

ALASKA STATE LEGISLATURE

LEGISLATIVE BUDGET AND AUDIT COMMITTEE Division of Legislative Finance



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www.legfin.state.ak.us

MEMORANDUM

DATE: October 29, 2009

TO: Legislative Budget and Audit Committee

FROM: David Teal
Director

SUBJECT: Preparation for the November 6, 2009 LB&A Meeting

OMB submitted the following 11 RPLs for consideration at the November 6, 2009, Legislative Budget and Audit Committee meeting. 10 RPLs are for American Recovery and Reinvestment Act of 2009 (ARRA) funding. The RPLs, along with Legislative Finance comments, are posted on our web site at <http://www.legfin.state.ak.us/> so that committee members can print and review them.

RPL#	Agency	Appropriation/Allocation/Program	Amount	Fund Source
06-0-0146	Health and Social Services	Woman Infant and Children (WIC) State Agency Model (SAM) Management Information System	\$1,709,500	ARRA funds – Operating
06-0-0204	Health and Social Services	State Primary Care Offices	\$36,135	ARRA funds – Operating
06-0-0218	Health and Social Services	Healthcare-Associated Infections (HAI) Prevention Program	\$57,800	ARRA funds – Operating
06-0-0220	Health & Social Services	Immunization and Vaccines for Children Grants	\$111,581	ARRA funds – Operating
10-0-5054 <i>Capital</i>	Natural Resources	Developing a Rural Village Seed Production Program	\$2,243,000	ARRA Funds - CIP
10-0-5059 <i>Capital</i>	Natural Resources	Forestry and Fire Economic Stimulus – Forest Health	\$1,468,000	ARRA Funds - CIP
25-0-1050 <i>Capital</i>	Transportation and Public Facilities	Akutan Airport Construction	\$23,738,126	Federal Receipts – CIP
25-0-7536 <i>Capital</i>	Transportation and Public Facilities	Huslia: Landfill Road	\$2,414,453	ARRA Funds - CIP
25-0-7537 <i>Capital</i>	Transportation and Public Facilities	King Cove Local Roads	\$1,500,000	ARRA Funds - CIP
45-0-1135 <i>Capital</i>	University of Alaska	Combined request for ARRA funding	\$4,167,614	ARRA Funds - CIP (net of adjustments)
45-0-1136	University of Alaska	Authority Needed for ARRA Grants Funding – six grants	\$1,385,524	ARRA funds – Operating

cc: Senator Meyer
Representative Dahlstrom
Representative Hawker
Representative Neuman

Senator Hoffman
Senator Huggins
Senator Menard
Senator Stedman

Linda Hay
Paulyn Swanson
James Armstrong
Pat Davidson

Representative Thomas
Representative Doogan
Representative Stoltze
Representative Tuck

Senator Olson
Josh Applebee
Tim Grussendorf
Miles Baker

John Bitney

**Department of Health and Social Services
Division of Public Assistance, Women, Infants & Children**

Subject of RPL: Women Infant and Children State Agency Model Transfer Project	ADN/RPL #: 06-0-0146
Amount requested: \$ 1,709,500	Appropriation Authority: Ch 17 SLA 09 Sec 1 PG 3 LN 16
Funding source: Federal ARRA funds – 100% Operating	Statutory Authority: AS 44.29.010-44.29.027

PURPOSE

The Department of Health and Social Services, Division of Public Assistance, Woman Infant and Children (WIC) Component requests an additional \$1,709.5 Federal American Recovery and Reinvestment Act of 2009 (ARRA) authorization to align with the actual amount of the grant award. The funds will be used to support the transfer and implementation of a State Agency Model (SAM) management information system, which replaces the agency’s legacy WIC system. The goal of this project is to improve the efficiency, capability, and consistency for tracking program expenditures, infant formula rebates, and other financial aspects of the program. The modernization of the WIC system will also improve the efficiency of program administration by streamlining clinic operations and reducing the incidence of WIC Program fraud through development and enhancement of fraud detection systems.

The division received notification of the actual amount of ARRA funds awarded for this project on September 11, 2009. Existing federal authorization in the adopted FY10 budget was based on a preliminary estimate of the amount of funds that would be made available to Alaska for this purpose.

PREVIOUS LEGISLATIVE CONSIDERATION

During the 2009 legislative session \$777.7 in ARRA funds were appropriated for this purpose, based on the estimated amount Alaska expected to receive. Complete and final information on the funding amount was not available from the U.S. Department of Agriculture until September 2009.

Legislative Fiscal Analyst Comment: Although this project appears to be capital in nature, the FY2010 appropriation of \$777.7 was for operating funds. The situation leaves the agency with no capital project to which the requested funding can be attached. Categorizing the RPL as operating enables the department to receive the additional funds requested for FY2010. The project total is expected to be approximately \$3.3 million—including the original \$777.7 FY2010 operating budget appropriation (cited above), this RPL request of \$1.7 million, plus another \$800.0 (which has not yet been requested).

While Legislative Finance is attempting to improve the differentiation between capital and operating funding, that option is not available at this point. Although not the preferred approach, an operating RPL is acceptable in this case.

TIMING ISSUES

The total grant award of \$2,487.2 is currently available. The additional authorization is needed now. A project manager has been hired and is working on the procurement of a software transfer and implementation contractor as well as telecommunication services.

Delay or disapproval of this request would result in the delay for procuring a contractor and possible lapse of the ARRA grant award. The grant award ends on September 30, 2011. The experiences of other states’

Agency Contact: Alison Elgee, (907) 465-1630

Legislative Finance Contact: Kelly Cunningham, (907) 465-3821

WIC agencies that have carried out a WIC SAM Transfer project were that full implementation of the new system was more than two years.

Legislative Fiscal Analyst Comment: Since this RPL and the existing operating appropriation lapse June 30, 2010 and the project is expected to take more than two years, the Department may wish to submit future requests for funding this project in the capital budget.

BUDGETARY ISSUES

These funds will be used to support the Alaska WIC SAM Transfer Project as stated above. Specifically, the grant funds are budgeted for personal services costs for a non-permanent exempt project manager who will oversee and coordinate activities of contractors and state IT staff, travel for the state agency and IT staff, contractual costs for software implementation and telecommunication services, infrastructure costs (computer hardware and licenses, etc.).

The anticipated line item breakdown of the existing \$777.7 and the additional \$1,709.5 is as follows:

Line Item	Existing ARRA appropriation	Requested ARRA appropriation	Total ARRA funds	What is being purchased
Personal Services	19.5	115.5	135.0	One non-perm position to coordinate activities at the State level involving the State WIC office, DHSS Procurement and IT staff, Local Agency WIC clinics and contractors.
Travel	21.0	36.0	57.0	Travel for state IT and WIC agency staff for design and planning meetings, pilot testing at local WIC agencies, and training.
Contractual	570.2	1,386.6	1,956.8	Software transfer and implementation contract and telecommunications services
Supplies	167.0	13.4	180.4	Update computer hardware in local clinics to ensure compatibility with new system
Equipment		158.0	158.0	Network hardware (processors, storage)
TOTAL	777.7	1,709.5	2,487.2	

The Division of Public Assistance has spent a small amount of its existing authorization on personal services costs for the Project Manager (hired Oct. 1, 2009).

ARRA funds are a time-limited, one-time funding opportunity. Implementing a new information system is a one-time project expected to serve the program’s needs for at least a decade. Operating costs for the system are expected to be covered by regular federal funds.

ARRA funds will not cover the full cost of the WIC SAM Transfer project, which is estimated at \$3.3 million. The U. S. Department of Agriculture has approved an additional \$465,407 in regular federal funds for this project and additional regular federal funds will also be requested for fiscal year 2011.

The division will request additional ARRA federal authority during the FY2011 budget process if it is anticipated that the project will not be completed by June 30, 2010.

These federal funds do not replace general funds.



September 11, 2009

United States
Department of
Agriculture

Food and
Nutrition
Service

3101 Park
Center Drive
Alexandria, VA
22302-1500

Commissioner William Hogan
State of Alaska
Department of Health and Social Services
Juneau, Alaska 99811-0601

Dear Commissioner Hogan:

We are pleased to advise you that the Alaska Special Supplemental Nutrition Program for Women, Infants and Children (WIC Program) has been selected to receive fiscal year (FY) 2009 WIC SAM transfer grant funds in the amount of **\$2,487,150**. This grant is the result of the Food and Nutrition Service's (FNS) announcement of the availability of funding under the American Recovery and Reinvestment Act of 2009 (ARRA) for the transfer and implementation of a State Agency Model (SAM) system.

The FY 2009 grant is provided for those item(s) listed below:

Project Manager	\$135,000
Travel	\$57,000
Infrastructure	\$462,150
Quality Assurance and Implementation Contractors	\$1,833,000

Items unfunded include \$773,170 for staffing costs, \$10,000 for documentation and \$18,000 for overhead costs.

We have enclosed for your signature the FY 2009 WIC SAM Transfer Grant/Cooperative Agreement and the Grant/Cooperative Agreement form FNS 529. This Agreement is to provide ARRA funding to support the activities described above, and covers the period of September 15, 2009, through September 30, 2011. Please note that ARRA reporting is required in addition to agency reporting requirements.

Please return **three** copies of the Cooperative Agreement and the FNS-529 form with original signatures, in **blue** ink, on each document by **September 22, 2009**. Please send your signed copies via overnight mail to:

Lael Lubing, Director
Grants & Fiscal Policy Division
Food and Nutrition Service
3101 Park Center Drive, Room 738
Alexandria, VA 22302-1594

Congratulations on your grant award.

Sincerely,

DEBRA R. WHITFORD
Director
Supplemental Food Programs Division

LAEL J. LUBING
Director
Grants & Fiscal Policy Division

Enclosures

		Appropriation	General	Other
		Allocations	Items	Funds
			Funds	Funds
3	*****		*****	
4	***** Department of Health and Social Services *****		*****	
5	*****		*****	
6	Children's Services		2,139,800	2,139,800
7	Infant Learning Program	2,139,800		
8	Grants			
9	Health Care Services		2,040,000	40,000
10	Medical Assistance	2,040,000		
11	Administration			
12	Public Assistance		5,275,700	5,275,700
13	Child Care Benefits	4,036,000		
14	Public Assistance	462,000		
15	Administration			
16	Women, Infants and	777,700		
17	Children			
18	Public Health		2,000,000	2,000,000
19	Chronic Disease Prevention	2,000,000		
20	and Health Promotion			
21	Senior and Disabilities		485,000	485,000
22	Services			
23	Senior Community Based	485,000		
24	Grants			
25	*****		*****	
26	***** Department of Labor and Workforce Development *****		*****	
27	*****		*****	
28	Workforce Development		15,439,600	15,439,600
29	Employment and Training	5,162,000		
30	Services			
31	Unemployment Insurance	1,115,700		
32	Business Services	9,161,900		
33	Vocational Rehabilitation		2,046,200	2,046,200

13	Child Care Benefits	4,036,000	
14	Public Assistance	462,000	
15	Administration		
16	Women, Infants and	777,700	
17	Children		
18	Public Health	2,000,000	2,000,000
19	Chronic Disease Prevention	2,000,000	
20	and Health Promotion		
21	Senior and Disabilities	485,000	485,000
22	Services		
23	Senior Community Based	485,000	
24	Grants		
25	*****		*****
26	***** Department of Labor and Workforce Development *****		
27	*****		*****
28	Workforce Development	15,439,600	15,439,600
29	Employment and Training	5,162,000	
30	Services		
31	Unemployment Insurance	1,115,700	
32	Business Services	9,161,900	
33	Vocational Rehabilitation	2,046,200	2,046,200

SCS CSHB 199(FIN), Sec. 1

**Department of Health and Social Services
Division of Health Care Services, Health Planning and Infrastructure**

Subject of RPL: State Primary Care Offices	ADN/RPL #: 06-0-0204
Amount requested: \$ 36,135	Appropriation Authority: Ch12, SLA 09, Sec 1, pg 22, ln 6
Funding source: Federal ARRA funds Operating	Statutory Authority: AS 18.07, AS 18.20

PURPOSE

The Division of Health Care Services has received a federal grant from the Department of Health and Human Services, Health Resources and Services Administration. The funding will be used to respond to the increased need for placement services and activities of the National Health Service Corps through the State Primary Care Offices. Direct beneficiaries are students in healthcare-related fields and those repaying federal loans by working in underserved health care delivery areas.

PREVIOUS LEGISLATIVE CONSIDERATION

The division has not submitted any previous RPLs for this activity. The American Recovery and Reinvestment Act (ARRA) is the source of funding for this request. Consideration during the legislative session was not possible due to Health Care Services (HCS) not learning of the ARRA funding opportunity for the Primary Care Offices nationwide until after the session had ended. There are no funds appropriated for the purpose of supporting increased placement services of the National Health Service Corps.

Legislative Fiscal Analyst Comment: Regular federal authority to fund these activities was granted during the 2009 session, however, the recent designation of this particular federal money as “ARRA” has prompted the need for an RPL submission. This grant is 100% federally funded with no future GF requests expected.

TIMING ISSUES

The Alaska Department of Health and Social Services received a notice of grant award from the Department of Health and Human Services, Health Resources and Services Administration (HRSA), on September 14, 2009. The grant award was issued on September 10, 2009. Funding is available at this time and the division has signed documentation to support the availability of funding. Funding from HRSA is for \$36,135 each year for a total of 3 years (CFDA 93.414). The budget period for these funds is from September 30, 2009 through September 29, 2010. The project period of these funds is from September 30, 2009 through September 29, 2012.

Legislative Fiscal Analyst Comment: Funding requests for FY2011 and FY2012 are anticipated for this multi-year federal grant. In the interest of accurate tracking of ARRA receipts, future appropriations for this purpose should include language that carries forward the unexpended and unobligated balance of the amount attached to this RPL.

Approval to spend these funds is needed now because program staff would like to conduct evaluations of additional potentially eligible placement sites as soon as possible. Increased staff placements could have a positive effect on increased health care delivery in many underserved areas of the state.

The consequences of delay of the grant funds would mean that program staff would not have the resources to evaluate additional placement sites that could take advantage of the National Health Service Corps program. If this request is not approved, there will not be an increase of the number of placement sites within the state for the National Health Service Corps program.

Agency Contact: Alison Elgee, (907) 465-1630

Legislative Finance Contact: Kelly Cunningham, (907) 465-3821

BUDGETARY ISSUES

The activities of this grant will fit into the long-term plans, missions and measures of the Alaska Primary Care Office because they support the core requirements of the federal components of the primary care agreement. Although there are no efficiency measures available for the additional expenditures, the division anticipates that there will be an increase in the number of sites eligible to receive health care providers.

