



**US Army Corps
of Engineers®**

Cooperative Agreements Standard Operating Procedures (SOP)

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1.0 Purpose

This Standard Operating Procedure (SOP) document establishes procedures and provides guidance for maintaining compliance with regulations pertaining to the award and administration of cooperative agreements. It includes guidance for reporting requirements (both for the Government and the Recipient), regulatory requirements, procedural guidance, standard forms and sample templates.

2.0 Applicability

This SOP applies to all phases of the cooperative agreement process from pre-award through close-out procedures. Where applicable, it is intended for use by all parties involved in the cooperative agreement process.

Note: Not all USACE districts have Grants Officers. Program Officials should contact their District's contracting office to determine the grants official who will be assigned to their project.

3.0 References

3.1 Federal Grant and Cooperative Agreement Act (FGCAA), 31 U.S.C. 6301, et. seq.

3.2 Subtitle A of Title 2, Code of Federal Regulations (OMB Guidance for Grants and Agreements)

3.3 Chapter XI of Title 2, Code of Federal Regulations and Chapter I, Subchapter C of Title 32, Code of Federal Regulations (commonly referred to as the Department of Defense Grant and Agreement Regulations or “DoDGARs”)

3.4 DoD and Grants.gov: A Guide for DoD Staff

3.5 DoD Grant Awards Database Input User Guide

4.0 Definitions

The **Awarding Agency** is the Federal agency issuing the cooperative agreement. Individuals from the Contracting office will normally be the personnel who are registered in Grants.gov and given access to create and manage funding opportunities, synopses of opportunities, and application packages for competitive cooperative agreements. They will also retrieve submitted applications from Grants.gov.

A **Budget Period** is the interval of time which a project is divided for budgeting, funding, or technical purposes.

The **Catalog of Federal Domestic Assistance** (CFDA) provides a full listing of all Federal programs available to State and local governments (including the District of Columbia); federally-recognized Indian tribal governments; Territories (and possessions) of the United States; domestic public, quasi-public, and private profit and nonprofit organizations and institutions; specialized groups; and individuals. The CFDA is available at: www.CFDA.gov.

A **CFDA Number** is a unique number assigned by the Catalog of Federal Domestic Assistance to a particular agency/office and program that follows the program throughout the assistance lifecycle enabling data and funding transparency. The complete CFDA number is a five digit number where the first two digits represent the Funding Agency and the second three digits represent the program.

A **Cooperative Agreement** is a legal instrument of financial assistance between a Federal awarding agency or pass-through entity and a non-Federal entity that, consistent with 31 U.S.C. 6302-6305: (a) Is used to enter into a relationship the principal purpose of which is to transfer anything of value from the Federal awarding agency or pass-through entity to the non-Federal entity to carry out a public purpose authorized by a law of the United States (see 31 U.S.C. 6101(3)); and not to acquire property or services for the Federal Government or pass-through entity's direct benefit or use; (b) Is distinguished from a grant in that it provides for

substantial involvement between the Federal awarding agency or pass-through entity and the non-Federal entity in carrying out the activity contemplated by the Federal award. (c) The term does not include: (1) A cooperative research and development agreement as defined in 15 U.S.C. 3710a; or (2) An agreement that provides only: (i) Direct United States Government cash assistance to an individual; (ii) A subsidy; (iii) A loan; (iv) A loan guarantee; or (v) Insurance.

Cooperative Ecosystems Studies Unit (CESU) Network is a national consortium of federal agencies, tribes, academic institutions, state and local governments, nongovernmental conservation organizations, and other partners working together to support informed public trust resource stewardship. The CESU Network includes more than 400 nonfederal partners and 16 federal agencies across seventeen CESUs representing biogeographic regions encompassing all 50 states and territories.

Cooperative Ecosystem Studies Unit (CESU) Structure: The CESU Network is coordinated by the CESU Network Council that includes representatives of the federal agency partners who have signed a Memorandum of Understanding (MOU). The Network is led by a National Coordinator, appointed by the Council, and a small national office staff. The CESU Network partners are organized into seventeen units. CESUs function as "virtual" organizations, linking federal agencies and institutions to increase access to expertise and facilities. Each CESU is composed of federal agencies, a host university, and partner institutions.

A **Cost Reimbursable** cooperative agreement allows for payment of allowable incurred costs to the extent prescribed in the cooperative agreement. These cooperative agreements establish an estimate of total cost for the purpose of obligating funds and establish a ceiling that the recipient may not exceed without the approval of the Grants Officer.

Cost Sharing is an explicit arrangement under which the recipient bears some of the burden of reasonable, allocable, and allowable costs.

Data Universal Numbering System (DUNS) is the nine digit number assigned by Dun and Bradstreet, Inc. to identify unique business entities, which is used as the identification number for Federal contractors.

Electronic Acquisition File Index (EAFI) is an electronic filing system that designates system folder numbers for acquisition related files.

A **Federal Award Identification Number (FAIN)** is required on all awards and used for reporting purposes.

A **Fixed Price** cooperative agreement provides for a firm price for services that is subject to adjustment only through modification of the agreement signed by the grants officer.

A **Funding Opportunity Announcement** is a formal, written document that invites or allows the submission of applications for competitive grants and cooperative agreements with the Government.

The **Government Accountability Office (GAO)** is an independent, nonpartisan agency that works for Congress. The GAO supports congressional oversight by:

- a. auditing agency operations to determine whether federal funds are being spent efficiently and effectively;
- b. investigating allegations of illegal and improper activities;
- c. reporting on how well government programs and policies are meeting their objectives;
- d. performing policy analyses and outlining options for congressional consideration; and issuing legal decisions and opinions, such as bid protest rulings and reports on agency rules.

A **Grant** is a legal instrument, consistent with 31 U.S.C. § 6304, used to enter into a relationship:

- a. Of which the principle purpose is to transfer a thing of value to the recipient to carry out a public purpose of support or stimulation authorized by a law of the United States, rather than to acquire property or services for the Government's direct benefit or use.
- b. In which substantial involvement is not expected between the Government and the recipient when carrying out the activity contemplated by the grant (2 C.F.R. § 200.51).

The **Grants Official** is responsible for business aspects of the grant or cooperative agreement process. Grants officials for the purpose of this SOP refer to the Grants Specialist or Grants Officer. The Grants Officer is the only official with the authority to enter into, administer, and/or terminate grants or cooperative agreements.

Grants.gov is a central, searchable site for posting information about all federal assistance funding opportunities as they become available.

A **Non Federal Entity (NFE)** is an organization or other entity receiving an award.

The **Office of Management and Budget (OMB)** is a component of the Executive Office of the President, and their primary purpose is to assist with development and execution of the federal budget. OMB coordinates development of Government wide grant administration policies and rules with the federal grant making agencies, much of which is published in Title 2 of the Code of Federal Regulations, and issues other guidance on grants administration to the agencies as needed.

Paperless Contract File (PCF) is a secure web-based application for contract/ grants/ cooperative agreements document management.

The **Program Official** (also known as Program Manager or Project Manager) is responsible for programmatic aspects of the grants or cooperative agreement. Program officials may also be referred to as the **requesting activity**.

A **Project Period** is the total time for which the recipient's project is approved for support. A project period may contain multiple budget periods.

The **Sikes Act** is to promote effectual planning, development, maintenance, and coordination of wildlife, fish, and game conservation and rehabilitation in military reservations. The Sikes Act allows for Cooperative Agreements to be used on installations that supports the installation's Integrated Natural Resources Management Plan (INRMP). It also gives State agencies preference over institutes of higher education for making awards.

A **Statement of Interest (SOI)** is required by installations requesting support of the CESU. These are evaluated to determine eligibility for the CA under the CESU Program.

System for Award Management (SAM) is a Federal Government owned and operated free website that consolidates the capabilities of CCR/FedReg, ORCA, and EPLS. It is a primary repository for contractor information required for the conduct of business with the Government.

The **Scope of Work (SOW)/ Statement of Objectives (SOO)** is a Government prepared document that states to overall performance objectives or services to be performed.

5.0 Roles and Responsibilities

The award and administration of cooperative agreements is a collaborative process from pre-award through closeout. This section defines roles and responsibilities in general terms; however, it is not all inclusive. Additional duties may arise, and all parties are responsible for partnering with each other to ensure all programmatic goals are met and all laws and regulations are followed. Guidance for required documents for cooperative agreements is updated regularly in the Electronic Acquisition File Index (EAFI). The list is located in Appendix A.

5.1 Program Officials (also referred to as “requesting activity,” Program Manager, or Project Manager)

Pre-award

- Define requirement and establish goals and objectives for program.
- Identify the relevant Statute that provides authorization for the assistance award.
- Develop Scope of Work/ Statement of Objectives.
- Conduct market research to identify potential eligible applicants.
- Prepare acquisition strategy document (Cooperative Agreement Authorization Document) with the assistance of counsel. (*Reference EAFI # A.01.03 Appendix B.* Agreements greater than 500,000.00 require Office of Counsel review for legal sufficiency.
- Define eligibility requirements and evaluation criteria.
- Develop funding opportunity announcement with assistance of grants officials.
- Provide funding document (PR&C) (*Reference EAFI # A.01.16*)
- Provide labor code. A labor code is required throughout the pre-award and award phase as well as during the post award phase for administrative duties such as processing invoices and budget review.
- Assist grants official in providing technical responses to applicant's questions.

- Serve as Panel Chair and provide members for source selection panels for review of applications.
- Review and select applications.
- Provide technical or programmatic expertise to the grants official in preparation for negotiations.

Award

- Prepare Technical Analysis of all proposals received.
- Assist grants officials in preparing debriefs to unsuccessful applicants by commenting on programmatic deficiencies. (*Reference EAFI # B.02.17 – Source Selection Evaluation Notes*)
- Review and comment on cooperative agreement and supporting documentation prior to the grants official routing it for signature.

Post Award

- Provide technical assistance to the Non-federal entity (NFE).
- Conduct site visits.
- Review and approve progress reports.
- Ensure satisfactory progression of work.
- Notify grants officials of upcoming programmatic needs (i.e. task orders, renewals, modifications, budgeting concerns, etc).
- Review and approve invoices.
- Review final performance report and notify grants officials if cooperative agreement or task order is ready for closeout.

5.2 Grants Officials

Pre-award

- Assist program officials during the initial planning phase to develop the Scope of Work/ Statement of Objectives.
- Determine whether a cooperative agreement is an appropriate instrument to accomplish the Scope of Work/ Statement of Objectives.
- Verify that relevant delegated authority has been obtained for the assistance award.
- With assistance from counsel, identify an appropriate statutory authority that authorizes the use of a cooperative agreement for the intended award.
- Review and comment on Cooperative Agreement Authorization Document prior to the program official routing it for signature.
- Assist program officials in conducting market research to identify potential eligible applicants and identify the appropriate competitive procedures.
- Assist program officials in disseminating information regarding the upcoming requirement in order to increase competition.
- Assign Funding Opportunity Announcement Number and CFDA Number.
- Assist program official in developing funding opportunity announcement. *Appendix C*
- Post announcement on Grants.gov, following procedures provided in “DoD and Grants.gov: A Guide for DoD Staff” or within the regional CESU.

- Review applications and determine if they are responsive to application instructions. (*Reference EAFI # B.01.16 – Offeror Successful Quote/Bid/Proposal/Submittal, and B.01.22 – SAM Documentation*)
- Perform budget and cost analysis. (*Reference EAFI # A.04.31 - Determination of Fair and Reasonable Price MFR*)
- Chair source selection panels as necessary.
- Determine qualifications and eligibility of potential Recipients.
- Conduct negotiations.

Award

- Assign Cooperative Agreement Federal Award Identification Number (FAIN).
- Prepare cooperative agreement. (*Reference EAFI # D.01.01) Appendix D*)
- Route cooperative agreement and supporting documents for review and signature.
- Awards exceeding \$500,000.00 require Office of Counsel review for legal sufficiency.
- Notify recipient of award. (*Reference EAFI # C.01.05 – Notice of Award & C.01.11 – Unsuccessful Offeror’s Notification*)
- Develop and post descriptive abstract of award on the Defense Technical Information Center website: <https://reg.dtic.mil/> website which will list the award on the Department of Defense Grant Award Website: <https://dodgrantawards.dtic.mil>

Post Award

- Create and maintain official cooperative agreement file in PCF with all pre-award, award, and post award documents included.
- Review performance and financial status reports and ensure they are included in the official cooperative agreement file. (*Reference EAFI # G.01.38 – Production Progress Reports and G.01.41 – Recurring Reports/Invoices/Payment Vouchers/Expenditure Logs, SF 270) Appendix E*)
- Monitor satisfactory progression of work.
- Review invoices and make progress payments as necessary.
- Issue modifications and task orders as necessary.
- Assist with coordinating audits and reviewing audit information as necessary.
- Perform deobligations and close out procedures after all required reports are received and all invoices have been paid. (*Reference EAFI # G.03.02 –(Cooperative Agreement) Completion Statement and G.03.10 – Release of Claims) Appendix F and G*)

5.3 Office of Counsel

- Review Solicitation and Award for Legal Sufficiency.

6.0 Regulatory Requirements

Governing regulations for administrative requirements, cost principles, and audit requirements are found in 2 C.F.R. Part 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, except as stated in 2 C.F.R. § 1103.100, “Applicability

of 2 C.F.R. Part 200 to requirements for recipients in DoD Components' terms and conditions".

Department of Defense Grant and Agreement Regulations (DoDGARs) apply to ALL grants and cooperative agreements issued by the Department of Defense.

Statutory Authority – Cooperative agreements can only be awarded when authorized by statute. Statutory authorities that authorize the use of cooperative agreements are generally limited in scope and often contain specific requirements (*e.g.*, eligibility and funding requirements) that are not otherwise provided for in OMB and DoD implementation guidance.

Paperwork Reduction Act – Agencies cannot require recipient to submit more than one original and two copies.

7.0 Pre-Award Procedures

7.1 Acquisition Strategy Document - Cooperative Agreement Authorization Document EAFI# A.01.03 (APPENDIX B)

The purpose of the Cooperative Agreement Authorization Document is to determine if a cooperative agreement is the appropriate award instrument. Clear evidence that a cooperative agreement is both authorized and the most suitable means of meeting the requirement must be presented in the document.

a. Process/Responsibilities

If it is determined that a cooperative agreement is not appropriate, an alternate approach for meeting the requirement must be identified.

The content of the Cooperative Agreement Authorization Document is written by the program official and the Grants Specialist with assistance from counsel as needed. The Grants Specialist is the lead in its preparation and serves as the final editor. At a minimum, the final document is routed for signature through the Requesting Activity (Program Official, Requesting Activity Branch Chief, and Requesting Activity Division Chief), Office of Counsel, the Contracting Office (Grants Specialist and Grants Officer), and the District Commander or designee. If applicable, the MFR must be signed by Real Estate, Security and Law Enforcement, Safety, ULA, Native American Coordinator, or any other interested party.

b. Required Content

The Cooperative Agreement Authorization Document must explain the requirement, public purpose, and statutory authority. It may also be used to identify potential Recipients.

Enough information should be presented in the document to determine that a cooperative agreement is the best approach for meeting the requirement. The following information is required:

- Synopsis of Requirement

- Public Purpose – The principal purpose of the activity to be carried out under the grant/cooperative agreement must be to stimulate or support a public purpose. The principle purpose of the grant/cooperative agreement cannot be to acquire (by purchase, lease, or barter) property or services for the direct benefit of the United States Government (31 USC §6303), unless an exception has been made where statute permits otherwise.
- Statutory Authority - A cooperative agreement cannot be awarded unless authorized by statute; however, it is not necessary for the word “cooperative agreement” to be specifically mentioned in the statute. Office of Counsel must be consulted when determining whether a statute authorizes the use of cooperative agreements.
- Description of Substantial Involvement by the Government
- Period of Performance
- Competition Requirements –2 C.F.R. Part 200.203, Subpart C, “Competition,” requires cooperative agreements to be competed to the maximum extent practicable.
- Funding information including total estimated cooperative agreement amount, cost share requirements, whether it will be fixed price or cost reimbursable, and the funding source.

7.2 Funding Opportunity Announcement (APPENDIX C)

a. Process / Responsibilities

The program official is responsible for preparing the funding opportunity announcement, although its preparation requires a collaborative effort between the grants officials and the requesting activity. The grants officials will post the announcement on Grants.gov. The format and content of the Funding Opportunity Announcement must be in accordance with Appendix 1 of 2 C.F.R. Part 200.

The requesting activity is responsible for writing a complete description of the program requirements, determining eligibility requirements for applicants, and identifying evaluation criteria.

- Program Description and Federal Award Information
The program description outlines the overall goals and objectives of the program, provides background of the program, identifies the scope of work to be done as a result of the agreement, and lists any special considerations that should be taken into account. The program description should also contain funding, statutory authority, performance period, anticipated number of awards, type of involvement the awarding agency will have, and any other information relevant to the requirement. The Grants Specialist and the requesting activity will coordinate with one another during the pre-award process to develop a complete program description. There is no required format for the program description.
- Eligibility Requirements
Examples of eligibility requirements are type of entity, cost sharing, organizations vs. individual, etc. The statutory authority will provide information about many of the eligibility requirements. For example, some statutes limit eligibility to State or local Governments or nonprofit organizations. Cost sharing may also affect eligibility because it may be

required by statute or program policy.

- Evaluation Criteria

The development of evaluation criteria should be in accordance with 2 C.F.R. § 200.203 – “Pre-Award Procedures,” which outlines factors to consider when determining level of effort necessary for deciding on the qualifications of a potential Recipient. Evaluation criteria may include but are not limited to the following areas:

- Technical Merit – Applicant must demonstrate how performance of the SOW will be accomplished. Cost-effectiveness may also be included in this section.
- Qualifications of Key Personnel – Applicant demonstrates the qualification for personnel who will be working on the requirement. Resumes or qualifications statements may be submitted for key personnel. If notifications of changes in key personnel during the life of the agreement will be required, this should be mentioned in this section.
- Available Facilities
- Management – Applicant will submit information regarding internal quality controls and accounting or bookkeeping procedures.
- Past Performance – Applicant will submit recent relevant experience to demonstrate ability to successfully and satisfactorily meet the requirement.
- Cost Reasonableness

NOTE - According to 2 C.F.R. § 200.203, two principle evaluation criteria for research and development cooperative agreements must be 1) Technical Merit and 2) Potential relationship of the proposed research and development to DoD missions.

b. Required Content

In accordance with 2 C.F.R. § 200.203, the format and content of each notice must conform to the Government wide format for announcements of funding opportunities established by the Office of Management and Budget (OMB). There are eight required sections of the announcement:

| | |
|-------------|----------------------------------|
| Section I | Funding Opportunity Description |
| Section II | Award Information |
| Section III | Eligibility Information |
| Section IV | Application Information |
| Section V | Application Review Information |
| Section VI | Award Administration Information |
| Section VII | Agency Contact |
| Section VII | Other Information |

The policy directive issued by OMB includes government-wide standards for the content of the synopsis posted on Grants.gov. See the OMB website for a detailed explanation of what information each section of the announcement should contain (http://www.whitehouse.gov/omb/grants_docs.html).

c. Template

The sample template in Appendix C is a standard format that may be used for

announcements. Some sections contain boiler plate language, but others should be tailored according to specific program requirements, type of award (fixed price or cost reimbursable), and type of Recipient (Government, university, nonprofit, etc). Sections that should be edited are highlighted in gray or yellow. The announcement should be written specific to the needs of each requirement.

d. Posting Requirements

The Grants Specialist will post the announcement on Grants.gov in accordance with procedures outlined in “DoD and Grants.gov: A Guide for DoD Staff” or within the respective CESU region. A CFDA number is required to follow the program throughout the assistance lifecycle and enable data and funding transparency. If a CFDA number does not already exist for a program, the Grants Specialist shall submit an application for a new number by completing the following steps:

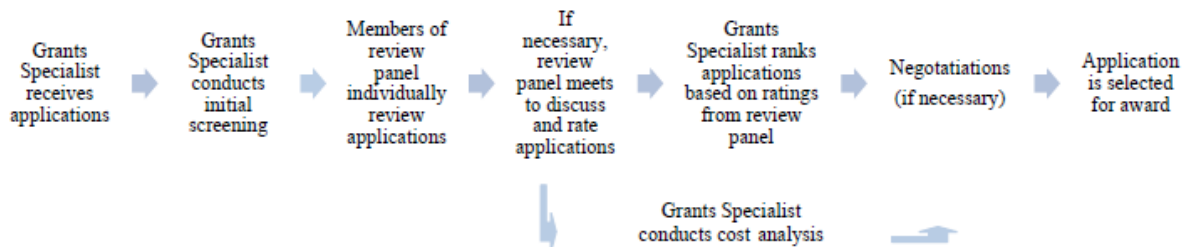
- Contact Robin A. Baldwin, HQ Proponent, Chief, Strategic Operations Division, Directorate of Contracting, (202) 761-8645, robin.a.baldwin@usace.army.mil
- Fill in required fields on the CFDA form such as work description, categories, etc. Information needed includes financial information, contacts, award process, and eligibility requirements.
- Example postings may be found at <https://www.cfda.gov/index?s=program&mode=form&tab=step1&id=4d4285648e2c51a33b9cb5bf7300736f>
- Once information is filled out, Robin will submit to the Department of Defense CFDA point of contact for processing. This may take several weeks.

