

**ADDENDUM NO. ONE**  
**REQUEST FOR PROPOSALS**  
**AMI COMMUNICATION POLE DESIGN**  
**PROJECT NO. 20-488F**  
**CITY OF THORNTON, CO**

TO: Prospective Proposing Firms and all others concerned

DATE: October 3, 2024

PURPOSE: To provide additional information and clarification to the solicitation documents for the above-referenced Project.

1. The following information shall become part of the original Request for Proposal (RFP) for this Project.
  - A. The attached Exhibits A through C as referenced in the Scope of Services are hereby incorporated into the RFP.
2. All other terms and conditions shall remain unchanged except as provided by this Addendum. Proposing firms must acknowledge receipt of this Addendum in their Proposal.

**END OF ADDENDUM NO. ONE**

DocuSigned by:  
*Patrick Hinterberger* 10/3/2024  
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Patrick Hinterberger Date  
Contracts Supervisor

## EXHIBIT A

Site ID	Reader Type	Nearest Address	Lat	Long	Site Type	Est Height	COT Property	COT ROW
R_212	Repeater - Direct	9008 Huron St	39.860137	-104.99649	Planted Pole	40		X
C_101	CCU - Direct	W 80th Ave and Elmwood Lane	39.841141	-104.996468	Planted Pole	40	X	
C_181	CCU - Direct	Ura Ln and W 102nd Ave	39.881915	-105.010377	Planted Pole	40	X	
C_2	CCU - Direct	W 85th and Zuni St	39.850321	-105.015794	Planted Pole	40	X	
C_35_Augm_cty_SL	CCU - Direct	136th and Garfield	39.941655	-104.945936	Planted Pole	40	X	
Add on 18	Repeater - Direct	E 149th and Dahlia St	39.966924	-104.929892	Planted Pole	40	X	
Add on 21	Repeater - Direct	E 88th and Washington St	39.857167	-104.976187	Planted Pole	40	X	
Add on 22	Repeater - Direct	Hoyt Dr and Lilly Dr	39.859242	-104.96224	Planted Pole	40	X	
Add on 24	Repeater - Direct	W 96th Pl and Huron St	39.871234	-104.997382	Planted Pole	40	X	
Add on 26	Repeater - Direct	Marion St (Lamberton Lakes Park)	39.881102	-104.969877	Planted Pole	40	X	
Add on 27	Repeater - Direct	Eppinger Blvd and Gaylord St	39.867123	-104.958821	Planted Pole	40	X	
Add on 28	Repeater - Direct	Cottonwood Lakes Blvd and Cook Dr	39.931829	-104.946658	Planted Pole	40	X	



# CCU 100

Acquiring meter data is one half of the equation in a successful fixed network system. The other half is delivering that information back to the utility. With the onset of advanced metering initiatives and more robust collection of interval and event data, ensuring your information arrives where and when it should becomes critical. Devices that transport data across the network are a critical link, connecting utility and consumer.

Itron's new CCU 100 makes that link stronger than ever. The CCU 100 (also known as a collector) reads data from Itron electricity meters, gas and water endpoints, and repeaters. Data is forwarded from the collector to the utility over a public wide area network (cellular-based WAN or broadband) or a private WAN supporting IP-addressable packet data. Data is automatically uploaded to the Itron Fixed Network Software and can be used for billing as well as advanced applications and analysis in a meter data management system. Data uploads occur at scheduled intervals. The CCU 100 can also facilitate on-demand requests when needed.

Collectors operate on a 120/240 auto-sensing volt service and are equipped with a backup battery. In the event of an outage, the collector sends an alarm to the Itron Fixed Network Software with information describing various events, including power loss, restoration, and low-battery conditions.

## FEATURES AND BENEFITS

Itron's latest fixed-network collector, the CCU 100, supports the needs of today's evolving utility by providing:

- » Two-way communication to endpoints and to the repeater to collect on-demand reads and issue network commands
- » Robust collection of time-synchronized interval data, when coupled with a meter data management system, helps utilities:
  - Improve customer service
  - Refine forecast consumption
  - Manage and control tamper and theft
  - Develop new rate-based and customer incentive programs
  - Better respond to customer "what-if" questions
- » Time-synchronization of endpoint clocks, ensuring data collected territory-wide is accurately time-stamped
- » Retrieval of missing interval data in the event of a network outage

- » A compact device footprint that is lightweight and unobtrusive
- » Flexible and easy installation including tower, building or utility pole-mount options
- » Low power consumption
- » Solar-powered configurations for locations where hard-wired power is not readily available
- » Multiple communication options for public and private WAN backhails. Public and private technologies can be combined in a deployment, providing a hybrid approach best suited to the communication strengths of a given area

## SPECIFICATIONS

### Functional

- » Power Requirements
  - Power source: 90VAC to 265VAC/ 47 Hz to 63 Hz
  - Power consumption: 12 Watts Maximum 7.5 Watts Typical

- Power cable with photocell adapter for street light mount
  - Power connectors: watertight and keyed
  - Backup battery: 6 VDC, 4.5 AH lead-acid, 1.5 hour operating duration
- » Operating Environment
- Operating and storage temperatures: -40C to +60C (-40F to 140F) ambient
  - Operating humidity: 0 to 95% non-condensing relative humidity
- » Product Details
- Product life: 15 years
  - Product identification: numeric and bar code serial number
  - Certification: meets or exceeds applicable ANSI C12.1 or equivalent standards

### Operational

- » Endpoint Transceiver Operating Frequency
- 903.0-926.8 MHz
- » Backhaul Specifications
- Ethernet
  - Flexible Private LAN options via Ethernet connection

- HSPA/UMTS
- EDGE/GPRS/GSM
- CDMA EV-DO Rev A
- CDMA 1xEV-DO Rev 0
- CDMA 1xRTT
- CDMA IS-95

### Regulatory and Standards

- » FCC, CFR 47, Part 15 Class B certified

### Physical

- » Dimensions  
11.6" x 6.3" x 3.9" (29.5 cm x 16.0 cm x 9.9 cm)
- » Weight - 6.3 lbs. (2.9 kg) with battery

### Installation Methods

- » Utility pole mount
- » Street light pole mount, optional photocell power adapter
- » Roof mount
- » Wall mount
- » Tower configuration

### Host Processing Software

- » Itron Network Software
- » Optional Hosted Services



### Mounting Options



At Itron, we're dedicated to delivering end-to-end smart grid and smart distribution solutions to electric, gas and water utilities around the globe. Our company is the world's leading provider of smart metering, data collection and utility software systems, with over 8,000 utilities worldwide relying on our technology to optimize the delivery and use of energy and water.

To realize your smarter energy and water future, start here: [www.itron.com](http://www.itron.com)

### CORPORATE HEADQUARTERS

2111 N Molter Road  
Liberty Lake, WA 99019  
USA

**Phone:** 1.800.635.5461

**Fax:** 1.509.891.3355

## Detailed Collector or Repeater Specifications

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### CCU or Repeater Dimensions and Weight

Weight is shown in pounds and dimensions are shown in inches.

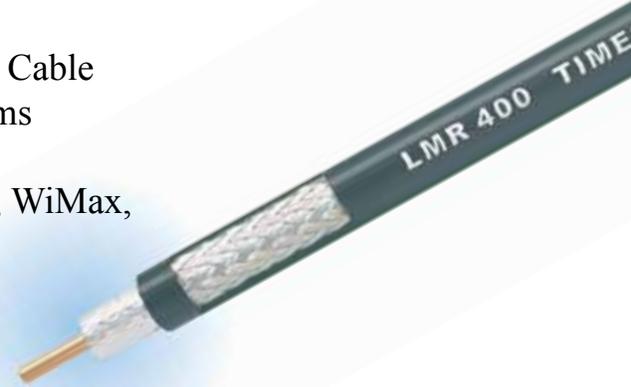
<b>Component</b>	<b>Weight</b>
CCU 100 or Repeater 100	7 lbs
TCU 100 AC tower unit	76 lbs
External GPS/WAN antenna system	6 lbs
Remote 900 MHz antenna system	3.5 lbs
900 MHz antenna (standard, unity gain)	1 lb
Pole mounting kit	3 lbs
Wall mounting kit	2 lbs



# LMR<sup>®</sup>-400 Flexible Low Loss Communications Coax

## Ideal for...

- Drop-in replacement for RG-8/9913 Air-Dielectric type Cable
- Jumper Assemblies in Wireless Communications Systems
- Short Antenna Feeder runs
- Any application (e.g. WLL, GPS, LMR, WLAN, WISP, WiMax, SCADA, Mobile Antennas) requiring an easily routed, low loss RF cable
- **NEW!** Times Protect<sup>®</sup> LP-18-400 protector-series



- **LMR<sup>®</sup>** standard is a UV Resistant Polyethylene jacketed cable designed for 20-year service outdoor use. The bending and handling characteristics are significantly better than air-dielectric and corrugated hard-line cables.
- **LMR<sup>®</sup>-DB** is identical to standard LMR plus has the advantage of being watertight. The addition of waterproofing compound in and around the foil/braid insures continuous reliable service should the jacket be inadvertently damaged during installation or in the future.
- **LMR<sup>®</sup>-FR** is a non-halogen (non-toxic), low smoke, fire retardant cable designed for in-building runs that can be routed anywhere except air handling plenums. LMR-FR is UL/NEC & CSA rated 'CMR' and 'FT4' respectively, meets FAA FAR25 requirements and is MSHA-P for mining applications.
- **LMR<sup>®</sup>-FR-PVC** is a general-purpose indoor cable and has a UL/NEC & CSA rating of 'CMR' and 'FT4' respectively. It is less expensive than LMR-FR, however it emits toxic fumes (HCL) and greater smoke density when burned.
- **LMR<sup>®</sup>-PVC** is designed for low loss general-purpose applications and is somewhat more flexible than the standard polyethylene jacketed LMR.
- **LMR<sup>®</sup>-PVC-W** is a white-jacketed version of LMR-PVC for marine and other applications where color compatibility is desired.

- **Flexibility** and bendability are hallmarks of the LMR-400 cable design. The flexible outer conductor enables the tightest bend radius available for any cable of similar size and performance.
- **Low Loss** is another hallmark feature of LMR-400.

Size for size LMR has the lowest loss of any flexible cable and comparable loss to semirigid hard-line cables.

- **RF Shielding** is 50 dB greater than typical single shielded coax (40 dB). The multi-ply bonded foil outer conductor is rated conservatively at > 90 dB (i.e. >180 dB between two adjacent cables).
- **Weatherability:** LMR-400 cables designed for outdoor exposure incorporate the best materials for UV resistance and have life expectancy in excess of 20 years.
- **Connectors:** A wide variety of connectors are available for LMR-400 cable, including all common interface types, reverse polarity, and a choice of solder or non-solder center pins. Most LMR connectors employ crimp outer attachment using standard hex crimp sizes.
- **Cable Assemblies:** All LMR-400 cable types are available as pre-terminated cable assemblies. Refer to the section on FlexTech for further details.

Part Description					Stock
Part Number	Application	Jacket	Color	Code	
LMR-400	Outdoor	PE	Black	54001	
LMR-400-DB	Outdoor/Watertight	PE	Black	54091	
LMR-400-FR	Indoor/Outdoor Riser	CMR FRPE	Black	54030	
LMR-400-FR-PVC	Indoor/Outdoor Riser	CMR FRPVC	Black	54073	
LMR-400-PVC	General Purpose	PVC	Black	54218	
LMR-400-PVC-W	General Purpose	PVC	White	54204	

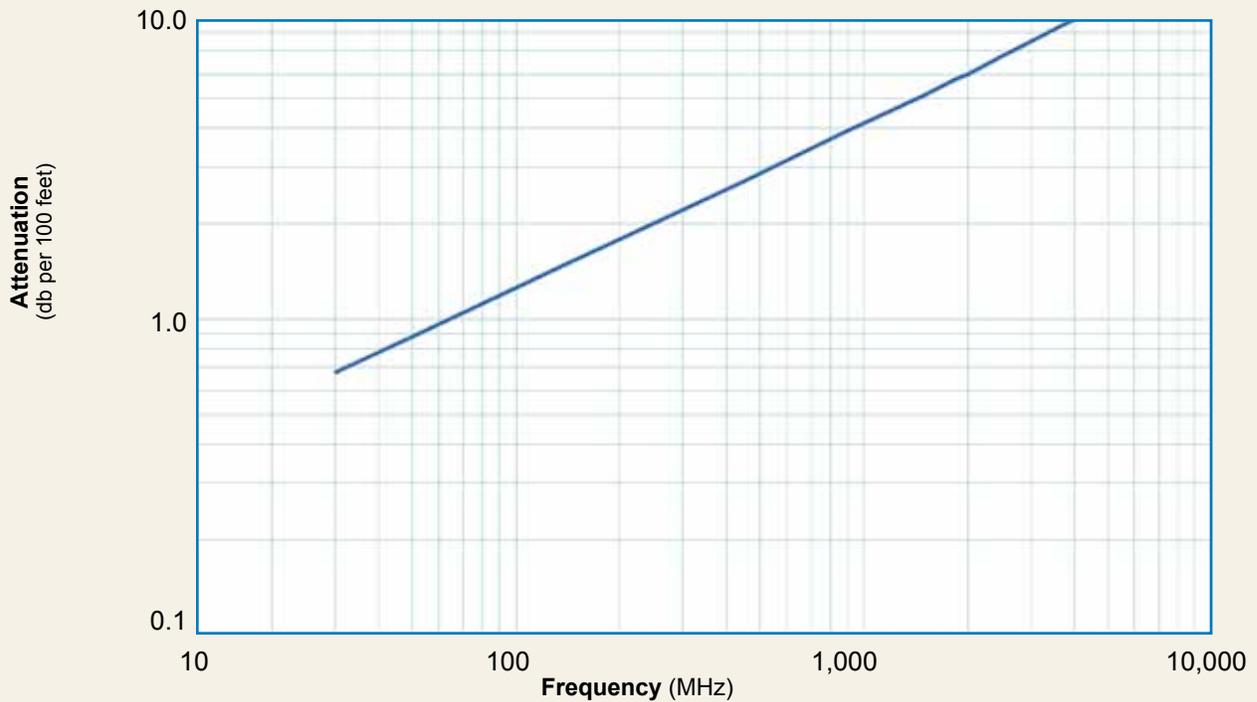
Construction Specifications			
Description	Material	In.	(mm)
Inner Conductor	Solid BCCAI	0.108	(2.74)
Dielectric	Foam PE	0.285	(7.24)
Outer Conductor	Aluminum Tape	0.291	(7.39)
Overall Braid	Tinned Copper	0.320	(8.13)
Jacket	(see table above)	0.405	(10.29)