The line item distribution for this grant award is:

Personal Services	\$28,377
Contractual Services	\$ 2,760
Supplies	\$ 175
<u>Indirect</u>	<u>\$ 4,823</u>
Total	\$36,135

The department has not expended any of the grant funds. The funding from this grant is 100% federal. There are no state match requirements. Therefore, there will be no future pressure for general funds.

There is no possibility to replace existing general funds. This grant award was made with the understanding that the funds are a supplement to existing funds. No other funding sources are affected by the receipt of this grant award. The additional funds (\$28,377) will be used to help support salaries for existing positions in the Juneau office of Health Planning Infrastructure. The following positions currently reflect a portion of each salary coming from the federal funds. The unit applies for and receives federal funding throughout the year. Because this grant fund source is ARRA funding the existing federal authorization cannot be used. However, the grant award will serve the same purpose as the budgeted federal funding.

- Health Program Manager III
- Health & Social Services Planner III
- Research Analyst III
- Health Program Manager II
- Health Program Associate

The division has sufficient federal receipt authority in its appropriated budget, but needs legislative approval before spending any ARRA federal funds. The division is requesting additional ARRA federal authority in the FY2011 budget process for this project.

1. DATE ISSUED: 09/10/2009		2. PROGRAM CFDA: 93.414		DEPARTMENT OF HEALTH AND HUMAN SERVICES HEALTH RESOURCES AND SERVICES ADMINISTRATION  NOTICE OF GRANT AWARD AUTHORIZATION (Legislation/Regulation) American Recovery and Reinvestment Act of 2009																																																					
3. SUPERCEDES AWARD NOTICE dated: <small>except that any additions or restrictions previously imposed remain in effect unless specifically rescinded.</small>																																																									
4a. AWARD NO.: 1 U6AHP16572-01-00		4b. GRANT NO.: U6AHP16572	5. FORMER GRANT NO.:																																																						
6. PROJECT PERIOD: FROM: 09/30/2009 THROUGH: 09/29/2012																																																									
7. BUDGET PERIOD: FROM: 09/30/2009 THROUGH: 09/29/2010																																																									
8. TITLE OF PROJECT (OR PROGRAM): ARRA - State Primary Care Offices																																																									
9. GRANTEE NAME AND ADDRESS: State of Alaska, Department of Health and Social Services PO BOX 110660 Juneau, AK 99811-0660			10. DIRECTOR: (PROGRAM DIRECTOR/PRINCIPAL INVESTIGATOR) Mark Millard State of Alaska, Department of Health and Social Services PO BOX 110660 Juneau, AK 99811-0660																																																						
11. APPROVED BUDGET: (Excludes Direct Assistance) <input checked="" type="checkbox"/> Grant Funds Only <input type="checkbox"/> Total project costs including grant funds and all other financial participation			12. AWARD COMPUTATION FOR FINANCIAL ASSISTANCE																																																						
<table border="0"> <tr><td>a. Salaries and Wages:</td><td>\$ 18,436.00</td></tr> <tr><td>b. Fringe Benefits:</td><td>\$ 9,941.00</td></tr> <tr><td>c. Total Personnel Costs:</td><td>\$ 28,377.00</td></tr> <tr><td>d. Consultant Costs:</td><td>\$ 0.00</td></tr> <tr><td>e. Equipment:</td><td>\$ 0.00</td></tr> <tr><td>f. Supplies:</td><td>\$ 175.00</td></tr> <tr><td>g. Travel:</td><td>\$ 0.00</td></tr> <tr><td>h. Construction/Alteration and Renovation:</td><td>\$ 0.00</td></tr> <tr><td>i. Other:</td><td>\$ 2,760.00</td></tr> <tr><td>j. Consortium/Contractual Costs:</td><td>\$ 0.00</td></tr> <tr><td>k. Trainee Related Expenses:</td><td>\$ 0.00</td></tr> <tr><td>l. Trainee Stipends:</td><td>\$ 0.00</td></tr> <tr><td>m. Trainee Tuition and Fees:</td><td>\$ 0.00</td></tr> <tr><td>n. Trainee Travel:</td><td>\$ 0.00</td></tr> <tr><td>o. TOTAL DIRECT COSTS:</td><td>\$ 31,312.00</td></tr> <tr><td>p. INDIRECT COSTS: (Rate: % of S&W/TADC)</td><td>\$ 4,823.00</td></tr> <tr><td>q. TOTAL APPROVED BUDGET:</td><td>\$ 36,135.00</td></tr> <tr><td> i. Less Non-Federal Resources:</td><td>\$ 0.00</td></tr> <tr><td> ii. Federal Share:</td><td>\$ 36,135.00</td></tr> </table>			a. Salaries and Wages:	\$ 18,436.00	b. Fringe Benefits:	\$ 9,941.00	c. Total Personnel Costs:	\$ 28,377.00	d. Consultant Costs:	\$ 0.00	e. Equipment:	\$ 0.00	f. Supplies:	\$ 175.00	g. Travel:	\$ 0.00	h. Construction/Alteration and Renovation:	\$ 0.00	i. Other:	\$ 2,760.00	j. Consortium/Contractual Costs:	\$ 0.00	k. Trainee Related Expenses:	\$ 0.00	l. Trainee Stipends:	\$ 0.00	m. Trainee Tuition and Fees:	\$ 0.00	n. Trainee Travel:	\$ 0.00	o. TOTAL DIRECT COSTS:	\$ 31,312.00	p. INDIRECT COSTS: (Rate: % of S&W/TADC)	\$ 4,823.00	q. TOTAL APPROVED BUDGET:	\$ 36,135.00	i. Less Non-Federal Resources:	\$ 0.00	ii. Federal Share:	\$ 36,135.00	<table border="0"> <tr><td>a. Authorized Financial Assistance This Period</td><td>\$ 36,135.00</td></tr> <tr><td>b. Less Unobligated Balance from Prior Budget Periods</td><td></td></tr> <tr><td> i. Additional Authority</td><td>\$ 0.00</td></tr> <tr><td> ii. Offset</td><td>\$ 0.00</td></tr> <tr><td>c. Unawarded Balance of Current Year's Funds</td><td>\$ 0.00</td></tr> <tr><td>d. Less Cumulative Prior Award(s) This Budget Period</td><td>\$ 0.00</td></tr> <tr><td>e. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION</td><td>\$ 36,135.00</td></tr> </table>			a. Authorized Financial Assistance This Period	\$ 36,135.00	b. Less Unobligated Balance from Prior Budget Periods		i. Additional Authority	\$ 0.00	ii. Offset	\$ 0.00	c. Unawarded Balance of Current Year's Funds	\$ 0.00	d. Less Cumulative Prior Award(s) This Budget Period	\$ 0.00	e. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION	\$ 36,135.00
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13. RECOMMENDED FUTURE SUPPORT: (Subject to the availability of funds and satisfactory progress of project)																																																									
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15. PROGRAM INCOME SUBJECT TO 45 CFR Part 74.24 OR 45 CFR 92.25 SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES: A=Addition B=Deduction C=Cost Sharing or Matching D=Other Estimated Program Income: \$ 0.00 [A]																																																									
16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY HRSA, IS ON THE ABOVE TITLED PROJECT AND IS SUBJECT TO THE TERMS AND CONDITIONS INCORPORATED EITHER DIRECTLY OR BY REFERENCE IN THE FOLLOWING: <small>a. The grant program legislation cited above. b. The grant program regulation cited above. c. This award notice including terms and conditions, if any, noted below under REMARKS. d. 45 CFR Part 74 or 45 CFR Part 92 as applicable. In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.</small>																																																									
REMARKS: (Other Terms and Conditions Attached <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No)																																																									
Electronically signed by Dorothy M. Kelley, Grants Management Officer on: 09/10/2009																																																									
17. OBJ. CLASS: 41.45		18. CRS-EIN: 1926001185A7		19. FUTURE RECOMMENDED FUNDING:																																																					
FY-CAN	CFDA	DOCUMENT NO.	AMT. FIN. ASST.	AMT. DIR. ASST.	SUBPROGRAM CODE																																																				
09-3766990	93.414	U6AHP16572RP	\$ 36,135.00	\$ 0.00	N/A																																																				

HRSA Electronic Handbooks (EHBs) Registration Requirements

The Project Director of the grant (listed on this NGA) and the Authorizing Official of the grantee organization are required to register (if not already registered) within HRSA's Electronic Handbooks (EHBs). Registration within HRSA EHBs is required only once for each user for each organization they represent. To complete the registration quickly and efficiently we recommend that you note the 10-digit grant number from box 4b of this NGA. After you have completed the initial registration steps (i.e., created an individual account and associated it with the correct grantee organization record), be sure to add this grant to your portfolio. This registration in HRSA EHBs is required for submission of noncompeting continuation applications. In addition, you can also use HRSA EHBs to perform other activities such as updating addresses, updating email addresses and submitting certain deliverables electronically. Visit <https://grants.hrsa.gov/webexternal/login.asp> to use the system. Additional help is available online and/or from the HRSA Call Center at 1-877-464-4772.

Terms and Conditions

Failure to comply with the special remarks and condition(s) may result in a draw down restriction being placed on your Payment Management System account or denial of future funding.

Grant Specific Terms:

1. This Notice of Grant Award is issued to provide funds to assist State Primary Care Offices in the coordination of activities for the delivery of Primary Care services, recruitment and retention of Critical Health Care Providers.
2. Under the cooperative agreement, HRSA's responsibilities include the usual monitoring, technical assistance, and the following:
 1. Providing consultation in the planning, development, and evaluation of the work plan under the cooperative agreement;
 2. Participating, as appropriate, in workgroups conducted during the period of the cooperative agreement;
 3. Monitoring the activities of the work plan through progress review, meetings, and telephone conferences.
 4. Final authority for approval of NHSC Recruitment and Retention Applications, vacancies, placements, and final approval of all designation actions.

Standard Terms:

1. All discretionary awards issued by HRSA on or after October 1, 2006, are subject to the HHS Grants Policy Statement (HHS GPS) unless otherwise noted in the Notice of Award (NoA). Parts I through III of the HHS GPS are currently available at <http://ftp.hrsa.gov/grants/hhsgrantspolicystatement.pdf> and it is anticipated that Part IV, HRSA program-specific guidance will be available at the website in the near future. In addition, HRSA-specific contacts will be appended to Part III of the GPS which identifies Department-wide points of contact. Please note that the Terms and Conditions explicitly noted in the award and the HHS GPS are in effect. Once available, Part IV, HRSA program-specific guidance will take precedence over Parts I and II in situations where there are conflicting or otherwise inconsistent policies.
2. The HHS Appropriations Act requires that when issuing statements, press releases, requests for proposals, bid solicitations, and other documents describing projects or programs funded in whole or in part with Federal money, all grantees receiving Federal funds, including but not limited to State and local governments, shall clearly state the percentage of the total costs of the program or project which will be financed with Federal money, the dollar amount of Federal funds for the project or program, and percentage and a dollar amount of the total costs of the project or program that will be financed by nongovernmental sources.
3. Recipients and sub-recipients of Federal funds are subject to the strictures of the Medicare and Medicaid anti-kickback statute (42 U.S.C. 1320a - 7b(b)) and should be cognizant of the risk of criminal and administrative liability under this statute, specifically under 42 U.S.C. 1320 7b(b) Illegal remunerations which states, in part, that whoever knowingly and willfully:

(A) Solicits or receives (or offers or pays) any remuneration (including kickback, bribe, or rebate) directly or indirectly, overtly or covertly, in cash or in kind, in return for referring (or to induce such person to refer) an individual to a person for the furnishing or arranging for the furnishing of any item or service, OR

(B) In return for purchasing, leasing, ordering, or recommending purchasing, leasing, or ordering, or to purchase, lease, or order, any goods, facility, services, or item

...For which payment may be made in whole or in part under subchapter XIII of this chapter or a State health care program, shall be guilty of a felony and upon conviction thereof, shall be fined not more than \$25,000 or imprisoned for not more than five years, or both.

4. Items that require prior approval from the awarding office as indicated in 45 CFR Part 74.25 [Note: 74.25 (d) HRSA has not waived cost-related or administrative prior approvals for recipients unless specifically stated on this Notice of Grant Award] or 45 CFR Part 92.30 must be submitted in writing to the Grants Management Officer (GMO). Only responses to prior approval requests signed by the GMO are considered valid. Grantees who take action on the basis of responses from other officials do so at their own risk. Such responses will not be considered binding by or upon the HRSA.

In addition to the prior approval requirements identified in Part 74.25, HRSA requires grantees to seek prior approval for significant rebudgeting of project costs. Significant rebudgeting occurs when, under a grant where the Federal share exceeds \$100,000, cumulative transfers among direct cost budget categories for the current budget period exceed 25 percent of the total approved budget (inclusive of direct and indirect costs and Federal funds and required matching or cost sharing) for that budget period or \$250,000, whichever is less. For example, under a grant in which the Federal share for a budget period is \$200,000, if the total approved budget is \$300,000, cumulative changes within that budget period exceeding \$75,000 would require prior approval). For recipients subject to 45 CFR Part 92, this requirement is in lieu of that in 45 CFR 92.30(c)(1)(ii) which permits an agency to require prior approval for specified cumulative transfers within a grantee's approved budget. [Note, even if a grantee's proposed rebudgeting of costs falls below the significant rebudgeting threshold identified above, grantees are still required to request prior approval, if some or all of the rebudgeting reflects either a change in scope, a proposed purchase of a unit of equipment exceeding \$25,000 (if not included in the approved application) or other prior approval action identified in Parts 74.25 and 92.30 unless HRSA has specifically exempted the grantee from the requirement(s).]

5. Payments under this award will be made available through the DHHS Payment Management System (PMS). PMS is administered by the Division of Payment Management, Financial Management Services, Program Support Center, which will forward instructions for obtaining payments. Inquiries regarding payment should be directed to: Payment Management, DHHS, P.O. Box 6021, Rockville, MD 20852, <http://www.dpm.psc.gov/> or Telephone Number: 1-877-614-5533.
6. The DHHS Inspector General maintains a toll-free hotline for receiving information concerning fraud, waste, or abuse under grants and cooperative agreements. Such reports are kept confidential and callers may decline to give their names if they choose to remain anonymous. Contact: Office of Inspector General, Department of Health and Human Services, Attention: HOTLINE, 330 Independence Avenue Southwest, Cohen Building, Room 5140, Washington, D. C. 20201, Email: Htips@os.dhhs.gov or Telephone: 1-800-447-8477 (1-800-HHS-TIPS).
7. Submit audits, if required, in accordance with OMB Circular A-133, to: Federal Audit Clearinghouse Bureau of the Census 1201 East 10th Street Jefferson, IN 47132 PHONE: (310) 457-1551, (800)253-0696 toll free <http://harvester.census.gov/sac/facconta.htm>
8. EO 13166, August 11, 2000, requires recipients receiving Federal financial assistance to take steps to ensure that people with limited English proficiency can meaningfully access health and social services. A program of language assistance should provide for effective communication between the service provider and the person with limited English proficiency to facilitate participation in, and meaningful access to, services. The obligations of recipients are explained on the OCR website at <http://www.hhs.gov/ocr/lep/reviselep.html>.
9. This award is subject to the requirements of Section 106 (g) of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. 7104). For the full text of the award term, go to <http://www.hrsa.gov/grants/trafficking.htm>. If you are unable to access this link, please contact the Grants Management Specialist identified in this Notice of Grant Award to obtain a copy of the Term.

