

UNITED STATES DEPARTMENT OF THE INTERIOR  
BUREAU OF RECLAMATION

ASSISTANCE AGREEMENT

COPY

1. AGREEMENT NUMBER 08FG200048		2. TYPE OF AGREEMENT <input checked="" type="checkbox"/> GRANT <input type="checkbox"/> COOPERATIVE AGREEMENT		3. CLASS OF RECIPIENT County													
4. ISSUING OFFICE (NAME, ADDRESS) U.S. Department of the Interior Bureau of Reclamation Mid-Pacific Region 2800 Cottage Way, Room E-1815 Sacramento, California 95825-1898			5. RECIPIENT (NAME, ADDRESS, TELEPHONE) Santa Barbara County Water Agency Ph: (805) 568-3541 123 East Anapamu Street, Suite 240 Santa Barbara CA 93101 DUNS: 120-55-7967 TIN: 95-6002833														
6. ADMINISTRATIVE POINT OF CONTACT (NAME, ADDRESS, TELEPHONE, E-MAIL) Maria E. Castaneda, MP-3813 Phone (916) 978-5148 Bureau of Reclamation, Mid-Pacific Region Fax (916) 978-5175 Acquisition Services 2800 Cottage Way, Room E-1815 Sacramento, California 95825-1898 Email: <a href="mailto:mcastaneda@mp.usbr.gov">mcastaneda@mp.usbr.gov</a>			7. RECIPIENT PROJECT MANAGER (NAME, ADDRESS, TELEPHONE, E-MAIL) Ms. Helena von Rueden Ph: (805) 568-3541 Santa Barbara county Water Agency Fax: (805) 568-3434 123 East Anapamu Street, Suite 240 Santa Barbara CA 93101 Email: <a href="mailto:hvonrue@cosbpw.net">hvonrue@cosbpw.net</a>														
8. TECHNICAL REPRESENTATIVE (NAME, ADDRESS, TELEPHONE, E-MAIL) Mr. David Woolley, SCCAO Ph: (559) 487-5049 Bureau of Reclamation South Central California Area Office 1243 N Street Fresno, CA 93721-1813 Email: <a href="mailto:dwoolley@mp.usbr.gov">dwoolley@mp.usbr.gov</a>			9. EFFECTIVE DATE SEE BLOCK 17														
			10. COMPLETION DATE October 30, 2009														
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16a. Acceptance of this Assistance Agreement in accordance with the terms and conditions contained herein is hereby made on behalf of the above-named recipient			17a. Acceptance of this Assistance Agreement in accordance with the terms and conditions contained herein is hereby made on behalf of the United States of America, Bureau of Reclamation														
BY _____ TEDA			BY _____ TEDA														
16b. NAME, TITLE, AND TELEPHONE NUMBER OF SIGNER (Type or print)			17b. NAME OF GRANTS OFFICER (Type or print)														
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DOCUMENTS INCORPORATED HEREIN BY REFERENCE:

## A.1 BACKGROUND

The mission of the Bureau of Reclamation (Reclamation) is to manage, develop, and protect water and related resources in an environmentally and economically sound manner in the interest of the American public.

The Water Conservation Field Services Program (WCFSP) is designed to: encourage water conservation; assist water agencies to develop and implement effective water management and conservation plans; coordinate with State and other local conservation plan efforts; and generally foster improved water management on a regional, statewide and watershed basis. Areas of emphasis include:

- Task 1 - Water Management Planning
- Task 2 - Water Conservation Education
- Task 3 - Demonstration of Innovative Technologies
- Task 4 - Implementation of Conservation Measures

## A.2 PURPOSE

Santa Barbara County Water Agency is seeking funding for the development and reproduction of 8,000 Water Wise Landscaping CDs. These interactive CDs will directly reach at least 10,000 households through a distribution and borrowing program, and will be coupled with online availability to reach as many as 200,000 individuals over a two year period. The CD will educate individuals and businesses on water wise landscaping practices by providing photographs and information on water wise plants appropriate for Santa Barbara County, sample water wise gardens, and demonstrating best practices for landscaping and irrigation. The CD will allow users to pick from multiple landscape designs depending on the landscape's intended use as well as search for water wise plants by name or characteristics. The project is estimated to save 822 AF/year through landscape retrofits inspired by the information provided on the CD.

## A.3 OBJECTIVE

The CD will educate water users on water wise landscaping on multiple levels, including a large database of water wise plants, sample landscape designs, and best practices for landscaping and irrigation.

## A.4 BENEFITS

This project will produce 8,000 CDs, reaching 10,000 households and businesses, or approximately 30,000 individuals, through direct distribution and a loan/borrow program. Some CD's will be loaned out at least three times during the duration of the agreement, and many more times after the agreement period is over. The CD information also will be available on the County's water conservation webpage. This site sees an average of 7,885 hits per month. Over a two year period that application will be available online, as many as 189,240 will view the online version. This represents approximately 63,080 households and businesses. Combining the three venues for accessing the CD (i.e. distribution, loan, and online), a total of 219,240 residents and 73,080 households and businesses will have access to this program.

## A.5. RESPONSIBILITIES OF THE PARTIES

**A.5.1. THE RECIPIENT** Under this agreement, Santa Barbara County Water Agency *shall*:

Reference Santa Barbara County Water Agency proposal dated February 4, 2008. (See Attachment 2)

### **A.5.2. THE BUREAU OF RECLAMATION**

Reclamation shall be responsible for oversight of the Project and provide funding in the amount of \$36,206.00.

**A.6 STATEMENT OF WORK**

See A.5 Responsibilities of the Parties

**A.7 PERFORMANCE PERIOD**

The performance period of this agreement is from date of execution (Award) to October 30, 2009.

**A.8 FUNDING**

Reclamation will make advanced payments or reimburse the recipient for allowable costs incurred, in accordance with applicable OMB Circular during the effective period of this agreement. Please reference Special Provision B.1 Payment Policy of this agreement.

(a) **SUMMARY OF FUNDING ESTIMATES.** The following is a summary of the funding periods of the agreement, and the amounts of funding estimated for those periods:

<u>Period No.</u>	<u>Dates Covered</u>	<u>Estimated</u>
1.	Date of Execution through October 30, 2009	\$ 36,206.00
	TOTAL ESTIMATED AMOUNT	\$ 36,206.00

*(\* Unexpended funds obligated from previous fiscal years, may also be made available for costs incurred during this period.*

It is understood that any estimated amounts are not binding on either party and are for informational purposes only, until such time as a modification is issued to provide funding for that period.

(b) **SUMMARY OF FUNDING OBLIGATIONS.** The following is a summary of the funding that has been obligated for this agreement:

<u>Period #</u>	<u>Accounting and Appropriation Data</u>	<u>Amount</u>
1.	A10-1971-1000-000-00-0 0 2142400 411G	\$ 36,206.00
	TOTAL OBLIGATED AMOUNT	\$ 36,206.00

The Government is under no obligation to provide funds in addition to those reserved in writing. Except as required by other provisions of this Agreement specifically citing and to be an exemption from this clause, Reclamation shall not be obligated to reimburse the Recipient for costs incurred in excess of the estimated cost set forth in the approved annual budget.

