

March 25, 2020
NOTICE OF FUNDING OPPORTUNITY (NOFO)
Applied Science Projects Related to Coal Mining and
Reclamation Projects
EXECUTIVE SUMMARY

- **Federal Agency Name:** Office of Surface Mining Reclamation and Enforcement (OSMRE), Department of the Interior
- **Funding Opportunity Title:** Science and Technology Projects Related to Coal Mining and Reclamation; Applied Science Projects
- **Announcement Type:** Initial
- **Opportunity Category:** Discretionary
- **Funding Opportunity Number:** S20AS00005
- **Catalog of Federal Domestic Assistance (CFDA) Number:** 15.255
- **Dates:** Applications will be accepted, no later than 11:59 p.m. Eastern Time, May 29, 2020.
- **Application submission Address:** Applications must be submitted at <https://www.grants.gov>.
- **Funding Opportunity Description:** OSMRE is soliciting applications for financial assistance for the Fiscal Year (FY) 2020 under the Technology Development and Transfer (TDT), Applied Science Program.
- **Anticipated Funding Amounts:** In FY 2020, OSMRE anticipates that up to approximately \$200,000 may be available to fund a new Applied Science project.
- **Funding Instruments:** Cooperative Agreements or Interagency Agreements
- **Is Eligible Applicants:** Eligible applicants include institutions of higher education, non-profit organizations, for-profit organizations, Federal state and local governments and Native American tribal organizations. See Section C, Eligibility Information.
- **Cost Sharing Requirements:** No cost sharing is required.

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FULL TEXT OF THE NOTICE

A. Program Description:

The Statutory authorities for the Technology Development and Transfer (TDT) Applied Science Program are the Surface Mining Control and Reclamation Act of 1977 (SMCRA), Public Law 95-87, and the Federal Grant and Cooperative Agreement Act of 1977, Public Law 95-224.

Applied Science Program

The United States Department of the Interior, Office of Surface Mining Reclamation and Enforcement (OSMRE) is requesting Applied Science proposals for projects that develop and demonstrate improved science and technologies related to the mining of coal and the reclamation of the land after mining.

Funded projects will help address important OSMRE issues related to implementation of the Surface Mining Control and Reclamation Act (SMCRA). Applicants may request funding up to \$200,000. The award will be by cooperative agreement (or as an Interagency Agreement if another Federal Agency is involved). Each cooperative agreement will be for a period of time consistent with the proposal but not to exceed two years from date of award. Each cooperative agreement grantee may apply for and be granted non-funded extensions of time only as necessary to complete the project. OSMRE will only grant extensions if the delays are beyond the control of the Principle Investigator (PI). Included in this document are instructions for preparing the proposal including a list of eligible issues and a description of the proposal review process. OSMRE will only accept proposals that address the specific list of eligible issues.

Background

OSMRE is committed to helping States and Tribes achieve state-of-the-art science based regulatory and abandoned mined lands programs. The OSMRE's National Technology Transfer Team (NTTT) comprised of OSMRE personnel, as well as one representative each from the Interstate Mining Compact Commission (IMCC) and the National Association of Abandoned Mine Land Programs (NAAML), was established to provide a forum to guide, coordinate, and communicate OSMRE's national and regional technology development and transfer activities. To accomplish this goal, NTTT in cooperation with technology transfer professionals at all levels throughout OSMRE will:

1. Identify and recommend OSMRE technology development and transfer areas for potential investigation based on issues identified by State or Tribal programs, national or regional needs, and OSMRE Senior Management initiatives;
2. Coordinate national technology development and transfer activities;

3. Ensure that OSMRE's national technology development and transfer planning initiatives fully address the current and future needs of the Federal, State, and Tribal Regulatory Authorities and support OSMRE's missions, goals, and strategic plan;
4. Identify and analyze requirements, projects, and issues and provide recommendations to OSMRE Senior Management for significant technology development and transfer concerns and activities, and;
5. Promote a broader understanding of, and support for, technology development and transfer within OSMRE.

The goal of the OSMRE Applied Science Program is to develop and demonstrate improved science based technologies to address environmental, and restoration topics related to the mining of coal. The first objective to help us meet this goal is to develop technical tools to improve the efficiency and accuracy of regulatory authorities in permitting coal mines and administering their federally approved regulatory program. A second objective is to examine the potential for new technologies that can aid in the protection of the public and the environment during mining and reclamation. A third objective is to provide opportunities for college and university students to participate in research projects related to coal mining and reclamation issues in order to build a pool of qualified potential applicants for future implementation of SMCRA.

New mining and reclamation technology is unlikely to be adopted by industry or the States/Tribes unless it is more efficient and cost effective than the technology it would replace. For this reason, OSMRE is looking for applied science projects that address specific current issues identified by OSMRE that have the potential for improving, in a manner that protects the public and the environment, the efficiency with which the coal industry conducts surface coal mining and reclamation activities and the effectiveness of regulatory authorities that regulate these activities.

Applied Science projects are also an important component of OSMRE's Minority Higher Education Program (MHEP). Applied Science projects contribute to the goal of improving the science and technology capabilities of minority institutions and their graduates. To aid in this, OSMRE may fund the highest scoring, qualified Applied Science project proposal from one of OSMRE's partner institutions under the OSMRE MHEP.

The OSMRE Applied Science Program Structure

There are two elements of the Applied Science program structure: (1) OSMRE and (2) NTTT. Each element is described below.

- OSMRE:
OSMRE is the sponsoring agency that provides funds for the Applied Science Program. Through the OSMRE Management Sponsor of NTTT, OSMRE Senior Management provides executive direction and oversight to NTTT.

- NTTT:

NTTT is the key element of the Applied Science Program. All decisions by this team are made by consensus. NTTT is composed of members from OSMRE, and from States and Tribes that administer coal mining and reclamation activities.

The members from OSMRE represent: Headquarters; the Technical Innovation and Professional Services (TIPS) program; the National Technical Training Program (NTTP); and the three OSMRE Regions (formerly known as the Appalachian, Mid-Continent, and Western). The States and Tribes are represented by IMCC, and NAAML. Each of these organizations appoints one member to represent States and Tribes within all three OSMRE regions. Critical roles and responsibilities of NTTT relative to this solicitation include:

- Approving overall NTTT structure and timetables.
- Developing the Notice of Funding Opportunity.
- Employing a NTTT prescribed scoring system for evaluating proposals.
- Performing a merit based ranking of proposals, based on the prescribed scoring system.
- Making recommendations to OSMRE Senior Management regarding which proposals should be funded, based on the merit based evaluation and, if known, available funds.
- Facilitating communication between the program elements.
- Identifying important national and regional applied science issues for potential investigation.