Page 4	Date Issued: 09/10/2009
Award Number: 1 U6AHP16572-01-00	

Reporting Requirements:

1. **Due Date: Within 90 days of Budget End Date**

The grantee must submit a Financial Status Report within 90 days after the budget period end date. This report should reflect cumulative reporting within the project period and must be submitted using the Electronic Handbook (EHB).

Failure to comply with these reporting requirements will result in deferral or additional restrictions of future funding decisions.

NGA Email Address(es):

stacey.anderson@alaska.gov; mark.millard@alaska.gov

Note: NGA emailed to these address(es)

Contacts:

Program Contact: For assistance on programmatic issues, please contact Robert Edwards at:

PKLN 8A-09
5600 Fishers Ln
Rockville, MD 20852-1750
Phone: (301)594-3814
Email: REdwards@HRSA.GOV

Division of Grants Management Operations: For assistance on grants administration issues, please contact Benoit Mirindi at:

HRSA/OFAM/DGMO/GSFB
5600 Fishers Ln
Rockville, MD 20852-1750
Phone: (301)443-6606
Email: bmirindi@hrsa.gov
Fax: (301)443-6343

Responses to reporting requirements, conditions, and requests for post award amendments must be mailed to the attention of the Office of Grants Management contact indicated above. All correspondence should include the Federal grant number (item 4 on the award document) and program title (item 8 on the award document). Failure to follow this guidance will result in a delay in responding to your request.

Budget Justification: Alaska Primary Care Office Workforce Development NHSC/Safety Net HRSA-09-277

Budget by Objective								
Budget Period	Line Item	Obj 1 Evaluate R&R Apps	Obj 2 Site Education	Obj 3 TA to Orgs	Obj 4 TA to Individuals	Obj 5 MHPSA Work	Obj 6 Coord with Wkforce Progs	Total
September 30, 2009 - September 29, 2010	Personnel	\$ 11,935	\$ 1,833	\$ 1,207	\$ 756	\$ 1,254	\$ 1,451	\$ 18,436
	Fringe Benefits	\$ 6,626	\$ 930	\$ 594	\$ 379	\$ 673	\$ 740	\$ 9,941
	Equipment							
	Supplies		\$ 100				\$ 75	\$ 175
	Other							\$ 2,760
	Indirect Costs							\$ 4,824
	Total Project Cost							\$ 36,135

Budget Explanation							Total Time	
Name/Salary	Position	Obj 1	Obj 2	Obj 3	Obj 4	Obj 5	Obj 6	
Mark Millard \$75,569	Health Program Manager III	0.01	0.01	0.01	0.01		0.01	0.05
Alice Ravig \$90,182	H&SS Planner III		0.005	0.005				0.01
Neal Gilbertsen \$62,681	Research Analyst III		0.01			0.02		0.03
Robert Sewell \$69,560	Health Program Manager II						0.01	0.01
Eric Peter \$55,896	Health Program Associate	0.2						0.2
Total Salary by Objective		\$11,935	\$1,833	\$1,207	\$756	\$1,254	\$1,451	\$18,436

Supplies by Objective		\$100					\$75
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Total Fringe Benefits by Objective	\$6,626	\$930	\$594	\$379	\$673	\$740	\$9,941
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Fringe Benefits include Supplemental Benefits System (SBS), Public Employees Retirement System (PERS), Medicare Tax, Unemployment Insurance, Workers' Compensation, Terminal Leave, Leave Cash-in, Legal Trust, and Group Insurance. Percentages are based upon classifications of individual employees.

Other Costs by Objective	\$1,932	\$230	\$138	\$92	\$184	\$184
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Fixed costs within the Primary Care Office. "Other" must include FTE for "fixed costs" (office, rent, LAN support, mainframe charge back, courier service and other departmental and interdepartmental RSAs, including data warehousing,

The State of Alaska does not have a federally approved indirect rate. Indirect costs are calculated by the use of the federally approved State of Alaska Public Assistance Cost Allocation Plan. In order to demonstrate indirect cost claim for the purpose of this grant, we have used 17% . This is an estimate of the calculated indirect rate that will be run through the Cost Allocation Plan.

Year 2 and 3 project costs assume a 5% increase in all project costs from the previous project year.

1		Appropriation	General	Other
2		Allocations	Items	Funds
3	Medical Assistance	33,576,200		
4	Administration			
5	Rate Review	1,739,100		
6	Health Planning and	3,680,500		
7	Infrastructure			
8	Community Health Grants	2,153,900		
9	It is the intent of the legislature that, in accordance with AS 37.05.316, \$250,000 in general			
10	funds be provided as a grant to Anchorage Project Access.			
11	Juvenile Justice	51,370,400	47,457,800	3,912,600
12	McLaughlin Youth Center	16,488,800		
13	Mat-Su Youth Facility	2,011,600		
14	Kenai Peninsula Youth	1,673,300		
15	Facility			
16	Fairbanks Youth Facility	4,338,100		
17	Bethel Youth Facility	3,504,200		
18	Nome Youth Facility	2,385,300		
19	Johnson Youth Center	3,472,600		
20	Ketchikan Regional Youth	1,612,000		
21	Facility			
22	Probation Services	13,271,700		
23	Delinquency Prevention	1,764,800		
24	Youth Courts	848,000		
25	Public Assistance	286,170,700	138,896,700	147,274,000
26	Alaska Temporary	26,631,800		
27	Assistance Program			
28	Adult Public Assistance	56,370,000		
29	It is the intent of the legislature that the Interim Assistance cash payments be restricted to			
30	those individuals who agree to repay the State of Alaska in the event Supplementary Security			
31	Income (SSI) does not determine the individual eligible for cash assistance. It is the intent of			
32	the Legislature that the Department of Health and Social Services make all attempts possible			
33	to recover the Interim Assistance cash payments in the event an individual is not SSI eligible			

**Department of Health and Social Services
Division of Public Health, Epidemiology**

Subject of RPL: ARRA funding for Healthcare-Associated Infections (HAI) Prevention	ADN/RPL #: 06-0-0218
Amount requested: \$ 57,800	Appropriation Authority: Ch12 SLA 2009 Sec 1 pg 24 ln 5
Funding source: Federal ARRA funds Operating	Statutory Authority: AS 44.29.010 – 44.29.027

PURPOSE

The Department of Health and Social Services, Division of Public Health, Epidemiology component is requesting \$57,800 federal authorization to receive and spend American Recovery and Reinvestment Act (ARRA) funds to work toward development of a statewide Healthcare-Associated Infections (HAI) prevention program.

The total grant award is \$201,800; however, the division expects to expend \$57,800 in FY10. This ARRA funding was awarded to the State of Alaska on 9/1/09. Epidemiology has not spent any of these grant funds to date. The main activities supported by these grant funds will be to hire an HAI Prevention Coordinator; to write and submit the State HAI Prevention Plan; and to create a multiagency Advisory Group to assist the Section of Epidemiology in state HAI prevention planning. This program will be of benefit to all Alaskans who interface with the healthcare system.

PREVIOUS LEGISLATIVE CONSIDERATION

The topic of HAIs have been generally discussed by the Legislature as a proposal to form a task force to address HAIs. There have been no previous RPLs for these activities and no funds have been appropriated for this purpose.

TIMING ISSUES

The opportunity to receive ARRA funding for HAI prevention was unanticipated earlier in the state budget cycle. Through ARRA, the Centers for Disease Control and Prevention sought to rapidly channel monies to develop programs in states that did not already have funds set aside for HAI prevention activities. An RFP was issued in the summer of 2009. Epidemiology applied and was awarded \$201,830 on September 1, 2009, to be spent by December 31, 2011 (28-month grant period).

The funds awarded to Alaska are for minimal activities, but will allow for Epidemiology to hire staff to create an Alaska HAI Prevention Plan by January 2010. The consequences of not submitting that plan are a 25% cut to the Preventative Health and Human Services (PHHS) Block grant that funds activities in the Section of Chronic Disease Prevention and Health Promotion (CDPHP). Although the PHHS grant does not fund activities related to HAI nor does CDPHP otherwise engage in such activities, the stipulation was part of the 2009 Omnibus spending bill.

Legislative Fiscal Analyst Comment: As stipulated in the 2009 Omnibus spending bill, the Preventative Health and Human Services Block grant will be cut 25% (\$84.8) in the absence of an HAI Prevention Plan.

Agency Contact: Alison Elgee, (907) 465-1630

Legislative Finance Contact: Kelly Cunningham, (907) 465-3821

BUDGETARY ISSUES

Epidemiology has fielded several requests over the years to report on HAIs and progress toward their reduction in Alaska. Given the interest in the Legislature, the nation, and among Alaskans, issues related to Health Department involvement in HAI surveillance and prevention are anticipated in the future. Therefore, having some funds to dedicate personnel time to these issues will allow for the creation of an expert knowledge base within Epidemiology. Funds were awarded for 0.5 FTE of a Nurse Consultant (NC II); travel for a training trip in Atlanta, GA sponsored by the Centers for Disease Control (CDC); and some supplies. The funding will be used to fill an Anchorage-based NC II position that has been vacant for several years. The remaining 0.5 FTE will be made-up of federal preparedness funds with the expectation that the NC II would also assist with pandemic influenza issues related to hospitals. This position has not yet been filled; no funds have yet been expended. The project period is 28-months to finish December 31, 2011.

The two primary deliverables of the grant will have lasting impact to the State. These are the creation of a State HAI Prevention Plan that develops a roadmap for future activities, and the creation of a multiagency Advisory Group to provide ongoing input for those activities. At that point, if additional federal funds are not available and HAI prevention is not a priority area for the Department or the Legislature, the HAI Program will be suspended. If funding is approved for this FY10 portion of the grant award, the division will request additional ARRA authorization for the balance of the grant award, \$144,000 during the FY11 Budget process.

The anticipated line item breakdown of the funds is as follows:

Line Item	This Request	Total Grant Amount	What is being purchased
Personal Services	\$45.0	\$157.5	.5 FTE Nurse Consultant II (Range 24) in Anchorage (Funding will pay for an existing position that is currently vacant)
Travel	\$2.5	\$7.5	Travel for nurse consultant to travel to grant-sponsored training event in Atlanta, Georgia
Contractual	\$0.5	\$2.0	Associated contractual support costs
Supplies	\$1.0	\$4.0	Associated supplies to support program development
Federal Indirect Costs	\$8.8	\$30.8	Approximately 18% federally approved indirect rate (18% applied to total direct services costs)
Total	\$57.8	\$201.8	

Agency Contact: Alison Elgee, (907) 465-1630

Legislative Finance Contact: Kelly Cunningham, (907) 465-3821



Grant Number: 3U50CI000494-03S1

Principal Investigator(s):
LOUISA CASTRODALE

Project Title: Epidemiology and Laboratory Capacity for infectious Disease - ARRA - HAI

Financial Officer
ALASKA STATE DEPARTMENT OF HEALTH & SOCIAL SVCS
PO BOX 110601
JUNEAU, AK 99811

Budget Period: 09/01/2009 – 12/31/2011
Project Period: 01/01/2007 – 12/31/2011

Dear Business Official:

The Centers for Disease Control and Prevention hereby awards a grant in the amount of \$201,830 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to ALASKA ST DHSS in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

If you have any questions about this award, please contact the individual(s) referenced in Section IV.

Sincerely yours

Sharron Orum
Grants Management Officer
Centers for Disease Control and Prevention

Additional information follows

SECTION I – AWARD DATA – 3U50CI000494-03S1

Award Calculation (U.S. Dollars)

Salaries and Wages	\$110,000 ✓
Fringe Benefits	\$47,553 ✓
Personnel Costs (Subtotal)	\$157,553 ✓
Supplies	\$4,000 ✓
Travel Costs	\$7,500 ✓
Other Costs	\$1,989 ✓

Federal Direct Costs	\$171,042
Federal F&A Costs	\$30,788 ✓
Approved Budget	\$201,830
Federal Share	\$201,830
TOTAL FEDERAL AWARD AMOUNT	\$201,830

AMOUNT OF THIS ACTION (FEDERAL SHARE) \$201,830 ✓

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project.

04 \$0
05 \$0

Fiscal Information:

CFDA Number: 93.717
EIN: 1926001185A7
Document Number: UC1000494A

IC	CAN	2009
CI	921ZJXD	\$201,830

SUMMARY TOTAL FEDERAL AWARD AMOUNT YEAR (3)	
GRANT NUMBER	TOTAL FEDERAL AWARD AMOUNT
3U50CI000494-03S1	\$201,830
5U50CI000494-03	\$636,374
TOTAL	\$838,204

SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
3	\$201,830	\$838,204
4	\$0	\$587,459
5	\$0	\$587,459

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project

CDC Administrative Data:

PCC: N / OC: 4151 / Processed: ORUMS 08/31/2009

SECTION II – PAYMENT/HOTLINE INFORMATION – 3U50CI000494-03S1

For payment information see Payment Information section in Additional Terms and Conditions.

INSPECTOR GENERAL: The HHS Office Inspector General (OIG) maintains a toll-free number (1-800-HHS-TIPS [1-800-447-8477]) for receiving information concerning fraud, waste or abuse under grants and cooperative agreements. Information also may be submitted by e-mail to hhstips@oig.hhs.gov or by mail to Office of the Inspector General, Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW, Washington DC 20201. Such reports are treated as sensitive material and submitters may decline to give their names if they

choose to remain anonymous. This note replaces the Inspector General contact information cited in previous notice of award.

SECTION III – TERMS AND CONDITIONS – 3U50CI000494-03S1

This award is based on the application submitted to, and as approved by, CDC on the above-titled project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- a. The grant program legislation and program regulation cited in this Notice of Award.
- b. The restrictions on the expenditure of federal funds in appropriations acts to the extent those restrictions are pertinent to the award.
- c. 45 CFR Part 74 or 45 CFR Part 92 as applicable.
- d. The HS Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- e. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

Treatment of Program Income:
Additional Costs

SECTION IV – CI Special Terms and Conditions – 3U50CI000494-03S1

Department of Health and Human Services
Standard Terms and Conditions
American Recovery and Reinvestment Act of 2009
Division A Funds

I. INCORPORATION: Request for Funding Opportunity Announcement (RFA) Number CI07-70402ARRA09 entitled "Epidemiology and Laboratory Capacity for Infectious Diseases" (ELC): Healthcare-Associated Infections-Building and Sustaining State Programs to Prevent Healthcare-Associated Infections (HAIs), and the application dated June 25, 2009, are made a part of this award by reference.