**A.9 PROPERTY AND EQUIPMENT TO BE FURNISHED BY THE GOVERNMENT**

The equipment identified in  N/A  is furnished to the Recipient under this Grant/Cooperative Agreement. Procedures for managing equipment (including replacement equipment), whether acquired in whole or in part with funding from this Grant/ Cooperative Agreement, until disposition takes place will, as a minimum, meet the following requirements, or those of the applicable OMB Circular:

(1) Property records must be maintained that include a description of the property, a serial number or other identification number, the source of property, who holds title, the acquisition date, and cost of the property,

percentage of Federal participation in the cost of the property, the location, use and condition of the property, and any ultimate disposition data including the date of disposal and sale price of the property.

- (2) A physical inventory of the property must be taken and the results reconciled, and provided to the GOTR (at the address below), with the property records at least once every two years.
- (3) In accordance with the applicable OMB Circular, the Recipient shall request disposition instructions for any and all items of equipment with a current per unit fair market value in excess of \$5,000. Said disposition shall be forwarded to the address below no later than 30 days after completion of the period of performance.

U.S. Department of the Interior  
Bureau of Reclamation, Mid-Pacific Region  
Attn: Grants Officer  
2800 Cottage Way, Room E-1815  
Sacramento, California 95825-1898

### SPECIAL PROVISIONS (06/06)

#### B.1 PAYMENT POLICY (Reclamation 11/03)

Acceptance of a financial assistance agreement from Reclamation creates a legal responsibility on the part of the recipient organization to use the funds and property provided in accordance with the terms and conditions of the agreement. Reclamation has a reversionary interest in the unused balance of funding and in any funds improperly applied.

Payments to recipients are made in accordance with the basic standards and methods stated in the payment regulations at 43 CFR 12.61 or 43 CFR 12.922, as applicable to this agreement. These requirements are intended to minimize the time elapsing between the transfer of funds from the Federal government and the disbursement of these funds by the recipient.

Payment will be made in advance or by reimbursement as follows:

- (1) **Advance Payment** -- Recipients shall be paid in advance provided (1) they maintain or demonstrate the willingness and ability to maintain procedures to minimize the time elapsing between the transfer of funds and their disbursement by the recipient, (2) they comply with reporting requirements for timely submission of financial status reports; and (3) they impose these same standards on sub-recipients:

Advances to recipients shall be limited to the minimum amounts needed and shall be timed to be in accordance with the actual, immediate cash requirements of the recipient in carrying out the purpose of the agreement. The timing and amount of cash advances shall be as close as administratively feasible (generally no more than 3 days) to actual disbursements for direct program costs and the proportionate share of allowable indirect costs.

- (2) **Reimbursement** -- Reimbursement shall be the preferred method of payment when a recipient (1) does not meet the requirements for advance payment stated above; (2) does not have financial management systems that meet the standards in 43 CFR 12.60 or 43 CFR 12.921, as applicable; or (3) has been converted to payment restrictions for non-compliance with the terms and conditions of the agreement. Reimbursement is also the preferred method of payment for agreements involving construction.

#### B.2 PAYMENT METHOD (Reclamation 11/03)

**Electronic Funds Transfer** -- Payments under this agreement will be made to recipients by electronic funds transfer (EFT) unless the recipient qualifies for exemption from this payment method. Reclamation utilizes the

Automated Clearinghouse (ACH) Vendor Express payment system for EFT. Whether funds are paid in advance or as a reimbursement, the actual payment will be made through Vendor Express. Vendor Express allows the Government to transfer funds to a recipient's financial institution along with explanatory information regarding the payment.

**Enrollment** -- Upon award, recipients will receive a copy of the SF-3881, ACH Vendor/Miscellaneous Payment Enrollment Form. This form is required to implement the Vendor Express system and to notify Reclamation of any change or corrections to financial institution information.

**Requesting Payments** -- Requests for advance or reimbursement may be made by the following methods:

(1) **SF-270, Request for Advance or Reimbursement** -- On a *monthly* basis, recipients may submit an original and two copies of a properly certified SF-270 form to the address identified in *Block 4, page 1*, of this agreement. For advance payments, this form may be submitted on a *monthly* basis, at least two weeks prior to the date on which funds are required, and on the basis of expected disbursements for the succeeding month and the amount of Federal funds already on hand. Requests for reimbursement may be submitted on a *monthly* basis, or more frequently if authorized by the Grants Officer (GO). Requested funds are delivered to the recipient via ACH Vendor Express. This form is available on the Internet at [http://www.whitehouse.gov/omb/grants/grants\\_forms.html](http://www.whitehouse.gov/omb/grants/grants_forms.html).

(2) **SF-271, Outlay Report and Request for Reimbursement for Construction Programs** -- The SF-271 shall be used for construction agreements paid by the reimbursement method, letter of credit, electronic funds transfer, or Treasury check advance, except where the advance is based on periodic requests from the recipient, in which case the SF-270 shall be used. This request may be submitted on a *quarterly* basis, but no less frequently than on an annual basis. Recipients may submit an original and two copies of a properly certified SF-271 form to the address identified in *Block 4, page 1*, of this agreement. This form is available on the Internet at [http://www.whitehouse.gov/omb/grants/grants\\_forms.html](http://www.whitehouse.gov/omb/grants/grants_forms.html).

(3) **Automated Standard Application for Payments (ASAP)** -- Recipients may utilize the Department of Treasury ASAP payment system to request advances or reimbursements. ASAP is a recipient-initiated payment and information system designed to provide a single point of contact for the request and delivery of Federal funds. Once a request is made through ASAP, funds are provided to the recipient either through ACH or Fedwire. Further information regarding ASAP may be obtained from the ASAP website at <http://www.fms.treas.gov/asap>. Upon award, you will be provided with information regarding enrollment in the ASAP system.

### **B.3 REPORTING REQUIREMENTS AND DISTRIBUTION (Reclamation 11/03)**

Failure to comply with the reporting requirements contained in this agreement may be considered a material non-compliance with the terms and conditions of the award. Non-compliance may result in withholding of payments pending receipt of required reports, denying both the use of funds and matching credit for all or part of the cost of the activity or action not in compliance, whole or partial suspension or termination of the agreement, recovery of funds paid under the agreement, withholding of future awards, or other legal remedies.

(1) **Financial Reports** -- All financial reports shall be signed by an Authorized Certifying Official for the recipient's organization. The following forms are available at [http://www.whitehouse.gov/omb/grants/grants\\_forms.html](http://www.whitehouse.gov/omb/grants/grants_forms.html).