Mechanical Specifications			
Performance Property	Units	US	(metric)
Bend Radius: installation	in. (mm)	1.00	(25.4)
Bend Radius: repeated	in. (mm)	4.0	(101.6)
Bending Moment	ft-lb (N-m)	0.5	(0.68)
Weight	lb/ft (kg/m)	0.068	(0.10)
Tensile Strength	lb (kg)	160	(72.6)
Flat Plate Crush	lb/in. (kg/mm)	40	(0.71)

Environmental Specifications		
Performance Property	°F	°C
Installation Temperature Range	-40/+185	-40/+85
Storage Temperature Range	-94/+185	-70/+85
Operating Temperature Range	-40/+185	-40/+85

Electrical Specifications			
Performance Property	Units	US	(metric)
Velocity of Propagation	%	85	
Dielectric Constant	NA	1.38	
Time Delay	nS/ft (nS/m)	1.20	(3.92)
Impedance	ohms	50	
Capacitance	pF/ft (pF/m)	23.9	(78.4)
Inductance	uH/ft (uH/m)	0.060	(0.20)
Shielding Effectiveness	dB	>90	
DC Resistance			
Inner Conductor	ohms/1000ft (/km)	1.39	(4.6)
Outer Conductor	ohms/1000ft (/km)	1.65	(5.4)
Voltage Withstand	Volts DC	2500	
Jacket Spark	Volts RMS	8000	
Peak Power	kW	16	

**Attenuation vs. Frequency (typical)**



Frequency (MHz)	30	50	150	220	450	900	1500	1800	2000	2500	5800
<b>Attenuation dB/100 ft</b>	0.7	0.9	1.5	1.9	2.7	3.9	5.1	5.7	6.0	6.8	10.8
<b>Attenuation dB/100 m</b>	2.2	2.9	5.0	6.1	8.9	12.8	16.8	18.6	19.6	22.2	35.5
<b>Avg. Power kW</b>	3.33	2.57	1.47	1.20	0.83	0.58	0.44	0.40	0.37	0.33	0.21

**Calculate Attenuation =**

$(0.122290) \cdot \sqrt{\text{FMHz}} + (0.000260) \cdot \text{FMHz}$  (interactive calculator available at [http://www.timesmicrowave.com/cable\\_calculators](http://www.timesmicrowave.com/cable_calculators))

**Attenuation:**

VSWR=1.0 ; Ambient = +25°C (77°F)

**Power:**

VSWR=1.0; Ambient = +40°C; Inner Conductor = 100°C (212°F); Sea Level; dry air; atmospheric pressure; no solar loading

**Connectors**

Interface	Description	Part Number	Stock Code	VSWR**	Coupling Freq. (GHz)	Nut	Inner Contact Attach	Outer Contact Attach	Finish* Body /Pin	Length in (mm)	Width in (mm)	Weight lb (g)
1. 7-16 DIN Female	Straight Jack	TC-400-716-FC	3190-376	<1.25:1	(2.5)	NA	Solder	Clamp	S/S	1.6 (41)	1.13 (28.7)	0.281 (127.5)
2. 7-16 DIN	Right Angle	TC-400-716M-RA-D	3190-2598	<1.35:1	(6)	Hex	Solder	Crimp	A/S	1.7 (43.20)	1.98 (50.3)	0.374 (169.5)
3. 7-16 DIN Male	Straight Plug	EZ-400-716M-X	3190-2524	<1.25:1	(6)	Hex	Spring Finger	Crimp	A/G	1.6 (39.5)	1.38 (35)	0.277 (126.0)
4. 7-16 DIN Male	Straight Plug	TC-400-716-MC	3190-279	<1.25:1	(2.5)	Hex	Solder	Clamp	S/S	1.4 (36)	1.40 (35.6)	0.268 (121.6)
5. 7-16 DIN Male	Right Angle	TC-400-716MC-RA	3190-1671	<1.25:1	(<3)	Hex	Solder	Clamp	A/S	2.4 (61.5)	1.88 (47.8)	0.35 (159)
6. 7-16DIN Male	Right Angle	EZ-400-716M-RA-X	3190-2545	<1.35:1	(6)	Hex	Spring Finger	Crimp	A/G	1.6 (41.7)	1.75 (44.3)	0.374 (0.17)
7. BNC Male	Straight Plug	TC-400-BM	3190-318	<1.25:1	(2.5)	Knurl	Solder	Crimp	N/S	1.7 (43)	0.56 (14.2)	0.063 (28.6)
8. BNC Male	Straight Plug	EZ-400-BM-X	3190-2852	<1.35:1	(2)	Knurl	Spring Finger	Crimp	A/G	1.7 (42.7)	0.56 (14.2)	0.066 (29.9)
9. BNC Male	Right Angle	EZ-400-BM-RA-X	3190-2847	<1.35:1	(2)	Knurl	Spring Finger	Crimp	A/G	1.9 (48.0)	1.32 (33.5)	0.097 (44.0)
10. HN Male	Straight Plug	TC-400-HNM	3190-923	<1.25:	(<1)	Knurl	Solder	Clamp	S/G	2.3 (59.2)	0.88 (22.4)	0.25 (113.4)
11. HN Male	Right Angle	TC-400-HNM-RA	3190-2541	<1.25:1	(2.5)	Hex	Solder	Crimp	A/G	1.6 (41.4)	1.56 (39.6)	0.198 (90.0)
12. QDS Male	Straight Plug	TC-400-QDSM	3190-620	<1.25:	(<3)	Knurl	Solder	Clamp	A/G	1.8 (46.6)	1.00 (25.4)	0.25 (113.4)
13. UHF Male	Straight Plug	EZ-400-UM	3190-997	<1.25:1	(2.5)	Knurl	Spring Finger	Crimp	N/G	1.8 (48)	0.80 (20.3)	0.076 (34.4)
14. Mini-UHF	Straight Plug	TC-400-MUHF	3190-520	<1.25:1	(2.5)	Knurl	Solder	Crimp	N/G	1.1 (28)	0.50 (12.7)	0.020 (9.1)
15. N Female	Straight Jack	TC-400-NFC	3190-299	<1.25:1	(2.5)	NA	Solder	Clamp	N/S	1.6 (41)	0.75 (19.1)	0.119 (54.0)
16. N Female	Straight Jack	EZ-400-NF-X	3190-2818	<1.25:1	(2.5)	NA	Spring Finger	Crimp	N/G	1.8 (45)	0.66 (16.8)	0.105 (47.6)
17. N Female	Straight Jack	TC-400-NF-X	3190-2815	<1.25:1	(2.5)	NA	Solder	Crimp	N/G	1.8 (45)	0.66 (16.8)	0.105 (47.6)
18. N Female	Bulkhead Jack	EZ-400-NF-BH	3190-518*	<1.25:1	(2.5)	NA	Spring Finger	Crimp	N/G	1.8 (46)	0.88 (22.4)	0.102 (46.3)
19. N Female	Bulkhead Jack	TC-400-NFC-BH (A)	3190-872	<1.25:1	(2.5)	NA	Solder	Clamp	A/G	1.8 (46)	0.88 (22.4)	0.145 (65.8)
20. N Male	Straight Plug	SC-400-NM	3190-1454	<1.25:1	(2.5)	Knurl	Solder	Crimp	N/G	1.5 (38)	0.75 (19.1)	0.090 (40.8)
21. N Male	Straight Plug	TC-400-NMC	3190-6077	<1.25:1	(2.5)	Knurl	Solder	Clamp	N/G	1.5 (38)	0.70 (17.8)	0.121 (54.9)
22. N Male	Straight Plug	EZ-400-NMC-2-D	3190-2640	<1.25:1	(2.5)	Hex/Knurl	Spring Finger	Clamp	N/G	1.5 (38)	0.75 (19.1)	0.121 (54.9)
23. N Male	Straight Plug	EZ-400-NMH-X	3190-2590	<1.25:1	(10)	Hex/Knurl	Spring Finger	Crimp	A/G	1.5 (38)	0.89 (22.6)	0.103 (46.8)
24. N Male	Straight Plug	TC-400-NMH-X	3190-2626	<1.25:1	(10)	Hex/Knurl	Solder	Crimp	A/G	1.5 (38)	0.89 (22.6)	0.113 (51.3)
25. N Male	Straight Plug	EZ-400-NMK-D	3190-661	<1.25:1	(10)	Knurl	Spring Finger	Crimp	S/G	1.5 (38)	0.75 (22.6)	0.113 (51.3)
26. N Male	Right Angle	EZ-400-NMH-RA-X	3190-2638	<1.35:1	(6)	Hex/Knurl	Spring Finger	Crimp	A/G	1.87 (47)	1.42 (36.0)	0.177 (80.2)
27. N Male	Right Angle	TC-400-NMH-RA-SS	3190-1668	<1.25:1	(2.5)	Hex	Solder	Crimp	SS/G	1.5 (38.1)	0.89 (2.6)	0.130 (59.0)
28. N Male	Right Angle	TC-400-NMH-RA-D	3190-2293*	<1.35:1	(6)	Hex/Knurl	Solder	Crimp	A/G	1.8 (46)	1.25 (31.8)	0.130 (59.0)
29. N Male	Right Angle	TC-400-NMC-RA (A)	3190-870	<1.35:1	(2.5)	Hex	Solder	Clamp	A/G	1.8 (46)	1.25 (31.8)	0.150 (68.0)
30. N Male	Reverse Polarity	TC-400-NM-RP	3190-960	<1.25:1	(2.5)	Knurl	Solder	Crimp	N/G	1.5 (38)	0.75 (19.1)	0.090 (40.8)
31. SMA Male	Straight Plug	TC-400-SM-X	3190-3046	<1.25:1	(8)	Hex	Solder	Crimp	N/G	1.2 (29)	0.50 (12.7)	0.032 (14.5)
32. TNC Female	Reverse Polarity	TC-400-TF-RP	3190-1063	<1.25:1	(2.5)	NA	Solder	Crimp	N/G	1.8 (46)	0.55 (14.0)	0.074 (33.6)
33. TNC Female	Reverse Polarity	EZ-400-TF-RP	3190-795	<1.25:1	(2.5)	NA	Spring Finger	Crimp	A/G	1.8 (46)	0.55 (14.0)	0.074 (33.6)
34. TNC Male	Straight Plug	TC-400-TM-X	3190-2532	<1.25:1	(6)	Hex/Knurl	Solder	Crimp	A/G	1.9 (48)	0.67 (17.5)	0.075 (34.3)
35. TNC Male	Straight Plug	EZ-400-TM-X	3190-2533	<1.25:1	(6)	Hex/Knurl	Spring Finger	Crimp	A/G	1.9 (48)	0.67 (17.5)	0.075 (34.3)
36. TNC Male	Reverse Polarity	TC-400-TM-RP	3190-1062	<1.25:1	(2.5)	Knurl	Solder	Crimp	N/G	1.7 (43)	0.59 (15.0)	0.074 (33.6)
37. TNC Male	Reverse Polarity	EZ-400-TM-RP	3190-794	<1.25:1	(2.5)	Knurl	Spring Finger	Crimp	A/G	1.7 (43)	0.59 (15.0)	0.074 (33.6)
38. TNC Male	Right Angle	TC-400-TM-RA-D	3190-2671	<1.35:1	(6)	Hex/Knurl	Solder	Crimp	A/G	1.4 (35)	1.41 (35.8)	0.130 (59.0)
39. TNC Male	Right Angle	EZ-400-TM-RA-X	3190-2800	<1.24:1	(6)	Hex	Spring Finger	Crimp	A/G	2.0 (50.0)	0.62 (15.7)	0.130 (59.0)

\* Finish metals: N=Nickel, S=Silver, G=Gold, SS=Stainless Steel, A=Alloy \*\*VSWR spec based on 3 foot cable with a connector \*Available in bulk pack

**Install Tools and Hardware**



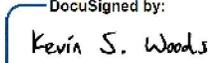


**Install Tools and Hardware**

Type	Part Number	Stock Code	Description
Crimp Tool	HX-4	3190-200	Crimp Handle
Crimp Dies	Y1719	3190-202	.429" Hex Dies
Crimp Tool	CT-400/300	3190-666	Crimp tool for LMR 400 connectors
Crimp Rings	CR-400	3190-830	Crimp rings for TC/EZ-400 connectors (package of 10)
Strip Tool	ST-400C-2	3190-1972	Prep tool for EZ-400-NMC-2 two piece clamp style connector
Strip Tool	CST-400	3192-004	Combination prep tool for LMR-400 crimp and clamp style connectors
Mid-Span Strip Tool	GST-400	3190-2174	For ground strap attachment
Replacement Blades	RB-456	3190-421	Replacement blades for Strip Tool
Deburr Tool	DBT-U	3192-001	Removes center conductor rough edges
Cutting Tool	CCT-01	3190-1544	Cable end flush cut tool
Replacement Blade	RB-01	3190-1609	Replacement blade for cutting tool
Tool Kit	TK-400EZ	3190-1601	Tool kit for LMR-400 Crimp Connectors (includes CCT-01, CST-400, CT-400/300, Tool Pouch)
Replacement Blade Kit	RB-CST	3192-086	Replacement blade kit for all CST strip tools
Ground Kit	GK-S400TT	GK-S400TT	Standard Grounding Kit (each)
Hoisting Grip	HG-400T	HG-400T	Laced Type (each)