1. HHS Standard Terms and Conditions

HHS grantees must comply with all terms and conditions outlined in their grant award, including grant policy terms and conditions contained in applicable Department of Health and Human Services (HHS) Grant Policy Statements, and requirements imposed by program statutes and regulations and HHS grant administration regulations, as applicable, unless they conflict or are superseded by the following terms and conditions implementing the American Recovery and Reinvestment Act of 2009 (ARRA) requirements below. In addition to the standard terms and conditions of award, recipients receiving funds under Division A of ARRA must abide by the terms and conditions set out below. The terms and conditions below concerning civil rights obligations and disclosure of fraud and misconduct are reminders rather than new requirements, but the other requirements are new and are specifically imposed for awards funded under ARRA. Recipients are responsible for contacting their HHS grant/program managers for any needed clarifications.

2. Preference for Quick Start Activities

In using funds for this award for infrastructure investment, recipients shall give preference to activities that can be started and completed expeditiously, including a goal of using at least 50 percent of the funds for activities that can be initiated not later than 120 days after the date of the enactment of ARRA. Recipients shall also use grant funds in a manner that maximizes job creation and economic benefit. (ARRA Sec. 1602)

3. Limit on Funds

None of the funds appropriated or otherwise made available in ARRA may be used by any State or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool. (ARRA Sec. 1604)

4. ARRA: One-Time Funding

Unless otherwise specified, ARRA funding to existent or new awardees should be considered one-time funding.

5. Civil Rights Obligations

While ARRA has not modified awardees' civil rights obligations, which are referenced in the HHS Grants Policy Statement, these obligations remain a requirement of Federal law. Recipients and subrecipients of ARRA funds or other Federal financial assistance must comply with Title VI of the Civil Rights Act of 1964 (prohibiting race, color, and national origin discrimination), Section 504 of the Rehabilitation Act of 1973 (prohibiting disability discrimination), Title IX of the Education Amendments of 1972 (prohibiting sex discrimination in education and training programs), and the Age Discrimination Act of 1975 (prohibiting age discrimination in the provision of services). For further information and technical assistance, please contact the HHS Office for Civil Rights at (202) 619-0403, OCRmail@hhs.gov, or <http://www.hhs.gov/ocr/civilrights/>.

6. Disclosure of Fraud or Misconduct

Each recipient or sub-recipient awarded funds made available under the ARRA shall promptly refer to the HHS Office of Inspector General any credible evidence that a principal, employee, agent, contractor, sub-recipient, subcontractor, or other person has submitted a false claim under the False Claims Act or has committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity, or similar misconduct involving those funds. The HHS Office of Inspector General can be reached at <http://www.oig.hhs.gov/fraud/hotline/>

7. Responsibilities for Informing Sub-recipients

Recipients agree to separately identify to each sub-recipient, and document at the time of sub-award and at the time of disbursement of funds, the Federal award number, any special CFDA number assigned for ARRA purposes, and amount of ARRA funds.

8. Recovery Act Transactions listed in Schedule of Expenditures of Federal Awards and Recipient Responsibilities for Informing Sub-recipients

(a) To maximize the transparency and accountability of funds authorized under the American Recovery and Reinvestment Act of 2009 (Public Law 111-5)(Recovery Act) as required by Congress and in accordance with 45 CFR 74.21 and 92.20 "Uniform Administrative Requirements for Grants and Agreements", as applicable, and OMB A-102 Common Rules provisions, recipients agree to maintain records that identify adequately the source and application of Recovery Act funds.

(b) For recipients covered by the Single Audit Act Amendments of 1996 and OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations," recipients agree to separately identify the expenditures for Federal awards under the Recovery Act on the Schedule of Expenditures of Federal Awards (SEFA) and the Data Collection Form (SF-SAC) required by OMB Circular A-133. This shall be accomplished by identifying expenditures for Federal awards made under Recovery Act separately on the SEFA, and as separate rows under Item 9 of Part III on the SF-SAC by CFDA number, and inclusion of the prefix "ARRA-" in identifying the name of the Federal program on the SEFA and as the first characters in Item 9d of Part III on the SF-SAC.

(c) Recipients agree to separately identify to each sub-recipient, and document at the time of sub-award and at the time of disbursement of funds, the Federal award number, CFDA number, and amount of Recovery Act funds. When a recipient awards Recovery Act funds for an existing program, the information furnished to sub-recipients shall distinguish the sub-awards of incremental Recovery Act funds from regular sub-awards under the existing program.

(d) Recipients agree to require their sub-recipients to include on their SEFA information to specifically identify Recovery Act funding similar to the requirements for the recipient SEFA described above. This information is needed to allow the recipient to properly monitor sub-recipient expenditure of ARRA funds as well as oversight by the Federal awarding agencies, Offices of Inspector General and the Government Accountability Office.

II. Standard award terms and conditions to be included in ALL awards EXCEPT for those that are classified, awarded to individuals, or awarded under mandatory and entitlement programs, except as specifically required by OMB, or expressly exempted from the reporting requirement in the Recovery Act

Insert the following standard award terms in all awards funded in whole or in part with Recovery Act funds, EXCEPT for those that are classified, awarded to individuals, or awarded under mandatory and entitlement programs, except as specifically required by OMB, or expressly exempted from the reporting requirement in the Recovery Act. See 2 CFR 176.40-.50.

Recipient Reporting

Reporting and Registration Requirements under Section 1512 of the American Recovery and Reinvestment Act of 2009, Public Law 111-5

(a) This award requires the recipient to complete projects or activities which are funded under the American Recovery and Reinvestment Act of 2009 ("Recovery Act") and to report on use of

Recovery Act funds provided through this award. Information from these reports will be made available to the public.

(b) The reports are due no later than ten calendar days after each calendar quarter in which the recipient receives the assistance award funded in whole or in part by the Recovery Act.

(c) Recipients and their first-tier recipients must maintain current registrations in the Central Contractor Registration (www.ccr.gov) at all times during which they have active federal awards funded with Recovery Act funds. A Dun and Bradstreet Data Universal Numbering System (DUNS) Number (www.dnb.com) is one of the requirements for registration in the Central Contractor Registration.

(d) The recipient shall report the information described in section 1512(c) using the reporting instructions and data elements that will be provided online at www.FederalReporting.gov and ensure that any information that is pre-filled is corrected or updated as needed.

HHS recipients of Recovery Act funding who are subject to Section 1512 reporting should report job-created data as prescribed in Section 5 of the Office of Management and Budget (OMB) guidance M-09-21. Below is abridged job reporting guidance. For the full OMB guidance, please visit: http://www.whitehouse.gov/omb/asset_s/memoranda_fy2009/m09-21.pdf

Some important points to keep in mind:

A job created is a new position created and filled or an existing unfilled position that is filled as a result of the Recovery Act; a job retained is an existing position that would not have been continued to be filled were it not for Recovery Act funding. A job cannot be counted as both created and retained.

The Recovery Act required estimate of the number of jobs should be expressed as full-time equivalents (FTE), which is calculated as total hours worked in jobs created or retained divided by the number of hours in a full-time schedule. The FTE estimates must be reported cumulatively each calendar quarter.

The requirement for reporting jobs is based on a simple calculation used to avoid overstating the number of other than full-time, permanent jobs. The formula for reporting can be represented as:

$$\frac{\text{Cumulative Recovery Act Funded Hours Worked (Qtr 1?n)}}{\text{Cumulative Hours in a Full-Time Schedule (Qtr 1?n)}} = \text{FTE}$$

Note: HHS will not accept statistical sampling methods to estimate the number of jobs created and retained. All recipients must report a direct and comprehensive count of jobs, as specified by OMB guidance M-09-21. See Section 5.3 of the OMB guidance for more information on calculating jobs, including job estimation examples.

For more information please contact? Add here

III. Standard award term when issuing announcements or requesting applications for Recovery Act programs and activities that may involve construction, alteration, maintenance, or repair

As indicated in 2 CFR 176.180-.190, when issuing announcements or requesting applications for Recovery Act programs and activities that may involve construction, alteration, maintenance, or repair OPDIVs shall use the following award term:

Wage Rate Requirements under Section 1606 of the American Recovery and Reinvestment Act of 2009

a) Section 1606 of the Recovery Act requires that all laborers and mechanics employed by contractors and subcontractors on projects funded directly by or assisted in whole or in part by and through the Federal Government pursuant to the Recovery Act shall be paid wages at rates not less than those prevailing on projects of a character similar in the locality as determined by the Secretary of Labor in accordance with subchapter IV of chapter 31 of title 40, United States Code. Pursuant to Reorganization Plan No. 14 and the Copeland Act, 40 U.S.C. 3145, the Department of Labor has issued regulations at 29 CFR Parts 1, 3, and 5 to implement the Davis-Bacon and related Acts. Regulations in 29 CFR 5.5 instruct agencies concerning application of the standard Davis-Bacon contract clauses set forth in that section. Federal agencies providing grants, cooperative agreements, and loans under the Recovery Act shall ensure that the standard Davis-Bacon contract clauses found in 29 CFR 5.5(a) are incorporated in any resultant covered contracts that are in excess of \$2,000 for construction, alteration or repair (including painting and decorating).

(b) For additional guidance on the wage rate requirements of section 1606, contact your awarding agency. Recipients of grants, cooperative agreements and loans should direct their initial inquiries concerning the application of Davis-Bacon requirements to a particular federally assisted project to the Federal agency funding the project. The Secretary of Labor retains final coverage authority under Reorganization Plan Number 14.

IV. Standard award term when awarding Recovery Act funds for construction, alteration, maintenance, or repair of a public building or public work that DOES NOT involve iron, steel, and/or manufactured goods covered under international agreements

As provided by 2 CFR 176.140, when awarding Recovery Act funds for construction, alteration, maintenance, or repair of a public building or public work that does not involve iron, steel, and/or manufactured goods covered under international agreements, the agency shall use the following award term:

REQUIRED USE OF AMERICAN IRON, STEEL, AND MANUFACTURED GOODS?SECTION 1605 OF THE AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009

(a) Definitions. As used in this award term and condition?

?Manufactured good? means a good brought to the construction site for incorporation into the building or work that has been--

(1) Processed into a specific form and shape; or

(2) Combined with other raw material to create a material that has different properties than the properties of the individual raw materials.

"Public building? and "public work" means a public building of, and a public work of, a governmental entity (the United States; the District of Columbia; commonwealths, territories, and minor outlying islands of the United States; State and local governments; and multi-State, regional, or interstate entities which have governmental functions). These buildings and works may include, without limitation, bridges, dams, plants, highways, parkways, streets, subways, tunnels, sewers, mains, power lines, pumping stations, heavy generators, railways, airports, terminals, docks, piers, wharves, ways, lighthouses, buoys, jetties, breakwaters, levees, and canals, and the construction, alteration, maintenance, or repair of such buildings and works.

?Steel? means an alloy that includes at least 50 percent iron, between .02 and 2 percent carbon, and may include other elements.

(b) Domestic preference.

(1) This award term and condition implements Section 1605 of the American Recovery and Reinvestment Act of 2009 (Recovery Act)(Pub. L. 111-5), by requiring that all iron, steel, and manufactured goods used in the project are produced in the United States except as provided in paragraph (b)(3) and (b)(4) of this term and condition.

(2) This requirement does not apply to the material listed by the Federal Government as follows:

[Award official to list applicable excepted materials or indicate ?none?]

(3) The award official may add other iron, steel, and/or manufactured goods to the list in paragraph (b)(2) of this term and condition if the Federal government determines that?

(i) The cost of the domestic iron, steel, and/or manufactured goods would be unreasonable. The cost of domestic iron, steel, or manufactured goods used in the project is unreasonable when the cumulative cost of such material will increase the cost of the overall project by more than 25 percent;

(ii) The iron, steel, and/or manufactured good is not produced, or manufactured in the United States in sufficient and reasonably available quantities and of a satisfactory quality; or

(iii) The application of the restriction of section 1605 of the Recovery Act would be inconsistent with the public interest.

(c) Request for determination of inapplicability of Section 1605 of the Recovery Act.

(1)(i) Any recipient request to use foreign iron, steel, and/or manufactured goods in accordance with paragraph (b)(3) of this term and condition shall include adequate information for Federal Government evaluation of the request, including?

(A) A description of the foreign and domestic iron, steel, and/or manufactured goods;

(B) Unit of measure;

(C) Quantity;

(D) Cost;

- (E) Time of delivery or availability;
- (F) Location of the project;
- (G) Name and address of the proposed supplier; and
- (H) A detailed justification of the reason for use of foreign iron, steel, and/or manufactured goods cited in accordance with paragraph (b)(3) of this term and condition.
- (ii) A request based on unreasonable cost shall include a reasonable survey of the market and a completed cost comparison table in the format in paragraph (d) of this term and condition.
- (iii) The cost of iron, steel, and/or manufactured goods material shall include all delivery costs to the construction site and any applicable duty.
- (iv) Any recipient request for a determination submitted after Recovery Act funds have been obligated for a project for construction, alteration, maintenance, or repair shall explain why the recipient could not reasonably foresee the need for such determination and could not have requested the determination before the funds were obligated. If the recipient does not submit a satisfactory explanation, the award official need not make a determination.

%

(2) If the Federal government determines after funds have been obligated for a project for construction, alteration, maintenance, or repair that an exception to section 1605 of the Recovery Act applies, the award official will amend the award to allow use of the foreign iron, steel, and/or relevant manufactured goods. When the basis for the exception is nonavailability or public interest, the amended award shall reflect adjustment of the award amount, redistribution of budgeted funds, and/or other actions taken to cover costs associated with acquiring or using the foreign iron, steel, and/or relevant manufactured goods. When the basis for the exception is the unreasonable cost of the domestic iron, steel, or manufactured goods, the award official shall adjust the award amount or redistribute budgeted funds by at least the differential established in 2 CFR 176.110(a).

(3) Unless the Federal Government determines that an exception to section 1605 of the Recovery Act applies, use of foreign iron, steel, and/or manufactured goods is noncompliant with section 1605 of the American Recovery and Reinvestment Act.