(a) **SF-269 or SF-269a, Financial Status Report** - This form is utilized to report total expenditures for the reporting period. The SF-269 must be used if the recipient is accountable for the use of program income; otherwise, the SF-269a may be used.

An original and two copies of this form shall be submitted *quarterly* within 30 days following the end of each reporting period.

A final SF-269 or SF-269a shall be submitted within 90 days following completion of the agreement.

(b) **SF-272, Report of Federal Cash Transactions** -- This report shall be submitted by recipients that draw down cash advances by means of electronic funds transfer or Treasury check. Recipients shall identify in the "Remarks" section the amount of cash advances received in excess of 3 days prior to disbursement and explain actions taken to reduce excess balances.

An original and two copies of this form shall be submitted on a *monthly* (but only for those organizations receiving advances of \$1 million or more per year)] basis within 15 days following the end of the reporting period

## (2) Program Performance Reports

(a) **Interim Reports** -- Recipients shall submit an original and two copies of program performance reports on a *quarterly* basis within 30 days following the end of each reporting period. Program performance reports shall contain the following:

- 
- (i) A comparison of actual accomplishments with the goals and objectives established for the reporting period;
  - (ii) Where project output can be quantified, a computation of the cost per unit of output;
  - (iii) When appropriate, reasons why goals and objectives were not met; and
  - (iv) Other pertinent information including, when appropriate, analysis and explanation of cost overruns or high unit costs.

(b) **Annual Reports** - An original and two copies of an annual program performance report shall be submitted within 90 days following the end of each year of the agreement. Copies of this report may be required to be included with any application for continuing support of the agreement.

(c) **Final Report** - An original and two copies of the final program performance report shall be submitted no later than 90 days following the expiration or termination of the agreement.

(d) **Project Monitoring and Assessment Reports** - An original and two copies of the program performance measures report shall be submitted within 90 days following the end of each year of the agreement. A final program performance measures report shall be submitted within 90 days following the expiration or termination of the agreement. If the information needed to quantify project benefits is not available immediately at the close of the project period (generally 24 months from the date of award), the agreement will be modified to remain open until such information is available.

Performance measure information will be submitted to the USBR in an electronic format such as an Excel spreadsheet or delimited texts file. In addition, all data should be clearly labeled and include units and a time dimension where applicable:

- Data described in section E1
- Program administrative cost
- Material cost

## (3) Significant Developments

During the term of the agreement, the recipient must immediately notify the GO if any of the following conditions become known:

(a) Problems, delays or adverse conditions which will materially impair their ability to meet the objectives of the agreement;

(b) Favorable developments which enable the recipient to meet time schedules and objectives sooner than or at less cost than projected or to produce more beneficial results than originally planned.

This notification is to include information on the actions taken or contemplated to resolve problems, delays, or adverse conditions, and any assistance needed from Reclamation to help resolve the problem.

**(4) Report Distribution**

Copies of reports shall be distributed as follows:

	GO (Block 6, Page 1)	GOTR (Block 8, Page 1)
Financial Reports	2	1
Performance Reports	1	2
Significant Developments	2	1

**B.4 MODIFICATIONS (Reclamation 08/03)**

Any changes to this agreement shall be made by means of a written modification. Reclamation may make changes to the agreement by means of a unilateral modification to deal with administrative matters, such as changes in address, no-cost time extensions, the addition of previously agreed upon funding, or de-obligation of excess funds at the end of the agreement. Additionally, a unilateral modification may be utilized by Reclamation if it should become necessary to suspend or terminate the agreement in accordance with 43 CFR 12.83 or 43 CFR 12.961, as applicable.

All other changes shall be made by means of a bilateral modification to the agreement. No oral statement made by any person, or written statement by any person other than the GO, shall be allowed in any manner or degree to modify or otherwise effect the terms of the Agreement.

All requests for modification of the Agreement shall be made in writing, provide a full description of the reason for the request, and be sent to the attention of the GO. Any request for project extension shall be made at least 45 days prior to the expiration date of the agreement or the expiration date of any extension period that may have been previously granted. Any determination to extend the period of performance or to provide follow-on funding for continuation of a project is solely at the discretion of Reclamation.

**B.5 RECIPIENT'S PROJECT MANAGER (Reclamation 08/03)**

The Recipient's Project Manager for this Agreement shall be: Ms. Helena von Rueden, (805) 568-3541

**B.6 KEY PERSONNEL (Reclamation 08/03)**

The Recipient's key personnel for this agreement are identified as follows:

Ms. Helena von Rueden, (805) 568-3541

In accordance with 43 CFR 12.70(d)(3) or 43 CFR 12.925, as applicable, the Recipient shall request prior approval from Reclamation before making any changes in the key personnel identified above.



**B.7 GRANTS OFFICER TECHNICAL REPRESENTATIVE (GOTR)**  
**(Reclamation 03/08)**

The GOTR for this agreement will be: SEE BLOCK 8, page 1

The GOTR is authorized to act only on technical matters during the term of this Agreement. The GOTR and the Recipient's Project Manager shall work closely to insure that all requirements of the Agreement are being met. The GOTR's responsibilities include, but are not limited to, the following:

- (a) Assist the Recipient concerning the accomplishment of the tasks described in the Agreement;
- (b) Provide information to the Recipient which assists in the interpretation of the tasks; and
- (c) Review, and where required, approve reports and information to be delivered to the Government.

Technical assistance must be within the general scope of the Agreement. The GOTR does not have the authority to and may not issue any technical assistance which:

- ~~(a) Constitutes an assignment of additional work outside the general scope of the Agreement;~~
- (b) In any manner causes an increase or decrease in the total estimated cost or the time required for performance; or
- (c) Changes any of the expressed terms, conditions, or specifications.

**B.8 FUNDS AVAILABLE FOR PAYMENT (Reclamation 08/03)**

The Government's obligation under this Agreement is contingent upon the availability of appropriated funds from which payment for Agreement purposes can be made. No legal liability on the part of the Government for any payment may arise until funds are made available to the GO for this Agreement, and until the Recipient receives notice of such availability, to be confirmed in writing to the Recipient by the GO.

Pursuant to the Act of Congress of June 17, 1902 (32 Stat. 388), and acts amendatory thereof or supplementary thereto, all commonly known as Reclamation Law, funds for payment under the first year of this agreement are included in the fiscal year 2008 Energy and Water Development Appropriations Act, Public Law 110-161. Funding for any optional year of the agreement is contingent upon subsequent Congressional funding.

**B.9 REIMBURSABLE COSTS AND LIMITATIONS (Reclamation 08/03)**

**B.9.1** The Recipient shall provide all personnel, services, facilities, equipment, materials and supplies, and perform all travel which may be necessary and appropriate for the proper performance of this Agreement. Costs so incurred will be paid for as provided herein. Reclamation's obligation to provide funding to the Recipient for costs incurred in these connections shall be limited to the Recipient's direct and indirect costs associated with this Agreement. All such direct and indirect costs must be determined to be allowable under the regulations contained in 48 CFR Subpart 31.2 or an OMB Cost Principle Circular, as applicable, which are incorporated herein through the General Provisions of this agreement.