After a number is assigned, all interested applicants should be able to access the CFDA website to search for the funding opportunity by category, topic number, agency, etc., much like a job search website.

7.3 Evaluation

In accordance with 2 C.F.R. § 200.203, in order for competition requirements to be met, an impartial review of the merits of applications must be performed using the evaluation method and criteria described in the announcement.

a. Process



b. Initial Screening

The initial screening is conducted by the Grants Specialist to determine that the applicant is (1) eligible in accordance with Section III of the announcement; (2) all information required by

Section IV of the announcement has been submitted; and (3) all mandatory requirements are satisfied.

The Grants Specialist will also conduct a search in SAM.gov to ensure the applicant has no exclusions from Federal awards. Reference EAFI# B.01.22. In accordance with 2 C.F.R. § 180.425, awarding agencies must confirm that the recipient is not suspended or debarred from receiving federal funds. If an award exceeds the Simplified Acquisition Threshold (SAT), the Grants Specialist is also required to check the Federal Awardee Performance and Integrity Information System (FAPIIS) at the time of award and throughout the agreement to ensure the recipient meets the qualification standards.

Any application that does not meet all the criteria in the initial screening is rejected and not forwarded to the review panel. Applications meeting all criteria in the initial screening are forwarded to the review panel. All members of the review panel are required to sign a non-disclosure form prior to receiving applications.

Grants Official will promptly notify applicants who fail the initial screening.

The Grants Specialist will obtain Past Performance Evaluations applicants and provide to the review panel.

c. Review Panel

The review panel is chosen by the program official and should be selected prior to posting the announcement. The review panel is responsible for evaluating the technical merits of the applications based on the criteria defined in Section V of the announcement.

Individuals on the review panel must be experts in the field and be free of conflicts of interest. Any individual involved in the review of applications SHALL NOT be involved in encouraging submission of applications, providing assistance to recipients filling out applications, or conducting the initial screening of applications.

Each individual on the review panel will rate applications based on criteria defined in the announcement. Each individual is responsible for safeguarding the applications to insure no information is inappropriately disclosed. Once completed, evaluation documents will be forwarded to the Grants Specialist.

d. Rating System

It is imperative that all members of the review panel score applications based on the criteria stipulated in the announcement. They will rate each evaluation criteria with the following adjectival descriptions and notate the strengths and weaknesses:

OUTSTANDING - Information submitted demonstrates potential to significantly exceed performance or capability standards. The applicant clearly demonstrates understanding of all aspects of the requirements to the extent that timely and highest quality performance is anticipated. The applicant shows exceptional strengths that will significantly benefit the Government and meet the fullest expectations of the Government. The applicant convincingly

demonstrates the ability to implement programmatic goals and objectives. An assigned rating within "outstanding" indicates the application contains essentially no significant weaknesses, deficiencies, or disadvantages and shows a very high probability of success.

GOOD - Information submitted demonstrates potential to exceed performance or capability standards. The applicant has one or more strengths that will benefit the Government. A high level of efficiency or productivity or quality is anticipated. The applicant shows only minor (but no major) deficiencies. The applicant shows the ability to implement programmatic goals and objectives. An assigned rating with "Good" is used when there are no indications of exceptional features or innovations that could prove to be beneficial, or contrarily, weaknesses that could diminish the quality of the effort or increase the risks of failure. Disadvantages are minimal and there is high probability of exceeding the requirements.

SATISFACTORY - Information submitted demonstrates potential to meet performance or capability standards. Applicant shows ability to meet minimum standard requirements and adequately meet programmatic goals and objectives. Applicant demonstrates few or no advantages or strengths and displays weaknesses in several areas that are not offset by strengths in other areas. A rating of "Satisfactory" equates to a neutral rating. There is a good probability of success as sufficient confidence that a fully compliant level of performance will be achieved. There are no significant advantages or disadvantages.

MARGINAL - Information submitted demonstrates potential to marginally meet performance or capability standards necessary for minimal, but acceptable contract performance. The application is not adequately responsive or does not address the specific programmatic goals and objectives. The assignment of a rating within the bounds of "Marginal" indicates significant deficiencies which may affect the overall project. The applicant demonstrates low probability of success although the proposal has a reasonable chance of becoming at least acceptable.

UNSATISFACTORY – Information submitted fails to meet performance or capability standards. The proposal does not meet the minimum requirements and programmatic goals and objectives can only be met with major changes. There is no reasonable expectation that acceptable performance would be achieved. Applicant shows many deficiencies and/or gross omissions; failure to provide a reasonable, logical approach to fulfilling much of the Government's requirements; failure to meet many of the minimum requirements.

e. Cost Analysis

The Grants Specialist is responsible for conducting a cost analysis to determine if the applicant's budget is reasonable and realistic and if the applicant demonstrates the ability to comply with all financial regulatory requirements and financial reporting. Reference EAFI# A.04.31 Determination of Fair and Reasonable Price, # B.01.21 – Price/Post Negotiation Memorandum (PNM), or # B.03.01 Cost/Price Evaluation. Assistance from the program official will be required to determine realism of the proposed budget.

The Grants Specialist will combine information from the technical evaluation, the past performance evaluation, and the cost/price analysis to make a selection recommendation. The

grants official and review panel have considerable discretion in making the analysis and decision; however, they shall ensure that decisions do not differ from, and are consistent with, the evaluation criteria and the program goals and objectives. All decisions and rationale from the evaluation of applications are documented and kept in the official Cooperative Agreement File. The Grants Specialist will complete EAFI# B.02.14 Source Selection Decision Document.

7.4 Award

Once a selection recommendation is agreed upon by the Grants Specialist and the review panel, the Grants Specialist will determine if the applicant is eligible for award, draft the cooperative agreement, enter the obligation into CEFMS, assemble the award package for review and approval by the Grants Officer, and complete all reporting requirements.

a. Eligibility

The Grants Specialist will determine an applicant's eligibility by ensuring the applicant is qualified in accordance with 2 C.F.R. § 200.203 which states that a recipient must have management capability and financial and technical resources, have satisfactory past performance and record of integrity and business ethics, and be otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations.

It is the determination of the grants officials if an audit should be required. DoD does not require an audit or credit report prior to award; however, Recipients are required to conduct audits in accordance with 2 C.F.R. Part 200.501, Subpart F, Audit Requirements, when they expend more than \$750,000.00 in Federal awards in a single year.

b. Notice of Selection and Negotiation

Once the Recipient is selected and determined to be eligible by the Grants Officer, the Grants Specialist will notify the Recipient(s) and send a draft of the terms and conditions of the cooperative agreement. Reference EAFI# B.01.16 Offeror Successful Proposal/Submittal. If any Recipient does not agree to all terms and conditions of the cooperative agreement or if the awarding agency determines that the proposal requires clarification or changes, negotiations are held. Items that can be negotiated are the scope of work, budget, and some terms and conditions. Some terms and conditions are legally required while others are at the discretion of the agency.

c. Cooperative Agreement EAFI# D.01.01 (APPENDIX D)

Once the scope of work, budget, and terms and conditions are agreed upon, the Grants Specialist is responsible for preparing the cooperative agreement. A sample cooperative agreement document can be found in Appendix D.

A Cooperative Agreement Number is assigned by the Grants Specialist.

d. CEFMS

The obligation is entered into CEFMS by the Grants Specialist and approved by the Grants Officer.

e. Award Package

The Grants Specialist is responsible for documenting the selection and assembling the award package. The award package with all selection documentation is routed through the program office and Office of Counsel for review and concurrence, then submitted the Grants Officer for award.

f. Award by Grants Officer

If the Grants Officer concurs with the selection, he/she will sign the cooperative agreement and obligate funds. The Grants Officer will return the package to the Grants Specialist for distribution and reporting.

g. Reporting

After the cooperative agreement has been signed by the Grants Officer, the Grants Specialist will enter the action into Defense Assistance Awards Data System (DAADS) and DOD Grants Awards if applicable. <https://dodgrantawards.dtic.mil/grants/index.html#/home>.

h. Notice to Unsuccessful Applicants EAFI# C.01.11

Letters to unsuccessful applicants are prepared by the Grants Specialist and Signed by the Grants Officer. The letter should include, in general terms, the reason the applicant's proposal was not selected.

i. Appeal Process

Allowing unsuccessful applicants to appeal is at the discretion of the agency, and the appeal process is according to agency procedure. An unsuccessful applicant may appeal to the Government Accountability Office (GAO) through their bid protest mechanism; however, GAO is unlikely to consider a complaint disputing the award of a cooperative agreement to one applicant over another. To date, GAO has not considered such a case. They will, however, consider complaints regarding compliance with applicable statutes and regulations (i.e., if an agency is using the cooperative agreements to avoid competition requirements).

8.0 Post-Award Procedures

8.1 File

The official cooperative agreement file is maintained by the Grants Specialist in Paperless Contract File (PCF). Program officials will keep their own working file.

An abstract of the award must be posted on the Defense Technical Information Center website: <https://reg.dtic.mil/> website which will list the award on the Department of Defense Grant Award Website: <https://dodgrantawards.dtic.mil>

8.2 Modifications (APPENDIX H)

The program official will notify the Grants Specialist of the need for a modification and supply all required supporting documents including, but not limited to a revised SOW, a PR&C (if additional funds are required), and a labor code.

The modification is completed by the Grants Specialist. In addition to the modification, the Grants Specialist will write an MFR detailing the purpose of the modification, necessity for the change, changes in funding or performance period, and any other pertinent information. The Grants Specialist will coordinate with Counsel per District policy.

The modification package (including all documentation) is routed through the program office and Office of Counsel for review and concurrence then submitted to the Grants Officer for approval and signature. All modifications must be entered into DAADS.

8.3 Task Orders/ CESU Cooperative Agreement (APPENDIX I)

The program official will coordinate with the Recipient to develop the SOW/SOO for the task order/ CESU Cooperative Agreement. The Recipient will be required to submit budget information in accordance with the Master Cooperative Agreement. The program official and Grants Specialist will work together to determine if the budget is fair and reasonable.

The program official will provide a labor code and a PR&C for the full task order amount. The Grants Specialist is responsible for preparing the task order/ CESU Cooperative Agreement, entering the obligation into CEFMS, and coordinating with Counsel per District policy.

The task order/ CESU Cooperative Agreement package (including all documentation) is routed through the program office and Office of Counsel for review and concurrence then submitted the Grants Officer for approval and signature. All task orders/ CESU Cooperative Agreements must be entered into DAADS.

8.4 Payment

Recipients are required to submit an SF-270 along with/in lieu of a standard invoice for reimbursement of expenditures. Requests for reimbursement will be process in accordance with District policy. Reference EAFI# G.01.41 (APPENDIX E)

8.5 Report Review

All reports must be filed in the official cooperative agreement file along with evidence of their review. The Grants Specialist is responsible for tracking when reports are due and sending notices to Recipients for overdue reports. Program officials and grants officials are responsible for reviewing reports. Reference EAFI# G.01.38

8.6 Site Visits

Site visits are not mandatory. There is no regulation or agency requirement for the number or frequency of site visits that should be conducted during the term of a cooperative agreement.

Site visits should be scheduled as needed and as resources allow.

a. Formal site visits are conducted to allow for a comprehensive review of the Recipient and how the program is being managed. It includes, but is not limited to, financial review, personnel review, program management review, and property review. This type of site visit requires extensive planning, time, and resources.

- Program officials and grants officials should meet prior to the site visit to determine what issues related to the cooperative agreement will be addressed, decide how it will be conducted (develop an agenda, checklists, etc.), and determine who will attend.
- The Grants Specialist will contact the Recipient to set up a date(s) for the site visit. Prior to the visit a letter verifying the date, time, and Government attendees is sent to the Recipient along with an agenda and a list of issues to be addressed.
- The site visit should include an entrance conference and an exit conference with all Government attendees and the Recipient's Program Director and other relevant parties. Other items on the agenda depend on what issues are to be addressed during the site visit, but may include a tour of the facility, interviews with program personnel, review of financial or management records, etc. Time should also be scheduled prior to the exit conference for the Government personnel to meet and discuss findings.
- After the site visit, the Grants Specialist will draft a site visit report to be reviewed by program officials, Office of Counsel, and the Grants Officer. The site visit report should detail what was discovered on the site visit and if a corrective action plan is required from the Recipient.
- The site visit report is filed in the official cooperative agreement file, the program file, and is sent to the Recipient.

Informal site visits may be conducted by program officials to work sites at any time. Because cooperative agreements require substantial involvement from the Government, it may be necessary for program officials to review progress and offer assistance in planning or resourcing frequently during the performance of the cooperative agreement. Informal site visits do not need to be recorded, but any findings or areas of concern discovered should be documented for the official file.

9.0 Close-out

9.1 Close-out Procedures

The Grants Specialist is responsible for close-out procedures including ensuring all final reports are received and forwarded to the appropriate reviewer, notifying Recipient of required documentation, compiling closeout package for Grants Officer review and approval, completing closeout checklist, deobligating excess funds, and documenting the official file. Reference EAFI# G.03.02 (APPENDIX F)

Close-out shall not be completed if litigation or appeal is pending, all payments have not been made to the Recipient, or a deobligation is necessary. It is not necessary to delay close-out until an audit has been completed. As provided in 2 C.F.R. § 200.344, agencies may recover funds based on a post-closeout audit. A final audit is not required as part of closeout procedures.

Close-out of a cooperative agreement/ task order does not affect:

- The Corps' right to disallow costs and recover funds on the basis of a later audit or other review
- The Recipient's obligation to return any funds due as a result of later refunds corrections, etc.
- Required record retention
- Property management requirements
- Audit requirements

a. Advise Recipient

Within 30 days of the end date of the performance period, the Grants Specialist will notify the Recipient in writing of the cooperative agreement/task order performance period end date and provide a list of documentation required by the recipient within 90 days after the end date of the performance period. The Recipient will be required to submit the following:

- Release of Claims Reference EAFI# G.03.10 (APPENDIX G)
- Final Financial Report
- Final Progress Report
- Property Reports (if applicable)

The recipient may be granted an extension beyond the 90 days if justification is provided.

b. Review and Approval of Final Reports

The program official will review the final progress report and sign an "Approval for Closeout" Reference EAFI# G.03.08 (APPENDIX J). The Grants Specialist and Project Manager will review the final financial report and the property reports.

c. Deobligation

The Grants Specialist will de-obligate all remaining funds prior to close-out of the cooperative agreement or task order. The Recipient must sign a Release of Claims prior to deobligation of remaining funds (APPENDIX G).

d. Close-Out Package

The Grants Specialist will complete and submit a completed package to the Grants Officer for approval and signature of the Completion Statement and letter to recipient. The close-out package includes:

- Completion Statement – completed by the Grants Specialist and to be signed by the Grants Officer Reference EAFI# G.03.02 (APPENDIX F)
- Final Progress Report
- Approval of Final Progress Report – signed by the program official
- Final Financial Report

- Property Reports
- Release of Claims Reference EAFI# G.03.10 (APPENDIX G)
- Deobligation Modification (if applicable)
- Notification letter to Recipient – to be signed by the Grants Officer

e. Notify Recipient

A letter notifying the Recipient the cooperative agreement/ task order is closed out is sent by the Grants Specialist. A copy of the letter is included in the official file.

9.2 Record Retention

Records retention shall be in accordance with 2 C.F.R. §200.333. If the cooperative agreement is under litigation, records must be retained until litigation is resolved if it takes longer than three years. This may vary depending on the type of cooperative agreement.

Recipients such as States may have their own retention requirements.

10.0 Terms and Conditions

The Recipient may be sent a draft of the terms and conditions, excluding the budget and cost analysis, in advance to determine if negotiations will be required. The Scope of Work (SOW) is included in Section 2 of the terms and conditions and should also be sent to the Recipient in draft form for review. The SOW included in the final version of the cooperative agreement may be slightly different than what was posted in the announcement because scope and activities are among issues that can be negotiated. In addition to the scope of work and the budget, some terms and conditions are negotiable.

10.1 General Terms and Conditions

In most cases, general terms and conditions are nonnegotiable because most of them are determined by statutory requirements; however, some details, such as reporting frequencies, are left up to the discretion of the awarding agency and can be negotiated.

General terms and conditions can be found in the cooperative agreement template. Sections in gray highlight need to be tailored according to the type of entity receiving the award, reporting frequencies, and cost sharing requirements.

10.2 Special Terms and Conditions

Special terms and conditions may be included in the agreement in addition to the general terms and conditions. They are added at the discretion of the awarding agency and are generally negotiable. Special terms and conditions, also known as Internal Controls per 2 CFR guidance, are typically added when the Recipient is determined to be high risk. However, some special terms and conditions are added at the Recipient's request.

11.0 Reporting Requirements

11.1 Government

a. Internal Record

A list of all cooperative agreements, modifications, and task orders is kept on the Shared Drive. The Grants Specialist is responsible for updating the list with each action.

b. DAADS

In accordance with 2 C.F.R. § 200.203, all actions subject to 31 U.S.C. Chapter 61 must be reported through the DAADS. All cooperative agreements, modifications, and task orders must be entered into DAADS at <http://siadapp.dmdc.osd.mil/grants.htm>.

11.2 Recipient

The Grants Specialist is responsible for ensuring reports are submitted by the Recipient on time and notifying Recipients of past due reports. Although some reports may be submitted to the program officials, ALL reports need to be filed in the official cooperative agreement file maintained by the Grants Specialist.

Required reporting by the Recipient includes:

a. Performance Reports, Reference EAFI# G.01.38

The program official and the Grants Specialist should work together to compare the information in the progress report with the agreement, financial reports, and any other information pertaining to the award. A copy of the report and all the feedback must be included in the official file. The following should be included in performance reports:

- Compare actual accomplishment with goals and objectives. Goals and objectives need to be established similar to a performance matrix.
- Where project output can be quantified, a computation of the cost per unit of output
- Reasons why goals and objectives were not met
- Other pertinent information such as analysis and explanation of cost overruns or high unit costs

Recipients are also required to inform the Government of significant events between reporting periods. The frequency of performance reports is determined at the time of award. Per OMB limitations, the frequency cannot be more frequently than quarterly or less frequently than annually. Annual reports are due 90 calendar days after the reporting period ends. Quarterly or semiannual reports are due 30 days after the reporting period ends.

