (or might encounter) in carrying out this project and remedial actions (to be) taken. If the goals of the project have not changed from the original application, state this. If these have been modified, provide the revised goals and discuss the reason for the modification. Discuss any problems, delays, or adverse conditions which may materially impair the ability to meet the results (outputs/outcomes) specified in the application.
- (2) A discussion of any absence or changes of key personnel involved in the project.
- (3) A discussion of expenditures to date along with an explanation of any costs which are significantly higher or lower 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 40 C.F.R. Part 30.54 and the agreement are being met, especially focusing on the system in place that assures the quality of environmental measurements, data generation and use.

(5) Results (outputs/outcomes) 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) Assurance that research misconduct has not occurred during the reporting period. 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.

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

(8) 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. The publication list should be cumulative of previous Annual Reports.

(9) In addition, the recipient agrees to submit Annual Report Summaries with each annual progress report for posting on the Internet. These will be placed on EPA/ORD website(s). EPA will not alter the content of a summary without consultation with the Principal Investigator(s). The summary should be submitted in the following format:

**EPA Assistance Agreement Annual Report Summary (1-2 pages)**

Period Covered by the Report:

Date of Report:

EPA Agreement Number:

Title:

Investigators:

Institution:

Research Category:

Project Period:

Objective of Research:

Progress Summary/Accomplishments (Outputs/Outcomes):

Publications/Presentations:

Future Activities:

Supplemental Keywords:

Relevant Websites:

B. Final Report. The recipient agrees to submit a final report to the EPA Project Officer within 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 goals and objectives (outputs/outcomes).
- (2) 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 (b) an explanation of how the research adds to the 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) 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. The publication list should be cumulative of previous Annual Reports.
- (5) For projects involving computer modeling, if requested by the PO, 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).
- (6) In addition, the recipient agrees to submit an Executive Summary with the final report for posting on the Internet. This will be placed on EPA/ORD website(s) along with a list of publications. EPA will not alter the content of a summary without consultation with the Principal Investigator(s). Note: the recipient need not create this summary if the final

report is ten pages or less, and is suitable for inclusion in the EPA website. The summary should be submitted in the following format:

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

Period Covered by the Report:

Date of Final Report:

EPA Agreement Number:

Title:

Investigators:

Institution:

Research Category:

Project Period:

Objective of Research:

Summary of Findings (Outputs/Outcomes):

Publications/Presentations:

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

Relevant Websites:

C. Annual Meeting Attendance. The Principal Investigator(s) will attend annual EPA Research Grants Seminars (otherwise known as progress reviews or All-Investigators Meetings) if requested by EPA, to present and discuss the project. Per EPA 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) EPA encourages the independent publication of the results of its extramural research in appropriate scientific journals. Any journal article so published, however, must contain acknowledgement of the appropriate grant number and the following statement:

“This publication [article] was developed under Assistance Agreement No. \_\_\_\_\_ awarded by the U.S. Environmental Protection Agency to [name of recipient]. It has not been formally reviewed by EPA. The views expressed in this document are solely those of [name of recipient or names of authors] and do not necessarily reflect those of the Agency. EPA does not endorse any products or commercial services mentioned in this publication.”

The Lead/Contact principal investigator is responsible for ensuring that all members of the project team comply with these acknowledgement requirements.

(2) Additionally, an acknowledgment of EPA support should be included on presentations, posters, websites, and stated during all media interviews.

(3) The recipient is strongly encouraged to continue to notify the Project Officer of any papers that are published based on the research under the agreement. EPA intends to post references to all publications resulting from the agreement on the EPA website.

(4) The recipient agrees to submit one copy of each peer reviewed journal article(s) resulting from this research, in addition to the final technical report.

E. Form of Reports. The recipient agrees to provide final and annual reports and associated summaries in an electronic format. The electronic versions shall be submitted in PC format, using commonly available word processing software or PDF. When requested by the Project Officer, these reports shall also be submitted in hardcopy format.