**B.9.2** The recipient shall not incur costs or obligate funds for any purpose pertaining to operation of the program or activities beyond the expiration date stated in the agreement. The only costs, which are authorized for a period of up to 90 days following the award expiration date are those strictly associated with closeout activities for preparation of the final report.

**B.9.3** Reclamation shall not be obligated to provide funding to the Recipient and the Recipient shall not be obligated to continue performance under the Agreement or to incur costs in excess of the costs set forth in the annual project budget unless the GO has furnished the Recipient a modification to increase the available funding for the Agreement.

**B.10 BUDGET REVISIONS (Reclamation 08/03)**

The Recipient shall follow the requirements at 43 CFR 12.70(c) or 43 CFR 12.925, as applicable, when making revisions to budget and program plans. Additionally, approval shall be requested for transfers of amounts budgeted for indirect costs to absorb increases in direct costs, or vice versa.

**B.11 PROCUREMENT STANDARDS (Reclamation 08/03)**

When utilizing Federal funds for the procurement of supplies and other expendable property, equipment, real property, and other services under this agreement, the Recipient shall utilize the Procurement Standards set forth at 43 CFR 12.76 or 43 CFR 12.940 -12.948, as applicable. The Recipient may be required to submit evidence that its procurement procedures are in compliance with the standards stated therein. Additional guidance for contracting with small and minority firm's, and women's business enterprises is included in the General Provisions section of this agreement.

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**B.12 PROPERTY STANDARDS (Reclamation 08/03)**

All property, equipment and supplies acquired by the Recipient with Federal funds shall be subject to usage, management, and disposal in accordance with the Property Standards at 43 CFR 12.72 - 12.73, or 43 CFR 12.930 - 12.937, as applicable.

**B.13 PROPERTY STANDARDS - REAL PROPERTY (Reclamation 08/03)**

In accordance with 43 CFR 12.71 or 43 CFR 12.932, as applicable, if real property is acquired in whole or in part under this agreement, it shall be subject to the following regulations:

**B.13.1 Title** -- Title to real property acquired under this agreement shall vest upon acquisition in the Recipient or Sub-recipient, shall be used for the originally authorized purpose of the project as long as it is needed, and shall not be disposed of or encumbered without Reclamation approval.

**B.13.2 Disposition** -- When the real property is no longer needed for the originally authorized purpose, the Recipient or Sub-recipient shall request disposition instructions from Reclamation. The instructions shall provide for one of the following alternatives:

**B.13.2.1 Transfer** -- The Recipient may be permitted to transfer the property to another Federally-sponsored project if the Recipient determines that the property is no longer needed for the purpose of the original project. Use in other projects or programs shall be limited to those that have purposes consistent with those authorized for support by the Department of the Interior.

**B.13.2.2 Retention of Title** -- The Recipient may be allowed to retain the title after compensating Reclamation for that percentage of the current fair market value of the property attributable to the Federal government's financial participation in the project.

**B.13.2.3 Sale of Property** -- The Recipient may be directed to sell the property under guidelines provided by Reclamation, and to compensate Reclamation in an amount calculated by applying Reclamation's percentage of participation in the cost of the original purchase to the proceeds of the sale after deduction of any actual and reasonable selling and fix-up expenses. When the Recipient is directed to sell the property, sales procedures shall be followed that provide for competition to the extent practicable and result in the highest possible return.

**B.13.2.4 Transfer of Title** The Recipient may be directed to transfer title to the Federal Government or to an eligible third-party. The Recipient shall be entitled to compensation for its attributable percentage of the current fair market value of the property.

**B.14 INSPECTION (Reclamation 08/03)**

Reclamation has the right to inspect and evaluate the work performed or being performed under this agreement, and the premises where the work is being performed, at all reasonable times and in a manner that will not unduly delay the work. If Reclamation performs inspection or evaluation on the premises of the Recipient or a sub-recipient, the Recipient shall furnish and shall require sub-recipients to furnish all reasonable facilities and assistance for the safe and convenient performance of these duties.

**B.15 AUDIT (Reclamation 01/04)**

Non-Federal entities that expend \$300,000 (\$500,000 for fiscal years ending after December 31, 2003) or more in a year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507) and revised OMB Circular A-133, which is available at [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html). Federal awards are defined as Federal financial assistance and Federal cost-reimbursement contracts that non-Federal entities receive directly from Federal awarding agencies or indirectly from pass-through entities. They do not include procurement contracts, under grants or contracts, used to buy goods or services from vendors. Non-Federal entities that expend less than \$300,000 (\$500,000 for fiscal years ending after December 31, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in A-133, § 215(a), but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and General Accounting Office (GAO).

Audits shall be made by an independent auditor in accordance with generally accepted government auditing standards covering financial audits. Additional audit requirements applicable to this agreement are found at 43 CFR 12.66 or 43 CFR 12.926, as applicable. General guidance on the single audit process is included in a pamphlet titled, "Highlights of the Single Audit Process" which is available on the internet at <http://www.dot.gov/ost/m60/grant/sincontact.htm>. Additional information on single audits is available from the Federal Audit Clearinghouse at <http://harvester.census.gov/sac/>.

**B.16 ENFORCEMENT (Reclamation 08/03)**

In accordance with 43 CFR 12.83 or 43 CFR 12.962, as applicable, if the recipient materially fails to comply with any term of this agreement, whether stated in a Federal statute or regulation, an assurance, in a State plan or application, a notice of award, or elsewhere, Reclamation may take one or more of the following actions as appropriate:

**B.16.1** Temporarily withhold cash payments pending correction of the deficiency by the recipient or sub-recipient or more severe enforcement action by the awarding agency;

**B.16.2** Disallow (deny both use of funds and any matching credit for) all or part of the cost of the activity or action not in compliance;

**B.16.3** Wholly or partly suspend or terminate the current award for the recipient's or sub-recipient's program;

**B.16.4** Withhold further awards for the program; or

**B.16.5** Take other remedies that may be legally available.

**B.17 TERMINATION (Reclamation 08/03)**

In accordance with 43 CFR 12.84 or 43 CFR 12.961, as applicable, and except as provided for in the Enforcement Provision, above, this agreement may be terminated in whole or part only as follows:

B.17.1 By the awarding agency with the consent of the recipient or sub-recipient in which case the two parties shall agree upon the termination conditions, including the effective date and in the case of partial termination, the portion to be terminated, or

B.17.2 By the recipient or sub-recipient upon written notification to Reclamation, setting forth the reasons for such termination, the effective date, and in the case of partial termination, the portion to be terminated. However, if, in the case of a partial termination, the awarding agency determines that the remaining portion of the award will not accomplish the purposes for which the award was made, the awarding agency may terminate the award in its entirety under either the Enforcement Provision or paragraph 1 of this Provision.