Potential topics for Applied Science funding in FY 2020 are as follows:

1) Pollutional Discharge Prevention Permitting Strategy for Underground Mines

Many underground mines fill with water and develop mine pools upon mine closure. Mine pools can result in hydrologic impacts ranging from artesian pollutional discharges to outcrop barrier seeps and blow outs. The ability to avoid these impacts depends on predicting the final mine pool elevation during the permitting process and only approving mining plans designed to reduce the impact risk from the mine pool. Being able to predict the final mine pool elevation is important because the elevation defines the areas where mine pool water can and cannot flow, defines the amount of seepage through coal barriers, and defines the water pressure placed on outcrop barriers.

Underground mining is predicted to continue to dominate production in the Appalachian and Illinois coal basins. Regulatory programs need a reliable pollutional discharge prevention strategy for underground mines that includes being able to accurately predict the post-mining pool elevation. The Applied Science program is a perfect opportunity to develop ideas on different strategies that will provide a tool for permit reviewers to prevent hydrological impacts from underground mines.

2) Water Quality Impacts from Mining

A study is needed that would evaluate and characterize the short- and long-term effects that mining and reclamation practices have had on the chemical, physical, and biological components of streams. This type of study is needed on both streams in steep slope areas where excess spoil fills have been constructed using contemporaneous mining methods specifically designed to reduce the potential for pollution discharges and on streams outside steep slope areas to examine the full extent of impact on aquatic biology from all mining areas.

3) Evaluation of the Potential for Economical and Environmentally Friendly Extraction of Rare Earth Elements from Coal Mine Waste

Rare earth elements are known to be present in coal, with the higher percentages being found in low quality coals and in the shales within, and immediately above the seams. Even higher concentrations have been discovered to be present in mining impacted water discharges, and in sludge that results from treating these discharges. Viable concentrations have also been noted in coal combustion residues. Although extraction of rare earth elements has traditionally required an energy intensive process, recent research indicates it is possible to extract them from coal mine waste using a solvent based Ion exchange process.

4) Characteristics of Successful Stream Restoration Projects under SMCRA and Section 404 of the Clean Water Act

Streams that are mined through on SMCRA-permitted coal mine operations also typically receive approval from the United States Army Corps of Engineers (USACE) under Section 404 of the Clean Water Act (CWA). The purpose of this study would be to identify stream restoration practices that upon completion have been deemed successful by both permitting authorities. Projects under this topic would determine “best practices” that led to the successful restoration used to minimize stream disturbance and improve restoration practices.

5) Evaluation of Backfill Aquifers as Water Supply Sources

Provided recharge volumes are sufficient, mine spoil fills can be adequate aquifers relative to water quantity due to increased effective porosity and hydraulic conductivity properties of the spoil material. The salient issue in using these aquifers as a potable source for humans, livestock, etc. is often the quality of the water. This area of study is needed to evaluate general rates of recharge and to determine the ability of the backfill to be geochemically engineered to improve overall water quality to meet the requirements of the proposed usage.

6) Relative Merits of Coal Mine Waste Disposal Methods

A topic for investigation could be comparing the performance of different types of refuse pile construction with respect to water quality impact on receiving streams. In some

mining settings acid mine drainage is a potential problem and in some areas alkaline mine drainage is an issue. Many pile configurations and water quality remediation methods have been used throughout the region. There is little available information on actual refuse pile design performance when reviewing proposed designs and their applicability to site specific applications.

Projects that provide information on how well different refuse pile designs perform over time could help in the assessment of potential perpetual water treatment, stream impact, and reclamation cost liabilities associated with existing and future refuse facilities.

- 7) Evaluation of impacts of variable topsoil depth on sagebrush establishment in the West
Sagebrush provides invaluable, and in some instances crucial, habitat for many species throughout the West; however, reestablishment of sagebrush on mined sites has proven to be difficult. This area of study is needed to determine the optimal depth of topsoil required to promote successful growth of sagebrush on mined lands.

8) Sustainable Design in Reclamation

With budgets for reclamation already insufficient to remediate all effects of pre-act mining, an emphasis on sustainable reclamation design will help to stretch reclamation dollars to their fullest potential. Investigation topics could include but would not be limited to:

- Landform design to minimize earthmoving rather than to just obtain balanced cut/fill. This approach requires investigation into lengths of dozer pushes and an optimization of the design of drainage features to promote runoff while preventing erosion.
- Use of waste or industrial by-products as soil amendment to enhance regeneration of vegetation and site stabilization.
- Use of renewable energy sources such as hydropower, wind and solar to decrease on-going operation costs of AMD treatment systems.

9) Assessment of the Habitat Potential of Reforested Mine Sites for the Protection, Enhancement and Recovery of Threatened and Endangered Species

Reforestation has long been used as a protection and enhancement measure to offset surface mining's impact on listed species; however, very little published information exists on the success of this measure. A study is needed that will evaluate the actual and/or potential benefits and suitability of reforested reclaimed areas for the protection and recovery of threatened and endangered species and their habitat. This area of study would provide needed information to aid in the successful reclamation of mined areas to ensure effects to listed species are minimized and mine operators are implementing protection and enhancement measures which utilize the best technology currently available.

10) Mapping and Hydrologic Assessment of Flooded/Flooding Abandoned Underground Mines in the Appalachian Coal Fields

Degraded stream ecology is often the outcome when underground mine voids fill and discharge polluted water into streams. Unanticipated breakthrough has been documented to cause damage to property and threaten health and safety of residents living near mines. A study is needed to develop a shared, geospatially-referenced repository of mine pool information. The geospatial mine pool data should include such information as mine pool locations, variations in pool elevations, activity status of mines, permit information, water quality monitoring locations, water quality of the discharge(s), bond information, etc. This database should be suitable for public access.

Examples of Previously Funded Projects:

In FY 2016, the Technical Studies program funded twelve studies that focused on geomorphic reclamation, coal refuse properties and impoundments, improving water quality in mined areas, re-vegetation and reforestation, and mine pool formation.