F. Other recipient responsibilities.

In accordance with Section 25(c)(2) of the Research Terms and Conditions implementing Part 215, the recipient may initiate a one-time no-cost extension of this project of up to 12 months by notifying EPA in writing, with the supporting reasons and revised project period end date, at least ten calendar days before the project period end date specified in the award agreement. Notwithstanding Section 25(c)(2) of the Research Terms and Conditions, if the extension causes the project period to exceed five years or is in addition to a previously requested one-time no-cost extension of this project, the extension should be requested at least 75 calendar days in advance of the project period end date and approved by EPA. These approvals are necessary due to EPA Office of Research and Development policy.

G. Foreign Travel

No foreign travel will be funded by this agreement without prior written approval of the EPA. The recipient agrees to notify the EPA Project Officer at least 60 days before any proposed foreign travel to allow the EPA sufficient time to obtain the appropriate clearances. The recipient understands that funds awarded under this assistance agreement may not be used for international activities unless prior written notification is received from the EPA Project Officer that the international activities have been approved by EPA's Office of International and Tribal Affairs. For purposes of this condition, international activities include any foreign travel paid for with EPA funds. In addition, the recipient understands that all foreign travel must comply with the Fly America Act. All travel must be on U.S. air carriers certificated under 49 U.S.C. Section 1371, to the extent that service by such carriers is available even if foreign air carrier costs are less than the American Carrier.

H. Human Subjects

No research involving human subjects will be conducted under this agreement without prior written approval of the EPA. The recipient agrees to comply with all applicable provisions of EPA Regulation 40 CFR 26 (**Protection of Human Subjects**). This includes, at Subpart A, the Basic Federal Policy for the Protection of Human Research Subjects, also known as the Common Rule. It also includes, at Subparts B, C, and D, prohibitions and additional protections for children, nursing women, pregnant women, and fetuses in research conducted or supported by EPA.

The recipient further agrees to comply with EPA's procedures for oversight of the recipient's compliance with 40 CFR 26, as given in EPA Order 1000.17 Change A1 **(Policy and Procedures on Protection of Human Research Subjects in EPA Conducted or Supported Research)**. As per this order, no human subject may be involved in any research conducted under this assistance agreement, including recruitment, until the research has been approved or determined to be exempt by the EPA Human Subjects Research Review Official (HSRRO) after review of the approval or exemption determination of the Institutional Review Board(s) (IRB(s)) with jurisdiction over the research under 40 CFR 26. For HSRRO approval, the recipient must forward: (1) copies of all documents upon which the IRB(s) with jurisdiction based their approval(s) or exemption determination(s), (2) copies of the IRB approval or exemption determination letter(s), (3) copy of the IRB-approved consent forms and subject recruitment materials, if applicable, and (4) copies of all supplementary IRB correspondence. The project officer will forward these to the HSRRO for review and approval, which must be obtained in writing before the research can begin.

Following the initial approvals indicated above, the recipient must provide, as part of the annual report(s), evidence of continuing review and approval of the research by the IRB(s) with jurisdiction, as required by 40 CFR 26.109(e). During the course of the research, investigators must promptly report any unanticipated problems involving risk to subjects or others according to requirements set forth by the IRB.

#### **Article 9. 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**

#### **OTHER AGENCY REQUIREMENTS**

#### **Article 10. Costs of Federal Participation**

The recipient understands that none of the funds for this project (including funds contributed by the recipient as cost sharing) may be used to pay for the travel of Federal employees or for other costs associated with Federal participation in this project. Except however, if a Federal agency is selected through the recipient's procurement process to carry out some of the work as a contractor to the recipient, funds may be used to allow necessary Federal travel and other costs associated with Federal participation in this project.

#### **Article 11. Research Misconduct**

In accordance with either 40 CFR 31.40(d) for State, local and Indian tribal governments or 40 CFR 30.51(f) for other recipients, as appropriate, 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:

- A. Public health or safety is at risk.
- B. Agency resources or interests are threatened.
- C. Circumstances where research activities should be suspended.
- D. There is a reasonable indication of possible violations of civil or criminal law.
- E. Federal action is required to protect the interests of those involved in the investigation.
- F. 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.
- G. 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 12. Disadvantaged Business Enterprises**

The recipient agrees to comply with the requirements of EPA's Program for Utilization of Small, Minority and Women's Business Enterprises in procurement under assistance agreements, contained in 40 CFR, Part 33.