#### **B.18 PREAWARD INCURRENCE OF COSTS (Reclamation 08/03)**

The Recipient shall be entitled to have incurred costs for this agreement, in a total amount not to exceed N/A, for allowable costs incurred on or after \_\_\_\_\_, which if had been incurred after this [agreement OR modification] was entered into, would have been allowable under the provisions of the agreement.

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#### **B.19 PREAWARD INCURRENCE OF COSTS - COST SHARING OR MATCHING AGREEMENTS (Reclamation 08/03)**

The Recipient shall be entitled to have incurred costs for this agreement, in a total amount not to exceed N/A, for allowable costs incurred on or after \_\_\_\_\_, which if had been incurred after this [agreement OR modification] was entered into, would have been allowable under the provisions of the agreement.

In accordance with the cost sharing or matching requirements of this agreement, the recipient is eligible to receive reimbursement for a portion of these total allowable costs in an amount not to exceed \$ N/A.

Reimbursement of these costs shall be subject to the funding limitations stated in Special Provision \_\_\_\_\_ of this Agreement.

#### **B.20 PATENTS AND INVENTIONS (Reclamation 08/03)**

The administrative standards set forth in OMB Circular A-102 and OMB Circular A-110, as implemented by 43 CFR 12.936(b), require recipients of agreements which support experimental, developmental, or research work to 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 Bureau of Reclamation, is hereby included in this agreement:

#### **PATENT RIGHTS**

##### **(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 Pub. L. 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.

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**(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 shall 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 Bureau of Reclamation within two months after the inventor discloses it in writing to Recipient personnel responsible for patent matters. The disclosure to the Bureau of Reclamation shall be in the form of a written report and shall identify the agreement under which the invention was made and the inventor(s). It shall 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 shall 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 Bureau of Reclamation, the Recipient will promptly notify the Bureau of Reclamation 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 Bureau of Reclamation within two years of disclosure to the Bureau of Reclamation. 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 Bureau of Reclamation 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 Bureau of Reclamation, be granted.

**(d) Conditions When the Government May Obtain Title**

The Recipient will convey to the Bureau of Reclamation, 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 Bureau of Reclamation 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 Bureau of Reclamation, the Recipient shall 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 Bureau of Reclamation 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 Bureau of Reclamation 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 Bureau of Reclamation 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 Bureau of Reclamation 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 Bureau of Reclamation 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 Bureau of Reclamation 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 Bureau of Reclamation 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 Bureau of Reclamation 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 Bureau of Reclamation 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 shall 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 Bureau of Reclamation 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.

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#### **(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 shall 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 Bureau of Reclamation may reasonably specify. The Recipient also agrees to provide additional reports as may be requested by the Bureau of Reclamation in connection with any march-in proceeding undertaken by the Bureau of Reclamation in accordance with paragraph (j) of this provision. As required by 35 U.S.C. 202(c)(5), the Bureau of Reclamation 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 Bureau of Reclamation 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 Bureau of Reclamation has the right in accordance with the procedures in 37 CFR 401.6 and any supplemental regulations of the Bureau of Reclamation 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 Bureau of Reclamation has the right to grant such a license itself if the Bureau of Reclamation 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 Bureau of Reclamation, 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 Bureau of Reclamation 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 Bureau of Reclamation 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 Bureau of Reclamation 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 shall be directed to the Deputy Associate Solicitor, Branch of Procurements and Patents, Office of the Solicitor, U.S. Department of the Interior, Washington, DC 20240.

### **B.21 COPYRIGHTS (Reclamation 08/03)**

**B.21.1** For recipients subject to the administrative standards set forth in OMB Circular A-110, the following copyright provision, as implemented by 43 CFR 12.936(a), shall apply:

The recipient may copyright any work that is subject to copyright and was developed, or for which ownership was purchased, under an award. The Federal awarding agency(ies) reserves a royalty-free, nonexclusive and irrevocable right to reproduce, publish, or otherwise use the work for Federal purposes, and to authorize others to do so.

**B.21.2** For recipients subject to the administrative standards set forth in OMB Circular A-102 and the Grants Management Common Rule, the following copyright provision, as implemented by 43 CFR 12.74, shall apply:



The Federal awarding agency reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish or otherwise use, and to authorize others to use, for Federal Government purposes:

(a) The copyright in any work developed under a grant, sub-grant, or contract under a grant or sub-grant; and

(b) Any rights of copyright to which a grantee, sub-grantee or a contractor purchases ownership with grant support.

#### **B.22 RIGHTS TO DATA (Reclamation 08/03)**

For recipients subject to the administrative standards set forth in OMB Circular A-110, the following provision, as implemented by 43 CFR 12.936(c), shall apply:

The Federal Government has the right to:

(1) Obtain, reproduce, publish or otherwise use the data first produced under an award; and

(2) Authorize others to receive, reproduce, publish, or otherwise use such data for Federal purposes

#### **B.23 DUN AND BRADSTREET (D&B) DATA UNIVERSAL NUMBERING SYSTEM (DUNS) REQUIREMENT (Reclamation 07/04)**

Effective October 1, 2003, applicants for Federal grants or cooperative agreements must provide a D&B DUNS number with their application. This number is to be included in *Block 5* of your Standard Form (SF)-424 Application for Federal Assistance (Rev.9-2003), or in *Block 6* of previous versions of the SF-424.

If you do not have a DUNS number, one may be obtained at no cost by calling the dedicated toll-free DUNS Number Request Line at 1-866-705-5711, or by going to the DUNS Government Contractor and Grantee website at <https://eupdate.dnb.com/requestoptions/government/ccrreg/>.

Individuals who would personally receive a grant or cooperative agreement award from the Federal government, apart from any business or non-profit organization they operate, are exempt from the requirement to provide a DUNS number with their application. Reclamation must, however, have a DUNS number for payment processing purposes, and will therefore obtain a DUNS number for any individual who is awarded a grant or cooperative agreement.

#### **B.24 RECIPIENT/SUBRECIPIENT PERSONNEL SECURITY AND SUITABILITY REQUIREMENTS (Reclamation 06/06)**

Performance of this grant agreement requires recipient/subrecipient personnel to have a Federal government-issued personal identification card before being allowed unsupervised access to a DOI. NA will be the sponsoring official, and will make the arrangements for personal identify verification and card issuance.

At least two weeks before start of grant agreement performance, the recipient will identify all recipient and subrecipient personnel who will require [physical and/or logical] access for performance of work under this grant/cooperative agreement. The recipient and subrecipient must make their personnel available at the place and time specified by the \_\_\_\_\_ in order to initiate screening and background investigations. The following forms, or their equivalent, may be used to initiate the credentialing process:

- OPM Standard Form 85 or 85P
- OF 306

- Fingerprint card (local procedures may require the fingerprinting to be done at a police station; in this case, any charges are to be borne by the recipient or subrecipient, as applicable)
- Release to Obtain Credit Information
- PIV card application (web-based)

Recipient and subrecipient employees are required to give, and to authorize others to give, full, frank, and truthful answers to relevant and material questions needed to reach a suitability determination. Refusal or failure to furnish or authorize provision of information may constitute grounds for denial or revocation of credentials. Government personnel may contact the recipient or subrecipient personnel being screened or investigated in person, by telephone or in writing, and the recipient agrees to make them available for such contact.