B. Federal Award Information

OSMRE is soliciting applications for financial assistance for the FY 2020: The following conditions are applicable to OSMRE's Applied Science Program NOFO:

1. The total allocation for this Program is estimated at \$1,500,000. Applicants may request funding up to \$200,000.
2. The estimated number of awards for FY 2020 will be up to 7 awards.
3. Anticipated start dates will vary.
4. Applicants may request funding up to \$200,000. The award will be by cooperative agreement, or by Interagency Agreement if another Federal Agency is involved. Each cooperative agreement will be for a period of time consistent with the proposal but not to exceed two years from date of award.
5. Each award recipient may apply for non-funded extensions of time as necessary to complete the project.
6. In accordance with 2 Code of Federal Regulations (CFR) 200 Section (§) 24, a Cooperative Agreement creates an appropriate legal relationship between OSMRE and the performing organization to carry out a public purpose authorized by a law of the United States [see 31 U.S.C. 6101(3)]. OSMRE reserves the right to remain substantially involved during the course of the approved study.
7. OSMRE's substantial involvement may include, but will not be limited to one or more of the following areas:
 - a. Approval of the recipient's proposal;
 - b. Review and approval of the recipient's progress reports;
 - c. Approval of specified key personnel; and
 - d. Concurrence in the substantive provisions of subawards.

8. Funding for the program is contingent upon availability of appropriations. In no event will OSMRE be responsible for application preparation cost if this program fails to receive funding or is cancelled because of agency priorities. Publication of this NOFO does not obligate OSMRE or the Department of Interior to award.
9. Renewal or supplementation of existing projects are not eligible to compete with applications for new Federal awards.
10. Pre-Applications. There are no pre-applications with this NOFO.

C. Eligibility Information

- **Eligible Applicants:**

Eligible applicants are limited to: Institutions of Higher Education, non-profit organizations, for-profit organizations, Federal, state and local governments, Native American tribal organizations. Documentation must be submitted to support an eligibility determination (e.g., proof of non-profit IRS 501(c) (3) status as determined by the Internal Revenue Service or an authorizing tribal resolution).

- **Cost Sharing or Matching:**

This program has no statutory formula and no cost share or matching requirements.

- **Other:**

- a. Proposals must specifically address one of the identified topics outlined in the Applied Science Program description in this NOFO.
- b. There are no limitations on the number of applications an applicant may submit under the announcement to include the submitting organization, individual investigator/program director, or both.
- c. Renewal of existing studies are not eligible to compete with applications for new Federal awards.
- d. The budget justification must address all of the budget categories for which Federal funds are requested. (Please refer to section D. Application and Submission Information for detailed instructions.)
- e. Proposals must include a statement that affirms any data produced under this award and any sub award(s) must be made available to the Government for public release, consistent with applicable law, to allow meaningful third-party evaluation and reproduction of the following:
 - (1) the scientific data relied upon;
 - (2) the analysis relied upon; and
 - (3) the methodology, including models used to gather and analyze data.
- f. OSMRE requires recipients to maintain financial data to provide for the safeguard and accountability of Federal funds, to include written procedures for purchases, accounting system, cash management; and organizational structure in accordance

with 2 CFR 200 § 303, Internal Controls. Examples include the following:

- 1) Provide accurate, current, and complete financial information about Federal awards and, for subawards.
 - 2) Maintain records that adequately identify the sources of funds for Federally assisted activities and the purposes for which the award was used, including authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures, and any program income. Accounting records must be supported by source documentation such as canceled checks, paid bills, payrolls, and time and attendance records.
 - 3) Maintain effective control over and accountability for all cash, real and personal property, and other assets under the award; adequately safeguard those assets; and ensure that they are used only for authorized purposes.
- g.** Applicants are responsible for ensuring that proposed budget costs are allowable, allocable, and reasonable; in accordance with the Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Programs, 2 CFR 200.403, Factors Affecting Allowability of Costs, 200.404, Reasonable Costs, and 200.405, Allocable Costs.
- h.** Applicants must have an accounting and payroll system maintained in accordance with the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, at 2 CFR Part 200.
- i. **Suspension and Debarment:**** Funds will not be awarded to any applicant that is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily exclude from cover transactions by any Federal debarment or agency, or are presently indicted for or otherwise criminally or civilly charged by a government entity.

No funds will be awarded to recipients who have within a three-year period preceding this proposal have been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, and making false statements or receiving stolen property.

- j. **Applicant Violator System (AVS):**** All applicants, organization officers and others having authority to make study related decisions will be screened through the Applicant Violator System. AVS is an automated information system owned and operated by OSMRE that contains information on applicants, permittees, operators, application and permit records, as well as unabated or uncorrected environmental

violations of SMCRA.

- k. Federal Performance and Integrity System (FAPIS):** Prior to any award of Federal funds, the Federal award agencies will review and consider information about the applicant that is in Federal Performance and Integrity System FAPIS. Applicants may review and comment on information about them in FAPIS and the agency will consider any applicant comments in making award decisions; and address post-award grant reporting requirements and inform applicants about post-award FAPIS reporting requirements, in accordance with 2 CFR 200 § 212(c)(5).

l. Conflicts of Interest Disclosures:

a. Applicability

1. This section intends to ensure that non-Federal entities and their employees take appropriate steps to avoid conflicts of interest in their responsibilities under or with respect to Federal financial assistance agreements.
2. In the procurement of supplies, equipment, construction, and services by recipients and by subrecipients, the conflict of interest provisions in 2 CFR 200 § 318 General Procurement Standards apply.

b. Requirements:

1. Non-Federal entities must avoid prohibited conflicts of interest, including any significant financial interests that could cause a reasonable person to question the recipient's ability to provide impartial, technically sound, and objective performance under or with respect to a Federal financial assistance agreement
2. In addition to any other prohibitions that may apply with respect to conflicts of interest, no key official of an actual or proposed recipient or subrecipient, who is substantially involved in the proposal or project, may have been a former Federal employee who, within the last one (1) year, participated personally and substantially in the evaluation, award, or administration of an award with respect to that recipient or subrecipient or in development of the requirement leading to the funding announcement.
3. No actual or prospective recipient or subrecipient may solicit, obtain, or use non-public information regarding the evaluation, award, or administration of an award to that recipient or subrecipient or the development of a Federal financial assistance opportunity that may be of competitive interest to that recipient or subrecipient.

c. Notification:

1. Non-Federal entities, including applicants for financial assistance awards, must disclose in writing any conflict of interest to OSMRE

or pass-through entity in accordance with 2 CFR 200 § 112 and 2 CFR 1412, Conflicts of interest.