Performance Progress Reports (SF- PPR) should be used for agreements over \$100,000. The Research Performance Progress Report (SF-RPPR) may be used for Research agreements.

b. Financial Reports

2 C.F.R. § 200.327 covers financial reporting. Financial reports should be submitted to the Grants Specialist, but both the Grants Specialist and the program official are responsible for their review. The following standard forms are required for financial reporting:

- SF-425 Federal Financial Report - This report is an all-purpose federal financial report used to summarize project expenditures and program income at regular intervals. The frequency for the SF-425 is no more frequently than quarterly and no less frequently than annually. An SF-425 is also required at project completion (this includes the completion of any task order). Annual reports are due 90 calendar days after the reporting period ends. Quarterly or semiannual reports are due 30 days after the reporting period ends. (APPENDIX K)
- SF-270 Request for Advance or Reimbursement – Recipient must use this form in addition to or in lieu of their standard invoice. Regular invoices may be attached to SF-270 if the agency chooses to, but no back up documentation is required unless Recipient is determined high-risk and it is included in the special terms and conditions. It can be submitted as frequently as needed. (APPENDIX E)
- SF-271 Outlay Report and Request for Reimbursement for Construction Programs – Used on most construction projects (except those that use the SF-270). When it is used for reporting, the frequency is no more frequently than quarterly and no less frequently than annually. (APPENDIX L)

Reporting period end dates are March 31st, June 30th, September 30th, and December 31st. An extension to the due date of any report may be granted at the request of the Recipient.

Federal agencies may waive any financial report if not required; however, the SF-270 is required by USACE for progress payments.

Recipients with multiple awards may submit financial reports for each award individually or as a group. This is determined by the Government and should be stipulated in the terms and conditions of the cooperative agreement.

c. Property Reports

Property reporting should be done at close-out of the cooperative agreement or task order. However, it may occur at any point during the cooperative agreement period if the Recipient no longer needs the property.

- Real Property - Title of real property acquired under the cooperative agreement vests in the recipient.
- Federally Owned Property - Title of federally owned property remains with the Federal Government Recipient is required to submit an annual inventory listing using SF-428-A; notify the awarding agency if the property is lost, damaged, or stolen; and report the property to the federal awarding agency when the property is no longer needed.

- Equipment - Equipment is tangible nonexpendable personal property with a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. Equipment purchased under the cooperative agreement shall vest with the Recipient.
- Supplies - Title to supplies and other expendable property shall vest in the recipient. Disposition of supplies in excess of \$5,000 shall be in accordance with 2 C.F.R. § 200.314, Aggregate Unused Supplies.
- Intangible Property - The Federal awarding agency reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use, and to authorize others to use copyrighted work, for Federal Government purposes in accordance with 2 C.F.R. § 200.315.

The following forms are used for property reporting:

- SF-428 and attachments as necessary (APPENDIX M)
 - SF-428 A – Annual Report (reporting Federally-owned property) due September 30 of each year unless otherwise specified in the cooperative agreement.
 - SF-428 B – Final Report
 - SF-428 C – Disposition Request - When the property is no longer needed, the Recipient must request disposition instructions from the federal Government.
- Real Property Status Report (RPSR) (APPENDIX N) - The frequency of RPSR is determined by the Government at the time of award.

Interim reports are due 45 days after the reporting period ends and final reports are due 90 days after the performance period end date.

- RPSR Attachment A – General Reporting
- RPSR Attachment B – Request to Acquire, Improve, or Furnish
- RPSR Attachment C – Disposition Report

12.0 Appendices - Required Documents and Sample Templates

| | |
|------------|--|
| Appendix A | Electronic Acquisition File Index (EAFI) - List of Required and Applicable Cooperative Agreement Documents |
| Appendix B | Acquisition Strategy Document – Sample Cooperative Agreement Authorization Document MFR (A.01.03) |
| Appendix C | Sample Funding Opportunity Announcement |
| Appendix D | Sample Cooperative Agreement (D.01.01) |
| Appendix E | Request for Advance Reimbursement - SF-270 (G.01.41) |
| Appendix F | Cooperative Agreement Completion Statement (G.03.02) |

| | |
|------------|---|
| Appendix G | Release of Claim (G.03.10) |
| Appendix H | Modification of Cooperative Agreement |
| Appendix I | Task Order |
| Appendix J | Final Performance Assessment Report – Approval for Closeout (G.03.08) |
| Appendix K | Federal Financial Report – SF 425 |
| Appendix L | Request for Reimbursement- Construction – SF 271 |
| Appendix M | Tangible Personal Property Report – SF-428, SF-428A, SF-428B, SF-428C |
| Appendix N | Real Property Status Report |
| Appendix O | Application for Federal Assistance – SF-424, SF-424A, SF-424B, SF-424C (See attachment) |

APPENDIX A
List of Required and Applicable Cooperative Agreement Documents

| Electronic Acquisition File Index (Updated October 2015) | Key: R = Required A = Applicable, but optional | GRANT or AGMT | SAMPLE/ TEMPLATE |
|--|---|---------------------|---------------------|
| I. Pre-Award | | | |
| A. Solicitation Documents | | | |
| A.01. Requirements Package | | | |
| A.01.03 Acquisition Strategy Document and Briefing Slides - <i>Cooperative Agreement Authorization Document</i> | R | | Appendix B |
| A.01.10 Contract Requirements Package (CRP) Checklist - <i>See Local Policy</i> | A | | |
| A.01.12 Document Summary List | | | |
| A.01.13 Drawings / Technical Data / Technical Data Package (TDP) | | | |
| A.01.15 Executive Summary | | | |
| A.01.16 Funding Documentation - <i>Planning PR&C, SAF Statement, Certified PR&C- FAR 32.702, 32.703-2, 32.703-3, DFARS 232.702, AFARS 5132.702(s)(j)(A) and UAI 32.703-2-100</i> | R | | |
| A.01.18 Independent Government Estimate (IGE) | A | | |
| A.01.19 Letter of Approval (LA) | | | |
| A.01.20 Letter of Contemplation | | | |
| A.01.21 Letter of Offer and Acceptance (LOA) | | | |
| A.01.22 Letter of Request | | | |
| A.01.23 Market Research Documentation | A | | |
| A.01.25 Miscellaneous Correspondence / Documents / Memoranda - Requirement Package | A | | |
| A.01.27 Ozone Depletion Substance Certification / Screening | | | |
| A.01.28 Performance Requirements Summary (PRS) | | | |
| A.01.29 Performance Specification (PS) | | | |
| A.01.30 Performance Work Statement (PWS) | A | | |
| A.01.31 Purchase Description (PD) | | | |
| A.01.33 Reimbursement of Contingency Fees | | | |
| A.01.36 Statement of Objectives (SOO) | A | | |
| A.01.37 Statement of Research Objective | A | | |
| A.01.38 Statement of Work (SOW) | A | | |
| A.02. Pre-Solicitation Notices | | | |
| A.02.01 Combined Synopsis and Solicitation - <i>Funding Opportunity Announcement</i> | A | | Appendix C |
| A.02.02 Pre-Solicitation Notices / Synopsis (and Amendments) / Exemption / Responses | | | |
| A.02.03 Special Notice | | | |
| A.02.04 Theater Business Clearance (TBC) Documentation | | | |
| A.03. Reviews / Approvals / Justifications - Solicitation | | | |
| A.03.07 Contracting Officer Certification | | | |
| A.03.08 Indemnification Documentation | | | |
| A.03.10 Justification and Approval (J&A) for Other Than Full and Open Competition | | | |
| A.03.12 Justification for an Exception to Fair Opportunity - | | | |
| A.03.13 Legal Review(s) – Solicitation - <i>per District Policy</i> | A | | |
| A.03.14 Limited Source Justification | A | | |
| A.03.21 Sole Source Justification | | | |
| A.03.22 Solicitation Review(s) | A | | |
| A.03.23 Technical Expert Status (TESA) Documentation | | | |
| A.03.24 Topic Review Board | | | |
| A.04. Determinations / Determinations and Findings (D and F) | | | |
| A.04.24 Davis Bacon Wage Determination | | | |
| A.04.29 Determination of Contractor Personnel Experience | | | |
| A.04.30 Determination of Contractor Responsibility / Non-Responsibility / Pre-Award Survey (Proposal Receipt / Prior to Award) | A | | |
| A.04.31 Determination of Fair and Reasonable Price (MFR) | R | | |
| A.04.35.01 - Project Labor Agreement Decision Memo | | | |
| A.04.35.02 - Ratification Determination and Supporting Documents | | | |
| A.04.35.03 - Request & Approval of Overtime for Cost Reimbursement Contracts | | | |
| A.04.35.07 - Compelling Reason Determination to Award to a Debarred or Suspended Contractor | | | |
| A.04.36 Service Contract Act Wage Determination | | | |
| A.04.37 Severability Determination | | | |
| A.04.38 Within Scope Determination | | | |
| A.05. Government Furnished Property (GFP) - Pre-Award FAR / DFARS / AFARS / UAI Part 45 | | | |
| A.05.01 Approval to Provide Government Furnished Property / Facilities and/or Contractor Acquired Property | A | | |
| A.05.02 GFE: Property Validation | | | |
| A.05.03 GFP: Pre-Award Documents Not Otherwise Classified | | | |
| A.05.04 GFP: Request for Availability Information/Reservation | | | |
| A.05.05 GFP: Requisition Request / Request for DODAAC | | | |
| A.05.06 Government Furnished Property (GFP) Listing | A | | |
| A.07. Pre-Award Documents | | | |
| A.07.01 Administrative Contracting Officer (ACO) Appointment / Revocation | | | |

APPENDIX A
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| Electronic Acquisition File Index (Updated October 2015) | Key: R = Required A = Applicable, but optional | GRANT or AGMT | SAMPLE/ TEMPLATE |
|--|---|--|-----------------------------------|
| A.07.03 Award Fee / Term Documentation | | | |
| A.07.04 Broad Agency Announcement | | A | |
| A.07.05 Contemplation Letter | | | |
| A.07.07 COR: Information Summary | | | |
| A.07.08 COR: Nomination / Appointment Letter(s) | | | |
| A.07.09 COR: Training Certificate | | | |
| A.07.10 DODAAC Verification / Early Release Memo | | | |
| A.07.11 Financial Capability | | | |
| A.07.14 Miscellaneous Correspondence / Documents / Memoranda - Pre-Award | | A | |
| A.07.14.01 - Bidder Inquiries | | | |
| A.07.14.02 - Organizational Conflict of Interest Resolution Documentation | | | |
| A.07.15 Miscellaneous Forms | | | |
| A.07.17 Pre-Award Clearance Information | | | |
| A.07.20 Pre-Solicitation / Pre-Proposal Conference / Site-Visit Documentation / Attendance List / Minutes | | A | |
| A.07.21 Record of Weighted Guidelines Application (DD Form 1547) | | | |
| A.07.22 Resume (Form AMSAS - 715-1) | | | |
| A.07.23 Solicitation - Funding Opportunity Announcement | | A | Appendix C |
| A.07.24 Solicitation Amendment(s) | | A | |
| A.07.25 Solicitation Distribution Checklist | | | |
| A.07.26 Source List / Solicitation Mailing List | | | |
| A.07.28 Technical Data Package (TDP) Request(s) Documentation | | | |
| B. Bid / Proposal Review | | | |
| B.01. Administrative Documentation | | | |
| B.01.02 Abstract of Offers (SF1409) / Summary of Bids | | A | |
| B.01.03 Agreement Analysis | | | |
| B.01.05 Certificate of Current Cost or Pricing Data | | | |
| B.01.06 Cost / Pricing Audit Reports | | | |
| B.01.07 EEO Compliance / Clearance / Correspondence | | | |
| B.01.08 Late Submissions of Bids / Offers | | | |
| B.01.09 Litigations (Claims / Disputes / Protests) - Pre-Award | | | |
| B.01.10 Mistakes in Quote(s) / Bid(s) / Proposal(s) / Submittal(s) and Disposition | | | |
| B.01.10.01 Bid Verification Request / Response | | | |
| B.01.11 No Bid / Offer Replies | | | |
| B.01.12 Non-Responsive Offerors | | | |
| B.01.13 Offeror: Quote(s) / Bid(s) / Proposal(s) / Submittal(s) - Unsuccessful Offers | | | |
| B.01.14 Offeror Initial: Quote(s) / Bid(s) / Proposal(s) / Submittal(s) | | | |
| B.01.15 Offeror Revised: Quote(s) / Bid(s) / Proposal(s) / Submittal(s) | | | |
| B.01.16 Offeror Successful: Quote(s) / Bid(s) / Proposal(s) / Submittal(s) | | R | |
| B.01.18 Pre-Award Survey Documentation | | A | |
| B.01.19 Pre-Negotiation Conference / Briefing Minutes | | A | |
| B.01.20 Pre-Negotiation Objectives Memorandum (POM) | | A | |
| B.01.21 Price / Post Negotiation Memorandum (PNM) - Business Clearance Memorandum (BCM) | | A | |
| B.01.22 System for Award Management (SAM) Documentation (CCR/ORCA/EPLS) | | R | |
| B.01.23 Unsolicited Proposal Documentation | | A | |
| B.02. Source Selection - DOD Source Selection Procedures & Army Source Selection Supplement (AS3) | | | |
| B.02.02 Competitive Range Determination | | A | |
| B.02.02.01 - Legal Review of Competitive Range Determination | | A | |
| B.02.02.02 - Pre-Award Notice of Exclusion from the Competitive Range | | A | |
| B.02.03 Contractor Non-Disclosure Agreements | | | |
| B.02.04 Debriefing Documentation - Pre-Award | | | |
| B.02.05 Discussion Documentation / Evaluation Notices (ENs) / Findings | | A | |
| B.02.06 Exchanges with Offerors: Clarifications and Communications | | A | |
| B.02.07 Informal Source Selection Criteria | | | |
| B.02.09 Miscellaneous Source Selection Documentation | | | |
| B.02.10 PEO Briefings of Source Selection | | | |
| B.02.11 Pre-Post Selection Board Report and Documentation | | | |
| B.02.12 Source Selection Advisory Council Documentation and Evaluations | | | |
| B.02.13 Source Selection Appointment Letters (SSAC/SSEB) | | | |
| B.02.14 Source Selection Decision Document | | A | |
| B.02.15 Source Selection Discussion Questions and Contractor Responses | | | |
| B.02.16 Source Selection Evaluation Board Training Documents | | | |
| B.02.17 Source Selection Evaluation Notes | | A | |
| B.02.18 Source Selection Evaluation Report(s) and Briefing(s) of Evaluations | | | |
| B.02.19 Source Selection Participation Agreements (Conflict of Interest, Standards of Conduct, and Nondisclosure Agreements) | | A | |
| B.02.20 Source Selection Plan (SSP) | | A | |
| B.02.21 Source Selection Team and PCO Evaluation Results & Recommendation | | | |

APPENDIX A
List of Required and Applicable Cooperative Agreement Documents

| Electronic Acquisition File Index (Updated October 2015) | Key: R = Required A = Applicable, but optional | GRANT or AGMT | SAMPLE/ TEMPLATE |
|---|---|---------------------|---------------------|
| B.03. Evaluations - DOD Source Selection Procedures & Army Source Selection Supplement (AS3) | | | |
| B.03.01 Cost / Price Factor Evaluation | | R | |
| B.03.02 Other Non-Cost / Non-Price Factor Evaluation | | A | |
| B.03.03 Past Performance Evaluation | | A | |
| B.03.04 Small Business Participation Plan Evaluation | | A | |
| B.03.05 Technical Evaluation | | A | |
| C. Contract Review and Award | | | |
| C.01. Reviews / Approvals / Justifications - Contract | | | |
| C.01.01 Congressional Notification of Award | | A | |
| C.01.02 Contract Distribution Checklist / Transmittal Notices | | | |
| C.01.03 Legal Review(s) - Contract - Per District Policy | | A | |
| C.01.05 Notice of Award | | R | |
| C.01.06 Notice to Proceed / Contract Receipt | | | |
| C.01.08 Requirement / Buyer's Checklist | | | |
| C.01.10 Synopsis of Award / Exemption from Synopsizing | | | |
| C.01.11 Unsuccessful Offeror(s) Notification | | A | |
| II. Award | | | |
| D. Contract (Order / Agreement / Grant / Announcement) | | | |
| D.01. Contractual Documentation | | | |
| D.01.01 Agreement | | R | Appendix D |
| D.01.02 Contract / Letter Contract | | | |
| D.01.03 DAADS | | R | |
| D.01.04 Delivery / Task Order | | A | |
| D.01.05 Grant | | | |
| D.01.06 Modification | | A | |
| D.01.07 Modification Log | | A | |
| E. Post-Award Documents | | | |
| E.01. Post-Award Documentation | | | |
| E.01.01 Abstract(s) | | | |
| E.01.03 Contracting Officer Award Review Certification | | | |
| E.01.04 Contractor Claim / Certifications | | | |
| E.01.05 D and F: Exercise of an Option | | | |
| E.01.06 Debriefing Documentation - Post-Award | | | |
| E.01.07 Legal Review(s) - Post-Award | | A | |
| E.01.08 Litigations (Claims / Disputes / Protests) - Post-Award | | | |
| E.01.09 Miscellaneous Correspondence / Documents / Memoranda - Post-Award | | | |
| E.01.10 Mistakes Disclosed After Award | | | |
| E.01.13 Novation / Change-of-Name Agreements | | | |
| E.01.14 Post-Award Conference Minutes | | | |
| E.01.16 Termination Notice / Documentation | | | |
| G. General Contract Administration | | | |
| G.01. General Contract Administration Documentation | | | |
| G.01.02 Acceptance Documentation | | | |
| G.01.03 ACO Correspondence | | | |
| G.01.06 Analysis and Determination of Appropriateness-Contract Financing | | | |
| G.01.07 Analysis and Determination-Overtime Approval | | | |
| G.01.09 Configuration Management Documentation | | | |
| G.01.10 Congressional Inquiries | | | |
| G.01.11 Contract Administration Summary Sheet | | | |
| G.01.12 Contract Progress Meetings | | | |
| G.01.13 Contracting Officer Complete and Accurate Cabinet Certification | | | |
| G.01.17 Cure Notices | | | |
| G.01.18 Deficiency Reports | | | |
| G.01.22 Environmental Plan | | | |
| G.01.23 First Article Rejection | | | |
| G.01.24 First Article Test Approval | | | |
| G.01.25 First Article Test Plan / Procedures | | | |
| G.01.26 First Article Test Report | | | |
| G.01.27 Government Trip Reports / Memorandum of Observations | | | |
| G.01.28 Liquidated Damages Data | | | |
| G.01.30 Maintenance Plan | | | |
| G.01.31 Miscellaneous Correspondence / Documents / Memoranda - General | | | |
| G.01.32 Patent Rights (DD Form 882) | | | |
| G.01.33 Personnel Passes / Access Lists / Violations | | | |

APPENDIX A
List of Required and Applicable Cooperative Agreement Documents

| Electronic Acquisition File Index (Updated October 2015) | | Key: R = Required A = Applicable, but optional | GRANT or AGMT | SAMPLE/ TEMPLATE |
|---|--|---|---------------------|---------------------|
| G.01.35 Post-Award Funding Issues | | | | |
| G.01.36 Pre-Final Payment / Final Acceptance | | | | |
| G.01.37 Pre-Performance Conference & Pre-final Payment Checklist | | | | |
| G.01.38 Production Progress Reports (DD Form 315) or Alternative Document | | | R | |
| G.01.39 Provisioning Documentation | | | | |
| G.01.40 Public Release of Information Approval | | | | |
| G.01.41 Recurring Reports (DD Form 250) / Invoices / Payment Vouchers / Expenditure Logs - SF270 | | | R | Appendix E |
| G.01.42 Request for Deviation | | | | |
| G.01.43 Request for Use of Government Property / Facility | | | | |
| G.01.44 Request for Waivers | | | | |
| G.01.45 Royalty Reports | | | | |
| G.01.46 Show Cause Notices | | | | |
| G.01.47 Site Visit Documentation | | | A | |
| G.01.51 Vehicle Passes / Insurance Documents | | | | |
| G.01.52 Waiver of First Article | | | | |
| G.03. Contract Closeout Documentation | | | | |
| G.03.01 Contract Closeout Checklist (DD Form 1597) | | | | |
| G.03.02 Contract Completion Statement (DD Form 1594/PK9) | | | R | Appendix F |
| G.03.03 Contractor Closeout Documentation | | | | |
| G.03.04 Final Material Inspection and Receiving Reports (DD Form 250) | | | | |
| G.03.05 Final Patent / Royalty Reports Cleared | | | | |
| G.03.06 Non-Classified Material Disposition | | | | |
| G.03.07 Other Closeout Documentation | | | R | |
| G.03.08 Final Performance Assessment Report Documentation | | | R | Appendix J |
| G.03.09 Plant Clearance Documentation | | | | |
| G.03.10 Release of Claims | | | A | Appendix G |
| G.03.11 Transfer and Acceptance of DoD Real Property (DD Form 1354) | | | | |

APPENDIX B
Acquisition Strategy Document – (A.01.03)

Office Symbol

Date

MEMORANDUM FOR RECORD

SUBJECT: Proposed Cooperative Agreement for [*short title of requirement*].