(d) Data. To permit evaluation of requests under paragraph (b) of this term and condition based on unreasonable cost, the Recipient shall include the following information and any applicable supporting data based on the survey of suppliers:

%

FOREIGN AND DOMESTIC ITEMS COST COMPARISON

Description	Unit of Measure	Quantity	Cost (Dollars)*
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Item 1:

Foreign steel, iron, or manufactured good			

P

V. When requesting APPLICATIONS OR PROPOSALS for Recovery Act programs or activities that may involve construction, alteration, maintenance, or repair of a public building or public work, and DO NOT involve iron, steel, and/or manufactured goods covered under international agreements As provided in 2 CFR 176.150, when requesting applications or proposals for Recovery Act programs or activities that may involve construction, alteration, maintenance, or repair of a public building or public work, and do not involve iron, steel, and/or manufactured goods covered under international agreements, the agency shall use the following notice in its solicitations:

REQUIRED USE OF AMERICAN IRON, STEEL, AND MANUFACTURED GOODS?SECTION 1605 OF THE AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009

(a) Definitions. ?Manufactured good,? ?public building and public work,? and ?steel,? as used in this notice, are defined in the 2 CFR 176.140.

!

(b) Requests for determinations of inapplicability. A prospective applicant requesting a determination regarding the inapplicability of section 1605 of the American Recovery and Reinvestment Act of 2009 (Pub. L. 111-5)(Recovery Act) should submit the request to the award official in time to allow a determination before submission of applications or proposals. The prospective applicant shall include the information and applicable supporting data required by paragraphs (c) and (d) of the award term and condition at 2 CFR 176.140 in the request. If an applicant has not requested a determination regarding the inapplicability of 1605 of the Recovery Act before submitting its application or proposal, or has not received a response to a previous request, the applicant shall include the information and supporting data in the application or proposal.

(c) Evaluation of project proposals.

If the Federal government determines that an exception based on unreasonable cost of domestic iron, steel, and/or manufactured goods applies, the Federal Government will evaluate a project requesting exception to the requirements of section 1605 of the Recovery Act by adding to the estimated total cost of the project 25 percent of the project cost, if foreign iron, steel, or manufactured goods are used in the project based on unreasonable cost of comparable manufactured domestic iron, steel, and/or manufactured goods.

(d) Alternate project proposals.

(1) When a project proposal includes foreign iron, steel, and/or manufactured goods not listed by the Federal Government at paragraph (b)(2) of the award term and condition at 2 CFR 176.140, the applicant also may submit an alternate proposal based on use of equivalent domestic iron, steel, and/or manufactured goods.

(2) If an alternate proposal is submitted, the applicant shall submit a separate cost comparison table prepared in accordance with paragraphs (c) and (d) of the award term and condition at 2 CFR 176.140 for the proposal that is based on the use of any foreign iron, steel, and/or manufactured goods for which the Federal Government has not yet determined an exception applies.

(3) If the Federal government determines that a particular exception requested in accordance with paragraph (b) of the award term and condition at 2 CFR 176.140 does not apply, the Federal Government will evaluate only those proposals based on use of the equivalent domestic iron, steel, and/or manufactured goods, and the applicant shall be required to furnish such domestic items.

VI. Standard award term when awarding Recovery Act funds for construction, alteration, maintenance, or repair of a public building or public work that INVOLVES iron, steel, and/or manufactured goods materials covered under international agreements

As provided by 2 CFR 176.160, when awarding Recovery Act funds for construction, alteration, maintenance, or repair of a public building or public work that involves iron, steel, and/or manufactured goods materials covered under international agreements, the agency shall use the following award term:

(a) Definitions. As used in this award term and condition?

?Designated country? --

(1) A World Trade Organization Government Procurement Agreement country (Aruba, Austria, Belgium, Bulgaria, Canada, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hong Kong, Hungary, Iceland, Ireland, Israel, Italy, Japan, Korea (Republic of), Latvia, Liechtenstein, Lithuania, Luxembourg, Malta, Netherlands, Norway, Poland, Portugal, Romania, Singapore, Slovak Republic, Slovenia, Spain, Sweden, Switzerland, and United Kingdom);

(2) A Free Trade Agreement (FTA) country (Australia, Bahrain, Canada, Chile, Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras, Israel, Mexico, Morocco, Nicaragua, Oman, Peru, or Singapore); or

(3) A United States-European Communities Exchange of Letters (May 15, 1995) country: Austria, Belgium, Bulgaria, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovak Republic, Slovenia, Spain, Sweden, and United Kingdom.

?Designated country iron, steel, and/or manufactured goods? --

(1) Is wholly the growth, product, or manufacture of a designated country; or

(2) In the case of a manufactured good that consist in whole or in part of materials from another country, has been substantially transformed in a designated country into a new and different manufactured good distinct from the materials from which it was transformed.

"Domestic iron, steel, and/or manufactured good" --

(1) Is wholly the growth, product, or manufacture of the United States; or

(2) In the case of a manufactured good that consists in whole or in part of materials from another country, has been substantially transformed in the United States into a new and different manufactured good distinct from the materials from which it was transformed. There is no requirement with regard to the origin of components or subcomponents in manufactured goods or products, as long as the manufacture of the goods occurs in the United States.

?Foreign iron, steel, and/or manufactured good" means iron, steel and/or manufactured good that is not domestic or designated country iron, steel, and/or manufactured good.

?Manufactured good? means a good brought to the construction site for incorporation into the building or work that has been--

(1) Processed into a specific form and shape; or

(2) Combined with other raw material to create a material that has different properties than the properties of the individual raw materials.

?Public building? and "public work" means a public building of, and a public work of, a governmental entity (the United States; the District of Columbia; commonwealths, territories, and minor outlying islands of the United States; State and local governments; and multi-State, regional, or interstate entities which have governmental functions). These buildings and works may include, without limitation, bridges, dams, plants, highways, parkways, streets, subways, tunnels, sewers, mains, power lines, pumping stations, heavy generators, railways, airports, terminals, docks, piers, wharves, ways, lighthouses, buoys, jetties, breakwaters, levees, and canals, and the construction, alteration, maintenance, or repair of such buildings and works.

?Steel? means an alloy that includes at least 50 percent iron, between .02 and 2 percent carbon, and may include other elements.

(b) Iron, steel, and manufactured goods.

(1) This award term and condition implements

(i) Section 1605(a) of the American Recovery and Reinvestment Act of 2009 (Pub. L. 111-5) (Recovery Act), by requiring that all iron, steel, and manufactured goods used in the project are produced in the United States; and

(ii) Section 1605(d), which requires application of the Buy American requirement in a manner consistent with U.S. obligations under international agreements. The restrictions of section 1605 of the Recovery Act do not apply to designated country iron, steel, and/or manufactured goods. The Buy American requirement in section 1605 shall not be applied where the iron, steel or manufactured goods used in the project are from a Party to an international agreement that obligates the recipient to treat the goods and services of that Party the same as domestic goods and services. This obligation shall only apply to projects with an estimated value of \$7,443,000 or more.

(2) The recipient shall use only domestic or designated country iron, steel, and manufactured goods in performing the work funded in whole or part with this award, except as provided in paragraphs (b)(3) and (b)(4) of this term and condition.

(3) The requirement in paragraph (b)(2) of this term and condition does not apply to the iron, steel, and manufactured goods listed by the Federal Government as follows:

[Award official to list applicable excepted materials or indicate ?none?]

(4) The award official may add other iron, steel, and manufactured goods to the list in paragraph (b) (3) of this award term and condition if the Federal government determines that?

(i) The cost of domestic iron, steel, and/or manufactured goods would be unreasonable. The cost of domestic iron, steel, and/or manufactured goods used in the project is unreasonable when the cumulative cost of such material will increase the overall cost of the project by more than 25 percent;

(ii) The iron, steel, and/or manufactured goods is not produced, or manufactured in the United States in sufficient and reasonably available commercial quantities of a satisfactory quality; or

(iii) The application of the restriction of section 1605 of the Recovery Act would be inconsistent with the public interest.

(c) Request for determination of inapplicability of section 1605 of the Recovery Act or the Buy American Act.

(1)(i) Any recipient request to use foreign iron, steel, and/or manufactured goods in accordance with paragraph(b)(4) of this term and condition shall include adequate information for Federal Government evaluation of the request, including?

(A) A description of the foreign and domestic iron, steel, and/or manufactured goods;

(B) Unit of measure;

(C) Quantity;

(D) Cost;

(E) Time of delivery or availability;

(F) Location of the project;

(G) Name and address of the proposed supplier; and

(H) A detailed justification of the reason for use of foreign iron, steel, and/or manufactured goods cited in accordance with paragraph (b)(4) of this term and condition.

(ii) A request based on unreasonable cost shall include a reasonable survey of the market and a completed cost comparison table in the format in paragraph (d) of this term and condition.

(iii) The cost of iron, steel, or manufactured goods shall include all delivery costs to the construction site and any applicable duty.

(iv) Any recipient request for a determination submitted after Recovery Act funds have been obligated for a project for construction, alteration, maintenance, or repair shall explain why the recipient could not reasonably foresee the need for such determination and could not have requested the determination before the funds were obligated. If the recipient does not submit a satisfactory explanation, the award official need not make a determination.

(2) If the Federal government determines after funds have been obligated for a project for construction, alteration, maintenance, or repair that an exception to section 1605 of the Recovery Act applies, the award official will amend the award to allow use of the foreign iron, steel, and/or relevant manufactured goods. When the basis for the exception is nonavailability or public interest, the amended award shall reflect adjustment of the award amount, redistribution of budgeted funds, and/or other appropriate actions taken to cover costs associated with acquiring or using the foreign iron, steel, and/or relevant manufactured goods. When the basis for the exception is the unreasonable cost of the domestic iron, steel, or manufactured goods, the award official shall adjust the award amount or redistribute budgeted funds, as appropriate, by at least the differential established in 2 CFR 176.110(a).

(3) Unless the Federal Government determines that an exception to the section 1605 of the Recovery Act applies, use of foreign iron, steel, and/or manufactured goods other than designated country iron, steel, and/or manufactured goods is noncompliant with the applicable Act.

(d) Data. To permit evaluation of requests under paragraph (b) of this term and condition based on unreasonable cost, the applicant shall include the following information and any applicable supporting data based on the survey of suppliers:

FOREIGN AND DOMESTIC ITEMS COST COMPARISON

Description	Unit of Measure	Quantity	Cost (Dollars)*
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Item 1:

Foreign steel, iron, or manufactured good		_____	_____
Domestic steel, iron, or manufactured good		_____	_____

Item 2:

Foreign steel, iron, or manufactured good		_____	_____
Domestic steel, iron, or manufactured good		_____	_____

[List name, address, telephone number, email address, and contact for suppliers surveyed. Attach copy of response; if oral, attach summary.]

[Include other applicable supporting information.]

[* Include all delivery costs to the construction site.]

VII. When requesting APPLICATIONS OR PROPOSALS for Recovery Act programs or activities that may involve construction, alteration, maintenance, or repair of a public building or public work, and INVOLVE iron, steel, and/or manufactured goods covered under international agreements As provided by 2 CFR 176.170, when requesting applications or proposals for Recovery Act programs or activities that may involve construction, alteration, maintenance, or repair of a public building or public work, and involve iron, steel, and/or manufactured goods covered under international agreements, the agency shall use the following notice:

NOTICE OF REQUIRED USE OF AMERICAN IRON, STEEL, AND MANUFACTURED GOODS (COVERED UNDER INTERNATIONAL AGREEMENTS)?SECTION 1605 OF THE AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009

(a) Definitions. ?Designated country iron, steel, and/or manufactured goods,? ?foreign iron, steel, and/or manufactured good,? ?manufactured good,? ?public building and public work,? and ?steel,? as used in this provision, are defined in 2 CFR 176.160(a).

(b) Requests for determinations of inapplicability. A prospective applicant requesting a determination regarding the inapplicability of section 1605 of the American Recovery and Reinvestment Act of 2009 (Pub. L. 111-5)(Recovery Act) should submit the request to the award official in time to allow a determination before submission of applications or proposals. The prospective applicant shall include the information and applicable supporting data required by paragraphs (c) and (d) of the award term and condition at 2 CFR 176.160 in the request. If an applicant has not requested a determination regarding the inapplicability of 1605 of the Recovery Act before submitting its application or proposal, or has not received a response to a previous request, the applicant shall include the information and supporting data in the application or proposal.

(c) Evaluation of project proposals.

If the Federal government determines that an exception based on unreasonable cost of domestic iron, steel, and/or manufactured goods applies, the Federal Government will evaluate a project requesting exception to the requirements of section 1605 of the Recovery Act by adding to the estimated total cost of the project 25 percent of the project cost if foreign iron, steel, or manufactured goods are used based on unreasonable cost of comparable domestic iron, steel, or manufactured goods.

(d) Alternate project proposals.

(1) When a project proposal includes foreign iron, steel, and/or manufactured goods, other than designated country iron, steel, and/or manufactured goods, that are not listed by the Federal Government in this Buy American notice in the request for applications or proposals, the applicant may submit an alternate proposal based on use of equivalent domestic or designated country iron, steel, and/or manufactured goods.

(2) If an alternate proposal is submitted, the applicant shall submit a separate cost comparison table prepared in accordance with paragraphs (c) and (d) of the award term and condition at 2 CFR 176.160 for the proposal that is based on the use of any foreign iron, steel, and/or manufactured goods for which the Federal Government has not yet determined an exception applies.

(3) If the Federal government determines that a particular exception requested in accordance with paragraph (b) of the award term and condition at 2 CFR 176.160 does not apply, the Federal Government will evaluate only those proposals based on use of the equivalent domestic or designated country iron, steel, and/or manufactured goods, and the applicant shall be required to furnish such domestic or designated country items.