Alternatively, if an individual has already been credentialed by another agency through OPM, and that credential has not yet expired, further clearance may not be necessary. Provide the sponsoring office with documentation that supports the individual's status.

During performance of the grant agreement, the recipient will keep the \_\_\_\_\_ apprised of changes in personnel to ensure that performance is not delayed by compliance with credentialing processes. Cards that have been lost, damaged, or stolen must be reported to the \_\_\_\_\_ and Issuing Office within 24 hours. Replacement will be at the recipient's expense. If reissuance of expired credentials is needed, it will be coordinated through the \_\_\_\_\_

At the end of grant/cooperative agreement's performance, or when a recipient/subrecipient employee is no longer working under this grant/cooperative agreement, the recipient will ensure that all identification cards are returned to the \_\_\_\_\_

Before starting work under this agreement, a National Agency Check (NAC) will be conducted to verify the identity of the individual applying for clearance. Upon successful completion of the NAC process, an identification card will be issued and access granted.

Simultaneously, a NAC with Inquiries (NACI) will be initiated to determine the individual's suitability for the position. If the NACI adjudication is favorable, nothing more needs to be done. If the adjudication is unfavorable, the credentials will be revoked. In the event of a disagreement between the recipient and the Government concerning the suitability of an individual to perform work under this grant/cooperative agreement, DOI shall have the right of final determination.

This requirement must be incorporated into any sub-grants/cooperative agreements that require subrecipient personnel to have unsupervised access to a Federally controlled facility for more than 180 calendar days or unsupervised access to a Federally controlled Level 3 or 4 information system.

#### **B.25 GRANTS.GOV APPLY: ELECTRONIC APPLICATION SUBMISSION AND RECEIPT PROCEDURES (Reclamation 06/06)**

This provision provides information on the application submission and receipt instructions for applications submitted through Grants.gov Apply. Please read the following instructions carefully and completely.

PLEASE NOTE THAT YOU MUST REGISTER WITH GRANTS.GOV PRIOR TO SUBMITTING AN APPLICATION THROUGH THE GRANTS.GOV WEBSITE AND *THE REGISTRATION PROCESS MAY TAKE FROM 7 TO 21 DAYS.*

1. **Electronic Delivery.** Reclamation is participating in the Grants.gov Initiative that provides the Grant Community with a single site to find and apply for grant funding opportunities. Reclamation encourages applicants to submit their applications electronically through <http://www.grants.gov/Apply>.

2. The following describes what to expect when applying on line using Grants.gov/Apply:

a. **Instructions.** On the site, you will find step-by-step instructions which enable you to apply electronically for Reclamation funds. The Grants.gov/Apply feature includes a simple, unified application process that makes it possible for applicants to apply for grants online.

Before applying, you will need to complete the Grants.gov registration process. The information applicants need to register can be found at <http://www.grants.gov/GetStarted>. The site also contains registration checklists to help you walk through the process (column on the left side of the Get Started page). Reclamation recommends that you download the checklists and prepare the information requested before beginning the registration process. Reviewing and assembling required information before beginning the registration process will make the process quicker and will save time.

b. **DUNS Requirement.** All applicants applying for funding, including renewal funding, must have a Dun and Bradstreet Universal Data Numbering System (DUNS) number. The DUNS number must be included in the data entry field labeled "Organizational Duns" on the form SF-424. Instructions for obtaining a DUNS number can be found at the following website: <http://www.grants.gov/GetStarted>.

c. **Central Contractor Registry and Credential Provider Registration.** In addition to having a DUNS number, applicants applying electronically through Grants.gov must register with the Federal Central Contractor Registry and with a Credential Provider. The <http://www.grants.gov> website at <http://www.grants.gov/GetStarted> provides step-by-step instructions for registering in the Central Contractor Registry and for registering with a credential provider. All applicants filing electronically must register with the Central Contractor Registry and receive credentials from the Grants.gov credential provider in order to apply on line. Failure to register with the Central Contractor Registry and credential provider will result in your application being rejected by the Grants.gov portal.

The registration process is a separate process from submitting an application. **Applicants are, therefore, encouraged to register early.** The registration process can take approximately two weeks to be completed. Therefore, registration should be done in sufficient time to ensure it does not impact your ability to meet required submission deadlines. You will be able to submit your application online anytime after you receive your e-authentication credentials.

d. **Electronic Signature.** Applications submitted through Grants.gov constitute submission as electronically signed applications. The registration and e-authentication process establishes the Authorized Organization Representative (AOR). When you submit the application through Grants.gov, the name of your authorized organization representative on file will be inserted into the signature line of the application. **Applicants must register the individual who is able to make legally binding commitments for the applicant organization as the Authorized Organization Representative.**

3. Instructions on how to submit an electronic application to Reclamation via Grants.gov/Apply:

Grants.gov has a full set of instructions on how to apply for funds on its website at <http://www.grants.gov/CompleteApplication>. The following provides simple guidance on what you will find on the Grants.gov/Apply site. Applicants are encouraged to read through the page entitled, "Complete Application Package" before getting started. Grants.gov allows applicants to download the application package, instructions and forms that are incorporated in the instructions, and work off line. In addition to forms that are part of the application instructions, there will be a series of electronic forms that are provided utilizing a PureEdge reader.

a. **PureEdge Reader.** The PureEdge Reader is available free for download from the Grants.gov/Get Started site. The PureEdge Reader allows applicants to read the electronic files in a form format so that they will look like any other Standard or Reclamation form. The PureEdge forms have content sensitive help. To use this feature you will need to click on the icon at the top of the page that features an arrow with a question mark. This engages the

content sensitive help for each field you will need to complete on the electronic form. The PureEdge forms can be downloaded and saved on your hard drive, network drive(s), or CDs. Macintosh Users will need to use the Virtual PC emulator software, which allows PC software to run on Macintosh platforms.

**b. Mandatory Fields on PureEdge Forms.** In the PureEdge forms you will note fields that will appear with a yellow background color on the data fields to be completed. These fields are mandatory fields and they **must** be completed to successfully submit your application.

**c. Completion of SF-424 Fields First.** The PureEdge forms are designed to fill in common required fields such as the applicant name and address, DUNS number, etc., on all PureEdge electronic forms. **To trigger this feature, an applicant must complete the SF-424 information first.** Once it is completed the information will transfer to the other forms.