2. Recipients must establish internal controls that include, at a minimum, procedures to identify, disclose, and mitigate or eliminate identified conflicts of interest. The recipient is responsible for notifying the OSMRE's Financial Assistance Officer in writing of any conflicts of interest that may arise during the life of the award, including those that have been reported by subrecipients.

m. Restrictions on Lobbying:

Non-Federal entities are strictly prohibited from using funds under this grant or cooperative agreement for lobbying activities and must provide the required certifications and disclosures pursuant to 43 CFR Part 18, New Restrictions on Lobbying, and 31 USC 1352, Limitation on the Use of Appropriated Funds to Influence Certain Federal Contracting and Financial Transactions.

a. Procedures:

The OSMRE's Financial Assistance Officer will examine each conflict of interest disclosure on the basis of its particular facts and the nature of the proposed grant or cooperative agreement, will determine whether a significant potential conflict exists and, if it does, develop an appropriate means for resolving it.

b. Enforcement:

Failure to resolve conflicts of interest in a manner that satisfies the Government may be cause for termination of the award. Failure to make required disclosures may result in any of the remedies described in 2 CFR 200 § 338, Remedies for Noncompliance, including suspension or debarment (see also 2 CFR Part 180).

n. Subawards:

The award recipient must request and receive written approval from OSMRE before any subawards can be made to a subrecipient. If the recipient is permitted to make subawards under this award, the recipient must execute a legally binding written agreement with the subrecipient. This agreement must incorporate all the terms and conditions of your Award, including any Special Award Conditions, and must include the information at 2 CFR 200 § 331. The recipient must perform all responsibilities required of a pass-through entity, as specified in 2 CFR Part 200.

The recipient must evaluate and document each subrecipient's risk of noncompliance with Federal statutes, Federal regulations, and the terms and conditions of the sub award for purposes of determining the appropriate

subrecipient monitoring strategy, as described in 2 CFR 200 § 331(b).

o. Delinquency on Federal Debt:

Any organization or individual that is indebted to the United States and has a judgment lien filed against it for a debt to the United States, is ineligible to receive a Federal grant. Applicants are required to indicate in their applications if they are delinquent on any Federal debt. By signing the SF-424, the applicant is certifying that they are not delinquent on Federal debt in accordance with OMB Circular A-129 (Examples of relevant debt include delinquent payroll or other taxes, audit disallowances, guaranteed and direct student loans, benefits that were overpaid, etc.). If an applicant is delinquent on Federal debt, they should attach an explanation that includes proof that satisfactory arrangements have been made with the Agency to which the debt is owed.

If the applicant discloses a delinquency, OSMRE may not award the grant until the debt is satisfied or satisfactory arrangements are made with the agency to which the debt is owed. In addition, once the debt is repaid or satisfactory arrangements made, and it will continue to take that delinquency into account when determining whether the applicant would be responsible with respect to an OSMRE grant, if awarded.

Anyone who has been judged to be in default on a Federal debt and who has had a judgment lien filed against him or her should not be listed as a participant in an application for an OSMRE cooperative agreement until the judgment is paid in full or is otherwise satisfied. No funds may be re-budgeted following an award to pay such an individual. The OSMRE will disallow costs charged to awards that provide funds to individuals in violation of this requirement.

p. Mandatory Disclosures:

The Non-Federal entity or applicant for a Federal award must disclose, in a timely manner, in writing to the OSMRE awarding agency or pass-through entity all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award (45 CFR 75.113). Failure to make required disclosures can result in any of the remedies described in 45 CFR 75.371, including suspension or debarment. (See also 2 CFR parts 180 and 376, and 31 U.S.C. 3321). Submission is required for all applicants and recipients, in writing, to the awarding agency and to the DOI Office of Inspector General (OIG) all information related to violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. Disclosures must be sent in writing to:

U.S. Department of the Interior Office
Attention: Fraud Hotline

1849C Street NW
Mail Stop 4428
Washington, D.C. 20240
Website: www.doioig.gov
Phone Hotline: Toll Free 1.800.424.5081
Washington, D.C. area: (202) 208-5300

q. Applicant's failure to meet an eligibility criterion by the time of an application deadline will result in the Federal awarding agency returning the application without review or, even though an application may be reviewed, will preclude the Federal awarding agency from making a Federal award.

r. Federal Funding Accountability and Transparency Act of 2006:

In accordance with 2 CFR 200.300, Statutory and National Policy Requirements, applicants must comply with the Federal Funding Accountability and Transparency Act of 2006, 2 CFR. 170, Reporting Subaward and Executive Compensation Information.

s. Data Availability:

- a. Applicability:** The Department of the Interior is committed to basing its decisions on the best available science and providing the American people with enough information to thoughtfully and substantively evaluate the data, methodology, and analysis used by the DOI to inform its decisions.
- b. Use of Data:** 2 CFR 200 § 315 applies to data produced under a Federal award, including the provision that the Federal Government has the right to obtain, reproduce, publish, or otherwise use the data produced under a Federal award as well as authorize others to receive, reproduce, publish, or otherwise use such data for Federal purposes.
- c. Availability of Data:** The recipient shall make the data produced under this award and any sub award(s) available to the Government for public release, consistent with applicable law, to allow meaningful third party evaluation and reproduction of the following: (1) the scientific data relied upon; (2) the analysis relied upon; and (3) the methodology, including models used to gather and analyze data.

D. Application and Submission Information:

Address to Request Application Package:

1. The standard application package consisting of the standard form, i.e., SF-424, SF-424A, SF-424B, SF-LLL (if applicable), is available at the Federal grants information and application web page: www.grants.gov.
2. Required Forms and documents:

- SF-424, Application for Federal Assistance (Mandatory)
- SF-424A, Budget Information for Non-Construction Programs
- SF-424B, Assurances for Non-Construction Programs (Mandatory)
- SF-LLL, Disclosure of Lobbying Activities
- Project/Performance Site Location(s)
- Project Abstract
- Project Narrative Attachment
- Budget Narrative Attachment (Please attach Indirect Cost Rate Agreement, if applicable).
- Key Contacts Form

If applicable, all sections of the above referenced forms must include signatures of appropriate authorized representative of the applicant organization.