1. Synopsis of Requirement: This agreement represents an opportunity to enter into a cooperative agreement for [*Enter a brief description of general goals and objectives of the project. The Statement of Work (SOW) is not included in this section. The SOW may be included as an attachment for additional information*].
2. Public Purpose: [*State the public purpose of the requirement. What population is intended to be served? EXAMPLE - The Corps manages public land and the ORGANIZATION provides job training and education to students in natural resource management within the same community. ELABORATE HOW THE PARTNERSHIP ENTAILS A PUBLIC PURPOSE.*]
3. Statutory Authority: [*Cite ONE statutory authority and include it in full text. More than one statutory authority may apply, but the MFR should cite the one that best fits the requirement.*]
4. Applicability of Statutory Authority: [*Explain why the proposed award falls within the purview of the statutory authority and address any specific requirements of the authority and how the requirements have been or will be satisfied.*]
5. Substantial Involvement: [*State how the Government will be involved in the agreement other than providing funding and oversight. EXAMPLE – The government will provide a work site for the school to practice stewardship and ecological education and study, guidance in the form of educational presentations and review of protocols and reports, advice and final approval for restoration activities, etc.*]
6. Period of Performance: [*State the performance period of the agreement.*]
7. Competition: [*Describe competitive procedures to be used, to include the types of organizations that will be eligible (i.e. State Government, local Government, nonprofit, etc.) and a list of potential sources.*]
8. Funding: *EXAMPLE - For the first year of the Cooperative Agreement the amount would be _____ and would be negotiated via Task Orders for subsequent years thereafter as budgets allow.*
9. Recommendation: Authorize pursuit of cooperative agreement for [*short title of requirement*].

APPENDIX C

Funding Opportunity Announcement

Title

| | |
|---|--|
| Funding Agency : <i>District Office Address</i> | Funding Instrument: Choose an item. Funding Opportunity No: <input style="width: 50px;" type="text"/> CFDA No: Program Title: |
| Issue Date: | Application Due Date: |
| Overview: [Write a synopsis of requirement including summary of work to be done, background, statutory authority, eligibility requirements, etc]. | |
| Estimated Total Funding: | Estimated Number of Awards: |
| Contents of Full Text Announcement | |
| I. Funding Opportunity Description | V. Application Review Information |
| II. Award Information | VI. Award Administration Information |
| III. Eligibility Information | VII. Agency Contacts |
| IV. Application Information | VIII. Other Information |
| Contact Information: Questions relating to Grants.gov including the registration process and system requirements should be directed to the Grants.gov Contact Center at 1-800-518-4726. For assistance with the requirements of this Funding Opportunity Announcement, please contact (<i>insert grants officer email address here</i>) | |
| Instructions to Applicants: The complete funding opportunity announcement, application forms, and instructions are available for download at Grants.gov. Applications in response to this Funding Opportunity Announcement shall be submitted by the application due date. Applications may be submitted by mail, email, or via the internet through Grants.gov. Applicants shall have a Dun and Bradstreet Data Universal Numbering System (DUNS) number, register with the System of Award Management (SAM), and if submitting application via the internet, register with Grants.gov. See Section IV of the Funding Opportunity Announcement for complete application submission information. | |

Section I: Funding Opportunity Description

[Insert description and Scope of Work provided by program official.]

Section II: Award Information

[Insert information regarding type of funding instrument (grant or cooperative agreement/new or renewal/sole source or competed). Also include the estimated total amount of funding (can be an average based on previous years), number of awards, period of performance, and a description of Government involvement.]

Section III: Eligibility Information

1. Eligible Applicants – [Enter type of entities eligible to apply (ex. Government, university, nonprofit, etc.)]
2. Cost Sharing – [Enter proposed cost sharing information. If the action will be 100% funded by USACE, indicate as such.]
3. Other – [Include any other relevant information]

Section IV: Application and Submission Information

1. Address to Request Application Package
The complete funding opportunity announcement, application forms, and instructions are available for download at Grants.gov. USACE is not responsible for any loss of internet connectivity or for an applicant’s inability to access documents posted at the referenced website.

The administrative point of contact is [Grant Specialist (xxx) xxx-xxxx, email].
2. Content and Form of Application Submission
All mandatory forms and any applicable optional forms must be completed in accordance with the instructions on the forms and the additional instructions below.
 - a. SF 424 - Application for Federal Assistance
 - b. SF 424 A – Budget Information for Nonconstruction Programs
 - c. SF 424 B – Assurances – Non-Construction Programs
 - d. Program Narrative – Brief program description illustrating applicant’s ability to meet the goals and objectives described in Section I of the announcement. [Enter required content of program narrative.]
3. Application shall be submitted NO LATER THAN [enter application due date].
4. Submission Instructions
Applications may be submitted by mail, e-mail, or via the internet. Choose ONE of the following submission methods:
 - a. Mail one unbound copy of your complete proposal to:
US Army Corps of Engineers, XXX District
Attn: XXXX

Street Address

- b. E-mail:
Format all documents to print on Letter (8 ½ x 11”) paper. E-mail proposal to [enter email address].
- c. Internet:
Applicants are not required to submit proposals through Grants.gov. However, if applications are submitted via the internet, applicants are responsible for ensuring that their Grants.gov proposal submission is received in its entirety. The Government bears no responsibility for data errors resulting from transmission of conversion processes associated with electronic submissions. The Government will bear no responsibility for delays in submissions due to technical difficulties at or with the Grants.gov website.

All applicants choosing to use Grants.gov to submit proposals must be registered and have an account with Grants.gov. It may take up to three weeks to complete Grants.gov registration. For more information on registration, go to <http://www.grants.gov/ForApplicants>.

Section V: Application Review Information

- 1. Criteria
The following criteria shall serve as the standard against which any response to this announcement will be evaluated.
 - a. Initial Review
The Government will perform an initial review to determine that the applicant is (1) eligible in accordance with Section III of the announcement; (2) all information required by Section IV has been submitted; and (3) all mandatory requirements are satisfied.
 - b. Merit Review
[Insert evaluation criteria]
 - c. Budget Review
[Enter how agreement will be funded and how budget review will be performed]
- 2. Review and Selection Process
[Insert details of selection process. (See Section V Part 3 “Evaluation/Source Selection” of SOP)].
- 3. Anticipated Award Date
Announcement Issue Date: [] []
Announcement Due Date: [] []
Estimated Award Date: [] []

Section VI: Award Administration Information

- 1. Award Notices
Written notice of award will be given in conjunction with issuance of a cooperative agreement signed by a Grants Officer. The cooperative agreement will contain the effective date of the

APPENDIX C

agreement, the period of performance, funding information, and all terms and conditions. The recipient is required to sign and return the document before work under the agreement commences. **Work described in this announcement SHALL NOT begin without prior authorization from a Grants Officer.**

2. Administrative Requirements

The cooperative agreement issued as a result of this announcement is pursuant to the administrative requirements in [32 CFR 215 (A-110) (Universities, Hospital, Non-profit, or For - Profit)/OMB A-102 (Government Entity)].

3. Reporting

[Insert details of recipient reporting requirements].

Section VII: Agency Contact

[Name of Grants Specialist], Grants Specialist, Contracting Division

USACE, XXX District Tel: XXX-XXX-xxxx

ATTN: XXXXX Fax: XXX-XXX-XXXX

Street address E-mail: Enter email address

City, State, Zip

Section VIII: Other Information

[Insert any additional information relating to the announcement.]

APPENDIX D

COOPERATIVE AGREEMENT

| | |
|------------------------------------|-------------------------------|
| AGREEMENT NUMBER: W9127N-XX-2-XXXX | EFFECTIVE DATE: XX Month XXXX |
|------------------------------------|-------------------------------|

| | |
|--|---|
| ISSUED BY: <div style="text-align: center;"> The United States of America US Army Corps of Engineers, XXXX District Street Address City, State, Zip </div> | ISSUED TO: <div style="text-align: center;">[Recipient Name and Address]</div> |
|--|---|

CONCERNING:

AUTHORIZED BY:

CFDA NUMBER: _____ DUNS NUMBER: _____

RECIPIENT TYPE: Government Entity Non-Profit Organization Hospital University Other (specify):

AMOUNT: \$ _____ COST SHARE: _____

PROJECT PERIOD: _____ BUDGET PERIOD: _____

ADMINISTERED BY: Name (XXX) XXX-XXXX
Email address _____

TABLE OF CONTENTS

| <u>Section</u> | <u>Title</u> | <u>Section</u> | <u>Title</u> |
|----------------|----------------------------|----------------|-------------------------------|
| 1 | Administrative Information | 5 | Property Management |
| 2 | Programmatic Requirements | 6 | Claims, Disputes, and Appeals |
| 3 | Term | 7 | Compliance with Laws |
| 4 | Financial Matters | 8 | Indemnification |

NOTICE OF ELECTRONIC FUNDS TRANSFER (EFT): Pursuant to 32 C.F.R. § 22.810, it is a Governmentwide requirement to use EFT in the payment of any grant or cooperative agreement for which an application or proposal was submitted or renewed on or after 26 July 1996, unless the recipient has obtained a waiver by submitting to the head of the pertinent Federal agency a certification that it has neither an account with a financial institution nor an authorized payment agent. To be paid, recipient must submit a Payment Information Form (Standard Form SF-3881) to the responsible DoD payment office.

IN WITNESS WHEREOF, the parties by their authorized representatives execute this Cooperative Agreement and agree to the terms and conditions contained herein, all assurances and certifications made in the application, and all applicable federal statutes, regulations, and guidelines. The Recipient agrees to administer the funded program in accordance with the approved application and budget(s), supporting documents, and other representations made in support of the approved application.

UNITED STATES OF AMERICA (SIGNATURE OF GRANTS OFFICER)

| | |
|--------------------------|------|
| SIGNATURE OF RECIPIENT | DATE |
| NAME AND TITLE OF SIGNER | |

APPENDIX D

1. Administrative Information

1.1. Parties to the Agreement

This agreement is entered into between the U.S. Army Corps of Engineers, _____ District, hereinafter referred to as GOVERNMENT, and [Enter Recipient Name], hereinafter referred to as RECIPIENT. The parties to this agreement act in their independent capacities in their performance of their respective functions under this agreement and neither party is to be considered the officer, agent, or employee of the other.

1.2. Administrative Personnel

1.2.1. Government Representatives:

Government Project Manager:

[Name, Title]

USACE, _____ District

ATTN: CEXXX-XX-XX

Street Address

City, State, Zip

Tel: XXX-XXX-xxxx

Fax: XXX-XXX-xxxx

E-mail: [email]

Agreement Administrator:

[Name, Title]

USACE, _____ District

ATTN: CEXXX-XX-XX

Street Address

City, State, Zip

Tel: XXX-XXX-xxxx

Fax: XXX-XXX-xxxx

E-mail: [email]

Grants Officer:

[Name, Title]

USACE, _____ District

ATTN: CEXXX-XX-XX

Street Address

City, State, Zip

Tel: XXX-XXX-xxxx

Fax: XXX-XXX-xxxx

E-mail: [email]

1.2.2. Recipient Representatives:

[Enter Recipient Representatives]

1.3. Administrative Requirements and Order of Precedence

1.3.1. Governing Regulations: This agreement will be administered in accordance with, and recipients shall comply with, the applicable requirements of the Defense Grant and Agreement Regulatory System (DGARS), in particular Chapter XI of Title 2, Code of Federal Regulations and Chapter I, Subchapter C of Title 32, Code of Federal Regulations, commonly referred to as the Department of Defense Grant and Agreement Regulations (DoDGARs). Currently, Parts 32 and 33 of the DoDGARs are being revised. In the interim, 2 C.F.R. Part 200 "Uniform Administrative Requirements, Cost Principles, and Audit

APPENDIX D

Requirements for Federal Awards" replaces Parts 32 and 33 in accordance with 2 C.F.R. Part 1103.

1.3.2. Order of Precedence: In the event of a conflict between the terms of this agreement and other governing documents, the conflict shall be resolved by giving precedence in descending order as follows: (1) The DoDGARs; (2) the articles of this agreement; (3) the attachments to this agreement if any; and (4) task orders issued under this cooperative agreement.

2. Programmatic Requirements

2.1. Scope of the Agreement

The Government and the Recipient are bound to each other by a duty of good faith and best effort to achieve the goals of the agreement. This agreement is not intended to be, nor shall it be construed as, by implication or otherwise, a partnership, a corporation, or other business organization.

[Enter Statement of Work (SOW)/Statement of Objectives (SOO)]

2.2. Performance Reports

Recipient shall submit progress reports **Choose an item.** utilizing the form included in Appendix A of this agreement. Reports are due no later than **Choose an item.** following the end of each reporting period. A final performance progress report shall be submitted within 90 days after the expiration date of the award.

2.3. Modifications

2.3.1. Modifications to this agreement may be proposed by either party. But neither party shall implement a change until the change has been negotiated and approved by the Government's Grants Officer. Change proposals shall be submitted in writing and shall detail the technical, schedule, and financial impacts of the proposed modification. Only the Grants Officer has the authority to act on behalf of the Government to change this agreement.

2.3.2. Revision of budget/program plans: Recipient shall request prior approval for plan changes in accordance with 2 C.F.R. § 200.308.

2.3.3. The Grants Officer may unilaterally issue modifications for minor or administrative matters, such as changes in key personnel, paying office, etc.

2.4. Subawards

2.4.1. The Recipient shall apply to each subaward the administrative requirements of the DoDGARs applicable to the particular type of subrecipient. 2 C.F.R. Part 200 shall be applied to awards to universities, hospitals, and other non-profit organizations included in the definition of "recipient" in part 32 of the DoDGARs, as well as States, local governments, and Indian tribal governments.

2.4.2. Recipients awarding sub-awards under this agreement shall assure that sub-awards contain, at a minimum, the applicable provisions in Appendix B to DoDGARS Part 22 and Appendix A to DoDGARS **Choose an item.**

APPENDIX D

2.5. Procurement

The Recipient's systems for acquiring goods and services under this agreement shall comply with 2 C.F.R. §§ 200.317 to 200.326.

3. Term

3.1. Term of Agreement

The term of this cooperative agreement is [enter start and end dates] with task orders issued as needed. Task orders will have project and budget periods that are specific to the requirement and available funding. If the parties agree, the term of the agreement may be extended if funds are available and opportunities reasonably warrant. Any extension shall be formalized through modification of the agreement by the Grants Officer and the Recipient. [Tailor as needed per cooperative agreement.]

3.2. Unsatisfactory Performance/Non-Compliance with Award Provisions

Failure to perform work in accordance with the terms of the award or failure to comply with any or all of the provisions of the award may result in designation of the Recipient as high risk and assignment of special award conditions or other actions such as withholding payment, suspension of award, or termination.

3.3. Termination

3.3.1. The Grants Officer may terminate this agreement by written notice to the Recipient upon a finding that the Recipient has failed to comply with the material provisions of this agreement.

3.3.2. This agreement may be terminated by either party upon written notice to the other party. Such notice shall be preceded by consultation between the parties. Such notice must be issued at least 30 days prior to the requested effective date. If the Recipient requests to terminate the agreement, written notification must be provided to the awarding agency stating the reasons for the termination, the effective date, and in the case of partial termination, the portion to be terminated. If termination is requested before work is completed and the Grants Officer determines that the reduced or modified portion of the award will not accomplish the purpose for which the award was made, the Grants Officer may terminate the award in its entirety.

3.3.3. The Government and Recipient will negotiate in good faith an equitable adjustment for work performed toward accomplishment of program goals. The Government will allow full credit to the Recipient for the Government share of the obligations properly incurred by the Recipient prior to termination and those non-cancelable obligations that remain after termination.

3.3.4. If the agreement is incrementally funded, it may be terminated in the absence of additional funding.

3.4. Closeout Procedures

Closeout, subsequent adjustments, continuing responsibilities, and collection of amounts due are subject to the requirements at 2 C.F.R. §§ 200.344 and 200.345.

APPENDIX D

4. Financial Matters

4.1. Method of Payment

4.1.1. The Government will reimburse Recipient up to the negotiated amount for performance under this cost-reimbursable agreement. The Government is not liable for any expenditure in excess of this amount unless agreed to by modification of this agreement. All obligations are subject to the availability of appropriations from Congress.

4.1.2. Payments will be made on a reimbursable basis for actual costs incurred. Recipient shall submit a "Request for Advance or Reimbursement" (SF-270) [SF-271 may be used for construction] along with other required documentation to the Government's Agreement Administrator (see paragraph 1.2.1) no more frequently than monthly.

The SF-270 should be submitted to XXXXX@usace.army.mil. Invoices submitted by email must be formatted to print on Letter (8 ½ x 11") paper. Please attach a single PDF document with the SF-270 as the FIRST page. All information for processing the payment must be included in the attachment - not the body of the email. Subject line of the email must reference the cooperative agreement/task order number. Only ONE invoice may be submitted per email.

4.2. Cost Principles

Cost principles for this agreement are governed by 2 C.F.R. Part 200, Subpart E.

4.3. Standards for Financial Management Systems

The Recipient shall establish or use existing financial systems that comply with Generally Accepted Accounting Principles and with 2 C.F.R. §§ 200.302 and 200.303.

4.4. Audit

4.4.1. Organization-wide or program-specific audits shall be performed in accordance with the Single Audit Act Amendments of 1996, as implemented by 2 CFR §200 Subpart F "Audit Requirements". Recipients that are subject to the provisions of 2 CFR §200 and that expend \$750,000 or more in a year in Federal awards shall have an audit conducted for that year in accordance with the requirements contained in Subpart F. [In accordance with 15 CFR §14.26(c) and (d), for-profit hospitals, commercial, and other organizations not covered by the audit provisions of 2 CFR 200 Subpart F the expend \$750,000 or more on a year in Federal funding, are required to have a program-specific audit performed at conclusion of the project, but not less than once every five years].

4.4.2. The Recipient shall provide a copy of the auditor's report to the Government's Agreement Administrator.

4.5. Retention and Access to Records

Recipient's financial records, supporting documents, statistical records and all other records pertinent to this agreement shall be retained and access to permitted in accordance with 2 CFR §200.333.

4.6. Cost Sharing

4.6.1. [Enter negotiated cost share - determined per cooperative agreement]

APPENDIX D

4.6.2. The Recipient's contributions may count as cost sharing only to the extent that they comply with the criteria at 2 C.F.R. § 200.306.