**d. Customer Support.** The Grants.gov website provides customer support via (800) 518-GRANTS (this is a toll-free number) or through e-mail at [support@grants.gov](mailto:support@grants.gov). The customer support center is open from 7:00 a.m. to 9:00 p.m. Eastern time, Monday through Friday, except Federal holidays, to address Grants.gov technology issues. For technical assistance on program related questions, contact the number listed in the Program Section of the program you are applying for.

#### 4. Timely Receipt Requirements and Proof of Timely Submission.

**Electronic Submission.** All applications must be received by <http://www.grants.gov/Apply> by (insert time) Eastern time on the due date listed in the funding announcement. Proof of timely submission is automatically recorded by Grants.gov. An electronic time stamp is generated within the system when the application is successfully received by Grants.gov. The applicant will receive an acknowledgement of receipt and a tracking number from Grants.gov with the successful transmission of their application. Applicants should print this receipt and save it, along with facsimile receipts for information provided by facsimile, as proof of timely submission.

When Reclamation successfully retrieves the application from Grants.gov, Grants.gov will provide an electronic acknowledgment of receipt to the e-mail address of the AOR. Proof of Timely submission shall be the date and time that Grants.gov receives your application. Applications received by Grants.gov, after the established due date for the program will be considered late and will not be considered for funding by Reclamation.

Reclamation suggests that applicants submit their applications during the operating hours of the Grants.gov Support Desk, so that if there are questions concerning transmission, operators will be available to walk you through the process. Submitting your application during the Support Desk hours will also ensure that you have sufficient time for the application to complete its transmission prior to the application deadline. Applicants using dial-up connections should be aware that transmission should take some time before Grants.gov receives it.

Grants.gov will provide either an error or a successfully received transmission message. The Grants.gov Support desk reports that some applicants abort the transmission because they think that nothing is occurring during the transmission process. Please be patient and give the system time to process the application. Uploading and transmitting many files, particularly electronic forms with associated XML schemas, will take some time to be processed.

## GENERAL PROVISIONS (06/04)

### C.1 Regulations and Guidance

The regulations at 43 CFR, Part 12, Subparts A, C, E, and F, are hereby incorporated by reference as though set forth in full text. The following Office of Management and Budget (OMB) Circulars, as applicable, and as implemented by 43 CFR Part 12, are also incorporated by reference and made a part of this agreement. Failure of a recipient to comply with any provision may be the basis for withholding payments for proper charges made by the recipient and for termination of support. Copies of OMB Circulars are available on the Internet at

[http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html). The implementation of the circulars at 43 CFR Part 12 is available at <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>.

**C.1.1. Agreements with colleges and universities shall be in accordance with the following circulars:**

Circular A-21, revised May 10, 2004, "Cost Principles for Educational Institutions"

Circular A-110, as amended September 30, 1999, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations"

Circular A-133, revised June 27, 2003, "Audits of States, Local Governments, and Non-Profit Organizations"

**C.1.2. Agreements with State and local governments shall be in accordance with the provisions of the following circulars:**

Circular A-87, revised May 10, 2004, "Cost Principles for State, Local, and Indian Tribal Governments"

Circular A-102, as amended August 29, 1997, "Grants and Cooperative Agreements with State and Local Governments" (Grants Management Common Rule, Codification by Department of Interior, 43 CFR 12)

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Circular A-133, revised June 27, 2003, "Audits of States, Local Governments, and Non-Profit Organizations"

**C.1.3. Agreements made with nonprofit organizations shall be in accordance with the following circulars and provisions:**

Circular A-110, as amended September 30, 1999, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations"

Circular A-122, revised May 10, 2004, "Cost Principles for Non-Profit Organizations"

Circular A-133, revised June 27, 2003, "Audits of States, Local Governments, and Non-Profit Organizations"

**C.1.4. All agreements with organizations other than those indicated above shall be in accordance with the basic principles of OMB Circular A-110, and cost principles shall be in accordance with 48 CFR Subpart 31.2 titled "Contracts with Commercial Organizations" which is available on the Internet at <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html#page1>.**

**C.2 Debarment and Suspension**

The Department of the Interior regulations at 43 CFR 42—Government-wide Debarment and Suspension (Non-procurement), which adopt the common rule for the government-wide system of debarment and suspension for non-procurement activities, are hereby incorporated by reference and made a part of this agreement. By entering into this grant or cooperative agreement with the Bureau of Reclamation, the recipient agrees to comply with 43 CFR 42, Subpart C, and agrees to include a similar term or condition in all lower-tier covered transactions. These regulations are available at [http://www.access.gpo.gov/nara/cfr/cfrhtml/00/Title 43/43cfr42 00.html](http://www.access.gpo.gov/nara/cfr/cfrhtml/00/Title%2043/43cfr42%20.html).

**C.3 Drug-Free Workplace**

The Department of the Interior regulations at 43 CFR 43—Government-wide Requirements for Drug-Free Workplace (Financial Assistance), which adopt the portion of the Drug-Free Workplace Act of 1988 (41 U.S.C. 701 et seq, as amended) applicable to grants and cooperative agreements, are hereby incorporated by reference and made a part of this agreement. By entering into this grant or cooperative agreement with the Bureau of Reclamation, the recipient agrees to comply with 43 CFR 43, Subpart B, if the recipient is not an individual, or

with 43 CFR 43, Subpart C, if the recipient is an individual. These regulations are available at [http://www.access.gpo.gov/nara/cfr/cfrhtml/00/Title\\_43/43cfr43\\_00.html](http://www.access.gpo.gov/nara/cfr/cfrhtml/00/Title_43/43cfr43_00.html).

#### **C.4 Assurances and Certifications Incorporated by Reference**

a. The provisions of the Assurances, SF 424B or SF 424D as applicable, executed by the Recipient in connection with this agreement shall apply with full force and effect to this agreement as if fully set forth in these General Provisions. Such Assurances include, but are not limited to, the promise to comply with all applicable Federal statutes and orders relating to nondiscrimination in employment, assistance, and housing; the Hatch Act; Federal wage and hour laws and regulations and work place safety standards; Federal environmental laws and regulations and the Endangered Species Act; and Federal protection of rivers and waterways and historic and archeological preservation.

b. When required by 43 CFR 18—New Restrictions on Lobbying, recipients shall complete a Certification Regarding Lobbying form. This certification is incorporated by reference and made a part of this agreement. These regulations are available at [http://www.access.gpo.gov/nara/cfr/cfrhtml/00/Title\\_43/43cfr18\\_00.html](http://www.access.gpo.gov/nara/cfr/cfrhtml/00/Title_43/43cfr18_00.html).