**EXHIBIT C**

UNITED STATES DEPARTMENT OF THE INTERIOR  
BUREAU OF RECLAMATION  
ASSISTANCE AGREEMENT

1A. AGREEMENT NUMBER <b>R20AP00101</b>	1B. MOD NUMBER	2. TYPE OF AGREEMENT <input checked="" type="checkbox"/> GRANT <input type="checkbox"/> COOPERATIVE AGREEMENT	3. CLASS OF RECIPIENT City or Township Government
4. ISSUING OFFICE Bureau of Reclamation Acquisitions and Assistance Management Division Acquisitions and Assistance Operations Branch P.O. Box 25007, MS 84-27810 Denver, CO 80225-5007		5. RECIPIENT City of Thornton 9500 Civic Center Drive Thornton, CO 80229-0189	
		EIN #:	846009903
		County:	Adams
		DUNS #:	010633295
		Congress. Dist.:	CO-007
6. RECIPIENT PROJECT MANAGER  Emily Hunt, Project Manager City of Thornton 9500 Civic Center Drive Thornton, CO 80229-0189 720-977-6504 <a href="mailto:Emily.Hunt@thorntonco.gov">Emily.Hunt@thorntonco.gov</a>		7A. INITIAL AGREEMENT EFFECTIVE DATE:  See Block 13.a below	7B. MODIFICATION EFFECTIVE DATE:
		8. COMPLETION DATE  <b>September 30, 2023</b>	
9A. PROGRAM STATUTORY AUTHORITY Section 9504(a) of the Secure Water Act, Public Law 111-11 (42 United States Code 10364)			9B. CFDA Number 15.507
10. FUNDING INFORMATION	<u>NON-FEDERAL</u>	<u>RECLAMATION</u>	<u>TOTAL PROJECT COSTS</u>
Total Estimated Amount of Agreement	\$1,662,275.00	\$1,500,000.00	\$3,162,275.00
This Obligation	\$1,662,275.00	\$1,498,500.00	\$3,160,775.00
Previous Obligation	\$0.00	\$0.00	\$0.00
Total Obligation	\$1,662,275.00	\$1,498,500.00	\$3,160,775.00
11. PROJECT TITLE  <b>City-Wide Advanced Metering Infrastructure and Residential Meter Conversion Project</b>			
12a. Acceptance of this Assistance Agreement in accordance with the terms and conditions contained herein is hereby made on behalf of the above-named DocuSigned by:  BY: <u>FABAA1BDFCD9428...</u> DATE: <u>9/18/2020</u>		13a. Award of this Assistance Agreement in accordance with the terms and conditions contained herein is hereby made on behalf of the United States of America, Department of the Interior, Bureau of Reclamation  BY: <b>BEVERLY NELSON</b> Digitally signed by BEVERLY NELSON Date: 2020.09.18 14:05:08 -07'00' DATE: <u>September 18, 2020</u>	
12b. NAME AND TITLE OF SIGNER Kevin S. Woods City Manager		13b. NAME OF GRANTS OFFICER Beverly K. Nelson 702-293-8524	

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**Financial Assistance Agreement**  
**Between**  
**Bureau of Reclamation**  
**And**  
**City of Thornton**  
**For**  
**City-Wide Advanced Metering Infrastructure and**  
**Residential Meter Conversion Project**

## I. OVERVIEW AND SCHEDULE

### 1. AUTHORITY

This Financial Assistance Agreement (Agreement) is entered into between the United States of America, acting through the Department of the Interior, Bureau of Reclamation (Reclamation) and City of Thornton (Recipient), pursuant to Section 9504(a) of the SECURE WATER ACT, Subtitle F of Title IX of the OMNIBUS PUBLIC LAND MANAGEMENT ACT OF 2009, Public Law 111-11 (42 United States Code 10364) (the “Act”). The following section, provided in full text, authorizes Reclamation to award this financial assistance agreement:

***SEC. 9504. WATER MANAGEMENT IMPROVEMENT.***

*(a) AUTHORIZATION OF GRANTS AND COOPERATIVE AGREEMENTS.—*

*(1) AUTHORITY OF SECRETARY.—The Secretary may provide any grant to, or enter into an agreement with, any eligible applicant to assist the eligible applicant in planning, designing, or constructing any improvement—*

*(A) to conserve water;*

*(B) to increase water use efficiency;*

*(C) to facilitate water markets;*

*(D) to enhance water management, including increasing the use of renewable energy in the management and delivery of water;*

*(E) to accelerate the adoption and use of advanced water treatment technologies to increase water supply;*

*(F) to prevent the decline of species that the United States Fish and Wildlife Service and National Marine Fisheries Service have proposed for listing under the Endangered Species Act of 1973 (16 U.S.C. 1531 et seq.) (or candidate species that are being considered by those agencies for such listing but are not yet the subject of a proposed rule);*

- (G) to accelerate the recovery of threatened species, endangered species, and designated critical habitats that are adversely affected by Federal reclamation projects or are subject to a recovery plan or conservation plan under the Endangered Species Act of 1973 (16 U.S.C. 1531 et seq.) under which the Commissioner of Reclamation has implementation responsibilities; or*
- (H) to carry out any other activity—*
- (i) to address any climate-related impact to the water supply of the United States that increases ecological resiliency to the impacts of climate change; or*
  - (ii) to prevent any water-related crisis or conflict at any watershed that has a nexus to a Federal reclamation project located in a service area.*

## **2. PUBLIC PURPOSE OF SUPPORT OR STIMULATION**

The City-Wide Advanced Metering Infrastructure and Residential Meter Conversion Project (Project) achieves the public purpose of the Act by conserving water and improving water management.

## **3. BACKGROUND AND OBJECTIVES**

Through WaterSMART (Sustain and Manage America's Resources for Tomorrow), Reclamation leverages Federal and non-Federal funding to work cooperatively with states, tribes, and local entities as they plan for and implement actions to increase water supply reliability through investments and attention to local water conflicts. Working together with our stakeholders, WaterSMART provides support for the Department of the Interior's priorities, including creating a legacy of conservation stewardship, sustainably developing our energy and natural resources, modernizing our infrastructure through public-private partnerships, and restoring trust with local communities by improving relationships and communication with states, tribes, local governments, communities, landowners and water users.

Through Water and Energy Efficiency Grants, Reclamation provides assistance to states, tribes, irrigation districts, water districts, and other entities with water or power delivery authority to undertake projects that result in quantifiable and sustained water savings and support broader water reliability benefits.

The City of Thornton, located near Denver, Colorado, will install a city-wide advanced metering infrastructure system and replace approximately 19,919 low resolution residential meters with high resolution meters. The project is expected to result in annual water savings of 1,665 acre-feet currently lost to inefficient customer water use and leaks. The project will support statewide goals to address water supply gaps in the state and South Platte Basin and to integrate water quantity and quality issues. The water conserved will remain in Thornton's storage reserves and reduce demands for treated water and diversions from the over appropriated South Platte Basin.

#### 4. PERIOD OF PERFORMANCE AND FUNDS AVAILABILITY

This Agreement becomes effective on the date shown in Block 13a of Page 1 of this agreement, United States of America, Department of the Interior, Bureau of Reclamation, Assistance Agreement. The Agreement shall remain in effect until the date shown in Block 8 of Page 1 of this agreement, United States of America, Department of the Interior, Bureau of Reclamation, Assistance Agreement. The period of performance for this Agreement may only be modified through written modification of the Agreement by a Reclamation Grants Officer.

No legal liability on the part of the Government for any payment may arise until funds are made available, in writing, to the Recipient by the Grants Officer. The total estimated amount of federal funding for this agreement is **\$1,500,000.00**, of which the initial amount of federal funds available is limited to **\$1,498,000.00** as indicated by “this obligation” within Block 10 of Page 1 of this agreement, United States of America, Department of the Interior, Bureau of Reclamation, Assistance Agreement.

#### 5. SCOPE OF WORK AND MILESTONES

Under this Agreement, the Recipient shall install a city-wide advanced metering infrastructure system. The city will replace approximately 19,919 low resolution residential meters with high resolution meters. The metering project will be located within the city of Thornton, Colorado. The Recipient shall include in its records the locations of the meters replaced under this Agreement.

After review of the methodology used to estimate water conservation savings, consideration of supporting documentation provided by Recipient, and any adjustments made during the evaluation of the Project, it was determined that these improvements are expected to result in annual water savings of 1,665 acre-feet.

The milestones for completing the Project are:

Milestone / Task / Activity	Planned Start Date	Planned Completion Date
Complete environmental and cultural compliance	August 2020	May 2022
Selection and Procurement of Consultants, Materials, and Supplies	August 2020	June 2022
Development of Accelerated Meter Installation Team	November 2020	June 2021
Installation and Oversight of High-Resolution Residential Meters	January 2021	September 2023
Pre-AMI Fixed Network and Implementation of Data Management System	January 2021	September 2021
Installation of AMI Network and Implementation of Data Management System	May 2022	September 2022
Communication and Customer Outreach	January 2021	September 2023

## 6. RESPONSIBILITY OF THE PARTIES

### 6.1 Recipient Responsibilities

**6.1.1** The Recipient shall carry out the Scope of Work (SOW) in accordance with the terms and conditions stated herein. The Recipient shall adhere to Federal, state, and local laws, regulations, and codes, as applicable, and shall obtain all required approvals and permits. If the SOW contains construction activities, the Recipient is responsible for construction inspection, oversight, and acceptance. If applicable, the Recipient shall also coordinate and obtain approvals from site owners and operators.

**6.1.2 Interim Performance Reports.** The Recipient shall prepare and submit to Reclamation interim Project performance reports (Interim Performance Reports) as required by Section I.10 of this Agreement. Each Interim Performance Report will include (but is not limited to) the information identified in paragraph I.10.3 and will discuss the following:

- A comparison of actual accomplishments to the milestones established by the financial assistance agreement for the reporting period
- The reasons why established milestones were not met, if applicable
- The status of milestones from the previous reporting period that were not met, if applicable
- Whether the Project is on schedule and within the original cost estimate
- Any additional pertinent information or issues related to the status of the Project

**6.1.3 Final Project Report.** The Recipient shall prepare and submit to Reclamation a final Project performance report (Final Project Report) as required by Section I.10 of this Agreement. The Final Project Report will include (but is not limited to) the information identified in paragraph I.10.3 and will discuss the following:

- Whether the Project objectives and goals were met
- The amount of water conserved, if applicable, including information and/or calculations supporting that amount
- The amount of energy the renewable energy system is generating annually, if applicable
- How the Project demonstrated collaboration, if applicable

Photographs documenting the project are also appreciated. Recipient understands that Reclamation may print photos with appropriate credit to Recipient. Recipient also understands that the Final Project Report is a public document and may be made available on Reclamation's website, [www.usbr.gov/watersmart/](http://www.usbr.gov/watersmart/).

**6.1.4 Post-award cost documentation.** During pre-award clarifications, there was insufficient documentation to support the construction contract cost estimate. Therefore, prior to the initial request for drawdown of Reclamation funding, the Recipient shall provide the final competitive bid documents to include proposal/quote requests, bid tabulations, and selection documentation. Grants Officer approval of the construction contract costs will be documented by formal modification to the Agreement.

## 6.2 Reclamation Responsibilities

**6.2.1** Reclamation will monitor and provide Federal oversight of activities performed under this Agreement. Monitoring and oversight include review and approval of financial status and performance reports, payment requests, and any other deliverables identified as part of the SOW. Additional monitoring activities may include site visits, conference calls, and other on-site and off-site monitoring activities. At the Recipient's request, Reclamation may also provide technical assistance to the Recipient in support of the SOW and objectives of this Agreement.

## 7. BUDGET

**7.1 Budget Estimate.** The following is the estimated budget for this Agreement. As Federal financial assistance agreements are cost-reimbursable, the budget provided is for estimation purposes only. Final costs incurred under the budget categories listed may be either higher or lower than the estimated costs. All costs incurred by the Recipient under this agreement must be in accordance with any pre-award clarifications conducted between the Recipient and Reclamation, as well as with the terms and conditions of this agreement. Final determination of the allowability, allocability, or reasonableness of costs incurred under this agreement is the responsibility of the Grants Officer. Recipients are encouraged to direct any questions regarding allowability, allocability or reasonableness of costs to the Grants Officer for review prior to incurrence of the costs in question.

BUDGET ITEM DESCRIPTION	TOTAL COST
<b>SUPPLIES/MATERIALS</b>	
Meters and Registers	\$1,647,275.00
<b>CONTRACTUAL/ CONSTRUCTION</b>	
AMI Network Infrastructure	\$1,513,500.00
<b>OTHER</b>	
Environmental and Cultural Compliance Holdback	\$1,500.00
<b>TOTAL DIRECT COSTS</b>	<b>\$3,162,275.00</b>
<b>INDIRECT COSTS</b>	
N/A	\$0.00
<b>TOTAL ESTIMATED PROJECT COST</b>	<b>\$3,162,775.00</b>

## 7.2 Cost Sharing Requirement

At least 50% non-Federal cost-share is required for costs incurred under this Agreement. Based on the budget estimate reflected in Section 7.1 above, the estimated Federal share of allowable costs is 47% and the Recipient's estimated non-Federal cost share is 53%. The Federal share of allowable costs shall not be expended in advance of the Recipient's non-Federal share. It is expected that expenditure of Federal and non-Federal funds based upon the estimated cost share percentages shall occur concurrently. At the end of the period of performance, if the final costs are lower than the original estimate and the 50% non-Federal cost share is met, the final payment and financial report can reflect a lower Recipient cost share than the original budget estimate.

