

## **Terms and Conditions for States, Tribes and Local Governments**

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

A. Annual Progress Reports. The recipient agrees to submit annual progress reports to the EPA Project Officer within 90 calendar days after the end of each reporting period. If the agreement was partially funded, so that an additional increment of funding is to be provided, EPA may elect to not provide further funding until the recipient has submitted the required annual progress report. If EPA determines that the recipient has not made sufficient progress toward completing its research, EPA may terminate the assistance agreement. Sufficient progress is demonstrated by the grantee meeting the milestones described in the research plan to the maximum extent practicable, while taking into account any extenuating factors that may have delayed progress. The reporting period begins at the project start date, or, for subsequent years, on the annual anniversary of the start date. The reports should generally not exceed five 8 1/2" X 11" pages, exclusive of the summary discussed below.

These reports shall include:

- (1) Brief statements covering work status, work progress, preliminary data, results, and evaluations made during the reporting period, including a comparison of actual accomplishments with the goals and objectives (outputs/outcomes) for the period. Address difficulties you have encountered (or might encounter) in carrying out this project and remedial actions (to be) taken. If the goals of the project have not changed from the original application, state this. If these have been modified, provide the revised goals and discuss the reason for the modification. Discuss any problems, delays, or adverse conditions which may materially impair the ability to meet the results (outputs/outcomes) specified in the application.
- (2) A discussion of any absence or changes of key personnel involved in the project.
- (3) A discussion of expenditures to date along with an explanation of any costs which are significantly higher or lower than originally estimated. Revised budget information will be required under this agreement if any significant changes in the size or scope of the project or in the originally-negotiated total estimated costs are anticipated for the project period.
- (4) Statements addressing how the quality assurance requirements of 40 C.F.R. Part 31.45 and the agreement are being met, especially focusing on the system in place that assures the quality of environmental measurements, data generation and use.
- (5) Results (outputs/outcomes) to date, emphasizing findings and their significance to the field, their relationship to the general goals of the award, their relevance to the Agency's mission, and their potential practical applications.
- (6) Planned activity for the subsequent reporting period, including a description of equipment, techniques, and materials to be used or evaluated.

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

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

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

Period Covered by the Report:

Date of Report:

EPA Agreement Number:

Title:

Investigators:

Institution:

Research Category:

Project Period:

Objective of Research:

Progress Summary/Accomplishments (Outputs/Outcomes):

Publications/Presentations:

Future Activities:

Supplemental Keywords:

Relevant Websites:

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

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

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

(3) An evaluation of (a) the technical effectiveness and economic feasibility of the methods or techniques investigated or demonstrated, if applicable and (b) an explanation of how the research adds to the understanding of or solutions for environmental problems or is otherwise of benefit to the environment and human health. This discussion should be a minimum of one paragraph long and written in terms understandable by the educated layman.

(4) Publications arising from this project. Copies of publications and reprints which have not previously been submitted to the Agency should be enclosed with the report. The publication list should be cumulative of previous Annual Reports.

(5) For projects involving computer modeling, if requested by the PO, the recipient agrees to provide the following information with the final report:

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

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

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

Period Covered by the Report:

Date of Final Report:

EPA Agreement Number:

Title:

Investigators:

Institution:

Research Category:

Project Period:

Objective of Research:

Summary of Findings (Outputs/Outcomes):

Publications/Presentations:

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

Relevant Websites:

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

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

(1) EPA encourages the independent publication of the results of its extramural research in appropriate scientific journals. Any journal article so published, however, must contain acknowledgement of the appropriate grant number and the following statement:

“This publication was made possible by USEPA grant (number). Its contents are solely the responsibility of the grantee and do not necessarily represent the official views of the USEPA. Further, USEPA does not endorse the purchase of any commercial products or services mentioned in the publication.”

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

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

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

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

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

#### F. Foreign Travel

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

#### G. Light Refreshments and Meals

Unless the event(s) are specified in the approved workplan, the recipient agrees to obtain prior approval from EPA for the use of grant funds for light refreshments and meals served at meetings, conferences, training workshops, and outreach activities (events). The recipient must send requests for approval to the EPA Project Officer and include:

- (1) An estimated budget and description for the light refreshments, meals, and/or beverages to be served at the event(s);
- (2) A description of the purpose, agenda, location, length and timing for the event.
- (3) An estimated number of participants in the event and a description of their roles.

Recipients may address questions about whether costs for light refreshments, and meals for events are allowable to the recipient's EPA Project Officer. However, the Agency Award Official or Grant Management Officer will make final determinations on allowability.

Note: U.S. General Services Administration regulations define light refreshments for morning, afternoon or evening breaks to include, but not be limited to, coffee, tea, milk, juice, soft drinks, donuts, bagels, fruit, pretzels, cookies, chips, or muffins. (41 CFR 301-74.11)