#### **C.5 Covenant Against Contingent Fees**

~~The recipient warrants that no person or agency has been employed or retained to solicit or secure this agreement upon an agreement or understanding for a commission, percentage, brokerage, or contingent fee, excepting bona fide employees or bona fide offices established and maintained by the recipient for the purpose of securing agreements or business. For breach or violation of this warranty, the Government shall have the right to annul this agreement without liability or, in its discretion, to deduct from the agreement amount, or otherwise recover, the full amount of such commission, percentage, brokerage, or contingent fee.~~

#### **C.6 Contracting with Small and Minority Firms, and Women's Business Enterprises**

It is a national policy to award a fair share of contracts to small and minority business firms. The Department of the Interior is strongly committed to the objectives of this policy and encourages all recipients of its grants and cooperative agreements to take affirmative steps to ensure such fairness.

- a. The grantee and sub-grantee shall take all necessary affirmative steps to assure that minority firms, and women's business enterprises are used when possible.
- b. Affirmative steps shall include:
- (1) Placing qualified small and minority businesses and women's business enterprises on solicitation lists;
  - (2) Assuring that small and minority businesses, and women's business enterprises are solicited whenever they are potential sources;
  - (3) Dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by small and minority business, and women's business enterprises;
  - (4) Establishing delivery schedules, where the requirement permits, which encourage participation by small and minority business, and women's business enterprises;
  - (5) Using the services and assistance of the Small Business Administration, and the Minority Business Development Agency of the Department of Commerce as appropriate, and
  - (6) Requiring the prime contractor, if subcontracts are to be let, to take the affirmative steps listed in b(1) through (5) above.

### C.7 Notice Regarding Buy American Act

In accordance with the annual Energy and Water Development Appropriations Act, please be advised that it is and has been the sense of Congress that, to the greatest extent practicable, all equipment and products purchased with funds made available in this Act should be American-made. This provision shall remain in effect unless revoked by a future specific act of Congress.

### C.8 Resolving Disagreements

When entering into a cooperative agreement with a recipient, Reclamation commits itself to working with the recipient in a harmonious manner to achieve the objectives of the project successfully. When disagreements arise between the parties, they must be resolved according to the procedures discussed below:

a. Reclamation shall attempt first to resolve disagreements with the recipient through informal discussion among the Grants or Contract Specialist, the Program Officer, and the recipient's Project Director.

b. ~~If the disagreement cannot be resolved through informal discussion between these parties, the Grants Specialist and the Program Officer shall document the nature of the disagreement and bring it to the attention of the Grants Officer.~~

c. After reviewing the facts of the disagreement, as presented by the Grants and Program Offices, the Grants Officer will arrange a formal meeting. If agreement still cannot be reached, the parties will collectively decide on any varied approaches, which might be used to resolve the disagreement. The parties shall be responsible for their individual expenses related to any approach utilized to resolve the disagreement. If attempts at resolving the disagreement fail, the Chief, Acquisition and Assistance Management Services, or the Regional Director, whichever is applicable, shall make a decision which shall be final and conclusive.

d. Nothing herein shall be construed to delay or limit Reclamations right to take immediate and appropriate action, as set forth at 43 CFR Subpart 12.83 or 12.962, as applicable, in the event of material noncompliance by the recipient, and no attempts at informal resolution shall be necessary.

Any post award issue will be open for resolution in accordance with the above procedures, with the exception of disagreements regarding continuation of the agreement (termination must be in accordance with 43 CFR 12), or other matters specifically addressed by the agreement itself.

### C.9 Lobbying Restrictions

In accordance with the annual Energy and Water Development Appropriations Act, please be advised that it is and has been the sense of Congress that none of the funds appropriated by this Act may be used in any way, directly or indirectly, to influence Congressional action on any legislation or appropriation matters pending before Congress, other than to communicate to Members of Congress as described in 18 U.S.C. 1913. This provision shall remain in effect unless revoked by a future specific act of Congress.

### C.10 Electronic Funds Transfer (EFT)

In accordance with the Debt Collection Improvement Act of 1996, 31 CFR 208, effective January 2, 1999, all Federal payments to recipients must be made by EFT unless a waiver has been granted in accordance with 31 CFR 208.4. Upon award of a financial assistance agreement, Reclamation will provide the recipient with further instructions for implementation of EFT payments or a certification form to request exemption from EFT.

### C.11 Endorsement of Commercial Products and Services

In accordance with 43 CFR 12.2(d), this provision applies to grants and cooperative agreements whose principal purpose is a partnership where the recipient contributes resources to promote agency programs, publicize agency activities, assists in fund-raising, or provides assistance to the agency. If the agreement is awarded to a recipient, other than a State government, a local government, or a federally-recognized Indian tribal government, and the agreement authorizes joint dissemination of information and promotion of activities being supported, the following provision shall be made a term and condition of the award:

Recipient shall not publicize or otherwise circulate, promotional material (such as advertisements, sales brochures, press releases, speeches, still and motion pictures, articles, manuscripts or other publications) which states or implies governmental, Departmental, bureau, or government employee endorsement of a product, service or position which the recipient represents. No release of information relating to this award may state or imply that the Government approves of the recipient's work products, or considers the recipient's work product to be superior to other products or services.

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All information submitted for publication or other public releases of information regarding this project shall carry the following disclaimer:

The views and conclusions contained in this document are those of the authors and should not be interpreted as representing the opinions or policies of the U.S. Government. Mention of trade names or commercial products does not constitute their endorsement by the U.S. Government.

Recipient must obtain prior Government approval for any public information releases concerning this award, which refer to the Department of the Interior or any bureau or employee (by name or title). The specific text, layout photographs, etc. of the proposed release must be submitted with the request for approval.

A recipient further agrees to include this provision in a sub-award to any sub-recipient, except for a sub-award to a State government, a local government, or to a federally-recognized Indian tribal government.



List of Documents, Exhibits, or Other Attachments (06/04)

D.1 The following documents, exhibits or attachments are incorporated and made a part of this agreement.

Attachment Number	Title	No. of Pages
1	Certifications Regarding Lobbying	1
2	Santa Barbara County Water Agency Proposal dated February 4, 2008	34

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U.S. Department of the Interior

Certifications Regarding Lobbying

Signature on this form provides for compliance with certification requirements under 43 CFR Part 18.  
This certification shall be treated as a material representation of fact upon which reliance will be placed when the Department of the Interior determines to award the covered transaction, grant, cooperative agreement or loan.

CHECK  IF CERTIFICATION IS FOR THE AWARD OF ANY OF THE FOLLOWING AND THE AMOUNT EXCEEDS \$100,000: A FEDERAL GRANT OR COOPERATIVE AGREEMENT; SUBCONTRACT, OR SUBGRANT UNDER THE GRANT OR COOPERATIVE AGREEMENT.

CHECK  IF CERTIFICATION IS FOR THE AWARD OF A FEDERAL LOAN EXCEEDING THE AMOUNT OF \$150,000, OR A SUBGRANT OR SUBCONTRACT EXCEEDING \$100,000, UNDER THE LOAN.

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, and officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying" in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

As the authorized certifying official, I hereby certify that the above specified certifications are true.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL

TYPED NAME AND TITLE

DATE