If a bona fide need arises which requires the expenditure of Federal funds in advance of the Recipient share, then the Recipient must request written approval from the Grants Officer prior to the expenditure. Recipient's may expend their agreed upon share of costs in advance of the expenditure of Federal funds without prior written approval.

## 7.3 Pre-Award Incurrence of Costs

The Recipient shall be entitled to reimbursement for costs incurred on or after September 1, 2020, which if had been incurred after this Agreement was entered into, would have been allowable, allocable, and reasonable under the terms and conditions of this Agreement. Reimbursement of these costs is limited to federal cost share percentage identified in Section I.7.2 above.

## 7.4 Allowable Costs

Costs incurred for the performance of this Agreement must be allowable, allocable to the project, and reasonable. The following regulations, codified within the Code of Federal Regulations (CFR), governs the allowability of costs for Federal financial assistance:

2 CFR 200 Subpart E, "Cost Principles"

Expenditures for the performance of this Agreement must conform to the requirements within this CFR. The Recipient must maintain sufficient documentation to support these expenditures. Questions on the allowability of costs should be directed to the Grants Officer responsible for this Agreement.

The Recipient shall not incur costs or obligate funds for any purpose pertaining to operation of the program or activities beyond the expiration date stated in the Agreement. The only costs which are authorized for a period of up to 90 days following the project performance period are those strictly associated with closeout activities for preparation of the final reports.

## 7.5 Revision of Budget and Program Plans

In accordance with 2 CFR 200.308(g) the recipient must request prior written approval for any of the following changes:

- (a) A change in the approved scope of work or associated tasks, even if there is no associated budget revisions.
- (b) Revisions which require additional Federal funds to complete the project.
- (c) Revisions which involve specific costs for which prior written approval requirements may be imposed consistent with OMB cost principles listed in 2 CFR 200 Subpart E “Cost Principles”.

## 7.6 Modifications

Any changes to this Agreement shall be made by means of a written modification. Reclamation may make changes to the Agreement by means of a unilateral modification to address changes in address, no-cost time extensions, changes to Key Personnel, the addition of previously agreed upon funding, or administrative corrections which do not impact the terms and conditions of this agreement. Additionally, a unilateral modification may be utilized by Reclamation if it should become necessary to suspend or terminate the Agreement in accordance with 2 CFR 200.338.

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

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

## 8. KEY PERSONNEL

### 8.1 Recipient’s Key Personnel.

The Recipient's Project Manager for this Agreement shall be:

Emily Hunt, Project Manager  
City of Thornton  
9500 Civic Center Drive  
Thornton, CO 80229-0189  
720-977-6504  
[Emily.Hunt@thorntonco.gov](mailto:Emily.Hunt@thorntonco.gov)

## 9. LIMITATION OF AUTHORITIES

### 9.1 Grants Officer.

The Grants Officer is the only official with legal delegated authority to represent Reclamation. The Grants Officer's responsibilities include, but are not limited to, the following:

- (a) Formally obligate Reclamation to expend funds or change the funding level of the Agreement;
- (b) Approve through formal modification changes in the scope of work and/or budget;
- (c) Approve through formal modification any increase or decrease in the period of performance of the Agreement;
- (d) Approve through formal modification changes in any of the expressed terms, conditions, or specifications of the Agreement;
- (e) Be responsible for the overall administration, management, and other non-programmatic aspects of the Agreement including, but not limited to, interpretation of financial assistance statutes, regulations, circulars, policies, and terms of the Agreement; Where applicable, ensures that Reclamation complies with the administrative requirements required by statutes, regulations, circulars, policies, and terms of the Agreement.

### 9.2 Grants Management Specialist (GMS).

The Grants Management Specialist is the primary administrative point of contact for this agreement and should be contacted regarding issues related to the day-to-day management of the agreement. Requests for approval regarding the terms and conditions of the agreement, including but not limited to modifications and prior approval, may only be granted, in writing, by a Reclamation Grants Officer. Please note that for some agreements, the Grants Officer and the Grants Management Specialist may be the same individual.

## 10. REPORTING REQUIREMENTS AND DISTRIBUTION

**10.1 Noncompliance.** Failure to comply with the reporting requirements contained in this Agreement may be considered a material noncompliance with the terms and conditions of the award. Noncompliance may result in withholding of payments pending receipt of required reports, denying both the use of funds and matching credit for all or part of the cost of the activity or action not in compliance, whole or partial suspension or termination of the Agreement, recovery of funds paid under the Agreement, withholding of future awards, or other legal remedies in accordance with 2 CFR 200.338.

**10.2 Financial Reports.** Federal Financial Reports shall be submitted by means of the SF-425 and shall be submitted according to the Report Frequency and Distribution schedule below. All financial reports shall be signed by an Authorized Certifying Official for the Recipient's organization.

### 10.3 Monitoring and Reporting Program Performance (2 CFR 200.328).

- (a) Monitoring by the non-Federal entity. The non-Federal entity is responsible for oversight of the operations of the Federal award supported activities. The non-Federal entity must monitor its activities under Federal awards to assure compliance with applicable Federal requirements and performance expectations are being achieved. Monitoring by the non-Federal entity must cover each program, function or activity. See also 200.331 Requirements for pass-through entities.
- (b) Non-construction performance reports. The Federal awarding agency must use standard, OMB-approved data elements for collection of performance information (including performance progress reports, Research Performance Progress Report, or such future collections as may be approved by OMB and listed on the OMB Web site).
  - (1) The non-Federal entity must submit performance reports at the interval required by the Federal awarding agency or pass-through entity to best inform improvements in program outcomes and productivity. Intervals must be no less frequent than annually nor more frequent than quarterly except in unusual circumstances, for example where more frequent reporting is necessary for the effective monitoring of the Federal award or could significantly affect program outcomes. Annual reports must be due 90 calendar days after the reporting period; quarterly or semiannual reports must be due 30 calendar days after the reporting period. Alternatively, the Federal awarding agency or pass-through entity may require annual reports before the anniversary dates of multiple year Federal awards. The final performance report will be due 90 calendar days after the period of performance end date. If a justified request is submitted by a non-Federal entity, the Federal agency may extend the due date for any performance report.
  - (2) The non-Federal entity must submit performance reports using OMB-approved governmentwide standard information collections when providing performance information. As appropriate in accordance with above mentioned information collections, these reports will contain, for each Federal award, brief information on the following unless other collections are approved by OMB:
    - (i) A comparison of actual accomplishments to the objectives of the Federal award established for the period. Where the accomplishments of the Federal award can be quantified, a computation of the cost (for example, related to units of accomplishment) may be required if that information will be useful. Where performance trend data and analysis would be informative to the Federal awarding agency program, the Federal awarding agency should include this as a performance reporting requirement.
    - (ii) The reasons why established goals were not met, if appropriate.
    - (iii) Additional pertinent information including, when appropriate, analysis and explanation of cost overruns or high unit costs.

- (c) Construction performance reports. For the most part, onsite technical inspections and certified percentage of completion data are relied on heavily by Federal awarding agencies and pass-through entities to monitor progress under Federal awards and subawards for construction. The Federal awarding agency may require additional performance reports only when considered necessary.
- (d) Significant developments. Events may occur between the scheduled performance reporting dates that have significant impact upon the supported activity. In such cases, the non-Federal entity must inform the Federal awarding agency or pass-through entity as soon as the following types of conditions become known:
- (1) Problems, delays, or adverse conditions which will materially impair the ability to meet the objective of the Federal award. This disclosure must include a statement of the action taken, or contemplated, and any assistance needed to resolve the situation.
  - (2) Favorable developments which enable meeting time schedules and objectives sooner or at less cost than anticipated or producing more or different beneficial results than originally planned.

Reclamation requires Performance reporting for all financial assistance awards, both Construction and non-Construction. Performance reports for Construction agreements shall meet the same minimum requirements outlined in 2 CFR 200.328(b)(2) above.

**10.4 Report Frequency and Distribution.** The following table sets forth the reporting requirements for this Agreement. Please note the first report due date listed for each type of report.

Required Reports	Interim Reports	Final Report
<b>Performance Report</b>		
Format	No specific format required. See content requirements within Section 9.3 (2 CFR 200.328) above.	Summary of activities completed during the entire period of performance is required. See content requirements within Section 9.3 (2 CFR 200.328) above.
Reporting Frequency	Semi-Annual	Final Report due within 90 days after the end of the period of performance.
Reporting Period	October 1 through March 31 and April 1 through September 30.	Entire period of performance
Due Date	Within 30 days after the end of the Reporting Period.	Final Report due within 90 days after the end of the period of performance <b>or</b> completion of the project.

Required Reports	Interim Reports	Final Report
First Report Due Date	The first performance report is due for reporting period ending 03/31/2021.	N/A
Submit to:	<a href="mailto:sha-dro-faoperations@usbr.gov">sha-dro-faoperations@usbr.gov</a>	<a href="mailto:sha-dro-faoperations@usbr.gov">sha-dro-faoperations@usbr.gov</a>
Federal Financial Report		
Format	SF-425 (all sections must be completed)	SF-425(all sections must be completed)
Reporting Frequency	Semi-Annual	Final Report due within 90 days after the end of the period of performance.
Reporting Period	October 1 through March 31 and April 1 through September 30.	Entire period of performance
Due Date	Within 30 days after the end of the Reporting Period.	Final Report due within 90 days after the end of the period of performance <b>or</b> completion of project.
First Report Due Date	The first Federal financial report is due for reporting period ending 03/31/2021.	N/A
Submit to:	<a href="mailto:sha-dro-faoperations@usbr.gov">sha-dro-faoperations@usbr.gov</a>	<a href="mailto:sha-dro-faoperations@usbr.gov">sha-dro-faoperations@usbr.gov</a>

## 11. REGULATORY COMPLIANCE

The Recipient agrees to comply or assist Reclamation with all regulatory compliance requirements and all applicable state, Federal, and local environmental and cultural and paleontological resource protection laws and regulations as applicable to this project. These may include, but are not limited to, the National Environmental Policy Act (NEPA), including the Council on Environmental Quality and Department of the Interior regulations implementing NEPA, the Clean Water Act, the Endangered Species Act, consultation with potentially affected Tribes, and consultation with the State Historic Preservation Office. If the Recipient begins project activities that require environmental or other regulatory compliance approval prior to receipt of written notice from the Grants Officer that all such clearances have been obtained, then Reclamation reserves the right to initiate remedies for non-compliance as defined by 2 CFR 200.338 up to and including unilateral termination of this agreement.

## 12. AGRICULTURAL OPERATIONS [Public Law 111-11, Section 9504(a)(3)(B)]

The Recipient shall not use any associated water savings to increase the total irrigated acreage of the Recipient or otherwise increase the consumptive use of water in the operation of the Recipient, as determined pursuant to the law of the State in which the operation of Recipient is located.

**13. TITLE TO IMPROVEMENTS [Public Law 111-11, Section 9504(a)(3)(D)]**

If the activities funded under this Agreement result in an infrastructure improvement to a federally owned facility, the Federal Government shall continue to hold title to the facility and improvements to the facility.

**14. OPERATION AND MAINTENANCE COSTS [Public Law 111-11, Section 9504(a)(3)(E)(iv.)]**

The non-Federal share of the cost of operating and maintaining any infrastructure improvement funded through this Agreement shall be 100 percent.

**15. LIABILITY [Public Law 111-11, Section 9504(a)(3)(F)]**

(a) **IN GENERAL.**—Except as provided under chapter 171 of title 28, United States Code (commonly known as the “Federal Tort Claims Act”), the United States shall not be liable for monetary damages of any kind for any injury arising out of an act, omission, or occurrence that arises in relation to any facility created or improved under this Agreement, the title of which is not held by the United States.

(b) **TORT CLAIMS ACT.**—Nothing in this section increases the liability of the United States beyond that provided in chapter 171 of title 28, United States Code (commonly known as the “Federal Tort Claims Act”).

**16. AGENCY REVIEW OF PAYMENTS WITHIN AUTOMATED STANDARD APPLICATION FOR PAYMENTS (ASAP) SYSTEM**

Payment requests by the recipient through the ASAP system will require review and approval of the payment request by a Reclamation Grants Officer prior to disbursement. The Recipient must provide documentation of actual costs incurred (including any applicable cost-share) to the Grants Specialist prior to requesting drawdown of funds within the ASAP system to support the payment request.

This specific condition is imposed due to insufficient documentation to support the design and installation of the AMI fixed network. In order for this specific condition to be removed from this agreement, the Recipient must provide a request for removal of this term, in writing, to the Grants Officer. The request must include a description of the action(s) taken by the Recipient (and corresponding supporting documentation) to address the reason(s) identified above that led to the imposition of this specific condition. If the Grants Officer finds that the Recipient has fully addressed the reason(s) for the imposition of this specific condition, the Grants Officer will remove the term through formal bi-lateral modification of the agreement.

## II. RECLAMATION STANDARD TERMS AND CONDITIONS

### 1. REGULATIONS

The regulations at 2 CFR Subtitle A, Chapter II, Part 200 “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards”, are hereby incorporated by reference as though set forth in full text. Failure of a Recipient to comply with any applicable regulation or circular may be the basis for withholding payments for proper charges made by the Recipient and/or for termination of support.