- **Content and Form of Application Submission:**
 - a. **Pre-Applications:** Pre-applications, letters of intent, or white papers are not required under the Applied Science Program. All proposals should be submitted in response to this NOFO, which includes the list of eligible topics.
 - b. **The Application as a Whole:** OSMRE has developed a proposal application format which must be followed in preparing the application submission. Each of the items in the following subsection must be completely addressed. Please include the sections addressing these items in your proposal applications in the order in which they are listed. Items 1 through 7 must not exceed a total of 30 pages not including the required forms. Use 12 pitch font and 1-inch margins.
 - c. **Component Pieces of the Application:**
 - 1. Application for Federal Assistance: (Form SF 424) including Certifications and Assurances: you must complete all sections of this form and include signatures of appropriate officials on the form.
 - 2. Table of Contents: please include major sections and the corresponding page numbers.
 - 3. Project Abstract: (limit to one page single-spaced): include the project Title and the name of the Principal Investigator at the top of the page; include the appropriate issue addressed by the proposal, centered and two lines beneath the abstract.
 - 4. Proposals from previously funded OSMRE Applied Science Projects: Principal Investigators must provide a complete history of projects funded through the OSMRE Applied Science program including their current status in terms of their stage of completion.
 - 5. Project Description (no more than 20 pages) including:
 - (a) Objectives - list the specific objectives of the project including a summary

statement addressing the value of the proposal to OSMRE and the coal mining State(s) and Tribe(s).

- (b) Hypotheses to be tested, as appropriate.
- (c) Background - provide a comprehensive description of the relevance of the project.
- (d) Describe how the project is original and innovative.
- (e) Describe how the project is cost effective.
- (f) Preliminary Studies (if applicable) - describe any precursory research that applies to the project topic and what was determined from those preliminary results.
- (g) Experimental Procedures/Methodologies - describe any laboratory or field testing to be performed and reference analytical methods to be used.
- (h) Significance of the project to the OSMRE Applied Science Program - give a description of the need for this project, its technical merits, and how the project will be of significance to the priority issues identified in this solicitation.
- (i) Provide a plan for technology transfer of the project results. Also, describe the extent of involvement in the project by the ultimate end users of the technology.
- (j) Description of resources (i.e., laboratory facilities) - describe the laboratory facilities, testing equipment, field sites, etc. available for conducting the tasks associated with this project.
- (k) Provide evidence of legal right of entry and landowner consent for any project involving field work.
- (l) Literature Cited - list all sources used.

6. Statement of Work (3-5 pages) consisting of:

- (a) Issue Identification - identify and briefly describe the issue(s) this project is addressing.
- (b) Work Tasks - organize the project into specific work tasks and describe each work task individually.
- (c) Time Allocation - describe how much time (by months) is to be allotted for each work task and when each task is to begin and end.
- (d) Resource Allocation - for each work task, list the personnel who will be working on that task and specifically what each person will be doing.
- (e) Quality Assurance/Quality Control - list measures planned to ensure that high quality results are achieved, i.e., descriptions of statistics to be used to evaluate data and comparing data to controls.
- (f) Determination of Goals - identify the means to be used to determine that project goals are met.
- (g) Deliverables must include:
 - a. An electronic version of the final report, including an Executive Summary, that is in compliance with Section 508 of the United States

Workforce Rehabilitation Act of 1973 and that follows Appendix L of the Standard Operating Procedure (SOP) for Technical Studies Program, at the OSMRE Technology Development and Transfer website: <http://www.osmre.gov/programs/tdt/appliedScience.shtm>;

- b. A written summary (fact sheet) following the required format as noted in Appendix M of the SOP;
 - c. A power point presentation at an appropriate technical event mutually agreed upon by the Principle Investigator and the OSMRE regional technology transfer team lead for the region in which the study was conducted;
 - d. Electronic copies of any peer reviewed article submitted for publication in a technical or other publication, and
 - e. A plan for additional technology transfer efforts including identification of planned peer-reviewed publications and professional conferences where results are to be presented.
- (h) Public access to data - a statement is required that all data collected as part of this program must be accessible to the public.
- (i) Number of undergraduate and graduate students that worked on the project.

7. Budget Narrative: The Budget Narrative must provide a detailed breakdown of each of the object class categories as reflected on the SF-424 C, Budget Information for Non-Construction Programs (This does not count toward the page limit of the Technical proposal). The budget justification must address all of the budget categories for which Federal funds are requested. The written justification must include the necessity and the basis for the cost. Proposed funding levels must be consistent with the study scope, and only allowable costs should be included in the budget. Information on allowable cost is available in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards at 2 CFR 200.

8. Administrative and Legal Expenses: At a minimum, the budget justification for all personnel should include the following: name, job title, commitment of effort on the proposed study in terms of average number of hours per week or percentage of time, salary rate, total direct charges on the proposed study, description of the role of the individual on the proposed study and the work to be performed.

9. Indirect Cost Rate Agreement: If indirect costs are included in the proposed budget, provide a copy of the approved negotiated agreement if this rate was negotiated with a cognizant Federal audit agency. If the rate was not established by a cognizant Federal audit agency, provide a statement to this effect. OSMRE doesn't negotiate indirect cost agreement. Alternatively, in

accordance with 2 CFR 200 § 414(f) applicants that have never received a negotiated indirect cost rate may elect to charge indirect to an award pursuant to a de minimis rate of 10 percent of modified total direct cost (MTDC), in which case a negotiated indirect cost rate agreement is not required. Indirect agreements will not be negotiated by OSMRE. Applicants proposing a 10 percent de minimis rate pursuant to 2 CFR 200 § 414(f) should note this election as part of the budget and budget narrative portion of the application.

10. Identification of Proprietary Information: Technical data or other data (i.e., trade secrets, confidential financial or commercial information), or other privileged information which the applicant prefers to withhold from public disclosure or use by OSMRE for any purpose except for proposal evaluation may be included in this application. To protect confidential data, each page must be specifically identified indicating each paragraph or line that contains confidential data the applicant wishes to protect.

11. Trade Secret Information: In order to explain properly the proposed work, it may be necessary to disclose within the proposal document trade secret information. If such is disclosed, the OSMRE wishes to take steps to keep such information confidential. However, it must be aware that such information does or does not exist within a given proposal. Therefore, please complete the following:

_____ There is NO trade secret information contained in this proposal package.

_____ There IS trade secret information contained in this proposal package. Such information is noted on pages _____.

NOTE: Please REDACT those pages which contain trade secret information. In other words, conspicuously highlight or mark those passages, diagrams, drawings, etc. that contain trade secret information.

12. Resumes of each senior investigator: Please limit resumes to projects that focus on relevant training and experience to the proposal. Senior investigators include the Principal Investigator and any other faculty or senior-level personnel involved in the project.