#

CDC CONTACT NAMES:

ARRA Contact

Dana Dudley
PGO/GMB, CDC
2920 Brandywine Road, Room 3202
Atlanta, Georgia 30341-4146
Telephone: (770) 488-2906
Internet: ioo0@cdc.gov

Business and Grants Policy Contact

Yolanda Ingram-Sledge, Grants Management Specialist
PGO/GMB, CDC
2920 Brandywine Road, Room 3622
Atlanta, Georgia 30341-4146
Telephone: (770) 488-2787
Internet: yis0@cdc.gov

Programmatic Contact

Sandra Browning
Centers for Disease Control and Prevention (CDC)
National Center for Infectious Diseases (NCID)
1600 Clifton Road, NE, Mailstop C-129
Atlanta, Georgia 30333
Telephone: (404) 639-3635
Internet Address: swb0@cdc.gov

PLEASE REFERENCE YOUR REQUEST FOR FUNDING OPPORTUNITY ANNOUNCEMENT (RFA) NUMBER ON ALL CORRESPONDENCE

STAFF CONTACTS

Grants Management Specialist: Yolanda Ingram-sledge
Centers for Disease Control and Prevention
Procurement and Grants Office
Koger Center, Colgate Building
2920 Brandywine Road, Mail Stop K 14
Atlanta, GA 30341
Email: ysledge@cdc.gov **Phone:** 770-488-2787 **Fax:** 770-488-2777

Grants Management Officer: Sharron Orum
Centers for Disease Control and Prevention
Procurement and Grants Office
Koger Center, Colgate Building
2920 Brandywine Road, Mail Stop K 14
Atlanta, GA 30341
Email: spo2@cdc.gov **Phone:** 770-488-2716

SPREADSHEET SUMMARY
GRANT NUMBER: 3U50CI000494-03S1

INSTITUTION: ALASKA STATE DEPARTMENT OF HLTH-SOC SVCS

<i>Budget</i>	<i>Year 3</i>	<i>Year 4</i>	<i>Year 5</i>
Salaries and Wages	\$110,000		
Fringe Benefits	\$47,553		
Personnel Costs (Subtotal)	\$157,553		
Supplies	\$4,000		
Travel Costs	\$7,500		
Other Costs	\$1,989		
TOTAL FEDERAL DC	\$171,042		
TOTAL FEDERAL F&A	\$30,788		
TOTAL COST	\$201,830	\$0	\$0

		Appropriation	General	Other
		Allocations	Items	Funds
			Funds	Funds
1				
2				
3	Chronic Disease Prevention	8,139,800		
4	and Health Promotion			
5	Epidemiology	10,799,000		
6	Bureau of Vital Statistics	2,679,200		
7	Emergency Medical Services	2,820,600		
8	Grants			
9	State Medical Examiner	2,244,400		
10	Public Health Laboratories	6,514,000		
11	Tobacco Prevention and	7,413,300		
12	Control			
13	Senior and Disabilities	389,096,600	152,140,200	236,956,400
14	Services			

15 It is the intent of the legislature that regulations related to the General Relief / Temporary
16 Assisted Living program be reviewed and revised as needed to minimize the length of time
17 that the state provides housing alternatives and assure the services are provided only to
18 intended beneficiaries who are actually experiencing harm, abuse or neglect. The department
19 should educate care coordinators and direct service providers about who should be referred
20 and when they are correctly referred to the program in order that referring agents correctly
21 match consumer needs with the program services intended by the department.

22	General Relief/Temporary	2,748,400		
23	Assisted Living			
24	Senior and Disabilities	355,881,300		
25	Medicaid Services			
26	Senior and Disabilities	10,735,900		
27	Services Administration			
28	Senior Community Based	9,876,100		
29	Grants			

30 It is the intent of the legislature that funding in the FY 2010 budget for Senior Community
31 Based Grants be used to invest in successful home and community based supports provided
32 by grantees who have demonstrated successful outcomes documented in accordance with the
33 department's performance based evaluation procedures.

**Department of Health and Social Services
Division of Public Health, Epidemiology**

Subject of RPL: Immunization and Vaccines for Children Grants	ADN/RPL #: 06-0-0220
Amount requested: \$ 111,581	Appropriation Authority: Ch12 SLA 2009 Sec 1 pg 24 ln 5
Funding source: Federal ARRA funds Operating	Statutory Authority: AS 44.29.010 – 44.29.027

PURPOSE

The Division of Public Health, Epidemiology component requests American Recovery and Reinvestment Act (ARRA) federal authorization for the “ARRA -317 Immunization and Vaccines for Children Grants” project. This grant has already been awarded to the State of Alaska in the amount of \$111,581 with a project/budget period of 9/1/09 – 12/31/2011. These ARRA funds will be used to assist in provider enrollment and implement uploading of data into VacTrAK, Alaska’s immunization information system. Funding will support contract personnel to work with providers who currently maintain immunization information in electronic medical records. Appropriate use of the VacTrAK immunization information and forecasting system will increase the number of children and adults in Alaska receiving immunizations according to recommended vaccination schedules.

PREVIOUS LEGISLATIVE CONSIDERATION

In FY2007, the Alaska Legislature appropriated capital budget funding to establish Alaska’s immunization information system. However, no funds were appropriated for on-going operations. Enclosed is a copy of the FY2007 capital appropriation.

Legislative Fiscal Analyst Comment: Given that an operating RPL lapses June 30, 2010 and the federal lapse date for this project extends into FY2012, linking this RPL to the original capital project appears to make sense. In addition, the intended use of the money is to modify the immunization tracking software due to unforeseen dual data-entry issues. That said, an operating RPL is also acceptable on technical grounds, and the Department anticipates that the project will be completed by June 30, 2010 so that lapsing funds should not be an issue. The Department prefers an operating RPL.

TIMING ISSUES

The opportunity to receive one-time ARRA funding to support provider training and assistance was unanticipated earlier in the state budget cycle. A Notice of Grant Award dated September 15, 2009 has been received from the federal Centers for Disease Control and Prevention (CDC). These funds must be expended by December 31, 2011 and have been awarded as an amendment to Alaska’s existing federal immunization grant.

VacTrAK is the database currently being used to track vaccinations in Alaska. Many health care providers are entering information directly into the system. However, providers that already maintain immunization information within an electronic medical record are reluctant to dual-enter this data into VacTrAK. They prefer to develop a system to export data information from their existing records into VacTrAK. Although the State is highly supportive of this electronic information sharing, this method requires additional training

Agency Contact: Alison Elgee, (907) 465-1630

Legislative Finance Contact: Kelly Cunningham, (907) 465-3821

and coordination. Existing staff have not been able to provide this support in a timely manner. These ARRA funds will be used to amend an existing contract with the vendor that developed the VacTrAK software. The vendor has gained considerable experience providing similar training and technical support in other states that utilize this software. This expertise helps fulfill the goal of rapidly populating VacTrAK with immunization data. Delays in implementation of the program will result in decreased availability of immunization information for Alaska immunization providers, reducing the effectiveness of this valuable tool for appropriate health care delivery.

BUDGETARY ISSUES

VacTrAK has quickly become an integral and critical component of Alaska’s Immunization Program activities, both on a daily basis and as part of emergency response, such as efforts to address the current H1N1 flu outbreak. As an example of VacTrAK’s capabilities, the system is serving as the vaccine ordering, inventory, and accountability tool for Alaska’s H1N1 influenza vaccine distribution.

None of these ARRA funds have been expended to date. As with all ARRA federal funds, this is a one-time project. Similar funding will not be available in future years. The activities supported by these ARRA funds will be halted at the completion of the contract. These funds will not be used to supplant existing GF. It is not anticipated that GF will support these activities at the completion of the ARRA award period. The contract amendment with the vendor will have no impact on current State of Alaska staffing.

Although the project period is for September 1, 2009 through December 31, 2011, the entire grant is anticipated to be spent by June 30, 2010. No additional ARRA authority is expected to be requested in future years for this project.

Line Item	Amount	What is being purchased
Contractual Cost	\$94.6	Vendor contract that will provide VacTrAK software/database
Indirect costs	\$17.0	Federally approved indirect rate of approximately 18%
Total	\$111.6	

RESOURCE PROGRAMS
Department of Health and Human Services
Centers for Disease Control and Prevention
NATIONAL CENTER FOR IMMUNIZATION AND RESPIRATORY DISEASES



Grant Number: 3H23IP022531-07S1

Principal Investigator(s):

Laurel Wood

Project Title: ARRA-317 IMMUNIZATION AND VACCINES FOR CHILDREN GRANTS

Laurel Wood

ALASKA STATE DEPARTMENT OF HEALTH & SOCIAL SERVICE

P. O. BOX 110601

JUNEAU, AK 99811

Budget Period: 09/01/2009 – 12/31/2011

Project Period: 09/01/2009 – 12/31/2011

Dear Business Official:

The Centers for Disease Control and Prevention hereby awards a grant in the amount of \$111,581 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to ALASKA ST DHSS in support of the above referenced project. This award is pursuant to the authority of PHS 317, 42 USC, SEC. 247B and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

If you have any questions about this award, please contact the individual(s) referenced in Section IV

Sincerely yours,

Sharron Orum

Grants Management Officer

Centers for Disease Control and Prevention

Additional information follows

SECTION I – AWARD DATA – 3H23IP022531-07S1

Award Calculation (U.S. Dollars)

Consortium/Contractual Cost	\$94,560
Federal Direct Costs	\$94,560
Federal F&A Costs	\$17,021
Approved Budget	\$111,581
Federal Share	\$111,581
TOTAL FEDERAL AWARD AMOUNT	\$111,581
AMOUNT OF THIS ACTION (FEDERAL SHARE)	\$111,581

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project.

08	\$0
09	\$0
10	\$0

Fiscal Information:

CFDA Number: 93.712
 EIN: 1926001185A7
 Document Number: 022531SF09

IC	CAN	2009
IP	9390016	\$111,581

SUMMARY TOTAL FEDERAL AWARD AMOUNT YEAR (7)	
GRANT NUMBER	TOTAL FEDERAL AWARD AMOUNT
3H23IP022531-07S1	\$111,581
5H23IP022531-07	\$2,564,655
TOTAL	\$2,676,236

SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
7	\$111,581	\$2,676,236
8	\$0	\$1,055,315
9	\$0	\$1,055,315
10	\$0	\$1,055,315

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project

CDC Administrative Data:

PCC: N / OC: 4151 / Processed: ORUMS 09/15/2009

SECTION II – PAYMENT/HOTLINE INFORMATION – 3H23IP022531-07S1

For payment information see Payment Information section in Additional Terms and Conditions.

INSPECTOR GENERAL: The HHS Office Inspector General (OIG) maintains a toll-free number (1-800-HHS-TIPS [1-800-447-8477]) for receiving information concerning fraud, waste or abuse under grants and cooperative agreements. Information also may be submitted by e-mail to hhstips@oig.hhs.gov or by mail to Office of the Inspector General, Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW, Washington DC 20201. Such reports are treated as sensitive material and submitters may decline to give their names if they choose to remain anonymous. This note replaces the Inspector General contact information cited in previous notice of award.

SECTION III – TERMS AND CONDITIONS – 3H23IP022531-07S1

This award is based on the application submitted to, and as approved by, CDC on the above-titled project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- a. The grant program legislation and program regulation cited in this Notice of Award.
- b. The restrictions on the expenditure of federal funds in appropriations acts to the extent those restrictions are pertinent to the award.
- c. 45 CFR Part 74 or 45 CFR Part 92 as applicable.
- d. The HS Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- e. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

Treatment of Program Income:

Additional Costs

SECTION IV – IP Special Terms and Conditions – 3H23IP022531-07S1

Department of Health and Human Services
Standard Terms and Conditions
American Recovery and Reinvestment Act of 2009
Division A Funds

I. INCORPORATION: Request for Funding Opportunity Announcement (RFA) Number IP08-80305ARRA09 entitled American Recovery and Reinvestment Act (ARRA) Supplemental Funding for Reaching More Children and Adults and the application dated July 02, 2009, as discussed during the budget discussion between Laurel Wood and Gerri Yett, , State of Alaska, and Donald Sharmen, Grant Management Specialist and Lewis Anderson, CDC, Coordinating Center for Infectious Diseases, NCIRD on August 27, 2009 are made a part of this award by reference. THIS AWARD IS A SUPPLEMENT TO RFA NUMBER IP08-803.

1. HHS Standard Terms and Conditions

HHS grantees must comply with all terms and conditions outlined in their grant award, including grant policy terms and conditions contained in applicable Department of Health and Human Services (HHS) Grant Policy Statements, and requirements imposed by program statutes and regulations and HHS grant administration regulations, as applicable, unless they conflict or are superseded by the following terms and conditions implementing the American Recovery and Reinvestment Act of 2009 (ARRA) requirements below. In addition to the standard terms and conditions of award, recipients receiving funds under Division A of ARRA must abide by the terms and conditions set out below. The terms and conditions below concerning civil rights obligations and disclosure of fraud and misconduct are reminders rather than new requirements, but the other requirements are new and are specifically imposed for awards funded under ARRA. Recipients are responsible for contacting their HHS grant/program managers for any needed clarifications.

2. Response to Summary Statement

A written response to any weaknesses identified in the Summary Statement must be submitted no later than 30 days from the date of the Notice of Award. Summary Statement due no later than: October 1, 2009. Please submit the written response to the Grants Management Specialist and copy the Scientific Program Administrator listed under CDC Contact Names

3. Contractual Costs

Line item cost detail for all contracts is required to be submitted to the CDC Procurement and Grants Office 30 days after the contract agreement has been signed. Additionally, you must specify for all contracts the name of contractor, method of selection, period of performance, scope of work, method of accountability and itemized budget and justification. Sole source contracts must be adequately justified to be permitted under federal procurement standards.

4. Preference for Quick Start Activities

In using funds for this award for infrastructure investment, recipients shall give preference to activities that can be started and completed expeditiously, including a goal of using at least 50 percent of the funds for activities that can be initiated not later than 120 days after the date of the

enactment of ARRA. Recipients shall also use grant funds in a manner that maximizes job creation and economic benefit. (ARRA Sec. 1602)

5. Limit on Funds

None of the funds appropriated or otherwise made available in ARRA may be used by any State or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool. (ARRA Sec. 1604)

6. ARRA: One-Time Funding

Unless otherwise specified, ARRA funding to existent or new awardees should be considered one-time funding.

7. Civil Rights Obligations

While ARRA has not modified awardees' civil rights obligations, which are referenced in the HHS Grants Policy Statement, these obligations remain a requirement of Federal law. Recipients and subrecipients of ARRA funds or other Federal financial assistance must comply with Title VI of the Civil Rights Act of 1964 (prohibiting race, color, and national origin discrimination), Section 504 of the Rehabilitation Act of 1973 (prohibiting disability discrimination), Title IX of the Education Amendments of 1972 (prohibiting sex discrimination in education and training programs), and the Age Discrimination Act of 1975 (prohibiting age discrimination in the provision of services). For further information and technical assistance, please contact the HHS Office for Civil Rights at (202) 619-0403, OCRmail@hhs.gov, or <http://www.hhs.gov/ocr/civilrights/>.

8. Disclosure of Fraud or Misconduct

Each recipient or sub-recipient awarded funds made available under the ARRA shall promptly refer to the HHS Office of Inspector General any credible evidence that a principal, employee, agent, contractor, sub-recipient, subcontractor, or other person has submitted a false claim under the False Claims Act or has committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity, or similar misconduct involving those funds. The HHS Office of Inspector General can be reached at <http://www.oig.hhs.gov/fraud/hotline/>

9. Responsibilities for Informing Sub-recipients

Recipients agree to separately identify to each sub-recipient, and document at the time of sub-award and at the time of disbursement of funds, the Federal award number, any special CFDA number assigned for ARRA purposes, and amount of ARRA funds.

10. Recovery Act Transactions listed in Schedule of Expenditures of Federal Awards and Recipient Responsibilities for Informing Sub-recipients

(a) To maximize the transparency and accountability of funds authorized under the American Recovery and Reinvestment Act of 2009 (Public Law 111-5)(Recovery Act) as required by Congress and in accordance with 45 CFR 74.21 and 92.20 "Uniform Administrative Requirements for Grants and Agreements", as applicable, and OMB A-102 Common Rules provisions, recipients agree to maintain records that identify adequately the source and application of Recovery Act funds.