### 2. PAYMENT

#### 2.1 Payment (2 CFR 200.305).

- (a) For states, payments are governed by Treasury-State CMIA agreements and default procedures codified at 31 CFR Part 205 “Rules and Procedures for Efficient Federal-State Funds Transfers” and TFM 4A-2000 Overall Disbursing Rules for All Federal Agencies.
- (b) For non-Federal entities other than states, payments methods must minimize the time elapsing between the transfer of funds from the United States Treasury or the pass-through entity and the disbursement by the non-Federal entity whether the payment is made by electronic funds transfer, or issuance or redemption of checks, warrants, or payment by other means. See also 200.302 Financial management paragraph (b)(6). Except as noted elsewhere in this part, Federal agencies must require recipients to use only OMB-approved standard governmentwide information collection requests to request payment.
  - (1) The non-Federal entity must be paid in advance, provided it maintains or demonstrates the willingness to maintain both written procedures that minimize the time elapsing between the transfer of funds and disbursement by the non-Federal entity, and financial management systems that meet the standards for fund control and accountability as established in this part. Advance payments to a non-Federal entity must be limited to the minimum amounts needed and be timed to be in accordance with the actual, immediate cash requirements of the non-Federal entity in carrying out the purpose of the approved program or project. The timing and amount of advance payments must be as close as is administratively feasible to the actual disbursements by the non-Federal entity for direct program or project costs and the proportionate share of any allowable indirect costs. The non-Federal entity must make timely payment to contractors in accordance with the contract provisions.
  - (2) Whenever possible, advance payments must be consolidated to cover anticipated cash needs for all Federal awards made by the Federal awarding agency to the recipient.

- (i) Advance payment mechanisms include, but are not limited to, Treasury check and electronic funds transfer and must comply with applicable guidance in 31 CFR part 208.
  - (ii) Non-Federal entities must be authorized to submit requests for advance payments and reimbursements at least monthly when electronic fund transfers are not used, and as often as they like when electronic transfers are used, in accordance with the provisions of the Electronic Fund Transfer Act (15 U.S.C. 1693-1693r).
- (3) Reimbursement is the preferred method when the requirements in paragraph (b) cannot be met, when the Federal awarding agency sets a specific condition per 200.207 Specific conditions, or when the non-Federal entity requests payment by reimbursement. This method may be used on any Federal award for construction, or if the major portion of the construction project is accomplished through private market financing or Federal loans, and the Federal award constitutes a minor portion of the project. When the reimbursement method is used, the Federal awarding agency or pass-through entity must make payment within 30 calendar days after receipt of the billing, unless the Federal awarding agency or pass-through entity reasonably believes the request to be improper.
- (4) If the non-Federal entity cannot meet the criteria for advance payments and the Federal awarding agency or pass-through entity has determined that reimbursement is not feasible because the non-Federal entity lacks sufficient working capital, the Federal awarding agency or pass-through entity may provide cash on a working capital advance basis. Under this procedure, the Federal awarding agency or pass-through entity must advance cash payments to the non-Federal entity to cover its estimated disbursement needs for an initial period generally geared to the non-Federal entity's disbursing cycle. Thereafter, the Federal awarding agency or pass-through entity must reimburse the non-Federal entity for its actual cash disbursements. Use of the working capital advance method of payment requires that the pass-through entity provide timely advance payments to any subrecipients in order to meet the subrecipient's actual cash disbursements. The working capital advance method of payment must not be used by the pass-through entity if the reason for using this method is the unwillingness or inability of the pass-through entity to provide timely advance payments to the subrecipient to meet the subrecipient's actual cash disbursements.
- (5) Use of resources before requesting cash advance payments. To the extent available, the non-Federal entity must disburse funds available from program income (including repayments to a revolving fund), rebates, refunds, contract settlements, audit recoveries, and interest earned on such funds before requesting additional cash payments.
- (6) Unless otherwise required by Federal statutes, payments for allowable costs by non-Federal entities must not be withheld at any time during the period of performance unless the conditions of 200.207 Specific conditions, Subpart D—Post Federal Award

Requirements of this part, 200.338 Remedies for Noncompliance, or one or more of the following applies:

- (i) The non-Federal entity has failed to comply with the project objectives, Federal statutes, regulations, or the terms and conditions of the Federal award.
  - (ii) The non-Federal entity is delinquent in a debt to the United States as defined in OMB Guidance A-129, "Policies for Federal Credit Programs and Non-Tax Receivables." Under such conditions, the Federal awarding agency or pass-through entity may, upon reasonable notice, inform the non-Federal entity that payments must not be made for obligations incurred after a specified date until the conditions are corrected or the indebtedness to the Federal Government is liquidated.
  - (iii) A payment withheld for failure to comply with Federal award conditions, but without suspension of the Federal award, must be released to the non-Federal entity upon subsequent compliance. When a Federal award is suspended, payment adjustments will be made in accordance with 200.342 Effects of suspension and termination.
  - (iv) A payment must not be made to a non-Federal entity for amounts that are withheld by the non-Federal entity from payment to contractors to assure satisfactory completion of work. A payment must be made when the non-Federal entity actually disburses the withheld funds to the contractors or to escrow accounts established to assure satisfactory completion of work.
- (7) Standards governing the use of banks and other institutions as depositories of advance payments under Federal awards are as follows.
- (i) The Federal awarding agency and pass-through entity must not require separate depository accounts for funds provided to a non-Federal entity or establish any eligibility requirements for depositories for funds provided to the non-Federal entity. However, the non-Federal entity must be able to account for the receipt, obligation and expenditure of funds.
  - (ii) Advance payments of Federal funds must be deposited and maintained in insured accounts whenever possible.
- (8) The non-Federal entity must maintain advance payments of Federal awards in interest-bearing accounts, unless the following apply.
- (i) The non-Federal entity receives less than \$120,000 in Federal awards per year.
  - (ii) The best reasonably available interest-bearing account would not be expected to earn interest in excess of \$500 per year on Federal cash balances.

- (iii) The depository would require an average or minimum balance so high that it would not be feasible within the expected Federal and non-Federal cash resources.
  - (iv) A foreign government or banking system prohibits or precludes interest bearing accounts.
- (9) Interest earned amounts up to \$500 per year may be retained by the non-Federal entity for administrative expense. Any additional interest earned on Federal advance payments deposited in interest-bearing accounts must be remitted annually to the Department of Health and Human Services Payment Management System (PMS) through an electronic medium using either Automated Clearing House (ACH) network or a Fedwire Funds Service payment. Remittances must include pertinent information of the payee and nature of payment in the memo area (often referred to as “addenda records” by Financial Institutions) as that will assist in the timely posting of interested earned on federal funds. Pertinent details include the Payee Account Number (PAN) if the payment originated from PMS, or Agency information if the payment originated from ASAP, NSF or another federal agency payment system. The remittance must be submitted as follows:
- (i) For ACH Returns:
    - Routing Number: 051036706
    - Account number: 303000
    - Bank Name and Location: Credit Gateway—ACH Receiver St. Paul, MN
  - (ii) For Fedwire Returns\*:
    - Routing Number: 021030004
    - Account number: 75010501
    - Bank Name and Location: Federal Reserve Bank Treas NYC/Funds Transfer Division New York, NY
    - (\* Please note organization initiating payment is likely to incur a charge from your Financial Institution for this type of payment)
  - (iii) For International ACH Returns:
    - Beneficiary Account: Federal Reserve Bank of New York/ITS (FRBNY/ITS)
    - Bank: Citibank N.A. (New York)
    - Swift Code: CITIUS33
    - Account Number: 36838868
    - Bank Address: 388 Greenwich Street, New York, NY 10013 USA
    - Payment Details (Line 70): Agency
    - Name (abbreviated when possible) and ALC Agency POC: Michelle Haney, (301) 492-5065

- (iv) For recipients that do not have electronic remittance capability, please make check\*\* payable to: “The Department of Health and Human Services.”  
Mail Check to Treasury approved lockbox:  
HHS Program Support Center, P.O. Box 530231, Atlanta, GA 30353-0231  
(\* Please allow 4-6 weeks for processing of a payment by check to be applied to the appropriate PMS account)
- (v) Any additional information/instructions may be found on the PMS Web site at <http://www.dpm.psc.gov/>.

## **2.2 Payment Method.**

Recipients must utilize the Department of Treasury Automated Standard Application for Payments (ASAP) payment system to request advance or reimbursement payments. ASAP is a Recipient-initiated payment and information system designed to provide a single point of contact for the request and delivery of Federal funds. ASAP is the only allowable method for request and receipt of payment. Recipient procedures must minimize the time elapsing between the drawdown of Federal funds and the disbursement for agreement purposes.

In accordance with 2 CFR 25.200(b)(2) the Recipient shall “Maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by an agency”. If the Recipient allows their SAM registration to lapse, the Recipient’s accounts within ASAP will be automatically suspended by Reclamation until such time as the Recipient renews their SAM registration.

## **3. PROCUREMENT STANDARDS (2 CFR 200.317 through 200.326)**

### **200.317 Procurements by States.**

When procuring property and services under a Federal award, a state must follow the same policies and procedures it uses for procurements from its non-Federal funds. The state will comply with 200.322 Procurement of recovered materials and ensure that every purchase order or other contract includes any clauses required by section 200.326 Contract provisions. All other non-Federal entities, including subrecipients of a state, will follow 200.318 General procurement standards through 200.326 Contract provisions.

### **200.318 General procurement standards.**

- (a) The non-Federal entity must use its own documented procurement procedures which reflect applicable State, local, and tribal laws and regulations, provided that the procurements conform to applicable Federal law and the standards identified in this part.
- (b) Non-Federal entities must maintain oversight to ensure that contractors perform in accordance with the terms, conditions, and specifications of their contracts or purchase orders.

- (c)
- (1) The non-Federal entity must maintain written standards of conduct covering conflicts of interest and governing the actions of its employees engaged in the selection, award and administration of contracts. No employee, officer, or agent may participate in the selection, award, or administration of a contract supported by a Federal award if he or she has a real or apparent conflict of interest. Such a conflict of interest would arise when the employee, officer, or agent, any member of his or her immediate family, his or her partner, or an organization which employs or is about to employ any of the parties indicated herein, has a financial or other interest in or a tangible personal benefit from a firm considered for a contract. The officers, employees, and agents of the non-Federal entity may neither solicit nor accept gratuities, favors, or anything of monetary value from contractors or parties to subcontracts. However, non-Federal entities may set standards for situations in which the financial interest is not substantial or the gift is an unsolicited item of nominal value. The standards of conduct must provide for disciplinary actions to be applied for violations of such standards by officers, employees, or agents of the non-Federal entity.
  - (2) If the non-Federal entity has a parent, affiliate, or subsidiary organization that is not a state, local government, or Indian tribe, the non-Federal entity must also maintain written standards of conduct covering organizational conflicts of interest. Organizational conflicts of interest means that because of relationships with a parent company, affiliate, or subsidiary organization, the non-Federal entity is unable or appears to be unable to be impartial in conducting a procurement action involving a related organization.
- (d) The non-Federal entity's procedures must avoid acquisition of unnecessary or duplicative items. Consideration should be given to consolidating or breaking out procurements to obtain a more economical purchase. Where appropriate, an analysis will be made of lease versus purchase alternatives, and any other appropriate analysis to determine the most economical approach.
- (e) To foster greater economy and efficiency, and in accordance with efforts to promote cost-effective use of shared services across the Federal Government, the non-Federal entity is encouraged to enter into state and local intergovernmental agreements or inter-entity agreements where appropriate for procurement or use of common or shared goods and services.
- (f) The non-Federal entity is encouraged to use Federal excess and surplus property in lieu of purchasing new equipment and property whenever such use is feasible and reduces project costs.
- (g) The non-Federal entity is encouraged to use value engineering clauses in contracts for construction projects of sufficient size to offer reasonable opportunities for cost reductions. Value engineering is a systematic and creative analysis of each contract item or task to ensure that its essential function is provided at the overall lower cost.

- (h) The non-Federal entity must award contracts only to responsible contractors possessing the ability to perform successfully under the terms and conditions of a proposed procurement. Consideration will be given to such matters as contractor integrity, compliance with public policy, record of past performance, and financial and technical resources. See also 200.212 Suspension and debarment.
- (i) The non-Federal entity must maintain records sufficient to detail the history of procurement. These records will include, but are not necessarily limited to the following: rationale for the method of procurement, selection of contract type, contractor selection or rejection, and the basis for the contract price.
- (j)
  - (1) The non-Federal entity may use a time and materials type contract only after a determination that no other contract is suitable and if the contract includes a ceiling price that the contractor exceeds at its own risk. Time and materials type contract means a contract whose cost to a non-Federal entity is the sum of:
    - (i) The actual cost of materials; and
    - (ii) Direct labor hours charged at fixed hourly rates that reflect wages, general and administrative expenses, and profit.
  - (2) Since this formula generates an open-ended contract price, a time-and-materials contract provides no positive profit incentive to the contractor for cost control or labor efficiency. Therefore, each contract must set a ceiling price that the contractor exceeds at its own risk. Further, the non-Federal entity awarding such a contract must assert a high degree of oversight in order to obtain reasonable assurance that the contractor is using efficient methods and effective cost controls.
- (k) The non-Federal entity alone must be responsible, in accordance with good administrative practice and sound business judgment, for the settlement of all contractual and administrative issues arising out of procurements. These issues include, but are not limited to, source evaluation, protests, disputes, and claims. These standards do not relieve the non-Federal entity of any contractual responsibilities under its contracts. The Federal awarding agency will not substitute its judgment for that of the non-Federal entity unless the matter is primarily a Federal concern. Violations of law will be referred to the local, state, or Federal authority having proper jurisdiction.