4.7. Financial Reporting

4.7.1. The Recipient shall submit a "Federal Financial Report" (SF-425) on a Choose an item. basis. Reports are due no later than Choose an item. following the end of each reporting period. A final SF-425 shall be submitted within 90 days after the expiration date of the award.

4.7.2. Financial reports shall be submitted to the Government's Agreement Administrator.

5. Property Management

The Recipient's property management system shall comply with 2 C.F.R. §§ 200.310 to 200.316.

5.1. Real Property

Title for real property acquired under the cooperative agreement shall vest in the recipient. In accordance with 2 C.F.R. § 200.311, real property shall be used for the originally authorized purpose for as long as it is needed. [The recipient shall obtain written approval by the Federal awarding agency for the use of real property in other federally-sponsored projects when the recipient determines the property is no longer needed for the purpose of the original project. (University, Hospital, Non-profit, or For-Profit Entities ONLY)]. When real property is no longer needed for the originally authorized purpose, the recipient shall request disposition instructions from the Government.

5.2. Equipment

Equipment purchased under the cooperative agreement shall vest with the recipient, and its use, management, and disposition shall be in accordance with 2 C.F.R. § 200.313.

5.3. Supplies and Other Expendable Property

Title to supplies and other expendable property shall vest in the recipient. Disposition of supplies in excess of \$5000 shall be in accordance with 2 C.F.R. § 200.314. [The recipient shall not use supplies acquired with Federal funds to provide services to non-Federal outside organizations for a fee that is less than private companies charge for equivalent services, unless specifically authorized by Federal statute as long as the Federal Government retains and interest in the supplies (University, Hospital, Non-profit, or For-Profit ONLY)].

5.4. Intangible Property / Copyrights

The Federal awarding agency reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use, and to authorize others to use copyrighted work, for Federal Government purposes in accordance with 2 C.F.R. § 200.315.

5.5. Government Furnished Property

Title to federally owned property remains vested in the Federal Government. Federally furnished equipment is not-in-kind assistance.

5.6. Reporting Requirements

The following forms shall be utilized to meet 2 C.F.R. part 200 reporting requirements.

5.6.1. SF-428 Tangible Personal Property Report

APPENDIX D

- 5.6.1.1. SF-428 A – Annual Report (reporting Federally-owned property)
- 5.6.1.2. SF-428 B – Final Report
- 5.6.1.3. SF-428 C – Disposition Request

- 5.6.2.RPSR – Real Property Status Report
 - 5.6.2.1. RPSP Attachment A – General Reporting
 - 5.6.2.2. RPSR Attachment B – Request to Acquire, Improve or Furnish
 - 5.6.2.3. RPSR Attachment C – Disposition Request

- 5.6.3. Recipient shall submit an annual inventory report to the Government listing all federally owned property in their custody.

6. Claims, Disputes, and Appeals

6.1. General

Parties shall communicate with one another in good faith and in a timely and cooperative manner when raising issues under this article. Department of Defense policy is to resolve issues through discussions and mutual agreement at the Grants Officer's level, either through unassisted negotiations or through a mutually agreeable means of Alternative Dispute Resolutions.

6.2. Claims Resolution Process

When a claim cannot be resolved by the parties, the parties agree to use the procedures identified in 32 C.F.R. § 22.815 as the administrative process to resolve claims, disputes and appeals. Under 32 C.F.R. § 22.815, a recipient's claim must: (1) be submitted in writing; (2) specifying the nature and basis for the relief requested; and (3) include all data that supports the claim. Claims by a DoD component shall be the subject of a written decision by a Grants Officer. Within 60 calendar days of receipt of a written claim, the Grants Officer shall either: (1) prepare a written decision; or (2) notify the Recipient of a specific date when he or she will render a written decision if more time is required to do so. The decision of the Grants Officer is final. The recipient has the right to appeal the decision to the Grant Appeal Authority within 90 days of receiving the decision. Particulars concerning the appeal process are specified in Department of Defense Directive 3210.06, 32 C.F.R. § 22.815(e), and Army Appeals Authority AFARS § 5133.90 (Grant and Cooperative Agreement Claims, Disputes and Appeals).

6.3. Non-exclusivity Remedies

Nothing in this section is intended to limit the recipient's right to any remedy under the law.

7. Compliance with Laws

7.1. Applicable Federal Laws

By signing or accepting funds under this agreement, Recipient agrees that it will comply with all applicable federal, state and local laws, codes, regulations, rules and orders.

7.2. Certification Regarding Lobbying

A separate certification regarding lobbying must be submitted per 32 C.F.R. Part 28.

7.3. Award Provisions

By signing or accepting funds under this agreement, the recipient assures that it will comply with the applicable provisions of the following national policies on:

APPENDIX D

[Insert all that apply. Refer to 2 C.F.R. Part 200 for awards for universities, hospitals, other non-profit organizations, States, local governments, and Indian tribal governments.]

7.3.1. Nondiscrimination

7.3.2. Live Organisms

7.3.3. Debarment and Suspension

7.3.4. Hatch Act

7.3.5. Environmental Standards

7.3.6. Drug-Free Workplace

7.3.7. National Preservation

7.3.8. Officials Not to Benefit

7.3.9. Preference for US Flag Carriers

7.3.10. Cargo Preferences

7.3.11. Military Recruiters

7.3.12. Relocation and Real Property Acquisition

8. Indemnification

To the extent permitted by applicable law, Recipient shall indemnify the Government against any liability for damage to life or property arising from the actions or omissions of Recipient's employees, contractors, or agents. Such protection from damages may be provided by commercial insurance or self-insurance. The Government shall be liable for its actions and omissions in accordance with the Federal Tort Claims Act, as applicable, and other applicable Federal law.

REQUEST FOR ADVANCE OR REIMBURSEMENT

(See instructions on back)

| | |
|--------------------------------------|---------------------------|
| OMB APPROVAL NO. 0348-0004 | PAGE _____ OF _____ PAGES |
|--------------------------------------|---------------------------|

| | |
|---|--|
| 1. TYPE OF PAYMENT REQUESTED a. "X" one or both boxes <input type="checkbox"/> ADVANCE <input type="checkbox"/> REIMBURSEMENT b. "X" the applicable box <input type="checkbox"/> FINAL <input type="checkbox"/> PARTIAL | 2. BASIS OF REQUEST <input type="checkbox"/> CASH <input type="checkbox"/> ACCRUAL |
|---|--|

3. FEDERAL SPONSORING AGENCY AND ORGANIZATIONAL ELEMENT TO WHICH THIS REPORT IS SUBMITTED

4. FEDERAL GRANT OR OTHER IDENTIFYING NUMBER ASSIGNED BY FEDERAL AGENCY

5. PARTIAL PAYMENT REQUEST NUMBER FOR THIS REQUEST

6. EMPLOYER IDENTIFICATION NUMBER

7. RECIPIENT'S ACCOUNT NUMBER OR IDENTIFYING NUMBER

8. **PERIOD COVERED BY THIS REQUEST**
 FROM (month, day, year) _____ TO (month, day, year) _____

9. RECIPIENT ORGANIZATION

Name: _____

Number and Street: _____

City, State and ZIP Code: _____

10. PAYEE (Where check is to be sent if different than item 9)

Name: _____

Number and Street: _____

City, State and ZIP Code: _____

11. COMPUTATION OF AMOUNT OF REIMBURSEMENTS/ADVANCES REQUESTED

| PROGRAMS/FUNCTIONS/ACTIVITIES ► | (a) | (b) | (c) | TOTAL |
|---|-----------|-----|-----|-------|
| a. Total program outlays to date <small>(As of date)</small> | \$ | \$ | \$ | \$ |
| b. Less: Cumulative program income | | | | |
| c. Net program outlays (Line a minus line b) | | | | |
| d. Estimated net cash outlays for advance period | | | | |
| e. Total (Sum of lines c & d) | | | | |
| f. Non-Federal share of amount on line e | | | | |
| g. Federal share of amount on line e | | | | |
| h. Federal payments previously requested | | | | |
| i. Federal share now requested (Line g minus line h) | | | | |
| j. Advances required by month, when requested by Federal grantor agency for use in making prescheduled advances | 1st month | | | |
| | 2nd month | | | |
| | 3rd month | | | |

12. ALTERNATE COMPUTATION FOR ADVANCES ONLY

| | |
|--|----|
| a. Estimated Federal cash outlays that will be made during period covered by the advance | \$ |
| b. Less: Estimated balance of Federal cash on hand as of beginning of advance period | |
| c. Amount requested (Line a minus line b) | \$ |

13. **CERTIFICATION**

| | | |
|--|---|--|
| I certify that to the best of my knowledge and belief the data on the reverse are correct and that all outlays were made in accordance with the grant conditions or other agreement and that payment is due and has not been previously requested. | SIGNATURE OR AUTHORIZED CERTIFYING OFFICIAL | DATE REQUEST SUBMITTED |
| | TYPED OR PRINTED NAME AND TITLE | TELEPHONE (AREA CODE, NUMBER, EXTENSION) |

This space for agency use

Public reporting burden for this collection of information is estimated to average 60 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0004), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

INSTRUCTIONS

Please type or print legibly. Items 1, 3, 5, 9, 10, 11e, 11f, 11g, 11i, 12 and 13 are self-explanatory; specific instructions for other items are as follows:

| <u>Item</u> | <u>Entry</u> | <u>Item</u> | <u>Entry</u> |
|-------------|--|-------------|---|
| 2 | Indicate whether request is prepared on cash or accrued expenditure basis. All requests for advances shall be prepared on a cash basis. | | activity. If additional columns are needed, use as many additional forms as needed and indicate page number in space provided in upper right; however, the summary totals of all programs, functions, or activities should be shown in the "total" column on the first page. |
| 4 | Enter the Federal grant number, or other identifying number assigned by the Federal sponsoring agency. If the advance or reimbursement is for more than one grant or other agreement, insert N/A; then, show the aggregate amounts. On a separate sheet, list each grant or agreement number and the Federal share of outlays made against the grant or agreement. | 11a | Enter in "as of date," the month, day, and year of the ending of the accounting period to which this amount applies. Enter program outlays to date (net of refunds, rebates, and discounts), in the appropriate columns. For requests prepared on a cash basis, outlays are the sum of actual cash disbursements for goods and services, the amount of indirect expenses charged, the value of in-kind contributions applied, and the amount of cash advances and payments made to subcontractors and subrecipients. For requests prepared on an accrued expenditure basis, outlays are the sum of the actual cash disbursements, the amount of indirect expenses incurred, and the net increase (or decrease) in the amounts owed by the recipient for goods and other property received and for services performed by employees, contracts, subgrantees and other payees. |
| 6 | Enter the employer identification number assigned by the U.S. Internal Revenue Service, or the FICE (institution) code if requested by the Federal agency. | 11b | Enter the cumulative cash income received to date, if requests are prepared on a cash basis. For requests prepared on an accrued expenditure basis, enter the cumulative income earned to date. Under either basis, enter only the amount applicable to program income that was required to be used for the project or program by the terms of the grant or other agreement. |
| 7 | This space is reserved for an account number or other identifying number that may be assigned by the recipient. | 11d | Only when making requests for advance payments, enter the total estimated amount of cash outlays that will be made during the period covered by the advance. |
| 8 | Enter the month, day, and year for the beginning and ending of the period covered in this request. If the request is for an advance or for both an advance and reimbursement, show the period that the advance will cover. If the request is for reimbursement, show the period for which the reimbursement is requested. | 13 | Complete the certification before submitting this request. |
| Note: | The Federal sponsoring agencies have the option of requiring recipients to complete items 11 or 12, but not both. Item 12 should be used when only a minimum amount of information is needed to make an advance and outlay information contained in item 11 can be obtained in a timely manner from other reports. | | |
| 11 | The purpose of the vertical columns (a), (b), and (c) is to provide space for separate cost breakdowns when a project has been planned and budgeted by program, function, or | | |

APPENDIX G

COOPERATIVE AGREEMENT COMPLETION STATEMENT

| | |
|---|--|
| Choose an item. No: W9127N- | Last Modification No: |
| SPONSOR: The United States of America US Army Corps of Engineers, XXX District Street Address City, State, Zip | RECIPIENT: [Recipient Name and Address] |
| Physical Completion Date: | Financial Completion Date: |
| Total amount paid to the recipient under this cooperative agreement: \$ | |
| All administrative actions required have been fully and satisfactorily accomplished, and the following criterion have been met: <ul style="list-style-type: none"> <input type="checkbox"/> Final progress report has been submitted and is determined to be acceptable by the Program Official. <input type="checkbox"/> Final financial data has been submitted and compared with information in CEFMS. <input type="checkbox"/> All required reports (progress, financial, property) have been received. <input type="checkbox"/> Recipient has met the objectives of the agreement and complied with all terms and conditions. <input type="checkbox"/> All actions relating to disposition of property have been taken. <input type="checkbox"/> All remaining funds have been deobligated. <input type="checkbox"/> "Notification of Closeout" or "Noncompliance Letter" has been sent to the Recipient. <input type="checkbox"/> There is NO pending litigation or appeal for this agreement. Close-out shall not be completed if litigation or appeal is pending, all payments have not been made, or if a final deobligation is necessary. | |
| SIGNATURE OF GRANTS SPECIALIST | DATE |
| NAME OF GRANTS SPECIALIST Name Phone Email | |
| All actions required for close-out of this cooperative agreement have been fully and satisfactorily accomplished. Cooperative agreement file of this office is hereby closed as of: | |
| Date: | |
| SIGNATURE OF GRANTS OFFICER | DATE |
| NAME OF GRANTS OFFICER Name Phone Email | |

Release of Claim

For

Choose an item.

Between

US Army Corps of Engineers, Portland District

And

Choose an item. Number: W9127N-XX-2-XXXX

Short Title:

Period of Performance: to

Total Choose an item. Amount:

Total Program Outlays:

Total Amount to be Deobligated: \$0.00

The total Choose an item. and obligation amounts are decreased by \$0.00 from \$0.00 to \$0.00.

Government Program Official:

SIGNATURE OF PROGRAM OFFICIAL

agrees that all payments for all allowable charges under this agreement have been made and hereby releases the Government from further equitable adjustments and all liabilities under or arising from this agreement.

SIGNATURE OF RECIPIENT

DATE

PRINTED NAME AND TITLE

APPENDIX H

MODIFICATION OF Choose an item.
between
The United States of America
U.S. Army Corps of Engineers, XXX District
and
Enter Recipient

Choose an item. **NUMBER:** W9127N-XX-2-XXXX-XXXX

MODIFICATION NUMBER: XXXXX

SHORT TITLE:

AUTHORITY:

PURPOSE: The purpose of this modification is to .

TERM:

FUNDING:

ADMINISTERED BY: Name, Phone, Email

All terms and conditions of Cooperative Agreement W9127N-XX-2-XXXX between the US Army Corps of Engineers, XXXX District and Recipient remain in effect for the duration of this task order.

Effective Date of Modification:

| | |
|---|------|
| SIGNATURE OF GRANTS OFFICER | |
| [Grants Officer] [Phone Number] [email] | |
| SIGNATURE OF RECIPIENT | DATE |
| NAME AND TITLE OF SIGNER | |

APPENDIX I

TASK ORDER
to the
COOPERATIVE AGREEMENT
Between
US Army Corps of Engineers, XXX District (USACE)
And
Enter Recipient

TASK ORDER NUMBER: W9127N-XX-2-XXXX-XXXX

TITLE:

AUTHORITY:

AMOUNT: \$

PERIOD OF PERFORMANCE:

LOCATION:

ADMINISTERED BY:

All terms and conditions of Cooperative Agreement W9127N-XX-2-XXXX between the US Army Corps of Engineers, _____ District and [Recipient] are incorporated by reference and remain in effect for the duration of this task order.

Effective Date:

| | |
|---|------|
| SIGNATURE OF GRANTS OFFICER | |
| [Grants Officer] [Phone Number] [email] | |
| SIGNATURE OF RECIPIENT | DATE |
| NAME AND TITLE OF SIGNER | |

APPENDIX I

W9127N-XX-2-XXXX-XXXX
Page 2 of 2

DESCRIPTION OF SERVICES

THE RECIPIENT WILL:

USACE WILL:

PAYMENT:

Reimbursement for services provided under this Task Order will be made only for those services performed prior to Enter task order end date.

Recipient shall submit an SF-270 along with/in lieu of a standard invoice to:

XXXX@usace.army.mil

Invoices submitted by email must be formatted to print on Letter (8 ½ x 11") paper. Please attach a single PDF document with the SF-270 as the FIRST page. All information for processing the payment must be included in the attachment - not the body of the email.

Subject line of the email must reference the cooperative agreement/task order number.

Only ONE invoice may be submitted per email.

APPENDIX J



REPLY TO
ATTENTION OF

DEPARTMENT OF THE ARMY
PORTLAND DISTRICT, CORPS OF ENGINEERS
P.O. BOX 2946
PORTLAND, OREGON 97208-2946

CECT-NWP-S

MEMORANDUM FOR [office symbol], [PROGRAM OFFICIAL]

SUBJECT: Cooperative Agreement No. W9127N-XX-2-XXXX, [Title]

1. Regulations require that all expired cooperative agreements be closed out. In order to close out a cooperative agreement, it is necessary for the Program Official to verify that all requirements under the cooperative agreement have been satisfactorily met.
2. Please check the appropriate boxes below, sign this form verifying satisfactory completion of all requirements, and return to this office.
3. If you have any questions, please contact *Name*, Grants Specialist, at *phone* or email *email address*.

PERFORMANCE

Recipient has met the objectives of the agreement and complied with all terms and conditions.

Yes

No Explain: _____

APPROVAL OF FINAL PROGRESS REPORT

Final Progress Report dated _____ is accepted

No Final Progress Report required.
Explain: _____

Final Progress Report Not Accepted.
Explain: _____

PROPERTY (Supplies, Equipment, Real Property)

There is no property acquired under this agreement that requires disposition instructions.

There is property acquired under this agreement that requires disposition instructions.
Explain: _____

Signature below serves as confirmation by the program official that all requirements of the subject cooperative agreement have been satisfactorily met and progress has been appropriately reported in accordance with the terms and conditions of the cooperative agreement.