13. Notification of Results: Please provide the e-mail address of the Principal Investigator and others you want to receive notice of the results of the selection process using the key contacts form.

d. Information that Successful Applicants must Submit after Notification of Intent to Make a Federal Award, but Prior to a Federal Award:

A requirement of a cooperative agreement is that the Federal awarding agency exercise Substantial Federal Involvement in the funded project. Prior to the award being made, the applicant's Principal Investigator and OSMRE's grants specialist and Project Technical Representative will develop a written understanding of what activities will represent Substantial Federal Involvement for the project. This understanding will become a part of the cooperative agreement.

e. Unique Entity Identifier and System for Award Management (SAM):

Unless the applicant is an individual or Federal awarding agency that is exempt from the requirements under 2CFR 25.11(b) or (c) or has an exception approved by the Federal awarding agency under 2 CFR 25.110(d) it is are required to (I) Be registered in SAM before submitting its application;(II) provide a valid unique entity identifier number (formerly DUNS) in its application; and (III) continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an allocation or plan under consideration by the Federal awarding agency.

OSMRE will not make a Federal award to an applicant until the applicant has complied with all applicable unique entity identifier (formerly DUNS) and SAM requirements and, if an applicant has not fully complied with the requirements by the time the Federal awarding agency is ready to make a Federal award, the Federal awarding agency may determine that the applicant is not qualified to receive a Federal award and use that determination as a basis for making a Federal ward to another applicant.

f. Submission Dates and Times:

Applications will be considered on a continuing/rolling basis and all applications must be submitted no later than 11:59 p.m. Eastern Time, May 29 2020.

Announcement and Award Dates. Awards will be announced approximately 60 - 120 days after the end of the review process.

a. Electronic Delivery:

OSMRE is participating in the Grants.gov initiative to provide the grant community with a single site to find and apply for grant funding opportunities. OSMRE requires applicants to submit their applications online through Grants.gov.

b. How to Register to Apply through Grants.gov:

Instructions: Read the instructions below about registering to apply for OSMRE funds. Applicants should read the registration instructions carefully and prepare the information requested before beginning the registration process. Reviewing and assembling the required information

before beginning the registration process will alleviate last-minute searches for required information.

Organizations must have a unique entity identifier number (formerly DUNS), active SAM registration, and Grants.gov account to apply for grants. If individual applicants are eligible to apply for this funding opportunity, then you must create a Grants.gov Account.

Creating a Grants.gov account can be completed online in minutes, but unique entity identifier (formerly DUNS) and SAM registrations may take several weeks. Therefore, an organization's registration should be done in sufficient time to ensure it does not impact the entity's ability to meet required application submission deadlines.

Complete organization instructions can be found on Grants.gov here:

<https://www.grants.gov/web/grants/applicants/organization-registration.html>

1. Obtain a unique entity identifier (formerly DUNS) number: All entities applying for funding, including renewal funding, must have a unique identifier number from Dun & Bradstreet. Applicants must enter the unique entity identifier number in the data entry field labeled "Organizational DUNS" on the SF-424 form. For more detailed instructions for obtaining a unique entity identifier number, refer to: <https://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>
2. Register with SAM: All organizations applying online through Grants.gov must register with SAM. Failure to register with SAM will prevent your organization from applying through Grants.gov. SAM registration must be renewed annually. For more detailed instructions for registering with SAM, refer to: <https://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>
3. Create a Grants.gov Account: The next step is to register an account with Grants.gov. Follow the on-screen instructions or refer to the detailed instructions here: <https://www.grants.gov/web/grants/applicants/registration.html>
4. Add a Profile to a Grants.gov Account: A profile in Grants.gov corresponds to a single applicant organization the user represents (i.e., an applicant) or an individual applicant. If you work for or consult with multiple organizations and have a profile for each, you may log

in to one Grants.gov account to access all of your grant applications. To add an organizational profile to your Grants.gov account, enter the unique entity identifier (formerly DUNS) number for the organization in the DUNS field while adding a profile. For more detailed instructions about creating a profile on Grants.gov, refer to: <https://www.grants.gov/web/grants/applicants/registration/add-profile.html>

5. E-Biz POC Authorized Profile Roles: After you register with Grants.gov and create an Organization Applicant Profile, the organization applicant's request for Grants.gov roles and access is sent to the E-Biz POC. The E-Biz POC will then log in to Grants.gov and authorize the appropriate roles, which may include the AOR role, thereby giving you permission to complete and submit applications on behalf of the organization. You will be able to submit your application online any time after you have been assigned the AOR role. For more detailed instructions about creating a profile on Grants.gov, refer to: <https://www.grants.gov/web/grants/applicants/registration/authorize-roles.html>.
6. Track Role Status: To track your role request, refer to: <https://www.grants.gov/web/grants/applicants/registration/track-role-status.html>
7. Electronic Signature: When applications are submitted through Grants.gov, the name of the organization applicant with the AOR role that submitted the application is inserted into the signature line of the application, serving as the electronic signature. The E-Biz POC must authorize people who are able to make legally binding commitments on behalf of the organization as a user with the AOR role; this step is often missed and it is crucial for valid and timely submissions.

c. How to Submit an Application to OSMRE via Grants.gov

Grants.gov applicants can apply online using Workspace. Workspace is a shared, online environment where members of a grant team may simultaneously access and edit different web forms within an application. For each NOFO, you can create individual instances of a workspace.

Below is an overview of applying on Grants.gov. For access to complete instructions on how to apply for opportunities, refer to:

<https://www.grants.gov/web/grants/applicants/workspace-overview.html>

1. Create a Workspace: Creating a workspace allows you to complete it online and route it through your organization for review before submitting.

2. Complete a Workspace: Add participants to the workspace to work on the application together, complete all the required forms online or by downloading PDF versions, and check for errors before submission. The Workspace progress bar will display the state of your application process as you apply. As you apply using Workspace, you may click the blue question mark icon near the upper-right corner of each page to access context-sensitive help.
3. Adobe Reader: If you decide not to apply by filling out web forms you can download individual PDF forms in Workspace. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader.
NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software at:
<https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>
4. Mandatory Fields in Forms: In the forms, you will note fields marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.
5. Complete SF-424 Fields First: The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and unique entity identifier (formerly DUNS) number. Once it is completed, the information will transfer to the other forms.
6. Submit a Workspace: An application may be submitted through workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package at least 24-48 hours prior to the close date to provide you with time to correct any potential technical issues that may disrupt the application submission.
7. Track a Workspace Submission: After successfully submitting a workspace application, a Grants.gov Tracking Number (GRANTXXXXXXXX) is automatically assigned to the application. The number will be listed on the Confirmation page that is generated after submission. Using the tracking number, access the Track My Application page under the Applicants tab or the Details tab in the submitted workspace.

d. For additional training resources, including video tutorials, refer to:

<https://www.grants.gov/web/grants/applicants/applicant-training.html>

Applicant Support: Grants.gov provides applicants 24/7 support via the toll-free number 1-800-518-4726 and email at support@grants.gov. For questions related to the specific grant opportunity, contact the number listed in the application package of the grant you are applying for.