(b) For recipients covered by the Single Audit Act Amendments of 1996 and OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations," recipients agree to separately identify the expenditures for Federal awards under the Recovery Act on the Schedule of Expenditures of Federal Awards (SEFA) and the Data Collection Form (SF-SAC) required by OMB Circular A-133. This shall be accomplished by identifying expenditures for Federal awards made under Recovery Act separately on the SEFA, and as separate rows under Item 9 of Part III on the SF-SAC by CFDA number, and inclusion of the prefix "ARRA-" in identifying the name of the Federal program on the SEFA and as the first characters in Item 9d of Part III on the SF-SAC.

(c) Recipients agree to separately identify to each sub-recipient, and document at the time of sub-award and at the time of disbursement of funds, the Federal award number, CFDA number, and amount of Recovery Act funds. When a recipient awards Recovery Act funds for an existing program, the information furnished to sub-recipients shall distinguish the sub-awards of incremental Recovery Act funds from regular sub-awards under the existing program.

(d) Recipients agree to require their sub-recipients to include on their SEFA information to specifically identify Recovery Act funding similar to the requirements for the recipient SEFA described above. This information is needed to allow the recipient to properly monitor sub-recipient expenditure of ARRA funds as well as oversight by the Federal awarding agencies, Offices of Inspector General and the Government Accountability Office.

II. Standard award terms and conditions to be included in ALL awards EXCEPT for those that are classified, awarded to individuals, or awarded under mandatory and entitlement programs, except as specifically required by OMB, or expressly exempted from the reporting requirement in the Recovery Act

Insert the following standard award terms in all awards funded in whole or in part with Recovery Act funds, EXCEPT for those that are classified, awarded to individuals, or awarded under mandatory and entitlement programs, except as specifically required by OMB, or expressly exempted from the reporting requirement in the Recovery Act. See 2 CFR 176.40- 50.

Recipient Reporting

Reporting and Registration Requirements under Section 1512 of the American Recovery and Reinvestment Act of 2009, Public Law 111-5

(a) This award requires the recipient to complete projects or activities which are funded under the American Recovery and Reinvestment Act of 2009 ("Recovery Act") and to report on use of Recovery Act funds provided through this award. Information from these reports will be made available to the public.

(b) The reports are due no later than ten calendar days after each calendar quarter in which the recipient receives the assistance award funded in whole or in part by the Recovery Act.

(c) Recipients and their first-tier recipients must maintain current registrations in the Central Contractor Registration (www.ccr.gov) at all times during which they have active federal awards funded with Recovery Act funds. A Dun and Bradstreet Data Universal Numbering System (DUNS) Number (www.dnb.com) is one of the requirements for registration in the Central Contractor Registration.

(d) The recipient shall report the information described in section 1512(c) using the reporting instructions and data elements that will be provided online at www.FederalReporting.gov and ensure that any information that is pre-filled is corrected or updated as needed.

HHS? recipients of Recovery Act funding who are subject to Section 1512 reporting should report job-created data as prescribed in Section 5 of the Office of Management and Budget (OMB) guidance M-09-21. Below is abridged job reporting guidance. For the full OMB guidance, please visit: http://www.whitehouse.gov/omb/asset_s/memoranda_fy2009/m09-21.pdf

Some important points to keep in mind:

(a) A job created is a new position created and filled or and existing unfilled position that is filled as a result of the Recovery Act; a job retained is an existing position that would not have been continued to be filled were it not for Recovery Act funding. A job cannot be counted as both created and retained.

(b) The Recovery Act required estimate of the number of jobs should be expressed as ?full-time equivalents? (FTE), which is calculated as total hours worked in jobs created or retained divided by the number of hours in a full-time schedule. The FTE estimates must be reported cumulatively each calendar quarter.

(c) The requirement for reporting jobs is based on a simple calculation used to avoid overstating the number of other than full-time, permanent jobs. The formula for reporting can be represented as:

$$\frac{\text{Cumulative Recovery Act Funded Hours Worked (Qrt 1?n)}}{\text{Cumulative Hours in a Full-Time Schedule (Qrt 1?n)}} = \text{FTE}$$

Note: HHS will not accept statistical sampling methods to estimate the number of jobs created and retained. All recipients must report a direct and comprehensive count of jobs, as specified by OMB guidance M-09-21. See Section 5.3 of the OMB guidance for more information on calculating jobs, including job estimation examples.

III. Standard award term when issuing announcements or requesting applications for Recovery Act programs and activities that may involve construction, alteration, maintenance, or repair
As indicated in 2 CFR 176.180-.190, when issuing announcements or requesting applications for Recovery Act programs and activities that may involve construction, alteration, maintenance, or repair OPDIVs shall use the following award term:

Wage Rate Requirements under Section 1606 of the American Recovery and Reinvestment Act of 2009

a) Section 1606 of the Recovery Act requires that all laborers and mechanics employed by contractors and subcontractors on projects funded directly by or assisted in whole or in part by and through the Federal Government pursuant to the Recovery Act shall be paid wages at rates not less than those prevailing on projects of a character similar in the locality as determined by the Secretary of Labor in accordance with subchapter IV of chapter 31 of title 40, United States Code. Pursuant to Reorganization Plan No. 14 and the Copeland Act, 40 U.S.C. 3145, the Department of Labor has issued regulations at 29 CFR Parts 1, 3, and 5 to implement the Davis-Bacon and related Acts. Regulations in 29 CFR 5.5 instruct agencies concerning application of the standard Davis-Bacon contract clauses set forth in that section. Federal agencies providing grants, cooperative agreements, and loans under the Recovery Act shall ensure that the standard Davis-Bacon contract clauses found in 29 CFR 5.5(a) are incorporated in any resultant covered contracts that are in excess of \$2,000 for construction, alteration or repair (including painting and decorating).

(b) For additional guidance on the wage rate requirements of section 1606, contact your awarding agency. Recipients of grants, cooperative agreements and loans should direct their initial inquiries concerning the application of Davis-Bacon requirements to a particular federally assisted project to the Federal agency funding the project. The Secretary of Labor retains final coverage authority under Reorganization Plan Number 14.

IV. Standard award term when awarding Recovery Act funds for construction, alteration, maintenance, or repair of a public building or public work that DOES NOT involve iron, steel, and/or manufactured goods covered under international agreements
As provided by 2 CFR 176.140, when awarding Recovery Act funds for construction, alteration, maintenance, or repair of a public building or public work that does not involve iron, steel, and/or manufactured goods covered under international agreements, the agency shall use the following award term:

REQUIRED USE OF AMERICAN IRON, STEEL, AND MANUFACTURED GOODS?SECTION 1605 OF THE AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009

(a) Definitions. As used in this award term and condition?

?Manufactured good? means a good brought to the construction site for incorporation into the building or work that has been--

- (1) Processed into a specific form and shape; or
- (2) Combined with other raw material to create a material that has different properties than the properties of the individual raw materials.

"Public building? and "public work" means a public building of, and a public work of, a governmental entity (the United States; the District of Columbia; commonwealths, territories, and minor outlying islands of the United States; State and local governments; and multi-State, regional, or interstate entities which have governmental functions). These buildings and works may include, without limitation, bridges, dams, plants, highways, parkways, streets, subways, tunnels, sewers, mains, power lines, pumping stations, heavy generators, railways, airports, terminals, docks, piers, wharves, ways, lighthouses, buoys, jetties, breakwaters, levees, and canals, and the construction, alteration, maintenance, or repair of such buildings and works.

?Steel? means an alloy that includes at least 50 percent iron, between .02 and 2 percent carbon, and may include other elements.

(b) Domestic preference.

(1) This award term and condition implements Section 1605 of the American Recovery and Reinvestment Act of 2009 (Recovery Act)(Pub. L. 111-5), by requiring that all iron, steel, and manufactured goods used in the project are produced in the United States except as provided in paragraph (b)(3) and (b)(4) of this term and condition.

(2) This requirement does not apply to the material listed by the Federal Government as follows:

[Award official to list applicable excepted materials or indicate ?none?]

(3) The award official may add other iron, steel, and/or manufactured goods to the list in paragraph (b)(2) of this term and condition if the Federal government determines that?

(i) The cost of the domestic iron, steel, and/or manufactured goods would be unreasonable. The cost of domestic iron, steel, or manufactured goods used in the project is unreasonable when the cumulative cost of such material will increase the cost of the overall project by more than 25 percent;

(ii) The iron, steel, and/or manufactured good is not produced, or manufactured in the United States in sufficient and reasonably available quantities and of a satisfactory quality; or

(iii) The application of the restriction of section 1605 of the Recovery Act would be inconsistent with the public interest.

(c) Request for determination of inapplicability of Section 1605 of the Recovery Act.

(1)(i) Any recipient request to use foreign iron, steel, and/or manufactured goods in accordance with paragraph (b)(3) of this term and condition shall include adequate information for Federal Government evaluation of the request, including?

- (A) A description of the foreign and domestic iron, steel, and/or manufactured goods;
 - (B) Unit of measure;
 - (C) Quantity;
 - (D) Cost;
 - (E) Time of delivery or availability;
 - (F) Location of the project;
 - (G) Name and address of the proposed supplier; and
 - (H) A detailed justification of the reason for use of foreign iron, steel, and/or manufactured goods cited in accordance with paragraph (b)(3) of this term and condition.
- (ii) A request based on unreasonable cost shall include a reasonable survey of the market and a completed cost comparison table in the format in paragraph (d) of this term and condition.
- (iii) The cost of iron, steel, and/or manufactured goods material shall include all delivery costs to the construction site and any applicable duty.
- (iv) Any recipient request for a determination submitted after Recovery Act funds have been obligated for a project for construction, alteration, maintenance, or repair shall explain why the recipient could not reasonably foresee the need for such determination and could not have requested the determination before the funds were obligated. If the recipient does not submit a satisfactory explanation, the award official need not make a determination.

(2) If the Federal government determines after funds have been obligated for a project for construction, alteration, maintenance, or repair that an exception to section 1605 of the Recovery Act applies, the award official will amend the award to allow use of the foreign iron, steel, and/or relevant manufactured goods. When the basis for the exception is nonavailability or public interest, the amended award shall reflect adjustment of the award amount, redistribution of budgeted funds, and/or other actions taken to cover costs associated with acquiring or using the foreign iron, steel, and/or relevant manufactured goods. When the basis for the exception is the unreasonable cost of the domestic iron, steel, or manufactured goods, the award official shall adjust the award amount or redistribute budgeted funds by at least the differential established in 2 CFR 176.110(a).

(3) Unless the Federal Government determines that an exception to section 1605 of the Recovery Act applies, use of foreign iron, steel, and/or manufactured goods is noncompliant with section 1605 of the American Recovery and Reinvestment Act.

(d) Data. To permit evaluation of requests under paragraph (b) of this term and condition based on unreasonable cost, the Recipient shall include the following information and any applicable supporting data based on the survey of suppliers:

FOREIGN AND DOMESTIC ITEMS COST COMPARISON

Description	Unit of Measure	Quantity	Cost (Dollars)*
Item 1.			
Foreign steel, iron, or manufactured good		_____	_____

V. When requesting APPLICATIONS OR PROPOSALS for Recovery Act programs or activities that may involve construction, alteration, maintenance, or repair of a public building or public work, and DO NOT involve iron, steel, and/or manufactured goods covered under international agreements As provided in 2 CFR 176.150, when requesting applications or proposals for Recovery Act programs or activities that may involve construction, alteration, maintenance, or repair of a public building or public work, and do not involve iron, steel, and/or manufactured goods covered under international agreements, the agency shall use the following notice in its solicitations:

REQUIRED USE OF AMERICAN IRON, STEEL, AND MANUFACTURED GOODS?SECTION 1605 OF THE AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009

(a) Definitions. ?Manufactured good,? ?public building and public work,? and ?steel,? as used in this notice, are defined in the 2 CFR 176.140.

(b) Requests for determinations of inapplicability. A prospective applicant requesting a determination regarding the inapplicability of section 1605 of the American Recovery and Reinvestment Act of 2009 (Pub. L. 111-5)(Recovery Act) should submit the request to the award official in time to allow a determination before submission of applications or proposals. The prospective applicant shall include the information and applicable supporting data required by paragraphs (c) and (d) of the award term and condition at 2 CFR 176.140 in the request. If an applicant has not requested a determination regarding the inapplicability of 1605 of the Recovery Act before submitting its application or proposal, or has not received a response to a previous request, the applicant shall include the information and supporting data in the application or proposal

(c) Evaluation of project proposals.

If the Federal government determines that an exception based on unreasonable cost of domestic iron, steel, and/or manufactured goods applies, the Federal Government will evaluate a project requesting exception to the requirements of section 1605 of the Recovery Act by adding to the estimated total cost of the project 25 percent of the project cost, if foreign iron, steel, or manufactured goods are used in the project based on unreasonable cost of comparable manufactured domestic iron, steel, and/or manufactured goods.

(d) Alternate project proposals.

(1) When a project proposal includes foreign iron, steel, and/or manufactured goods not listed by the Federal Government at paragraph (b)(2) of the award term and condition at 2 CFR 176.140, the applicant also may submit an alternate proposal based on use of equivalent domestic iron, steel, and/or manufactured goods.

(2) If an alternate proposal is submitted, the applicant shall submit a separate cost comparison table prepared in accordance with paragraphs (c) and (d) of the award term and condition at 2 CFR 176.140 for the proposal that is based on the use of any foreign iron, steel, and/or manufactured goods for which the Federal Government has not yet determined an exception applies.

(3) If the Federal government determines that a particular exception requested in accordance with paragraph (b) of the award term and condition at 2 CFR 176.140 does not apply, the Federal Government will evaluate only those proposals based on use of the equivalent domestic iron, steel, and/or manufactured goods, and the applicant shall be required to furnish such domestic items.

VI. Standard award term when awarding Recovery Act funds for construction, alteration, maintenance, or repair of a public building or public work that INVOLVES iron, steel, and/or manufactured goods materials covered under international agreements

As provided by 2 CFR 176.160, when awarding Recovery Act funds for construction, alteration, maintenance, or repair of a public building or public work that involves iron, steel, and/or manufactured goods materials covered under international agreements, the agency shall use the following award term:

(a) Definitions. As used in this award term and condition?

?Designated country? --

(1) A World Trade Organization Government Procurement Agreement country (Aruba, Austria, Belgium, Bulgaria, Canada, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hong Kong, Hungary, Iceland, Ireland, Israel, Italy, Japan, Korea (Republic of), Latvia, Liechtenstein, Lithuania, Luxembourg, Malta, Netherlands, Norway, Poland, Portugal, Romania, Singapore, Slovak Republic, Slovenia, Spain, Sweden, Switzerland, and United Kingdom,

(2) A Free Trade Agreement (FTA) country (Australia, Bahrain, Canada, Chile, Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras, Israel, Mexico, Morocco, Nicaragua, Oman, Peru, or Singapore); or

(3) A United States-European Communities Exchange of Letters (May 15, 1995) country: Austria, Belgium, Bulgaria, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovak Republic, Slovenia, Spain, Sweden, and United Kingdom.