SIGNATURE OF PROGRAM OFFICIAL

FEDERAL FINANCIAL REPORT

(Follow form instructions)

| | | | | | | | |
|--|---------|--|----------------|---|--|-------------------|------------------|
| 1. Federal Agency and Organizational Element to Which Report is Submitted | | 2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment) | | | Page | 1 | of |
| pages | | | | | | | |
| 3. Recipient Organization (Name and complete address including Zip code) | | | | | | | |
| 4a. DUNS Number | 4b. EIN | 5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment) | | 6. Report Type <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annual <input type="checkbox"/> Annual <input type="checkbox"/> Final | 7. Basis of Accounting <input type="checkbox"/> Cash <input type="checkbox"/> Accrual | | |
| 8. Project/Grant Period From: (Month, Day, Year) To: (Month, Day, Year) | | | | 9. Reporting Period End Date (Month, Day, Year) | | | |
| 10. Transactions | | | | | | Cumulative | |
| (Use lines a-c for single or multiple grant reporting) | | | | | | | |
| Federal Cash (To report multiple grants, also use FFR Attachment): | | | | | | | |
| a. Cash Receipts | | | | | | | |
| b. Cash Disbursements | | | | | | | |
| c. Cash on Hand (line a minus b) | | | | | | | |
| (Use lines d-o for single grant reporting) | | | | | | | |
| Federal Expenditures and Unobligated Balance: | | | | | | | |
| d. Total Federal funds authorized | | | | | | | |
| e. Federal share of expenditures | | | | | | | |
| f. Federal share of unliquidated obligations | | | | | | | |
| g. Total Federal share (sum of lines e and f) | | | | | | | |
| h. Unobligated balance of Federal funds (line d minus g) | | | | | | | |
| Recipient Share: | | | | | | | |
| i. Total recipient share required | | | | | | | |
| j. Recipient share of expenditures | | | | | | | |
| k. Remaining recipient share to be provided (line i minus j) | | | | | | | |
| Program Income: | | | | | | | |
| l. Total Federal program income earned | | | | | | | |
| m. Program income expended in accordance with the deduction alternative | | | | | | | |
| n. Program income expended in accordance with the addition alternative | | | | | | | |
| o. Unexpended program income (line l minus line m or line n) | | | | | | | |
| 11. Indirect Expense | a. Type | b. Rate | c. Period From | Period To | d. Base | e. Amount Charged | f. Federal Share |
| | | | | | | | |
| | | | | g. Totals: | | | |
| 12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation: | | | | | | | |
| 13. Certification: By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and intent set forth in the award documents. I am aware that any false, fictitious, or fraudulent information may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001) | | | | | | | |
| a. Typed or Printed Name and Title of Authorized Certifying Official | | | | | c. Telephone (Area code, number and extension) | | |
| | | | | | d. Email address | | |
| b. Signature of Authorized Certifying Official | | | | | e. Date Report Submitted (Month, Day, Year) | | |
| 14. Agency use only: | | | | | | | |

Standard Form 425-A
OMB Approval Number: 0348-0061
Expiration Date: 10/31/2011

Paperwork Burden Statement

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is 0348-0061. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0061), Washington, DC 20503.

| OUTLAY REPORT AND REQUEST FOR REIMBURSEMENT FOR CONSTRUCTION PROGRAMS | | OMB APPROVAL NO. 0348-0002 | | PAGE | OF | | |
|---|---|---|--|---|----|--|--|
| <i>(See instructions on back)</i> | | 1. TYPE OF REQUEST <input type="checkbox"/> FINAL <input type="checkbox"/> PARTIAL | | PAGES | | | |
| 3. FEDERAL SPONSORING AGENCY AND ORGANIZATIONAL ELEMENT TO WHICH THIS REPORT IS SUBMITTED | | 4. FEDERAL GRANT OR OTHER IDENTIFYING NUMBER ASSIGNED BY FEDERAL AGENCY | | 2. BASIS OF REQUEST <input type="checkbox"/> CASH <input type="checkbox"/> ACCRUAL | | | |
| 6. EMPLOYER IDENTIFICATION NUMBER | 7. RECIPIENT'S ACCOUNT NUMBER OR IDENTIFYING NUMBER | PERIOD COVERED BY THIS REQUEST | | | | | |
| | | FROM (Month, day, year) TO (Month, day, year) | | | | | |
| 9. RECIPIENT ORGANIZATION <i>Name:</i> <i>No. and Street:</i> <i>City, State and ZIP Code:</i> | | | 10. PAYEE (Where check is to be sent if different than item 9) <i>Name:</i> <i>No. and Street:</i> <i>City, State and ZIP Code:</i> | | | | |
| 11. STATUS OF FUNDS | | | | | | | |
| CLASSIFICATION | PROGRAMS | FUNCTIONS | ACTIVITIES | TOTAL | | | |
| | (a) | (b) | (c) | | | | |
| a. Administrative expense | \$ | \$ | \$ | \$ | | | |
| b. Preliminary expense | | | | | | | |
| c. Land, structures, right-of-way | | | | | | | |
| d. Architectural engineering basic fees | | | | | | | |
| e. Other architectural engineering fee | | | | | | | |
| f. Project inspection fees | | | | | | | |
| g. Land development | | | | | | | |
| h. Relocation expense | | | | | | | |
| i. Relocation payments to individuals and businesses | | | | | | | |
| j. Demolition and removal | | | | | | | |
| k. Construction and project improvement cost | | | | | | | |
| l. Equipment | | | | | | | |
| m. Miscellaneous cost | | | | | | | |
| n. Total cumulative to date (sum of lines a thru m) | | | | | | | |
| o. Deductions for program income | | | | | | | |
| p. Net cumulative to date (line n minus line o) | | | | | | | |
| q. Federal share to date | | | | | | | |
| r. Rehabilitation grants (100% reimbursement) | | | | | | | |
| s. Total Federal share (sum of lines q and r) | | | | | | | |
| t. Federal payments previously requested | | | | | | | |
| u. Amount requested for reimbursement | \$ | \$ | \$ | \$ | | | |
| v. Percentage of physical completion of project | % | % | % | % | | | |
| 12. CERTIFICATION I certify that to the best of my knowledge and belief the billed costs or disbursements are in accordance with the terms of the project and that the reimbursement represents the Federal share due which has not been previously requested and that an inspection has been performed and all work is in accordance with the terms of the award. | | a. RECIPIENT | | SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL | | | |
| | | | | DATE REPORT SUBMITTED | | | |
| | | | | TYPED OR PRINTED NAME AND TITLE | | TELEPHONE (Area code, number, and extension) | |
| | | | | | | | |
| | | b. REPRESENTATIVE CERTIFYING TO LINE 11V | | SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL | | | |
| | | | | DATE SIGNED | | | |
| | | | | TYPED OR PRINTED NAME AND TITLE | | | |
| | | | | TELEPHONE (Area code, number, and extension) | | | |

INSTRUCTIONS

Public reporting burden for this collection of information is estimated to average 60 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0004), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

Please type or print legibly. Items 3, 4, 5, 8, 9, 10, 11s and 11v are self explanatory; specific instructions for other items are as follows:

| <i>Item</i> | <i>Entry</i> | <i>Item</i> | <i>Entry</i> |
|-------------|--|-------------|---|
| 1 | Mark the appropriate box. If the request is final, the amounts billed should represent the final cost of the project. | 11j | Enter gross salaries and wages of employees of the recipient and payments to third party contractors directly engaged in performing demolition or removal of structures from developed land. All proceeds from the sale of salvage or the removal of structures should be credited to this account; thereby reflecting net amounts if required by the Federal agency. |
| 2 | Show whether amounts are computed on an accrued expenditure or cash disbursement basis. | 11k | Enter those amounts associated with the actual construction of, addition to, or restoration of a facility. Also, include in this category, the amounts for project improvements such as sewers, streets, landscaping, and lighting. |
| 6 | Enter the Employer Identification Number (EIN) assigned by the U.S. Internal Revenue Service or FICE (institution) code if requested by the Federal agency. | 11l | Enter amounts for all equipment, both fixed and movable, exclusive of equipment used for construction. For example, permanently attached laboratory tables, built-in audio visual systems, movable desks, chairs, and laboratory equipment. |
| 7 | This space is reserved for an account number or other identifying number that may be assigned by the recipient. | 11m | Enter the amounts of all items not specifically mentioned above. |
| 11 | The purpose of vertical columns (a) through (c) is to provide space for separate cost breakdowns when a large project has been planned and budgeted by program, function or activity. If additional columns are needed, use as many additional forms as needed and indicate page number in space provided in upper right; however, the summary totals of all programs, functions, or activities should be shown in the "total" column on the first page. All amounts are reported on a cumulative basis. | 11n | Enter the total cumulative amount to date which should be the sum of lines a through m. |
| 11a | Enter amounts expended for such items as travel, legal fees, rental of vehicles and any other administrative expenses. Include the amount of interest expense when authorized by program legislation. Also show the amount of interest expense on a separate sheet. | 11o | Enter the total amount of program income applied to the grant or contract agreement except income included on line j. Identify on a separate sheet of paper the sources and types of the income. |
| 11b | Enter amounts pertaining to the work of locating and designing, making surveys and maps, sinking test holes, and all other work required prior to actual construction. | 11p | Enter the net cumulative amount to date which should be the amount shown on line n minus the amount on line o. |
| 11c | Enter all amounts directly associated with the acquisition of land, existing structures and related right-of-way. | 11q | Enter the Federal share of the amount shown on line p. |
| 11d | Enter basic fees for services of architectural engineers. | 11r | Enter the amount of rehabilitation grant payments made to individuals when program legislation provides 100 percent payment by the Federal agency. |
| 11e | Enter other architectural engineering services. Do not include any amounts shown on line d. | 11t | Enter the total amount of Federal payments previously requested, if this form is used for requesting reimbursement. |
| 11f | Enter inspection and audit fees of construction and related programs. | 11u | Enter the amount now being requested for reimbursement. This amount should be the difference between the amounts shown on lines s and t. If different, explain on a separate sheet. |
| 11g | Enter all amounts associated with the development of land where the primary purpose of the grant is land improvement. The amount pertaining to land development normally associated with major construction should be excluded from this category and entered on line k. | 12a | To be completed by the official recipient official who is responsible for the operation of the program. The date should be the actual date the form is submitted to the Federal agency. |
| 11h | Enter the dollar amounts used to provide relocation advisory assistance and net costs of replacement housing (last resort). Do not include amounts needed for relocation administrative expenses; these amounts should be included in amounts shown on line a. | 12b | To be completed by the official representative who is certifying to the percent of project completion as provided for in the terms of the grant or agreement. |
| 11i | Enter the amount of relocation payments made by the recipient to displaced persons, farms, business concerns, and nonprofit organizations. | | |

**TANGIBLE PERSONAL PROPERTY REPORT
SF- 428**

| | | Page | of Pages |
|--|---|--|-------------|
| 1. Federal Agency and Organization Element to Which Report is Submitted | 2. Federal Grant or Other Identifying Number Assigned by Federal Agency | 3a. DUNS | 3b. EIN |
| 4. Recipient Organization (Name and complete address including zip code) | | 5. Recipient Account or Identifying Number | |
| 6. Attachment (Check applicable) <input type="checkbox"/> Annual Report (SF-428-A) <input type="checkbox"/> Final (Award Closeout) Report (SF-428-B) <input type="checkbox"/> Disposition Report/Request (SF-428-C) | | 7. Supplemental Sheet <input type="checkbox"/> Yes <input type="checkbox"/> No | |
| 8. Comments | | | |
| 9a. Typed or Printed Name and Title of Authorized Certifying Official | | 9c. Telephone (<i>area code, number, extension</i>) | |
| | | 9d. Email address | |
| 9b. Signature of authorized Certifying Official | | 9e. Date report submitted (<i>Month, Day, Year</i>) | |
| 10. Agency use only | | | |

Instructions for Tangible Personal Property Report: SF-428

The estimated annual public reporting burden for the collection of information on this form and its attachments is estimated to average 2.75 hours per respondent, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

This is a standard form to be used by awarding agencies to collect information related to tangible personal property (equipment and supplies) when required by a Federal financial assistance award. The form consists of the cover sheet (SF-428) and three attachments to be used as required: Annual Report, SF428-A; Final (Award Closeout) Report, SF-428-B; and a Disposition Request/Report, SF-428-C. A Supplemental Sheet, SF-428S, may be used to provide detailed individual item information.

A. General Instructions:

Tangible personal property means property of any kind, except real property, that has physical existence. It includes equipment and supplies. It does not include copyrights, patents or securities. For convenience, throughout this form and its attachments, the term property will be synonymous with tangible personal property. The terms equipment and supplies will be used when referring to specific requirements.

Property may be provided by the awarding agency or acquired by the recipient with award funds. Federally-owned property consists of items that were furnished by the Federal government.

Recipients of Federal assistance awards may be required to provide Federal awarding agencies with information concerning property in their custody annually, at award closeout or when the property is no longer needed. Specific requirements will vary based on award provisions, the type of property (equipment or supplies) and whether the property is Federally-owned. This reporting form and its attachments are intended to assist recipients to provide necessary information when it is required.

1. Federal Agency and Organizational Element to Which Report is Submitted. Enter the name of the Federal agency and the agency organization element identified in the award document or as otherwise instructed by the agency. The organizational element is a sub-agency within a Federal agency. For example, the Air Force Office of Scientific Research (AFOSR) is an organizational element within the Department of Defense.

2. Federal Grant or Other Identifying Number Assigned by Federal Agency. Enter the Federal grant, cooperative agreement or other Federal financial assistance award instrument number or other identifying number assigned to the Federal financial assistance award.

3a. DUNS. Enter the recipient organization's Data Universal Numbering System (DUNS) number or Central Contract Registry extended DUNS number. The DUNS number is also referred to as the Universal Identifier.

3b. EIN. Enter the recipient organization's Employer Identification Number (EIN) as assigned by the Internal Revenue Service.

4. Recipient Organization. Enter the name and complete address, including zip code, of the recipient organization.

5. Recipient Account or Identifying Number. Enter the account number or other identifying number assigned to the award by the recipient. This number is for the recipient's use and is not required by the Federal agency.

6. Attachment. Check the applicable line to indicate the type of attachment being submitted. Use the Annual Report, SF-428-A, when required to provide annual inventory listings of Federally-owned property. Use the Final Report, SF-428-B, when required to provide property information in connection with the closeout of an award. Use the Disposition Request/Report, SF-428-C, when required to request disposition instructions for or to report the disposal of Federally-owned property or acquired equipment, at any time other than award closeout (i.e., during the award period or after award closeout as long as the Federal government retains an interest in the item).

7. Supplemental Sheet. Check the applicable block to indicate whether a Supplemental Sheet is attached. Recipients may use the SF-428S or equivalent document such as a computer print out to provide required detailed individual item information.

8. Comments. Provide any explanations or additional information in this block. Attach additional sheets if necessary.

9a. Typed or Printed Name and Title of Authorized Certifying Official. Enter the full name and title of the recipient representative authorized to sign this report.

b. Signature of Authorized Certifying Official. Original signature of the recipient's authorized certifying official.

c. Telephone. Enter the telephone number of the individual listed in Line 9a.

d. Email address. Enter the email address of the individual listed in 9a.

e. Date report submitted. Enter the date the report is submitted to the Federal agency.

10. Agency use only. This section is reserved for Federal agency use only.

TANGIBLE PERSONAL PROPERTY REPORT Annual Report SF-428- A

Federal Grant or Other Identifying Number Assigned by Federal Agency (Block 2 on SF-428). Leave blank for Consolidated Annual Reports (Block 1 below)

1. Report Type (Choose One)

(a) Individual ____ (Reporting Federally-owned property for one award)

(b) Consolidated ____ (Reporting Federally-owned property for all awards with a Federal Agency Organizational Element)

2. Report As Of:

30 SEP ____ (YYYY)

or __/__/____ (MM/DD/YYYY)

3. Federally-owned Property

| | Description (a) | Identification (b) | Acquisition Date (c) | Acquisition Cost (d) |
|-----------|--------------------|-----------------------|-------------------------|-------------------------|
| 1 | | | | |
| 2 | | | | |
| 3 | | | | |
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4. Comments

Instructions for Federally Owned Property Annual Report: SF-428 Attachment A

A. General Instructions:

This Attachment is to be used by recipients of Federal financial assistance when required to provide annual inventory listings of Federally-owned property.

Recipients shall report Federally-owned property in their custody as of the date in Block 2 of this Attachment, including Federally-owned items they have provided to their subrecipients or contractors. The report shall list all items of Federally-owned property, regardless of dollar value, furnished by the Federal awarding agency for use under an assistance award.

Federal Grant or Other Identifying Number Assigned by Federal Agency. Enter the Federal grant number or other identifying number assigned to the Federal financial assistance award. Leave blank if submitting a Consolidated Annual Report.

1. Report Type.

Select (a) **Individual** to report Federally-owned property for one award.

Select (b) **Consolidated** to report Federally-owned property for all awards with a Federal Organizational Element (Block 1 of the SF-428). For example, all Federally-owned property accountable to awards issued by NASA Glenn Research Center could be listed on one Consolidated Annual Report Attachment. All Federally-owned property accountable to awards with NASA Goddard Space Flight Center would be listed on a separate report. If this option is selected, in addition to the data in 3(a)-3(d), you must identify the applicable award numbers. You may use the Comments Section (for example, "NAG3-1234 Items 1-3; NAG3-5678 Item 4; etc.). Alternatively, you may attach a Supplemental Sheet SF-428S or computer printout with the required information.

2. Report as of. The report shall be submitted with information accurate as of 30 September, unless the award specifies a different date. Enter the appropriate month, day and year (mm/dd/yyyy).

3. Federally-owned property. Use this section to provide the specified information for each item or attach an equivalent document, such as a computer print out with the required detail. If additional space is required, you may use Supplement Sheet SF-428S.

a. **Description.** Provide a brief description of the item.

b. **Identification.** Enter the manufacturer's serial number, model number, Federal stock number, national stock number, or other identification number.

c. **Acquisition Date.** For items furnished by the Federal awarding agency, enter the date received by the recipient.

d. **Acquisition Cost.** Enter the acquisition cost.

4. Comments. Provide any special notes or comments regarding the Federally-owned property being reported or the report itself in this block. For Consolidated Annual Report Attachments, use this section to identify the award numbers applicable to the listed items or note in this section if you are providing the required individual item information on an attached SF-428S or a computer printout.

TANGIBLE PERSONAL PROPERTY REPORT

Final Report SF-428- B

Federal Grant or Other Identifying Number Assigned by Federal Agency (Block 2 on SF-428).

1. Report (Select all that apply)

- a. Federally-owned Property (List on Supplemental Sheet SF-428S or recipient equivalent and complete Section 2a below.)
- b. Acquired Equipment with acquisition cost of \$5,000 or more for which the awarding agency has reserved the right to transfer title (List on Supplemental Sheet SF-428S or recipient equivalent and complete Section 2b below.)
- c. Residual Unused Supplies with total aggregate fair market value exceeding \$5,000 not needed for any other Federally sponsored programs or projects. (Complete Section 2c below)
- d. None of the above

2. Complete relevant section(s)

For Agency Use Only

2a. Federally-owned Property
(Select one or more.)

Agency response to requested disposition of Federally owned property:

- (i) Request transfer to Award _____
- (ii) Request Federal Agency disposition instructions
- (iii) Other (Provide detail in Block 3 or attach request)

- (i) Recipient request approved ___ denied ___
- (ii) Dispose in accordance with attached instructions ____.

2b. Acquired Equipment (Select one or more.)

Agency response to requested disposition of acquired equipment::

- (i) Request unconditional transfer of title with no further obligation to the Federal Government.
- (ii) Request Federal Agency disposition instructions

- (i) Recipient request approved ___ denied ___
- (ii) Dispose in accordance with attached instructions ____

Authorized Awarding Agency Official

| | |
|------------|--------|
| Signature: | Date: |
| Name: | Phone: |
| Title | Email |

Note: If the awarding agency does not provide disposition instructions within 120 days the recipient may continue to use the equipment for Federally supported projects or dispose in accordance with the applicable property standards.

2c. Reportable Residual Unused Supplies

- (i) Sale proceeds or Estimate of current fair market value \$ _____
- (ii) Percentage of Federal participation _____%
- (iii) Federal share \$ _____
- (iv) Selling and handling allowance \$ _____
- (v) **Amount remitted to the Federal Government**..... \$ _____

3. Comments

Instructions for Final Report: SF-428 Attachment B

A. General Instructions:

This Attachment is to be used by recipients when required to provide a final property report for closeout of Federal assistance awards. The Attachment allows recipients to request specific disposition of Federally-owned property and acquired equipment. The attachment also provides a means for calculating and transmitting appropriate compensation to the awarding agency for residual unused supplies.

Requirements for final reporting are based on individual award provisions and the type of property. Generally, at the end of a Federal assistance award, recipients are required to:

- a. submit a report of Federally-owned property.
- b. provide a listing of equipment items, with an acquisition cost of \$5,000 or more, when the awarding agency has reserved the right to transfer title to the equipment to the Federal Government or a third party.
- c. compensate the awarding agency for residual unused supplies with a total aggregate fair market value greater than \$5,000 that are not needed for any other Federally sponsored programs or projects.

Federal Grant or Other Identifying Number Assigned by Federal Agency. Enter the Federal grant, cooperative agreement or other Federal financial assistance award instrument number or other identifying number assigned to the Federal financial assistance award.