If you are experiencing difficulties with your submission, it is best to call the

Grants.gov Support Center and get a ticket number. The Support Center ticket number will assist your organization with tracking your issue and understanding background information on the issue.

e. Timely Receipt Requirements and Proof of Timely Submission:

1. Online Submission. All applications must be received by 11:59 p.m. Eastern Time on the due date established for each program. Proof of timely submission is automatically recorded by Grants.gov. An electronic date/time stamp is generated within the system when the application is successfully received by Grants.gov. The applicant with the AOR role who submitted the application will receive an acknowledgement of receipt and a tracking number (GRANTXXXXXXXX) from Grants.gov with the successful transmission of their application. This applicant with the AOR role will also receive the official date/time stamp and Grants.gov Tracking number in an email serving as proof of their timely submission.

When OSMRE successfully retrieves the application from Grants.gov, and acknowledges the download of submissions, Grants.gov will provide an electronic acknowledgment of receipt of the application to the email address of the applicant with the AOR role who submitted the application. Again, proof of timely submission shall be the official date and time that Grants.gov receives your application.

Applications received by Grants.gov after the established due date for the program will be considered late and will not be considered for funding by OSMRE. Applicants using slow internet, such as dial-up connections, should be aware that transmission can take some time before Grants.gov receives your application. Again, Grants.gov will provide either an error or a successfully received transmission in the form of an email sent to the applicant with the AOR role attempting to submit the application. The Grants.gov Support Center reports that some applicants end the transmission because they think that nothing is occurring during the transmission process. Please be patient and give the system time to process the application. Late applications will neither be reviewed nor considered.

2. NOFO Amendments. Any amendments to this NOFO will be announced through Grants.gov. Applicants may sign up on Grants.gov to receive amendments notification e-mails.

f. Intergovernmental Review:

This funding opportunity is not normally subject to Executive Order 12372 since the cooperative agreements are not typically executed with State or local

governments. However, should an applicant be a state or local government entity, it should indicate so on form SF-424 and contact their State's Single Point of Contact (SPOC) to discover and comply with the state's process under Executive Order 12372. The names and addresses of the SPOCs are listed on the Office of Management and Budget's website. www.whitehouse.gov/omb/grants/spoc.html.

E. Application Review Information:

1. Evaluation Criteria:

Initial Screening of all OSMRE Program Applications. All applications received in response to this NOFO will be reviewed as received to determine whether they are eligible, complete, and responsive and aligned with the respective program objectives and research grant areas as described in the Program Description.

Applications determined to be ineligible, incomplete, and/or non-responsive based on the initial screening will be eliminated from further review. However, OSMRE, in its sole discretion, may continue the review process for an application that is missing non-substantive information that can easily be rectified.

- Completeness. Full Review of Eligible, Complete, and Responsive Applications-All applications that are determined to be eligible, complete, and responsive will proceed for full reviews in accordance with the review and selection processes set forth below for each of the respective programs.
- Timeliness. Applications received by Grants.gov after the established due date for the program will be considered late and will not be considered for funding by OSMRE.
- Threshold Screening. OSMRE will screen applications and proposals for the adequacy of the budget and compliance with program requirements.
 - OSMRE may request that the applicant modify objectives or work plans and provide supplemental information.
 - i. OSMRE also reserves the right to reject an application where information is uncovered that raises a reasonable doubt as to the responsibility of the applicant.
 - ii. OSMRE may select some, all, or none of the applications, or part(s) of any particular application. In some cases, OSMRE may ask applicants to consider combining projects.

All proposals received prior to the deadline will be distributed to NTTT members for merit review and evaluation. The review and selection process will be conducted as follows:

Technical Experts and all regional and national technology transfer team reviewers will assign scores to the proposed projects based upon the following:

- i. **Criterion 1:** The technical merit of the project
- ii. **Criterion 2:** The value of the project with regard to SMCRA goals
- iii. **Criterion 3:** The technology transfer plans for the project
- iv. **Criterion 4:** Programmatic Risk Assessment Factors

2. Review and Selection Process:

NTTT has developed a merit-based system of scoring and ranking Technical Studies proposals. The system is a multi-tiered review process in which proposals are first scored by individuals, and then by two layers of teams (regional and national) using a form based on the five scoring criteria listed above. All team scores, for each criterion are by team consensus. NTTT then provides the list of proposals, ranked from highest to lowest consensus scores to OSMRE Senior Management. The Director, following consultation with other members of OSMRE Senior Management, selects proposals for funding. Details of the process follow:

- i. NTTT will screen all proposals to verify that all required components are included. Any proposal that is not representative of at least one eligible topic or does not include all components required by this NOFO will be considered non-responsive and will not be considered. Subject applicants will be notified within five (5) business days.
- ii. In each of the three OSMRE regions, an appropriate technical expert will be selected to provide a technical review of each proposal and an initial scoring based on the above scoring criteria.
- iii. This technical scoring will be used by each Regional Technology Transfer Team member in their analysis and evaluation of the proposal in order to prepare for the regional consensus scoring.
- iv. Each of the three Regional Technology Transfer Teams will meet and discuss all proposals, and will arrive at consensus scores for each proposal, in each of the five scoring criteria described above.
- v. Other NTTT members (OSMRE HQ, TIPS, NTP, IMCC, NAAML) will provide the NTTT Lead with scores for each proposal, in each of the five scoring criteria described above.
- vi. The NTTT Lead will compile all scores provided by the Regional Technology Transfer Teams, and other NTTT members in preparation for the national consensus scoring.
- vii. NTTT will meet and discuss all proposals, and will arrive at consensus scores for each proposal, in each of the five scoring criteria described above.
- viii. NTTT will total the scores for each proposal and, based on the total scores, will rank all proposals, from highest to lowest score.
- ix. Based on the anticipated available funds and the amount requested by each applicant, NTTT will recommend proposals for funding; starting with the highest ranked proposal and continuing downward until the anticipated amount is exceeded.