### **200.319 Competition.**

- (a) All procurement transactions must be conducted in a manner providing full and open competition consistent with the standards of this section. In order to ensure objective contractor performance and eliminate unfair competitive advantage, contractors that develop or draft specifications, requirements, statements of work, or invitations for bids

or requests for proposals must be excluded from competing for such procurements. Some of the situations considered to be restrictive of competition include but are not limited to:

- (1) Placing unreasonable requirements on firms in order for them to qualify to do business;
  - (2) Requiring unnecessary experience and excessive bonding;
  - (3) Noncompetitive pricing practices between firms or between affiliated companies;
  - (4) Noncompetitive contracts to consultants that are on retainer contracts;
  - (5) Organizational conflicts of interest;
  - (6) Specifying only a “brand name” product instead of allowing “an equal” product to be offered and describing the performance or other relevant requirements of the procurement; and
  - (7) Any arbitrary action in the procurement process.
- (b) The non-Federal entity must conduct procurements in a manner that prohibits the use of statutorily or administratively imposed state, local, or tribal geographical preferences in the evaluation of bids or proposals, except in those cases where applicable Federal statutes expressly mandate or encourage geographic preference. Nothing in this section preempts state licensing laws. When contracting for architectural and engineering (A/E) services, geographic location may be a selection criterion provided its application leaves an appropriate number of qualified firms, given the nature and size of the project, to compete for the contract.
- (c) The non-Federal entity must have written procedures for procurement transactions. These procedures must ensure that all solicitations:
- (1) Incorporate a clear and accurate description of the technical requirements for the material, product, or service to be procured. Such description must not, in competitive procurements, contain features which unduly restrict competition. The description may include a statement of the qualitative nature of the material, product or service to be procured and, when necessary, must set forth those minimum essential characteristics and standards to which it must conform if it is to satisfy its intended use. Detailed product specifications should be avoided if at all possible. When it is impractical or uneconomical to make a clear and accurate description of the technical requirements, a “brand name or equivalent” description may be used as a means to define the performance or other salient requirements of procurement. The specific features of the named brand which must be met by offers must be clearly stated; and
  - (2) Identify all requirements which the offerors must fulfill and all other factors to be used in evaluating bids or proposals.

- (d) The non-Federal entity must ensure that all prequalified lists of persons, firms, or products which are used in acquiring goods and services are current and include enough qualified sources to ensure maximum open and free competition. Also, the non-Federal entity must not preclude potential bidders from qualifying during the solicitation period.

[78 FR 78608, Dec. 26, 2013, as amended at 79 FR 75885, Dec. 19, 2014]

### **200.320 Methods of procurement to be followed.**

The non-Federal entity must use one of the following methods of procurement.

- (a) Procurement by micro-purchases. Procurement by micro-purchase is the acquisition of supplies or services, the aggregate dollar amount of which does not exceed the micro-purchase threshold (200.67 Micro-purchase). To the extent practicable, the non-Federal entity must distribute micro-purchases equitably among qualified suppliers. Micro-purchases may be awarded without soliciting competitive quotations if the non-Federal entity considers the price to be reasonable.
- (b) Procurement by small purchase procedures. Small purchase procedures are those relatively simple and informal procurement methods for securing services, supplies, or other property that do not cost more than the Simplified Acquisition Threshold. If small purchase procedures are used, price or rate quotations must be obtained from an adequate number of qualified sources.
- (c) Procurement by sealed bids (formal advertising). Bids are publicly solicited and a firm fixed price contract (lump sum or unit price) is awarded to the responsible bidder whose bid, conforming with all the material terms and conditions of the invitation for bids, is the lowest in price. The sealed bid method is the preferred method for procuring construction, if the conditions in paragraph (c)(1) of this section apply.

(1) In order for sealed bidding to be feasible, the following conditions should be present:

- (i) A complete, adequate, and realistic specification or purchase description is available;
- (ii) Two or more responsible bidders are willing and able to compete effectively for the business; and
- (iii) The procurement lends itself to a firm fixed price contract and the selection of the successful bidder can be made principally on the basis of price.

(2) If sealed bids are used, the following requirements apply:

- (i) Bids must be solicited from an adequate number of known suppliers, providing them sufficient response time prior to the date set for opening the bids, for state,

local, and tribal governments, the invitation for bids must be publically advertised;

- (ii) The invitation for bids, which will include any specifications and pertinent attachments, must define the items or services in order for the bidder to properly respond;
  - (iii) All bids will be opened at the time and place prescribed in the invitation for bids, and for local and tribal governments, the bids must be opened publicly;
  - (iv) A firm fixed price contract award will be made in writing to the lowest responsive and responsible bidder. Where specified in bidding documents, factors such as discounts, transportation cost, and life cycle costs must be considered in determining which bid is lowest. Payment discounts will only be used to determine the low bid when prior experience indicates that such discounts are usually taken advantage of; and
  - (v) Any or all bids may be rejected if there is a sound documented reason.
- (d) Procurement by competitive proposals. The technique of competitive proposals is normally conducted with more than one source submitting an offer, and either a fixed price or cost-reimbursement type contract is awarded. It is generally used when conditions are not appropriate for the use of sealed bids. If this method is used, the following requirements apply:
- (1) Requests for proposals must be publicized and identify all evaluation factors and their relative importance. Any response to publicized requests for proposals must be considered to the maximum extent practical;
  - (2) Proposals must be solicited from an adequate number of qualified sources;
  - (3) The non-Federal entity must have a written method for conducting technical evaluations of the proposals received and for selecting recipients;
  - (4) Contracts must be awarded to the responsible firm whose proposal is most advantageous to the program, with price and other factors considered; and
  - (5) The non-Federal entity may use competitive proposal procedures for qualifications-based procurement of architectural/engineering (A/E) professional services whereby competitors' qualifications are evaluated and the most qualified competitor is selected, subject to negotiation of fair and reasonable compensation. The method, where price is not used as a selection factor, can only be used in procurement of A/E professional services. It cannot be used to purchase other types of services though A/E firms are a potential source to perform the proposed effort.
- (e) [Reserved]

(f) Procurement by noncompetitive proposals. Procurement by noncompetitive proposals is procurement through solicitation of a proposal from only one source and may be used only when one or more of the following circumstances apply:

- (1) The item is available only from a single source;
- (2) The public exigency or emergency for the requirement will not permit a delay resulting from competitive solicitation;
- (3) The Federal awarding agency or pass-through entity expressly authorizes noncompetitive proposals in response to a written request from the non-Federal entity; or
- (4) After solicitation of a number of sources, competition is determined inadequate.

[78 FR 78608, Dec. 26, 2013, as amended at 79 FR 75885, Dec. 19, 2014]

**200.321 Contracting with small and minority businesses, women's business enterprises, and labor surplus area firms.**

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

**200.322 Procurement of recovered materials.**

A non-Federal entity that is a state agency or agency of a political subdivision of a state and its contractors must comply with section 6002 of the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act. The requirements of Section 6002 include procuring only items designated in guidelines of the Environmental Protection Agency (EPA) at 40 CFR part 247 that contain the highest percentage of recovered materials practicable, consistent with maintaining a satisfactory level of competition, where the purchase price of the item exceeds \$10,000 or the value of the quantity acquired during the preceding fiscal year exceeded \$10,000; procuring solid waste management services in a manner that maximizes energy and resource recovery; and establishing an affirmative procurement program for procurement of recovered materials identified in the EPA guidelines.

[78 FR 78608, Dec. 26, 2013, as amended at 79 FR 75885, Dec. 19, 2014]

**200.323 Contract cost and price.**

- (a) The non-Federal entity must perform a cost or price analysis in connection with every procurement action in excess of the Simplified Acquisition Threshold including contract modifications. The method and degree of analysis is dependent on the facts surrounding the particular procurement situation, but as a starting point, the non-Federal entity must make independent estimates before receiving bids or proposals.
- (b) The non-Federal entity must negotiate profit as a separate element of the price for each contract in which there is no price competition and in all cases where cost analysis is performed. To establish a fair and reasonable profit, consideration must be given to the complexity of the work to be performed, the risk borne by the contractor, the contractor's investment, the amount of subcontracting, the quality of its record of past performance, and industry profit rates in the surrounding geographical area for similar work.
- (c) Costs or prices based on estimated costs for contracts under the Federal award are allowable only to the extent that costs incurred or cost estimates included in negotiated prices would be allowable for the non-Federal entity under Subpart E—Cost Principles of this part. The non-Federal entity may reference its own cost principles that comply with the Federal cost principles.
- (d) The cost plus a percentage of cost and percentage of construction cost methods of contracting must not be used.

**200.324 Federal awarding agency or pass-through entity review.**

- (a) The non-Federal entity must make available, upon request of the Federal awarding agency or pass-through entity, technical specifications on proposed procurements where the Federal awarding agency or pass-through entity believes such review is needed to ensure that the item or service specified is the one being proposed for acquisition. This review

generally will take place prior to the time the specification is incorporated into a solicitation document. However, if the non-Federal entity desires to have the review accomplished after a solicitation has been developed, the Federal awarding agency or pass-through entity may still review the specifications, with such review usually limited to the technical aspects of the proposed purchase.

- (b) The non-Federal entity must make available upon request, for the Federal awarding agency or pass-through entity pre-procurement review, procurement documents, such as requests for proposals or invitations for bids, or independent cost estimates, when:
- (1) The non-Federal entity's procurement procedures or operation fails to comply with the procurement standards in this part;
  - (2) The procurement is expected to exceed the Simplified Acquisition Threshold and is to be awarded without competition or only one bid or offer is received in response to a solicitation;
  - (3) The procurement, which is expected to exceed the Simplified Acquisition Threshold, specifies a "brand name" product;
  - (4) The proposed contract is more than the Simplified Acquisition Threshold and is to be awarded to other than the apparent low bidder under a sealed bid procurement; or
  - (5) A proposed contract modification changes the scope of a contract or increases the contract amount by more than the Simplified Acquisition Threshold.
- (c) The non-Federal entity is exempt from the pre-procurement review in paragraph (b) of this section if the Federal awarding agency or pass-through entity determines that its procurement systems comply with the standards of this part.
- (1) The non-Federal entity may request that its procurement system be reviewed by the Federal awarding agency or pass-through entity to determine whether its system meets these standards in order for its system to be certified. Generally, these reviews must occur where there is continuous high-dollar funding, and third-party contracts are awarded on a regular basis;
  - (2) The non-Federal entity may self-certify its procurement system. Such self-certification must not limit the Federal awarding agency's right to survey the system. Under a self-certification procedure, the Federal awarding agency may rely on written assurances from the non-Federal entity that it is complying with these standards. The non-Federal entity must cite specific policies, procedures, regulations, or standards as being in compliance with these requirements and have its system available for review.

**200.325 Bonding requirements.**

For construction or facility improvement contracts or subcontracts exceeding the Simplified Acquisition Threshold, the Federal awarding agency or pass-through entity may accept the bonding policy and requirements of the non-Federal entity provided that the Federal awarding agency or pass-through entity has made a determination that the Federal interest is adequately protected. If such a determination has not been made, the minimum requirements must be as follows:

- (a) A bid guarantee from each bidder equivalent to five percent of the bid price. The “bid guarantee” must consist of a firm commitment such as a bid bond, certified check, or other negotiable instrument accompanying a bid as assurance that the bidder will, upon acceptance of the bid, execute such contractual documents as may be required within the time specified.
- (b) A performance bond on the part of the contractor for 100 percent of the contract price. A “performance bond” is one executed in connection with a contract to secure fulfillment of all the contractor's obligations under such contract.
- (c) A payment bond on the part of the contractor for 100 percent of the contract price. A “payment bond” is one executed in connection with a contract to assure payment as required by law of all persons supplying labor and material in the execution of the work provided for in the contract.

**200.326 Contract provisions.**

The non-Federal entity's contracts must contain the applicable provisions described in Appendix II to Part 200—Contract Provisions for non-Federal Entity Contracts Under Federal Awards.

**4. EQUIPMENT (2 CFR 200.313)**

See also 200.439 Equipment and other capital expenditures.

- (a) Title. Subject to the obligations and conditions set forth in this section, title to equipment acquired under a Federal award will vest upon acquisition in the non-Federal entity. Unless a statute specifically authorizes the Federal agency to vest title in the non-Federal entity without further obligation to the Federal Government, and the Federal agency elects to do so, the title must be a conditional title. Title must vest in the non-Federal entity subject to the following conditions:
  - (1) Use the equipment for the authorized purposes of the project during the period of performance, or until the property is no longer needed for the purposes of the project.
  - (2) Not encumber the property without approval of the Federal awarding agency or pass-through entity.

(3) Use and dispose of the property in accordance with paragraphs (b), (c) and (e) of this section.

(b) A state must use, manage and dispose of equipment acquired under a Federal award by the state in accordance with state laws and procedures. Other non-Federal entities must follow paragraphs (c) through (e) of this section.

(c) Use.

(1) Equipment must be used by the non-Federal entity in the program or project for which it was acquired as long as needed, whether or not the project or program continues to be supported by the Federal award, and the non-Federal entity must not encumber the property without prior approval of the Federal awarding agency. When no longer needed for the original program or project, the equipment may be used in other activities supported by the Federal awarding agency, in the following order of priority:

(i) Activities under a Federal award from the Federal awarding agency which funded the original program or project, then

(ii) Activities under Federal awards from other Federal awarding agencies. This includes consolidated equipment for information technology systems.

(2) During the time that equipment is used on the project or program for which it was acquired, the non-Federal entity must also make equipment available for use on other projects or programs currently or previously supported by the Federal Government, provided that such use will not interfere with the work on the projects or program for which it was originally acquired. First preference for other use must be given to other programs or projects supported by Federal awarding agency that financed the equipment and second preference must be given to programs or projects under Federal awards from other Federal awarding agencies. Use for non-federally-funded programs or projects is also permissible. User fees should be considered if appropriate.

(3) Notwithstanding the encouragement in 200.307 Program income to earn program income, the non-Federal entity must not use equipment acquired with the Federal award to provide services for a fee that is less than private companies charge for equivalent services unless specifically authorized by Federal statute for as long as the Federal Government retains an interest in the equipment.