1. **Report.** Check applicable lines a-c to indicate the type of property that is being reported. Note: Federally-owned property includes items provided by the awarding agency, regardless of dollar value. Check line d to indicate no property to report, if the awarding agency requires a negative report.

2. Complete the relevant sections to correspond with the property reported in Block 1.

2a. **Federally-owned Property.**

- (i) To request transfer of the property for use on a specific Federal award.
- (ii) To request Federal agency disposition instructions for unneeded Federally-owned property.
- (iii) To request a disposition other than (i) or (ii). For example, requests for transfer of title under authority of the Stevenson-Wydler Act.

2b. **Acquired Equipment with acquisition cost of \$5,000 or more for which the awarding agency has reserved the right to transfer title.**

- (i) When statutory authority exists, the Federal awarding agency has the option to vest title to equipment acquired with award funds in the recipient with no further obligation to the Federal government and under conditions the Federal awarding agency considers appropriate.
- (ii) To request Federal agency disposition instructions for equipment acquired with award funds.

2c. **Reportable Residual Unused Supplies.** Indicate whether the supplies have been sold or if they will be retained for use solely on non Federally-funded projects.

- (i) Enter the total amount of sales proceeds or an estimate of the current fair market value if the supplies will be retained. Note: Fair market value means the best estimate of the gross sales proceeds if the property were to be sold in a public sale.
- (ii) Enter the percentage of Federal Government participation in the award under which the supplies were acquired.
- (iii) Enter the dollar amount of sales proceeds (or estimate of current fair market value) multiplied by the percentage of Federal Government participation listed in (ii).
- (iv) If the supplies were sold, enter the amount of selling and handling expenses. Enter zero if the supplies will be retained for use on non Federally funded projects.
- (v) Enter the amount of the Federal share in (iii) less the selling and handling expense listed in (iv). Indicate in Block 3 how the funds are being returned to the government (e.g., attached check made out to the Awarding Agency/U.S. Treasury or electronic remission).

3. **Comments.** Provide any explanations or additional information in this block. Attach additional sheets if necessary.

Agency use only. This section is reserved for Federal agency use only.

**TANGIBLE PERSONAL PROPERTY REPORT
Disposition Request/Report SF-428- C**

Federal Grant or Other Identifying Number Assigned by Federal Agency (Block 2 of SF-428)

1. Request Disposition Instructions for:

For Agency Use Only

a. Federally-owned Property
(Select one or more and attach Supplemental Sheet SF-428S or recipient equivalent)
(i) ___ Request Federal Agency disposition instructions
(ii) ___ Other (Specify in Block 8 "Comments" or attach request)

Agency response to requested disposition of Federally owned property:

(i) Recipient request approved ___ denied ____.
(ii) Dispose in accordance with attached instructions ____.

b. Acquired Equipment with current fair market value of \$5,000 or more
(Select one or more and attach Supplemental Sheet SF-428S or recipient equivalent)
(i) ___ Request approval to trade-in or sell to offset costs of replacement equipment
(ii) ___ Request Federal Agency disposition instructions

Agency response to requested disposition of acquired equipment:

(i) Recipient request approved ___ denied ____.
(ii) Dispose in accordance with attached instructions ____.

Authorized Awarding Agency Official

| | |
|------------|--------|
| Signature: | Date: |
| Name: | Phone: |
| Title | Email |

2. Report Disposition by Sale or Retention

a. ___ Retention of acquired equipment for use on non Federally supported projects
b. ___ Sale of acquired equipment
(Attach Supplemental Sheet SF-428S or recipient equivalent and complete worksheet below)

| | |
|---|----------|
| (i) Sale proceeds (or estimate of current fair market value)..... | \$ _____ |
| (ii) Percentage of Federal participation | _____ % |
| (iii) Federal share | \$ _____ |
| (iv) Selling and handling allowance | \$ _____ |
| (v) Amount remitted to the Federal Government | \$ _____ |

3. Report Loss, Destruction or Theft of Federally-owned Property

___ Loss, Destruction or Theft of Federally-owned property

(Attach Supplemental Sheet SF-428S or recipient equivalent and describe the circumstances in Block 4)

4. Comments

(This area is left blank for user input.)

Instructions for Disposition Request/Report: SF-428 Attachment C

A. General Instructions:

This Attachment is to be used by recipients when required to request disposition instructions or to report disposition of Federally-owned property or acquired equipment under Federal assistance awards at any time other than award closeout (i.e., during the award period or after closeout as long as the Federal government retains an interest in the item).

Recipients provided Federally-owned property for use under Federal assistance awards are required to request disposition instructions from the awarding agency when the Federally-owned property is no longer needed for the authorized purpose. Recipients may be required to request disposition instructions for equipment acquired with award funds (acquired equipment) when an item is no longer needed for use on Federally-sponsored activities. Recipients may also be required to provide compensation to the awarding agency when acquired equipment is sold or retained for use on activities not sponsored by the Federal government. This attachment is intended to assist recipients in providing appropriate information to the awarding agency. Note: If the Federal awarding agency has exercised statutory authority to vest title to acquired equipment in the recipient with no further obligation to the Federal government, you are not required to request disposition instructions or to report disposition (i.e., sale or retention for non Federal use) of those items of equipment.

Federal Grant or Other Identifying Number Assigned by Federal Agency. Enter the Federal grant, cooperative agreement or other Federal financial assistance award instrument number or other identifying number assigned to the Federal financial assistance award.

1. Request Disposition Instructions for: Use this section to request Federal awarding agency disposition instructions when required by the award provisions.

a. **Federally-owned Property.** Consists of items that were furnished by the Government. Check applicable blocks to indicate the requested Federal awarding agency action for items that are no longer needed for use on the award specified in Block 2.

- (i) To request Federal agency disposition instructions.
- (ii) To request a specific disposition, e.g., transfer to another award.

b. **Acquired Equipment with a current fair market value of \$5,000 or more.** Note: Fair market value means the best estimate of the gross sales proceeds if the property were to be sold in a public sale. Check applicable blocks to indicate the requested Federal awarding agency action.

- (i) To request approval to trade-in or sell to offset costs of replacement equipment.
- (ii) To request Federal agency disposition instructions for equipment acquired with award funds.

2. Report Disposition by Sale or Retention. Use this section when required to compensate the Federal awarding agency for its interest in acquired equipment with a current fair market value of \$5,000 or more that you have sold or retained for use on non Federally supported activities. Check applicable blocks to indicate the type of action being reported and complete the worksheet to calculate the amount of compensation due to the awarding agency for its interest in the equipment.

- a. Retention of acquired equipment for use on non-Federally supported projects.
- b. Sale of acquired equipment.

Worksheet

- (i) Enter the total amount received if the equipment has been sold. Enter an estimate of the current fair market value if the equipment will be retained for use on non Federally funded projects.
- (ii) Enter the percentage of Federal Government participation in the award under which the equipment was acquired.
- (iii) Enter the dollar amount of sales proceeds (or estimate of current fair market value) multiplied by the percentage of Federal Government participation listed in (ii).
- (iv) If the equipment was sold, enter the amount of selling and handling expenses. Enter zero if the equipment will be retained for use on non-Federally funded projects.
- (v) Enter the amount of the Federal share in (iii) less the selling and handling expense listed in (iv). Indicate in Block 8 how the funds are being returned to the government. For example, attached check made out to the Awarding Agency/U.S. Treasury or electronic remission.

3. Report Loss, Destruction or Theft of Federally-owned Property. Use this section to notify the awarding agency. Check block to indicate that Federally-owned property has been lost, damaged or stolen, list the item(s) on SF-428S or recipient equivalent and describe the circumstances in Block 4.

4. Comments. Provide any explanations or additional information in this block. Attach additional sheets if necessary.

Agency use only. This section is reserved for Federal agency use only.

**REAL PROPERTY STATUS REPORT
(COVER PAGE)**

| | | | | |
|--|----------|---|---|-------|
| | | Page: | of : | Pages |
| 1. Federal Agency and Organizational Element to Which Report is Submitted: | | 2. Federal Grant(s) or Other Identifying Number(s) Assigned by Federal Agency(ies): | | |
| 3. Recipient Organization (name and complete address including zip code): | | | | |
| 4a. DUNS Number: | 4b. EIN: | 5. Recipient Account or Identifying Number: | 6. Contact Person for this Report: Name: Phone: Email: Fax: | |
| 7. Report End Date: (MM/DD/YYYY) | | | | |
| 8. Real Property Status Report – Attachments: [<i>check the applicable block(s)</i>]: ___ : Attachment A (General Reporting) <i>attached</i> ___ : Attachment B (Request to Acquire, Improve or Furnish) <i>attached</i> ___ : Attachment C (Disposition Request) <i>attached</i> | | | | |
| 9. Comments (attach additional sheets if necessary): | | | | |
| 10. Certification: I certify to the best of my knowledge and belief that all information presented in this report is true, correct and complete and constitutes a material representation of fact upon which the Federal government may rely. | | | | |
| 11a. Typed or Printed Name and Title of Authorized Certifying Official: | | 11c. Telephone (<i>area code, number, extension</i>): | | |
| | | 11d. Email Address: | | |
| 11b. Signature of Authorized Certifying Official: | | 11e. Date Report Submitted (MM/DD/YYYY): | | |
| | | 12. <u>Agency use only</u> | | |

**[ATTACHMENT A]
(General Reporting)**

| | | |
|---|-------|-----------|
| Federal Grant or Other Identifying Number Assigned by Federal Agency (#2 on cover page) | Page: | of: Pages |
|---|-------|-----------|

Complete the applicable blocks below for each parcel of real property being reported (duplicate this page to provide information for each parcel of real property being reported under the Federal financial assistance award identified in section 2):

| | |
|--|---|
| 13. Period and type of Federal Interest (MM/DD/YYYY): From: _____ To: _____ <input type="checkbox"/> Acquisition <input type="checkbox"/> Renovation <input type="checkbox"/> Construction <input type="checkbox"/> Government Furnished Property | |
| 14a. Description of Real Property: | |
| 14b. Address of Real Property (legal description and complete address including zoning information): | |
| 14c. Acreage: | 14d. Gross Square Meters and Usable Square Meters (i.e., of building, house, etc.): |
| 14e. Real Property Ownership Type(s): <input type="checkbox"/> A. Owned <input type="checkbox"/> B. Co-Owned <input type="checkbox"/> C. Fee Simple <input type="checkbox"/> D. Corporate <input type="checkbox"/> E. Joint Tenancy <input type="checkbox"/> F. Partnership <input type="checkbox"/> G. Limited Liability Partnership <input type="checkbox"/> H. Co-Operative <input type="checkbox"/> I. Government Furnished Property <input type="checkbox"/> J. Other (Describe): _____ | |
| 14f. Real Property Cost: | \$ _____ Share Percentage %: |
| Federal Share: | \$ _____ [_____ %] |
| Non-Federal Share: | \$ _____ [_____ %] |
| Total (sum of Federal and Non-Federal Share): | \$ _____ [_____ %] |
| 14g. Has a deed, lien, covenant, or other related documentation been recorded to establish Federal interest in this real property? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A If yes (unless previously reported), describe the instrument used and enter the date and jurisdiction in which it was recorded: | |
| 14h. Has Federally required insurance coverage been secured for this real property? <input type="checkbox"/> Yes <input type="checkbox"/> No See instructions for more details. | |
| 14i. Are there any Uniform Relocation Act (URA) requirements applicable to this real property? <input type="checkbox"/> Yes <input type="checkbox"/> No | |
| 14j. Are there any environmental compliance requirements related to the real property? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, describe them (attach additional sheets if necessary): | |
| 14k. In accordance with the National Historic Preservation Act (NHPA), does the property possess historic significance, and/or is it listed or eligible for listing in the National Register of Historic Places? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, describe them (attach additional sheets if necessary): | |
| 15. Has a significant change occurred with the real property, or is there an anticipated change expected during the next reporting period? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, describe the change (attach additional sheets if necessary): | |
| 16. Real Property Disposition Status: <input type="checkbox"/> A. Sold <input type="checkbox"/> B. Transferred to different award <input type="checkbox"/> C. Used in other Federally sponsored project/program <input type="checkbox"/> D. Transferred title <input type="checkbox"/> E. Retained Title <input type="checkbox"/> F. N/A i. If the Federal agency provided the recipient disposition instructions to sell or retain title to the real property, enter the amount of funds owed to the Federal government: ii. If applicable, enter the amount of any net proceeds from the sale of the real property and describe how the proceeds were distributed: iii. If the Federal agency directed the recipient to transfer title to the real property, enter the amount of funds the Federal Agency owes: | |
| 17. Remarks (attach additional sheets if necessary): | |

**[ATTACHMENT B]
(Request to Acquire, Improve or Furnish)**

| | | | |
|---|-------|-----|-------|
| Federal Grant or Other Identifying Number Assigned by Federal Agency (#2 on cover page) | Page: | of: | Pages |
|---|-------|-----|-------|

Complete the applicable blocks below for each parcel of real property for which you are requesting to acquire, improve, or furnish (duplicate this page to provide information for each parcel of real property under the Federal financial assistance award identified in section 2):

| | |
|--|---|
| 13a. Description of Real Property: | |
| 13b. Address of Real Property (legal description and complete address including zoning information): | |
| | |
| 14a. Describe the intended use of the real property and how it will benefit the program (attach additional sheets if necessary): | |
| 14b. Proposed Real Property Ownership Type(s): <input type="checkbox"/> A. Owned <input type="checkbox"/> B. Co-Owned <input type="checkbox"/> C. Fee Simple <input type="checkbox"/> D. Corporate <input type="checkbox"/> E. Joint Tenancy <input type="checkbox"/> F. Partnership <input type="checkbox"/> G. Limited Liability Partnership <input type="checkbox"/> H. Co-Operative <input type="checkbox"/> I. Government Furnished Property <input type="checkbox"/> J. Other (Describe): _____ | |
| 14c. Proposed Acquisition Date (MM/DD/YYYY): | |
| 14d. Acreage: | 14e. Gross Square Meters and Usable Square Meters (i.e., of building, house, etc.): |
| 14f. Appraised Value (Valuation): | Share Percentage %: |
| Federal Share: | [%] |
| Non-Federal Share: | [%] |
| Total (sum of Federal and Non-Federal Share): | [%] |
| 14g. Are there any Uniform Relocation Act (URA) requirements applicable to this real property? <input type="checkbox"/> Yes <input type="checkbox"/> No | |
| 14h. Are there any environmental compliance requirements related to the real property? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, describe them (attach additional sheets if necessary): | |
| 14i. In accordance with the National Historic Preservation Act (NHPA), does the property possess historic significance, and/or is it listed or eligible for listing in the National Register of Historic Places? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, describe them (attach additional sheets if necessary): | |
| | |
| 15. Remarks (attach additional sheets if necessary): | |

**[ATTACHMENT C]
(Disposition Request)**

| | | |
|---|-------|-----------|
| Federal Grant or Other Identifying Number Assigned by Federal Agency (#2 on cover page) | Page: | of: Pages |
|---|-------|-----------|

Complete the applicable blocks below for each parcel of real property for which you are seeking disposition or other instructions (duplicate this page to provide information for each parcel of real property under the Federal financial assistance award identified in section 2). If a section does not apply, enter "N/A":

13a. Description of Real Property:

13b. Address of Real Property (legal description and complete address including zoning information):

| | |
|---------------|---|
| 13c. Acreage: | 13d. Gross Square Meters and Usable Square Meters (i.e., of building, house, etc.): |
|---------------|---|



14a. Disposition Preference Request [Check one]:
 A. Sell B. Transfer to different award C. Use in other Federally sponsored project/program
 D. Transfer title E. Retain Title

14b. If this is a request to transfer to a different award, specify the proposed grant number and funding agency:

14c. If this is a request to use the real property in other Federal-sponsored projects/activities, describe the proposed use of the real property:

14d. If this is a request to transfer title, identify the proposed receiving entity:

| | | |
|---|----|---------------------|
| 14e. Appraised Value: | \$ | Share Percentage %: |
| Federal Share: | \$ | [%] |
| Non-Federal Share: | \$ | [%] |
| Total (sum of Federal and Non-Federal Share): | \$ | [%] |

14f. Are there any Uniform Relocation Act (URA) requirements applicable to this real property? Yes No

14g. Are there any environmental compliance requirements related to the real property? Yes No
 If yes, describe them (attach additional sheets if necessary):

14h. In accordance with the National Historic Preservation Act (NHPA), does the property possess historic significance, and/or is it listed or eligible for listing in the National Register of Historic Places? Yes No
 If yes, describe them (attach additional sheets if necessary):



15. If this is a request for a release from the obligation to report on the real property, describe the reasons for the request (attach additional sheets if necessary):



16. Remarks (attach additional sheets if necessary):

INSTRUCTIONS FOR THE SF-???? Real Property Status Report

Public reporting burden for this collection of information is estimated to average 240 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

This is a standard report to be used by recipients of Federal financial assistance to report real property status (Attachment A) or to request agency instructions on real property (Attachments B, C) that was/will be provided as Government Furnished Property (GFP) or acquired (i.e., purchased or constructed) in whole or in part under a Federal financial assistance award (i.e., grant, cooperative agreement, etc.). This includes real property that was improved using Federal funds and real property that was donated to a Federal project in the form of a match or cost share donation. This report is to be used for awards that establish a Federal Interest on real property. The instructions below address each section of the Real Property Status Report. This report should be used to report on or request instructions for single/individual and/or multiple parcels of real property (land, buildings, etc.). The report elements are contained in Attachment A and the request elements are contained in Attachments B and C.

A. Instructions Related to Cover Page follows:

1. **Federal Agency and Organizational Element to Which Report is Submitted.** Enter the name of the Federal agency and the agency organization element identified in the award document or as otherwise instructed by the agency.

2. **Federal Grant(s) or Other Identifying Number(s) Assigned by Federal Agency (ies).** Enter the related Federal grant, cooperative agreement or other Federal financial assistance award instrument number(s), or other identifying number(s) assigned to the Federal financial assistance award. The term "Grant" is used to represent all forms of Federal financial assistance including but not limited to grants, cooperative agreements, loan guarantees, etc., unless otherwise excluded via Office of Management and Budget (OMB) guidance, Federal statute or regulation. If subsequent funding from one or more additional award instruments is used to supplement the initial real property investment, list all contributing award instruments.

3. **Recipient Organization.** Enter the name and complete address, including zip code, of the recipient organization.

4a. **Dun and Bradstreet Data Universal Numbering System (DUNS) Number.** Enter the recipient organization's Data Universal Numbering System (DUNS) number or Central Contract Registry extended DUNS number. The DUNS number is also referred to as the Universal Identifier.

4b. **Employer Identification Number (EIN).** Enter the recipient organization's Employer Identification Number (EIN) as assigned by the Internal Revenue Service.

5. **Recipient Account Number or Identifying Number.** Enter the account number or any other identifying number assigned by the recipient to the award. This number is strictly for the recipient's use only and is not required by the Federal agency.

6. **Contact Person for this Report.** Enter the name, telephone number (including area code), e-mail address and Facsimile number (including area code) of the person to contact on matters related to this report or request.

7. **Report End Date.** Enter the end date of the period for which the report is submitted using (MM/DD/YYYY) format. This block only applies when completing Attachment A.

8. **Real Property Status Report – Attachments.** Check the applicable block(s) to indicate the type(s) of attachment(s) being submitted (i.e., Attachment A = General Reporting, Attachment B = Request to Acquire, Improve or Furnish, Attachment C = Disposition Request) and complete the related sections of the indicated attachment(s) for each parcel of real property being reported. Note that each attachment may be submitted using a single RPSR if a recipient has a need

to both report information and request instructions from an agency related to real property under the same award instrument.

9. **Comments.** Provide any special notes or comments regarding the real property being reported or the report itself in this block. Comments should relate to issues not addressed in other sections of the report. Attach additional sheets if necessary. If a negative report (no change in real property status) is being submitted for all parcels of real property, enter the term "Negative" in this block. If there have been changes with some but not all parcels of real property, identify the parcels with negative status in this block (as follows: "Negative status for the following Properties :") and provide the related attachment(s) for each parcel with changes to report.