- x. Proposals recommended for funding will be forwarded to grants personnel, in the regions in which they will be conducted, for a detailed review of financial adequacy.
- xi. The ranked list of all proposals, with a summary of each and with the list recommended for funding will be forwarded to OSMRE Senior Management through the Senior Management Sponsor. A description of any issues identified during the detailed review of financial adequacy of recommended proposals will also be included.

3. Project Selection:

The OSMRE Director, after consultation with the Executive Council, will decide which projects to fund based on the information provided by NTTT, as well as other relevant considerations.

The OSMRE Director may choose to select the highest scored qualified Minority Higher Education Program (MHEP) proposal as one of the funded projects. NTTT will notify all applicants when, and if, their proposal has been approved for funding. Applicants of projects not accepted for funding will also be notified. Successful applicants will be provided with an outline of steps to be taken by them and by OSMRE personnel to generate a cooperative or interagency agreement.

OSMRE reserves the right to negotiate the budget costs with the applicants that have been selected to receive awards, which may include requesting that the applicant remove certain costs.

F. Federal Award Administration Information

1. Notices of Federal Award

Successful applicants for an Applied Science cooperative agreement will receive a written agreement notifying them of the award. This agreement will provide information pertaining programmatic and financial reporting requirements, in addition to terms and conditions pertaining to managing the agreement. This document will also include, key contacts associated with the award. If the Federal awarding agency determines that a Federal award will be made, special conditions that correspond to the degree of risk assessed may be applied to the Federal award.

- Notification to Unsuccessful Applicants. Every unsuccessful applicant is entitled to a full explanation of why the application was not funded. The initial notice should provide a complete explanation, where possible. However, a notice may contain limited information regarding the unsuccessful application and indicate that a more detailed explanation will be provided at a later date or upon request.

- Retention of Unsuccessful Applications. A copy of each non-selected application will be retained for at least three (3) years for record keeping purposes in accordance with 2 CFR Part 200.333, Retention Requirements for Records.
- Federal Awarding Agency Review of Risk Posed by Applicants. After applications are proposed for funding by the Approving Official and prior to the issuance of an award, the OSMRE Grants Office will conduct an assessment of the risk posed by the applicant in accordance with 2 CFR 200.205, Federal Awarding Agency Review of Risk Posed by Applicants. In addition to reviewing repositories of government-wide eligibility, qualification or financial integrity information, the risk assessment conducted by OSMRE will conduct the following:
 - a) Review of applicant's single audit submitted to Federal Audit Clearinghouse
 - b) Review of applicant's most recent independent audit.
- Completion of financial capability questionnaire. The financial stability of an applicant; quality of the applicant's management systems; an applicant's history of performance; previous audit reports and audit findings concerning the applicant; the applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on non- Federal entities. Upon review of these factors, if appropriate, specific award conditions that correspond to the degree of risk may be applied by the OSMRE Grants Office pursuant to 2 CFR 200.207, Specific Conditions. In addition, OSMRE reserves the right to reject an application in its entirety where information is uncovered that raises a significant risk with respect to the responsibility or suitability of the applicant.
- Anticipated Announcement and Award Dates. Review of applications, selection of successful applicants, and award processing is expected to be completed approximately 60 – 120 days after the end of the review process.

2. Administrative and National Policy Requirements:

Uniform Administrative Requirements, Cost Principles and Audit Requirements.

Federal Awards provided under these requirements adhere to the provisions at 2 CFR 200 and apply to awards made pursuant to this NOFO. Refer to

<http://go.usa.gov/SBYh> and <http://go.usa.gov/SBg4>.

3. Funding Restrictions, Availability and Limitation of Liability:

Funding for the program listed in this NOFO is contingent upon the availability of appropriations. In no event will OSMRE or the Department of the Interior be responsible for application preparation costs if this program fails to receive funding or funding is cancelled because of agency priorities. Publication of this NOFO does not obligate OSMRE or the Department of the Interior to award any specific study or to obligate any available funds.

- a. **Electronic Funds Transfer:** Recipient will be required to establish an account in the U.S. Treasury's, Automated Standard Application for Payments system (ASAP), where OSMRE will disburse funding by means of an electronic funds transfer. The Account Settlement Report for the ASAP system should be referenced to reconcile with internal accounting system and to complete the semiannual SF-425. Refer to <http://asap.gov> to enroll.
- b. **Reports:** Each award recipient will be required to submit an SF-425 Federal Financial Report and a Performance (Technical) Report, on a quarterly basis for the period ending March 31, June 30, September 30, and December 31 of each year to the OSMRE Grants Specialist named in the award documents. Reports will be due with 30 days after the end of the reporting period. A final Federal Financial Report is due within 90 days after the end of the project period.
- c. **Audits:** In accordance with the provisions of 2 CFR 200, Subpart F - Audit Requirements, non-Federal entities that expend financial assistance of \$750,000 or more in Federal awards must have a single or a program-specific audit conducted for that year.

Non-Federal entities that expend less than \$750,000 a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in 2 CFR 200.503. Applicants are reminded that OSMRE, the Department of the Interior Office of Inspector General (OIG) or another authorized Federal agency may conduct an audit of an award at any time.

- d. **Records:** Records will be maintained in accordance with the provisions of 2 CFR 200, Subpart D, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards".
- e. **Record Preservation:** Financial records, supporting documents, statistical records, and all other non-Federal entity records pertinent to a Federal award must be retained for a period of three years from the date of submission of the final expenditure report or, for Federal awards that are renewed quarterly or annually, be retained for at least three (3) years for record keeping purposes. (See CFR 200 § 333 Retention for exceptions).
- f. **Federal Funding Accountability and Transparency Act of 2006.** In accordance with 2 CFR 170, all recipients of a Federal award made on or after October 1, 2010, are required to comply with reporting requirements under the Federal Funding Accountability and Transparency Act of 2006 (Pub. L. No. 109-282). In general, all recipients are responsible for reporting subawards of \$25,000 or more. In addition, recipients that meet certain criteria are responsible for reporting executive compensation. Applicants must ensure they have the

necessary processes and systems in place to comply with the reporting requirements should they receive funding. Also see the Federal Register notice published September 14, 2010, at 75 FR 55663 available here <http://go.usa.gov/hKnQ>.

G. OSMRE Federal Awarding Agency Contact(s)

Applied Science Program

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