(4) When acquiring replacement equipment, the non-Federal entity may use the equipment to be replaced as a trade-in or sell the property and use the proceeds to offset the cost of the replacement property.

- (d) Management requirements. Procedures for managing equipment (including replacement equipment), whether acquired in whole or in part under a Federal award, until disposition takes place will, as a minimum, meet the following requirements:
- (1) Property records must be maintained that include a description of the property, a serial number or other identification number, the source of funding for the property (including the FAIN), who holds title, the acquisition date, and cost of the property, percentage of Federal participation in the project costs for the Federal award under which the property was acquired, the location, use and condition of the property, and any ultimate disposition data including the date of disposal and sale price of the property.
  - (2) A physical inventory of the property must be taken and the results reconciled with the property records at least once every two years.
  - (3) A control system must be developed to ensure adequate safeguards to prevent loss, damage, or theft of the property. Any loss, damage, or theft must be investigated.
  - (4) Adequate maintenance procedures must be developed to keep the property in good condition.
  - (5) If the non-Federal entity is authorized or required to sell the property, proper sales procedures must be established to ensure the highest possible return.
- (e) Disposition. When original or replacement equipment acquired under a Federal award is no longer needed for the original project or program or for other activities currently or previously supported by a Federal awarding agency, except as otherwise provided in Federal statutes, regulations, or Federal awarding agency disposition instructions, the non-Federal entity must request disposition instructions from the Federal awarding agency if required by the terms and conditions of the Federal award. Disposition of the equipment will be made as follows, in accordance with Federal awarding agency disposition instructions:
- (1) Items of equipment with a current per unit fair market value of \$5,000 or less may be retained, sold or otherwise disposed of with no further obligation to the Federal awarding agency.
  - (2) Except as provided in 200.312 Federally-owned and exempt property, paragraph (b), or if the Federal awarding agency fails to provide requested disposition instructions within 120 days, items of equipment with a current per-unit fair-market value in excess of \$5,000 may be retained by the non-Federal entity or sold. The Federal awarding agency is entitled to an amount calculated by multiplying the current market value or proceeds from sale by the Federal awarding agency's percentage of participation in the cost of the original purchase. If the equipment is sold, the Federal awarding agency may permit the non-Federal entity to deduct and retain from the

Federal share \$500 or ten percent of the proceeds, whichever is less, for its selling and handling expenses.

- (3) The non-Federal entity may transfer title to the property to the Federal Government or to an eligible third party provided that, in such cases, the non-Federal entity must be entitled to compensation for its attributable percentage of the current fair market value of the property.
- (4) In cases where a non-Federal entity fails to take appropriate disposition actions, the Federal awarding agency may direct the non-Federal entity to take disposition actions.

[78 FR 78608, Dec. 26, 2013, as amended at 79 FR 75884, Dec. 19, 2014]

## **5. SUPPLIES (2 CFR 200.314)**

See also 200.453 Materials and supplies costs, including costs of computing devices.

- (a) Title to supplies will vest in the non-Federal entity upon acquisition. If there is a residual inventory of unused supplies exceeding \$5,000 in total aggregate value upon termination or completion of the project or program and the supplies are not needed for any other Federal award, the non-Federal entity must retain the supplies for use on other activities or sell them, but must, in either case, compensate the Federal Government for its share. The amount of compensation must be computed in the same manner as for equipment. See 200.313 Equipment, paragraph (e)(2) for the calculation methodology.
- (b) As long as the Federal Government retains an interest in the supplies, the non-Federal entity must not use supplies acquired under a Federal award to provide services to other organizations for a fee that is less than private companies charge for equivalent services, unless specifically authorized by Federal statute.

## **6. INSPECTION**

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

## **7. AUDIT REQUIREMENTS (2 CFR 200.501)**

- (a) Audit required. A non-Federal entity that expends \$750,000 or more during the non-Federal entity's fiscal year in Federal awards must have a single or program-specific audit conducted for that year in accordance with the provisions of this part.

- (b) Single audit. A non-Federal entity that expends \$750,000 or more during the non-Federal entity's fiscal year in Federal awards must have a single audit conducted in accordance with 200.514 Scope of audit except when it elects to have a program-specific audit conducted in accordance with paragraph (c) of this section.
- (c) Program-specific audit election. When an auditee expends Federal awards under only one Federal program (excluding R&D) and the Federal program's statutes, regulations, or the terms and conditions of the Federal award do not require a financial statement audit of the auditee, the auditee may elect to have a program-specific audit conducted in accordance with 200.507 Program-specific audits. A program-specific audit may not be elected for R&D unless all of the Federal awards expended were received from the same Federal agency, or the same Federal agency and the same pass-through entity, and that Federal agency, or pass-through entity in the case of a subrecipient, approves in advance a program-specific audit.
- (d) Exemption when Federal awards expended are less than \$750,000. A non-Federal entity that expends less than \$750,000 during the non-Federal entity's fiscal year in Federal awards is exempt from Federal audit requirements for that year, except as noted in 200.503 Relation to other audit requirements, but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO).
- (e) Federally Funded Research and Development Centers (FFRDC). Management of an auditee that owns or operates a FFRDC may elect to treat the FFRDC as a separate entity for purposes of this part.
- (f) Subrecipients and Contractors. An auditee may simultaneously be a recipient, a subrecipient, and a contractor. Federal awards expended as a recipient or a subrecipient are subject to audit under this part. The payments received for goods or services provided as a contractor are not Federal awards. Section 200.330 Subrecipient and contractor determinations sets forth the considerations in determining whether payments constitute a Federal award or a payment for goods or services provided as a contractor.
- (g) Compliance responsibility for contractors. In most cases, the auditee's compliance responsibility for contractors is only to ensure that the procurement, receipt, and payment for goods and services comply with Federal statutes, regulations, and the terms and conditions of Federal awards. Federal award compliance requirements normally do not pass through to contractors. However, the auditee is responsible for ensuring compliance for procurement transactions which are structured such that the contractor is responsible for program compliance or the contractor's records must be reviewed to determine program compliance. Also, when these procurement transactions relate to a major program, the scope of the audit must include determining whether these transactions are in compliance with Federal statutes, regulations, and the terms and conditions of Federal awards.

- (h) For-profit subrecipient. Since this part does not apply to for-profit subrecipients, the pass-through entity is responsible for establishing requirements, as necessary, to ensure compliance by for-profit subrecipients. The agreement with the for-profit subrecipient must describe applicable compliance requirements and the for-profit subrecipient's compliance responsibility. Methods to ensure compliance for Federal awards made to for-profit subrecipients may include pre-award audits, monitoring during the agreement, and post-award audits. See also 200.331 Requirements for pass-through entities.

[78 FR 78608, Dec. 26, 2013, as amended at 79 FR 75887, Dec. 19, 2014]

## **8. REMEDIES FOR NONCOMPLIANCE (2 CFR 200.338)**

### **200.338 Remedies for noncompliance.**

If a non-Federal entity fails to comply with Federal statutes, regulations or the terms and conditions of a Federal award, the Federal awarding agency or pass-through entity may impose additional conditions, as described in 200.207 Specific conditions. If the Federal awarding agency or pass-through entity determines that noncompliance cannot be remedied by imposing additional conditions, the Federal awarding agency or pass-through entity may take one or more of the following actions, as appropriate in the circumstances:

- (a) Temporarily withhold cash payments pending correction of the deficiency by the non-Federal entity or more severe enforcement action by the Federal awarding agency or pass-through entity.
- (b) Disallow (that is, deny both use of funds and any applicable matching credit for) all or part of the cost of the activity or action not in compliance.
- (c) Wholly or partly suspend or terminate the Federal award.
- (d) Initiate suspension or debarment proceedings as authorized under 2 CFR part 180 and Federal awarding agency regulations (or in the case of a pass-through entity, recommend such a proceeding be initiated by a Federal awarding agency).
- (e) Withhold further Federal awards for the project or program.
- (f) Take other remedies that may be legally available.

## **9. TERMINATION (2 CFR 200.339)**

- (a) The Federal award may be terminated in whole or in part as follows:
- (1) By the Federal awarding agency or pass-through entity, if a non-Federal entity fails to comply with the terms and conditions of a Federal award;
  - (2) By the Federal awarding agency or pass-through entity for cause;

- (3) By the Federal awarding agency or pass-through entity with the consent of the non-Federal entity, in which case the two parties must agree upon the termination conditions, including the effective date and, in the case of partial termination, the portion to be terminated; or
  - (4) By the non-Federal entity upon sending to the Federal awarding agency or pass-through entity written notification setting forth the reasons for such termination, the effective date, and, in the case of partial termination, the portion to be terminated. However, if the Federal awarding agency or pass-through entity determines in the case of partial termination that the reduced or modified portion of the Federal award or subaward will not accomplish the purposes for which the Federal award was made, the Federal awarding agency or pass-through entity may terminate the Federal award in its entirety.
- (b) When a Federal award is terminated or partially terminated, both the Federal awarding agency or pass-through entity and the non-Federal entity remain responsible for compliance with the requirements in 200.343 Closeout and 200.344 Post-closeout adjustments and continuing responsibilities.

## **10. DEBARMENT AND SUSPENSION (2 CFR 1400)**

The Department of the Interior regulations at 2 CFR 1400—Governmentwide Debarment and Suspension (Nonprocurement), which adopt the common rule for the governmentwide system of debarment and suspension for nonprocurement activities, are hereby incorporated by reference and made a part of this Agreement. By entering into this grant or cooperative Agreement with the Bureau of Reclamation, the Recipient agrees to comply with 2 CFR 1400, Subpart C, and agrees to include a similar term or condition in all lower-tier covered transactions. These regulations are available at <http://www.gpoaccess.gov/ecfr/>.

## **11. DRUG-FREE WORKPLACE (2 CFR 182 and 1401)**

The Department of the Interior regulations at 2 CFR 1401—Governmentwide Requirements for Drug-Free Workplace (Financial Assistance), which adopt the portion of the Drug-Free Workplace Act of 1988 (41 U.S.C. 701 et seq, as amended) applicable to grants and cooperative agreements, are hereby incorporated by reference and made a part of this agreement. By entering into this grant or cooperative agreement with the Bureau of Reclamation, the Recipient agrees to comply with 2 CFR 182.

## **12. ASSURANCES AND CERTIFICATIONS INCORPORATED BY REFERENCE**

The provisions of the Assurances, SF 424B or SF 424D as applicable, executed by the Recipient in connection with this Agreement shall apply with full force and effect to this Agreement. All anti-discrimination and equal opportunity statutes, regulations, and Executive Orders that apply to the expenditure of funds under Federal contracts, grants, and cooperative Agreements, loans, and other forms of Federal assistance. The Recipient shall comply with Title VI or the Civil

Rights Act of 1964, Title IX of the Education Amendments of 1972, Section 504 of the Rehabilitation Act of 1973, the Age Discrimination Act of 1975, and any program-specific statutes with anti-discrimination requirements. The Recipient shall comply with civil rights laws including, but not limited to, the Fair Housing Act, the Fair Credit Reporting Act, the Americans with Disabilities Act, Title VII of the Civil Rights Act of 1964, the Equal Educational Opportunities Act, the Age Discrimination in Employment Act, and the Uniform Relocation Act.

Such Assurances also include, but are not limited to, the promise to comply with all applicable Federal statutes and orders relating to nondiscrimination in employment, assistance, and housing; the Hatch Act; Federal wage and hour laws and regulations and work place safety standards; Federal environmental laws and regulations and the Endangered Species Act; and Federal protection of rivers and waterways and historic and archeological preservation.

### **13. COVENANT AGAINST CONTINGENT FEES**

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

### **14. TRAFFICKING VICTIMS PROTECTION ACT OF 2000 (2 CFR 175.15)**

Trafficking in persons.

(a) *Provisions applicable to a recipient that is a private entity.*

- (1) You as the recipient, your employees, subrecipients under this award, and subrecipients' employees may not
  - (i) Engage in severe forms of trafficking in persons during the period of time that the award is in effect;
  - (ii) Procure a commercial sex act during the period of time that the award is in effect;  
or
  - (iii) Use forced labor in the performance of the award or subawards under the award.
- (2) We as the Federal awarding agency may unilaterally terminate this award, without penalty, if you or a subrecipient that is a private entity —
  - (i) Is determined to have violated a prohibition in paragraph a.1 of this award term; or

- (ii) Has an employee who is determined by the agency official authorized to terminate the award to have violated a prohibition in paragraph a.1 of this award term through conduct that is either:
  - (A) Associated with performance under this award; or
  - (B) Imputed to you or the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, “OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),” as implemented by our agency at 2 *CFR part 1400*.
- (b) *Provision applicable to a recipient other than a private entity.* We as the Federal awarding agency may unilaterally terminate this award, without penalty, if a subrecipient that is a private entity—
  - (1) Is determined to have violated an applicable prohibition in paragraph a.1 of this award term; or
  - (2) Has an employee who is determined by the agency official authorized to terminate the award to have violated an applicable prohibition in paragraph a.1 of this award term through conduct that is either:
    - (i) Associated with performance under this award; or
    - (ii) Imputed to the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, “OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),” as implemented by our agency at 2 *CFR part 1400*.
- (c) *Provisions applicable to any recipient.*
  - (1) You must inform us immediately of any information you receive from any source alleging a violation of a prohibition in paragraph a.1 of this award term.
  - (2) Our right to terminate unilaterally that is described in paragraph a.2 or b of this section:
    - (i) Implements section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA), as amended (22 U.S.C. 7104(g)), and
    - (ii) Is in addition to all other remedies for noncompliance that are available to us under this award.
  - (3) You must include the requirements of paragraph a.1 of this award term in any subaward you make to a private entity.