10. **Certification.** By signing this report (block 11b.), the recipient is certifying that to the best of their knowledge and belief, the information contained in this report is true, correct and accurate and constitutes a material representation of fact upon which the Federal government may rely. Note that a false statement of fact in this report may constitute a violation of Federal law and may be grounds for possible punishment as provided in 18 U.S.C. 1001.

11a. **Typed or Printed Name and Title of Authorized Certifying Official.** Enter the full name and title of the authorized certifying official.

11b. **Signature of Authorized Certifying Official.** The authorized certifying official must sign here certifying to the facts presented in the report. A copy of the governing body's authorization for the certifying official to sign official documents on behalf of their organization as an official representative must be on file in the recipient's office. (See item 10. above.)

11c. **Telephone.** Enter the telephone number (including area code and extension) of the individual listed in section 11a.

11d. **Email address.** Enter the email address of the individual listed in section 11a.

11e. **Date report submitted.** Enter the date the report is submitted to the Federal agency using the following format (mm/dd/yyyy).

12. **Agency use only.** This section is reserved for Federal agency use only.

B. Instructions Related to Attachment A (General Reporting) follows:

Real Property Details. Provide the requested information in subsections 13 through 17 of Attachment A for each parcel of real property being reported. Use a separate sheet to report information on each parcel of real property under the Federal financial assistance award identified in section 2. If a section does not apply, enter "N/A." Below is a summary of the required information to be provided for each subsection of Attachment A:

13. Period and type of Federal Interest. Enter the period, established in the award document, during which Federal interest in the real property begins (i.e., From) and ends (i.e., To) using (MM/DD/YYYY) format. [ex., From: 03/23/2005 To: 03/22/2025]. This period may exceed the grant award performance period in those instances where Federal interest continues beyond the end of the current award. In some instances the end date for the period of Federal interest may not be defined by a specific date. If that is the case, enter the beginning date along with a statement to indicate the planned or uncertain end date (ex. "From: 03/23/2005 To: Expiration of Federal Interest"). Check the appropriate box indicating the action the Interest is tied to. Federal Agencies will define the applicable beginning date.

14a. Description of Real Property. Describe the type of real property being reported (i.e., land, building, etc.) and provide a useful description of the real property (i.e., building number 17 at the National Research Center, Chapel Hill, NC). If the real property is being renovated or altered, also describe the nature of the work (i.e. major renovation of building 17, wing c).

14b. Address of Real Property. Enter the legal description and complete address for each parcel of real property being reported including the street, city, state, county/parish, country, zip code, and physical location if an address is not available (i.e., latitude, longitude, lot number, parcel number, etc.). Also, indicate zoning information related to the real property (i.e., mixed use, residential, commercial, etc.). Where an address is not available, or more precision is required, geographic coordinates may be used. Locational data should be recorded with a Global Positioning System (GPS) device set to NAD 83, or WGS 84 datum using either of the following coordinate reference systems:

- United States National Grid (USNG) using the full grid zone designation and a minimum of eight digits.
- Decimal degrees latitude and longitude, with at least 6 decimal places and a minus (-) to show west longitude or south latitude.

14c. Acreage. Enter the size of the land or the size of the land on which the real property is located in terms of measured acreage (i.e., 1.5 acres, etc.).

14d. Gross Square Meters and Usable Square Meters (i.e., of building, house, etc.). Enter the gross and usable square meters for each structure (i.e., of the building, house, etc.) being reported.

14e. Real Property Ownership Type(s). Check the applicable box(es) to indicate the real property ownership type(s). If more than one type is applicable, check all that apply. If the ownership types listed do not apply, check "J. Other" and describe the ownership arrangement. Example of Other: Conservation Easement.

14f. Real Property Cost. Enter the total cost of the real property acquired (purchase price only) or improved, including the following data. If multiple Federal agencies are contributing to the acquisition or improvement of the real property, attach a separate sheet to identify each agency and their contribution using the format below:

1. Amount provided by the Federal government (i.e., Federal Share of Property Cost based on the Federal share of the total cost of the program or project),
2. Share percentage provided by the Federal government (i.e., Federal Share Percentage of Property Cost based on the Federal share of the total cost of the program or project),
3. Amount provided by the recipient or other non-Federal entities (i.e., non-Federal Share of Property Cost),
4. Share percentage provided by the non-Federal entities, (i.e., non-Federal Share Percentage of Property Cost),
5. Total cost (i.e., Sum of Federal and non-Federal Share of the Property Cost), and
6. Total share percentage (i.e., sum of share percentages of Federal and non-Federal Share of the Property Cost must equal 100%).

14g. Has a deed, lien, covenant, or other related documentation been recorded to establish Federal interest in this real property? If yes (unless previously reported), describe the instrument used and enter the date and jurisdiction in which it was recorded. Check either “yes” or “no” to indicate if the documentation has been recorded. If the awarding agency has not imposed the requirement to record Federal interest in the real property, check “NA”. If Federal interest has been recorded, enter the instrument used (i.e., deed, lien, covenant, etc.) along with the date and jurisdiction in which it was recorded (ex., Executed on 01/04/2007, in the Arlington, VA County Clerk’s office, Deed book #54987, page 234). The recordation of Federal interest in real property must be reported by no later than the next scheduled reporting date after the real property has been acquired, improved or donated, or as directed by the awarding agency in the award document. The recipient must maintain records of the recordation of Federal interest in real property and make such records available upon the request of the Federal government.

14h. Has Federally Required Insurance Coverage been secured for this real property? Check either “yes” or “no” to indicate if Federally required insurance has been secured for the real property. The recipient must maintain records of the insurance coverage that has been secured for the real property and make the records available upon the request of the Federal government. Note: Recipients must provide insurance coverage for any real property acquired under a Federal financial assistance award that is, at a minimum, equivalent to insurance coverage that the recipient provides for other real property they own.

14i. Are there any Uniform Relocation Act (URA) requirements applicable to this real property? If the acquisition or development of the real property involved the movement of any person permanently from real property or the movement of personal property from real property directly because of acquisition, rehabilitation, or demolition for an activity undertaken with Federal assistance, the Uniform Relocation Act (URA) requirements may apply. Indicate if the Act applies by checking “yes or no”. If the Act does apply, the recipient must maintain records of compliance and make such information available upon the request of the Federal government.

14j. Are there any environmental compliance requirements related to the real property? If yes, describe them. Check either “yes” or “no” to indicate if there are any environmental compliance requirements related to the real property. Describe any environmental compliance requirements related to the real property. The recipient must maintain records of compliance with all environmental requirements related to the real property and make such information available upon the request of the Federal government. Attach additional sheets if necessary.

14k. In accordance with the National Historic Preservation Act (NHPA), does the property possess historic significance, and/or is it listed or eligible for listing in the National Register of Historic Places? If yes, describe them. In accordance with Section 106 of the National Historic Preservation Act (NHPA), does the property possess historic significance, and/or is it listed or eligible for listing in the National Register of Historic Places? Describe any historical significance, National Register of Historic Places listing or eligibility for such listing, related to the real property. Note, any property listed in, or eligible for listing in the National Register of Historic Places is considered historic. Section 106 protections also *extend* to properties that *possess significance* but have not yet been listed or formally determined eligible for listing.

15. Has a significant change occurred with the real property, or is there an anticipated change expected during the next reporting period? Check the applicable block to indicate either “yes” or “no.” If a significant change has occurred (or is anticipated to occur during the next reporting period), such as a major building renovation or remodeling, damage to the real property due to an act of God (flood, hurricane, earthquake, etc.) or other significant change that would affect the value of the property, describe the change. Attach additional sheets if necessary. Note: If a significant change has occurred, 14f. should be recalculated to reflect the change in Federal interest.

16. Real Property Disposition Status. Check the appropriate block (A – F) to indicate the type of disposition status being reported, if any.

i. **If the Federal agency provided the recipient with disposition instructions to sell or retain title to the real property, enter the amount of funds owed to the Federal government.** Enter the amount of funds owed to the Federal government as compensation for the Federal interest in the real property if the awarding agency either directed the recipient to sell or granted them permission to retain title to the real property.

ii. **If applicable, enter the amount of any net proceeds from the sale of the real property and**

describe how the proceeds were distributed. If applicable, enter the amount of any net proceeds from the sale of the real property and indicate if they were returned to the Federal government, used as an offset toward the cost of acquiring replacement real property for the project or program, or used to offset the original cost of the real property if the award is still active. If not applicable enter "NA."

iii. **If the Federal agency directed the recipient to transfer title to the real property, enter the amount of funds the Federal agency owes.** If the recipient was directed to transfer title to either the Federal agency or to a third party identified by the Federal agency, enter the amount of funds the Federal agency owes the recipient as compensation for their interest in the real property (i.e., the percentage of the recipient's participation in the project cost multiplied by the fair market value of the real property at the time of disposition).

17. **Remarks.** Enter any explanations deemed necessary or information required by the Federal agency including any remarks that the recipient would like to make to address issues that are not addressed elsewhere in this report. Attach additional sheets if necessary.

C. Instructions Related to Attachment B (Request to Acquire, Improve or Furnish) follows:

Real Property Details. Complete the applicable information in subsections 13a. through 15. of Attachment B for each parcel of real property for which the recipient is requesting the authority to acquire, improve, or be provided as Government Furnished Property (GFP). This attachment should only be used if the applicable program authority or budget allows recipients to acquire, improve or furnish real property. Use a separate sheet for each parcel of real property under the Federal financial assistance award identified in section 2. With the exception of 15, all sections are required to be completed for all requests. Below is a summary of the required information to be provided for each subsection of Attachment B:

13a. Description of Real Property. Describe the type of real property being reported (i.e., land, building, etc.) and provide a useful description of the real property (i.e., building number 17 at the National Research Center, Chapel Hill, NC). If the real property will be renovated or altered, also describe the nature of the work (i.e. major renovation of building 17, wing c).

13b. Address of Real Property. Enter the legal description and complete address for each parcel of real property including the street, city, state, county/parish, country, zip code, and physical location if an address is not available (i.e., latitude, longitude, lot number, parcel number, etc. Also, indicate zoning information related to the real property (i.e., mixed use, residential, commercial, etc.). Where an address is not available, or more precision is required, geographic coordinates may be used. Locational data should be recorded with a Global Positioning System (GPS) device set to NAD 83, or WGS 84 datum using either of the following coordinate reference systems:

- United States National Grid (USNG) using the full grid zone designation and a minimum of eight digits.
- Decimal degrees latitude and longitude, with at least 6 decimal places and a minus (-) to show west longitude or south latitude.

14a. Describe the intended use of the real property and how it will benefit the program. Describe how the recipient intends to use the real property that they want to acquire, improve or furnish to support the program under which it is being funded. Describe how the acquisition, improvement or furnishing (as applicable) of the real property will benefit the program in quantifiable terms (ex., lower cost than renting or purchasing with a comparison of the two, improved service delivery using benchmarks to demonstrate anticipated improvements, etc.). Attach additional sheets if necessary.

14b. Proposed Real Property Ownership Type(s). Check the applicable box(es) to indicate the proposed real property ownership type(s). If more than one type is applicable, check all that apply, If the ownership types listed do not apply, check "J. Other" and describe the proposed ownership arrangement. Example of "Other": Conservation Easement.

14c. Proposed Acquisition Date. Using (MM/DD/YYYY) format, enter the proposed date for the real property acquisition or improvement, or the date the recipient would like the government to furnish real property.

14d. Acreage. Enter the size of the land or the size of the land on which the real property is located in terms of measured acreage (i.e., 1.5 acres, etc.).

14e. Gross Square Meters and Usable Square Meters (i.e., of building, house, etc.). Enter the gross and usable square meters of each structure (i.e., of the building, house, etc.) being reported.

14f. Appraised Value (Valuation). Enter the appraised value (valuation) of the real property to be acquired (purchase price only), or the cost of proposed improvements, including the following. If multiple Federal agencies will contribute to the acquisition or cost to improve the real property, attach a separate sheet to identify each agency and their contribution using the format below:

1. Amount to be provided by the Federal government (i.e., Federal Share of Appraised Property Value or estimated improvement cost based on the Federal share of the total cost of the program or project),
2. Share percentage to be provided by the Federal government (i.e., Federal Share Percentage of Appraised Property Value or estimated improvement cost based on the Federal share of the total cost of the program or project),

3. Amount to be provided by the recipient or other non-Federal entities (i.e., non-Federal Share of Appraised Property Value or estimated improvement cost),
4. Share percentage to be provided by the non-Federal entities, (i.e., non-Federal Share Percentage of Appraised Property Value or estimated improvement cost),
5. Total cost (i.e., sum of Federal and non-Federal Share of the Appraised Value or estimated improvement cost of the property), and
6. Total share percentage (i.e., sum of share percentages of Federal and non-Federal Share of the Appraised Property Value or estimated improvement cost).

14g. **Are there any Uniform Relocation Act (URA) requirements applicable to this real property?** If the acquisition or development of the real property that is the subject of this request involves the movement of any person permanently from real property or the movement of personal property from real property directly because of acquisition, rehabilitation, or demolition for an activity undertaken with Federal assistance, the Uniform Relocation Act (URA) requirements may apply. Indicate if the Act does apply by checking “yes or no.” If the Act does apply, the recipient must maintain records of compliance and make such information available upon the request of the Federal government.

14h. **Are there any environmental compliance requirements related to the real property? If yes, describe them.** Check either “yes” or “no” to indicate if there are any environmental compliance requirements related to the real property. Describe any environmental compliance requirements related to the real property. The recipient must maintain records of compliance with all related environmental compliance requirements and make such information available upon the request of the Federal government. Attach additional sheets if necessary.

14i. **In accordance with the National Historic Preservation Act (NHPA), does the property possess historic significance, and/or is it listed or eligible for listing in the National Register of Historic Places? If yes, describe them.** In accordance with the Section 106 of the National Historic Preservation Act (NHPA), does the property possess historic significance, and/or is it listed or eligible for listing in the National Register of Historic Places? Describe any historical significance, National Register of Historic Places listing or eligibility for such listing, related to the real property. Note, any property listed in, or eligible for listing in the National Register of Historic Places is considered historic. Section 106 protections also **extend** to properties that **possess significance** but have not yet been listed or formally determined eligible for listing.

15. **Remarks.** Enter any explanations deemed necessary or information required by the Federal agency including any remarks that the recipient would like to make to address issues that are not addressed elsewhere in this request. Attach additional sheets if necessary.

D. Instructions Related to Attachment C (Disposition Request) follows:

Real Property Details. Complete the applicable information in subsections 13a. through 16. of Attachment C for each parcel of real property for which the recipient is requesting disposition or other instructions. Use a separate sheet to request disposition or other instructions on each parcel of real property under the Federal financial assistance award identified in section 2. If a section does not apply, enter “N/A.” Below is a summary of the required information to be provided for each subsection of Attachment C:

13a. Description of Real Property. Describe the type of real property that is the subject of this request (i.e., land, building, etc.) and a useful description of the real property (i.e., building number 17 at the National Research Center, Chapel Hill, NC).

13b. Address of Real Property. Enter the legal description and complete address for each parcel of real property including the street, city, state, county/parish, country, zip code, and physical location if an address is not available (i.e., latitude, longitude, lot number, parcel number, etc.). Also, indicate zoning information related to the real property (i.e., mixed use, residential, commercial, etc.). Where an address is not available, or more precision is required, geographic coordinates may be used. Locational data should be recorded with a Global Positioning System (GPS) device set to NAD 83, or WGS 84 datum using either of the following coordinate reference systems:

- United States National Grid (USNG) using the full grid zone designation and a minimum of eight digits.
- Decimal degrees latitude and longitude, with at least 6 decimal places and a minus (-) to show west longitude or south latitude.

13c. Acreage. Enter the size of the land or the size of the land on which the real property is located in terms of measured acreage (i.e., 1.5 acres, etc.).

13d. Gross Square Meters and Usable Square Meters (i.e., of building, house, etc.). Enter the gross and usable square meters for each structure (i.e., of the building, house, etc.) being reported.

14a. Disposition Preference Request [Check one]. Check the appropriate block (A – E) to indicate the type of disposition instruction preference being requested. The award document will indicate the disposition option(s) available. The recipient may not request a disposition preference that is not already allowed under the award. Agencies will respond timely to all requests via letter, electronic mail and/or other appropriate means.

14b. If this is a request to transfer Federal Interest to a different award, specify the proposed grant number and funding agency. If the recipient is proposing to transfer the Federal interest to a different award, specify the grant number and funding agency for the award to which the recipient is proposing to transfer the interest.

14c. If this is a request to use the real property in other Federal-sponsored projects/activities, describe the proposed use of the real property. If the recipient is proposing to use the real property to provide services or facilities for other Federal-sponsored projects or activities, identify the other Federal projects or activities and how the real property will be utilized. Also, describe any impact expected on the host Federal project or activity due to the proposed additional use of the real property. Attach additional sheets if necessary.

14d. If this is a request to transfer title, identify the proposed receiving entity. If applicable, provide contact information for the proposed receiving entity.

14e. Appraised Value. Enter the third party appraised value of the real property (current market value), including the following:

1. Amount provided by the Federal government (i.e., Federal Share of Appraised Property Value cost based on the Federal share of the total cost of the program or project),
2. Share percentage provided by the Federal government (i.e., Federal Share Percentage of Appraised Property Value based on the Federal share of the total cost of the program or project),
3. Amount provided by the recipient or other non-Federal entities (i.e., non-Federal Share of Appraised Property Value),

4. Share percentage provided by the non-Federal entities, (i.e., non-Federal Share Percentage of Appraised Property Value),
5. Total cost (i.e., Sum of Federal and non-Federal Share of the Appraised Value), and
6. Total share percentage (i.e., sum of share percentages of Federal and non-Federal Share of the Appraised Property Value).

14f. Are there any Uniform Relocation Act (URA) requirements applicable to this real property? If the acquisition or development of the real property involved the movement of any person permanently from real property or the movement of personal property from real property directly because of acquisition, rehabilitation, or demolition for an activity undertaken with Federal assistance, the Uniform Relocation Act (URA) requirements may apply. Indicate if the Act does apply by checking “yes or no”. If the Act does apply, the recipient must maintain records of compliance and make such information available upon the request of the Federal government.

14g. Are there any environmental compliance requirements related to the real property? If yes, describe them. Check either “yes” or “no” to indicate if there are any environmental compliance requirements related to the real property. Describe any environmental compliance requirements related to the real property. The recipient must maintain records of compliance with all environmental requirements related to the real property and make such information available upon the request of the Federal government. Attach additional sheets if necessary.

14h. In accordance with the National Historic Preservation Act (NHPA), does the property possess historic significance, and/or is it listed or eligible for listing in the National Register of Historic Places? If yes, describe them. In accordance with the Section 106 of the National Historic Preservation Act (NHPA), does the property possess historic significance, and/or is listed or eligible for listing in the National Register of Historic Places? Describe any historical significance, National Register of Historic Places listing or eligibility for such listing, related to the real property. Note, any property listed in, or eligible for listing in the National Register of Historic Places is considered historic. Section 106 protections also **extend** to properties that **possess significance** but have not yet been listed or formally determined eligible for listing.

15. If this is a request for a release from the obligation to report on the real property, describe the reasons for the request. Describe the recipient’s reasons for requesting a release from the obligation to report. Examples of acceptable reasons include but are not limited to expiration of Federal interest or the real property being disposed of in accordance with agency direction. Attach additional sheets if necessary.

16. Remarks. Enter any explanations deemed necessary or information required by the Federal agency including any remarks that the recipient would like to make to address issues that are not addressed elsewhere in this request. Attach additional sheets if necessary.