(d) *Definitions.* For purposes of this award term:

(1) “Employee” means either:

- (i) An individual employed by you or a subrecipient who is engaged in the performance of the project or program under this award; or
- (ii) Another person engaged in the performance of the project or program under this award and not compensated by you including, but not limited to, a volunteer or individual whose services are contributed by a third party as an in-kind contribution toward cost sharing or matching requirements.

(2) “Forced labor” means labor obtained by any of the following methods: the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.

(3) “Private entity”:

(i) Means any entity other than a state, local government, Indian tribe, or foreign public entity, as those terms are defined in 2 CFR 175.25.

(ii) Includes:

(A) A nonprofit organization, including any nonprofit institution of higher education, hospital, or tribal organization other than one included in the definition of Indian tribe at 2 CFR 175.25(b).

(B) A for-profit organization.

(4) “Severe forms of trafficking in persons,” “commercial sex act,” and “coercion” have the meanings given at section 103 of the TVPA, as amended (22 U.S.C. 7102).

## **15. NEW RESTRICTIONS ON LOBBYING (43 CFR 18)**

The Recipient agrees to comply with 43 CFR 18, New Restrictions on Lobbying, including the following certification:

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the Recipient, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, and officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

- (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying" in accordance with its instructions.
- (c) The Recipient shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

**16. UNIFORM RELOCATION ASSISTANCE AND REAL PROPERTY ACQUISITION POLICIES ACT OF 1970 (URA) (42 USC 4601 *et seq.*)**

- (a) The Uniform Relocation Assistance Act (URA), 42 U.S.C. 4601 *et seq.*, as amended, requires certain assurances for Reclamation funded land acquisition projects conducted by a Recipient that cause the displacement of persons, businesses, or farm operations. Because Reclamation funds only support acquisition of property or interests in property from willing sellers, it is not anticipated that Reclamation funds will result in any "displaced persons," as defined under the URA.
- (b) However, if Reclamation funds are used for the acquisition of real property that results in displacement, the URA requires Recipients to ensure that reasonable relocation payments and other remedies will be provided to any displaced person. Further, when acquiring real property, Recipients must be guided, to the greatest extent practicable, by the land acquisition policies in 42 U.S.C. 4651.
- (c) Exemptions to the URA and 49 CFR Part 24
  - (1) The URA provides for an exemption to the appraisal, review and certification rules for those land acquisitions classified as "voluntary transactions." Such "voluntary transactions" are classified as those that do not involve an exercise of eminent domain authority on behalf of a Recipient, and must meet the conditions specified at 49 CFR 24.101(b)(1)(i)-(iv).

- (2) For any land acquisition undertaken by a Recipient that receives Reclamation funds, but does not have authority to acquire the real property by eminent domain, to be exempt from the requirements of 49 CFR Part 24 the Recipient must:
- (i) provide written notification to the owner that it will not acquire the property in the event negotiations fail to result in an amicable agreement, and;
  - (ii) inform the owner in writing of what it believes to be the market value of the property.
- (d) Review of Land Acquisition Appraisals. Reclamation reserves the right to review any land appraisal whether or not such review is required under the URA or 49 CFR 24.104. Such reviews may be conducted by the Department of the Interior's Appraisal Services Directorate or a Reclamation authorized designee. When Reclamation determines that a review of the original appraisal is necessary, Reclamation will notify the Recipient and provide an estimated completion date of the initial appraisal review.

## **17. SYSTEM FOR AWARD MANAGEMENT AND UNIVERSAL IDENTIFIER REQUIREMENTS (2 CFR 25, APPENDIX A)**

### **A. Requirement for System for Award Management**

Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the SAM until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

### **B. Requirement for unique entity identifier**

If you are authorized to make subawards under this award, you:

1. Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward from you unless the entity has provided its unique entity identifier to you.
2. May not make a subaward to an entity unless the entity has provided its unique entity identifier to you.

### **C. Definitions**

For purposes of this award term:

1. System for Award Management (SAM) means the Federal repository into which an entity must provide information required for the conduct of business as a recipient.

Additional information about registration procedures may be found at the SAM Internet site (currently at <http://www.sam.gov>).

2. Unique entity identifier means the identifier required for SAM registration to uniquely identify business entities.
3. Entity, as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:
  - a. A Governmental organization, which is a State, local government, or Indian Tribe;
  - b. A foreign public entity;
  - c. A domestic or foreign nonprofit organization;
  - d. A domestic or foreign for-profit organization; and
  - e. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
4. Subaward:
  - a. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
  - b. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see 2 CFR 200.330).
  - c. A subaward may be provided through any legal agreement, including an agreement that you consider a contract.
5. Subrecipient means an entity that:
  - a. Receives a subaward from you under this award; and
  - b. Is accountable to you for the use of the Federal funds provided by the subaward.

## **18. PROHIBITION ON TEXT MESSAGING AND USING ELECTRONIC EQUIPMENT SUPPLIED BY THE GOVERNMENT WHILE DRIVING**

Executive Order 13513, *Federal Leadership On Reducing Text Messaging While Driving*, was signed by President Barack Obama on October 1, 2009 (ref:

<http://edocket.access.gpo.gov/2009/pdf/E9-24203.pdf>). This Executive Order introduces a Federal Government-wide prohibition on the use of text messaging while driving on official

business or while using Government-supplied equipment. Additional guidance enforcing the ban will be issued at a later date. In the meantime, please adopt and enforce policies that immediately ban text messaging while driving company-owned or rented vehicles, government-owned or leased vehicles, or while driving privately owned vehicles when on official government business or when performing any work for or on behalf of the government.

## **19. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (2 CFR 170 APPENDIX A)**

### **I. Reporting Subawards and Executive Compensation.**

#### *a. Reporting of first-tier subawards.*

1. *Applicability.* Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph e. of this award term).
2. *Where and when to report.*
  - i. You must report each obligating action described in paragraph a.1. of this award term to <http://www.fsrs.gov>.
  - ii. For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)
3. *What to report.* You must report the information about each obligating action that the submission instructions posted at <http://www.fsrs.gov> specify.

#### *b. Reporting Total Compensation of Recipient Executives.*

1. *Applicability and what to report.* You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if—
  - i. the total Federal funding authorized to date under this award is \$25,000 or more;
  - ii. in the preceding fiscal year, you received—
    - (A) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial

assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

iii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)

2. *Where and when to report.* You must report executive total compensation described in paragraph b.1. of this award term:

i. As part of your registration profile at <http://www.ccr.gov>.

ii. By the end of the month following the month in which this award is made, and annually thereafter.

c. *Reporting of Total Compensation of Subrecipient Executives.*

1. *Applicability and what to report.* Unless you are exempt as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, you shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if—

i. in the subrecipient's preceding fiscal year, the subrecipient received—

(A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and

ii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access

to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)

2. *Where and when to report.* You must report subrecipient executive total compensation described in paragraph c.1. of this award term:
    - i. To the recipient.
    - ii. By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (*i.e.*, between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.
- d. *Exemptions*
- If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:
- i. Subawards, and
  - ii. The total compensation of the five most highly compensated executives of any subrecipient.
- e. *Definitions.* For purposes of this award term:
1. *Entity* means all of the following, as defined in 2 CFR part 25:
    - i. A Governmental organization, which is a State, local government, or Indian tribe;
    - ii. A foreign public entity;
    - iii. A domestic or foreign nonprofit organization;
    - iv. A domestic or foreign for-profit organization;
    - v. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
  2. *Executive* means officers, managing partners, or any other employees in management positions.

3. *Subaward*:
  - i. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
  - ii. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. \_\_ .210 of the attachment to OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations").
  - iii. A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.
4. *Subrecipient* means an entity that:
  - i. Receives a subaward from you (the recipient) under this award; and
  - ii. Is accountable to you for the use of the Federal funds provided by the subaward.
5. *Total compensation* means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):
  - i. *Salary and bonus*.
  - ii. *Awards of stock, stock options, and stock appreciation rights*. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
  - iii. *Earnings for services under non-equity incentive plans*. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
  - iv. *Change in pension value*. This is the change in present value of defined benefit and actuarial pension plans.
  - v. *Above-market earnings on deferred compensation which is not tax-qualified*.
  - vi. Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

## **20. RECIPIENT EMPLOYEE WHISTLEBLOWER RIGHTS AND REQUIREMENT TO INFORM EMPLOYEES OF WHISTLEBLOWER RIGHTS (SEP 2013)**

- (a) This award and employees working on this financial assistance agreement will be subject to the whistleblower rights and remedies in the pilot program on Award Recipient employee whistleblower protections established at 41 U.S.C. 4712 by section 828 of the National Defense Authorization Act for Fiscal Year 2013 (Pub.L. 112-239).
- (b) The Award Recipient shall inform its employees in writing, in the predominant language of the workforce, of employee whistleblower rights and protections under 41 U.S.C 4712.
- (c) The Award Recipient shall insert the substance of this clause, including this paragraph (c), in all subawards or subcontracts over the simplified acquisition threshold. 48 CFR 52.203-17 (as referenced in 48 CFR 3.908-9).

## **21. RECIPIENT INTEGRITY AND PERFORMANCE MATTERS (APPENDIX XII to 2 CFR Part 200)**

### **A. Reporting of Matters Related to Recipient Integrity and Performance**

#### **1. General Reporting Requirement**

If the total value of your currently active grants, cooperative agreements, and procurement contracts from all Federal awarding agencies exceeds \$10,000,000 for any period of time during the period of performance of this Federal award, then you as the recipient during that period of time must maintain the currency of information reported to the System for Award Management (SAM) that is made available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)) about civil, criminal, or administrative proceedings described in paragraph 2 of this award term and condition. This is a statutory requirement under section 872 of Public Law 110-417, as amended (41 U.S.C. 2313). As required by section 3010 of Public Law 111-212, all information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for Federal procurement contracts, will be publicly available.

#### **2. Proceedings About Which You Must Report**

Submit the information required about each proceeding that:

- a. Is in connection with the award or performance of a grant, cooperative agreement, or procurement contract from the Federal Government;
- b. Reached its final disposition during the most recent five-year period; and

c. Is one of the following:

- (1) A criminal proceeding that resulted in a conviction, as defined in paragraph 5 of this award term and condition;
- (2) A civil proceeding that resulted in a finding of fault and liability and payment of a monetary fine, penalty, reimbursement, restitution, or damages of \$5,000 or more;
- (3) An administrative proceeding, as defined in paragraph 5. of this award term and condition, that resulted in a finding of fault and liability and your payment of either a monetary fine or penalty of \$5,000 or more or reimbursement, restitution, or damages in excess of \$100,000; or
- (4) Any other criminal, civil, or administrative proceeding if:
  - (i) It could have led to an outcome described in paragraph 2.c.(1), (2), or (3) of this award term and condition;
  - (ii) It had a different disposition arrived at by consent or compromise with an acknowledgment of fault on your part; and
  - (iii) The requirement in this award term and condition to disclose information about the proceeding does not conflict with applicable laws and regulations.

### 3. Reporting Procedures

Enter in the SAM Entity Management area the information that SAM requires about each proceeding described in paragraph 2 of this award term and condition. You do not need to submit the information a second time under assistance awards that you received if you already provided the information through SAM because you were required to do so under Federal procurement contracts that you were awarded.

### 4. Reporting Frequency

During any period of time when you are subject to the requirement in paragraph 1 of this award term and condition, you must report proceedings information through SAM for the most recent five year period, either to report new information about any proceeding(s) that you have not reported previously or affirm that there is no new information to report. Recipients that have Federal contract, grant, and cooperative agreement awards with a cumulative total value greater than \$10,000,000 must disclose semiannually any information about the criminal, civil, and administrative proceedings.

## 5. Definitions

For purposes of this award term and condition:

- a. Administrative proceeding means a non-judicial process that is adjudicatory in nature in order to make a determination of fault or liability (e.g., Securities and Exchange Commission Administrative proceedings, Civilian Board of Contract Appeals proceedings, and Armed Services Board of Contract Appeals proceedings). This includes proceedings at the Federal and State level but only in connection with performance of a Federal contract or grant. It does not include audits, site visits, corrective plans, or inspection of deliverables.
- b. Conviction, for purposes of this award term and condition, means a judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, and includes a conviction entered upon a plea of nolo contendere.
- c. Total value of currently active grants, cooperative agreements, and procurement contracts includes—
  - (1) Only the Federal share of the funding under any Federal award with a recipient cost share or match; and
  - (2) The value of all expected funding increments under a Federal award and options, even if not yet exercised.

## 22. CONFLICTS OF INTEREST

### (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 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 the DOI awarding agency or pass-through entity in accordance with 2 CFR 200.112, 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 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.

(d) 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 and 31 USC 1352.

(e) Review Procedures. The 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, and will determine whether a significant potential conflict exists and, if it does, develop an appropriate means for resolving it.

(f) 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).

## **23. 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 Department to inform its decisions.
- (b) Use of Data. The regulations at 2 CFR 200.315 apply 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 subaward(s) available to the Government for public release, consistent with applicable law, to allow meaningful third-party evaluation and reproduction of the following:
  - (i) The scientific data relied upon;
  - (ii) The analysis relied upon; and
  - (iii) The methodology, including models, used to gather and analyze data.

**Certificate Of Completion**

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Editor Delivery Events	Status	Timestamp
Agent Delivery Events	Status	Timestamp
Intermediary Delivery Events	Status	Timestamp
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Carbon Copy Events	Status	Timestamp
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Notary Events	Signature	Timestamp
Envelope Summary Events	Status	Timestamps
Envelope Sent	Hashed/Encrypted	10/3/2024 9:41:27 AM
Certified Delivered	Security Checked	10/3/2024 9:41:31 AM
Signing Complete	Security Checked	10/3/2024 9:41:41 AM
Completed	Security Checked	10/3/2024 9:41:41 AM
Payment Events	Status	Timestamps