?Designated country iron, steel, and/or manufactured goods? --

(1) Is wholly the growth, product, or manufacture of a designated country; or

(2) In the case of a manufactured good that consist in whole or in part of materials from another country, has been substantially transformed in a designated country into a new and different manufactured good distinct from the materials from which it was transformed.

"Domestic iron, steel, and/or manufactured good" --

(1) Is wholly the growth, product, or manufacture of the United States; or

(2) In the case of a manufactured good that consists in whole or in part of materials from another country, has been substantially transformed in the United States into a new and different manufactured good distinct from the materials from which it was transformed. There is no requirement with regard to the origin of components or subcomponents in manufactured goods or products, as long as the manufacture of the goods occurs in the United States.
"Foreign iron, steel, and/or manufactured good" means iron, steel and/or manufactured good that is not domestic or designated country iron, steel, and/or manufactured good.

"Manufactured good" means a good brought to the construction site for incorporation into the building or work that has been—

- (1) Processed into a specific form and shape; or
- (2) Combined with other raw material to create a material that has different properties than the properties of the individual raw materials.

"Public building" and "public work" means a public building of, and a public work of, a governmental entity (the United States; the District of Columbia; commonwealths, territories, and minor outlying islands of the United States; State and local governments; and multi-State, regional, or interstate entities which have governmental functions). These buildings and works may include, without limitation, bridges, dams, plants, highways, parkways, streets, subways, tunnels, sewers, mains, power lines, pumping stations, heavy generators, railways, airports, terminals, docks, piers, wharves, ways, lighthouses, buoys, jetties, breakwaters, levees, and canals, and the construction, alteration, maintenance, or repair of such buildings and works.

"Steel" means an alloy that includes at least 50 percent iron, between .02 and 2 percent carbon, and may include other elements.

(b) Iron, steel, and manufactured goods.

(1) This award term and condition implements

(i) Section 1605(a) of the American Recovery and Reinvestment Act of 2009 (Pub. L. 111-5) (Recovery Act), by requiring that all iron, steel, and manufactured goods used in the project are produced in the United States; and

(ii) Section 1605(d), which requires application of the Buy American requirement in a manner consistent with U.S. obligations under international agreements. The restrictions of section 1605 of the Recovery Act do not apply to designated country iron, steel, and/or manufactured goods. The Buy American requirement in section 1605 shall not be applied where the iron, steel or manufactured goods used in the project are from a Party to an international agreement that obligates the recipient to treat the goods and services of that Party the same as domestic goods and services. This obligation shall only apply to projects with an estimated value of \$7,443,000 or more.

(2) The recipient shall use only domestic or designated country iron, steel, and manufactured goods in performing the work funded in whole or part with this award, except as provided in paragraphs (b)(3) and (b)(4) of this term and condition.

(3) The requirement in paragraph (b)(2) of this term and condition does not apply to the iron, steel, and manufactured goods listed by the Federal Government as follows:

[Award official to list applicable excepted materials or indicate "none?"]

(4) The award official may add other iron, steel, and manufactured goods to the list in paragraph (b)(3) of this award term and condition if the Federal government determines that?

(i) The cost of domestic iron, steel, and/or manufactured goods would be unreasonable. The cost of domestic iron, steel, and/or manufactured goods used in the project is unreasonable when the cumulative cost of such material will increase the overall cost of the project by more than 25 percent;

(ii) The iron, steel, and/or manufactured goods is not produced, or manufactured in the United States in sufficient and reasonably available commercial quantities of a satisfactory quality; or

(iii) The application of the restriction of section 1605 of the Recovery Act would be inconsistent with the public interest.

(c) Request for determination of inapplicability of section 1605 of the Recovery Act or the Buy American Act.

(1)(i) Any recipient request to use foreign iron, steel, and/or manufactured goods in accordance with paragraph(b)(4) of this term and condition shall include adequate information for Federal Government evaluation of the request, including?

(A) A description of the foreign and domestic iron, steel, and/or manufactured goods;

(B) Unit of measure;

- (C) Quantity;
- (D) Cost;
- (E) Time of delivery or availability;
- (F) Location of the project;
- (G) Name and address of the proposed supplier; and
- (H) A detailed justification of the reason for use of foreign iron, steel, and/or manufactured goods cited in accordance with paragraph (b)(4) of this term and condition.
- (ii) A request based on unreasonable cost shall include a reasonable survey of the market and a completed cost comparison table in the format in paragraph (d) of this term and condition.
- (iii) The cost of iron, steel, or manufactured goods shall include all delivery costs to the construction site and any applicable duty.
- (iv) Any recipient request for a determination submitted after Recovery Act funds have been obligated for a project for construction, alteration, maintenance, or repair shall explain why the recipient could not reasonably foresee the need for such determination and could not have requested the determination before the funds were obligated. If the recipient does not submit a satisfactory explanation, the award official need not make a determination.
- (2) If the Federal government determines after funds have been obligated for a project for construction, alteration, maintenance, or repair that an exception to section 1605 of the Recovery Act applies, the award official will amend the award to allow use of the foreign iron, steel, and/or relevant manufactured goods. When the basis for the exception is nonavailability or public interest, the amended award shall reflect adjustment of the award amount, redistribution of budgeted funds, and/or other appropriate actions taken to cover costs associated with acquiring or using the foreign iron, steel, and/or relevant manufactured goods. When the basis for the exception is the unreasonable cost of the domestic iron, steel, or manufactured goods, the award official shall adjust the award amount or redistribute budgeted funds, as appropriate, by at least the differential established in 2 CFR 176.110(a).
- (3) Unless the Federal Government determines that an exception to the section 1605 of the Recovery Act applies, use of foreign iron, steel, and/or manufactured goods other than designated country iron, steel, and/or manufactured goods is noncompliant with the applicable Act.

(d) Data. To permit evaluation of requests under paragraph (b) of this term and condition based on unreasonable cost, the applicant shall include the following information and any applicable supporting data based on the survey of suppliers:

FOREIGN AND DOMESTIC ITEMS COST COMPARISON

Description	Unit of Measure	Quantity	Cost (Dollars)*
Item 1:			
Foreign steel, iron, or manufactured good		_____	_____
Domestic steel, iron, or manufactured good		_____	_____
Item 2:			
Foreign steel, iron, or manufactured good		_____	_____
Domestic steel, iron, or manufactured good		_____	_____

[List name, address, telephone number, email address, and contact for suppliers surveyed. Attach copy of response; if oral, attach summary.]
 [Include other applicable supporting information.]
 [* Include all delivery costs to the construction site.]

VII. When requesting APPLICATIONS OR PROPOSALS for Recovery Act programs or activities that may involve construction, alteration, maintenance, or repair of a public building or public work, and INVOLVE iron, steel, and/or manufactured goods covered under international agreements As provided by 2 CFR 176.170, when requesting applications or proposals for Recovery Act programs or activities that may involve construction, alteration, maintenance, or repair of a public building or public work, and involve iron, steel, and/or manufactured goods covered under international agreements, the agency shall use the following notice:

NOTICE OF REQUIRED USE OF AMERICAN IRON, STEEL, AND MANUFACTURED GOODS (COVERED UNDER INTERNATIONAL AGREEMENTS)?SECTION 1605 OF THE AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009

(a) Definitions. ?Designated country iron, steel, and/or manufactured goods,? ?foreign iron, steel, and/or manufactured good,? ?manufactured good,? ?public building and public work,? and ?steel,? as used in this provision, are defined in 2 CFR 176.160(a).

(b) Requests for determinations of inapplicability. A prospective applicant requesting a determination regarding the inapplicability of section 1605 of the American Recovery and Reinvestment Act of 2009 (Pub. L. 111-5)(Recovery Act) should submit the request to the award official in time to allow a determination before submission of applications or proposals. The prospective applicant shall include the information and applicable supporting data required by paragraphs (c) and (d) of the award term and condition at 2 CFR 176.160 in the request. If an applicant has not requested a determination regarding the inapplicability of 1605 of the Recovery Act before submitting its application or proposal, or has not received a response to a previous request, the applicant shall include the information and supporting data in the application or proposal.

(c) Evaluation of project proposals.

If the Federal government determines that an exception based on unreasonable cost of domestic iron, steel, and/or manufactured goods applies, the Federal Government will evaluate a project requesting exception to the requirements of section 1605 of the Recovery Act by adding to the estimated total cost of the project 25 percent of the project cost if foreign iron, steel, or manufactured goods are used based on unreasonable cost of comparable domestic iron, steel, or manufactured goods.

(d) Alternate project proposals.

(1) When a project proposal includes foreign iron, steel, and/or manufactured goods, other than designated country iron, steel, and/or manufactured goods, that are not listed by the Federal Government in this Buy American notice in the request for applications or proposals, the applicant may submit an alternate proposal based on use of equivalent domestic or designated country iron, steel, and/or manufactured goods.

(2) If an alternate proposal is submitted, the applicant shall submit a separate cost comparison table prepared in accordance with paragraphs (c) and (d) of the award term and condition at 2 CFR 176.160 for the proposal that is based on the use of any foreign iron, steel, and/or manufactured goods for which the Federal Government has not yet determined an exception applies.

(3) If the Federal government determines that a particular exception requested in accordance with paragraph (b) of the award term and condition at 2 CFR 176.160 does not apply, the Federal Government will evaluate only those proposals based on use of the equivalent domestic or designated country iron, steel, and/or manufactured goods, and the applicant shall be required to furnish such domestic or designated country items.

CDC CONTACT NAMES:

ARRA Contact

Donald E. Sharman, MPH, Grants Management Specialist
PGO/GMB, CDC
2920 Brandywine Road, Room 3202
Atlanta, Georgia 30341-4146
Telephone: (770) 488-2463
email: ipx9@cdc.gov

Business and Grants Policy Contact

Peaches Brown, Grants Management Specialist
PGO/GMB, CDC
2920 Brandywine Road, Room 3622
Atlanta, Georgia 30341-4146
Telephone: (770) 488-2738
email: prb0@cdc.gov

Programmatic Contact

Lewis Anderson, Project Officer
Program Operations Branch
Immunization Services Division / CDC
1600 Clifton Rd. MS E-52
Atlanta, GA 30333
Telephone: 404.639.8615
email: lsa1@cdc.gov

PLEASE REFERENCE YOUR ARRA REQUEST FOR FUNDING ANNOUNCEMENT (RFA) NUMBER ON ALL CORRESPONDENCE

STAFF CONTACTS

Grants Management Specialist: Michael Vance
Centers for Disease Control and Prevention
Procurement and Grants Office
Koger Center, Colgate Building
2920 Brandywine Road, Mail Stop K 14
Atlanta, GA 30341
Email: mvance@cdc.gov **Phone:** 770-488-2686

Grants Management Officer: Sharron Orum
Centers for Disease Control and Prevention
Procurement and Grants Office
Koger Center, Colgate Building
2920 Brandywine Road, Mail Stop K 14
Atlanta, GA 30341
Email: spo2@cdc.gov **Phone:** 770-488-2716

SPREADSHEET SUMMARY

GRANT NUMBER: 3H23IP022531-07S1

INSTITUTION: ALASKA STATE DEPARTMENT OF HLTH-SOC SVCS

<i>Budget</i>	<i>Year 7</i>	<i>Year 8</i>	<i>Year 9</i>	<i>Year 10</i>
Consortium/Contractual Cost	\$94,560			
TOTAL FEDERAL DC	\$94,560			
TOTAL FEDERAL F&A	\$17,021			
TOTAL COST	\$111,581	\$0	\$0	\$0

Alaska (H23/IP-022531)
2009 Budget Change Request
 Technical Review
 Request S264

ACR Request Overview			
Status:	Final Submit to PGO	Description:	CDC-RFA-IP08-80305ARRA09 - Supplemental Funding for Reaching More Children and Adults
Request Modified By:	Nancy Fasano	Requested/Last Modified:	2009-07-02 / 2009-08-06
Unique Serial #:	S264	Amendment #:	
Justification			
<p>These ARRA funds will be used to enhance provider enrollment in VacTrAK, Alaska's immunization information system. Funding will support contract personnel to recruit providers into VacTrAK who currently maintain immunizations in electronic medical records. Appropriate use of the VacTrAK immunization information and forecasting system will increase the number of children and adults in Alaska receiving immunizations according to recommended schedules.</p>			

Workplan Summary		Budget Summary		
	#		\$ Requested	\$ Approved
Objectives Modified	0	Funds Added	\$111,581	\$111,581
Objectives Added	2	Funds Suspended	\$0	\$0
		Funds Redirected	\$111,581	\$111,581

Summary of Approved Funding Changes	
Special Purpose Supplemental Added	
Funding Source	Amount
2009 ARRA Base	\$111,581

Budget Summary

Object Class Changes				
ARRA Base				
Object Class	Annualized			Funded
	Before Change	After Change	Difference	\$ Amount
FA - Personnel	\$0	\$0	\$0	\$0
FA - Fringe	\$0	\$0	\$0	\$0
FA - Travel	\$0	\$0	\$0	\$0
FA - Equipment	\$0	\$0	\$0	\$0
FA - Supplies	\$0	\$0	\$0	\$0
FA - Contractual	\$0	\$94,560	\$94,560	\$94,560
FA - Vaccine	\$0	\$0	\$0	\$0
FA - Other	\$0	\$0	\$0	\$0
Indirect	\$0	\$17,021	\$17,021	\$17,021
DA - Personnel	\$0	\$0	\$0	\$0
DA - Other	\$0	\$0	\$0	\$0

Budget Details

Financial Assistance : Contractual					Total: \$94,560
User Defined ID	Type	Contract Details	Contract Type	Accountab	Amount Change
Recruitmnt	Redirection	Scientific Technologies Inc.(Selected by: Sole Source) <i>(Period of Performance: 2009-09-01 - 2011-12-31)</i>	Commercial	Quarterly Report	\$94,560
<p>These funds will be used to support contract staff who will recruit and train selected providers to increase the number of VacTrAK users who submit immunization information extracted from providers' electronic medical records (EMR). Personal Services 1 person @ \$150/hr x 500 hrs = \$75,000 In-state travel 1 person x 12 trips x ~\$1,630/trip = 19,560</p> <p><i>Funded by:</i> ARRA Base - 100.00% (\$94,560)</p>					

Indirect Costs			Total: \$17,021
User Defined ID	Type	Indirect Change Description	Amount Change
Indirect	Redirection	Indirect	\$17,021
		Direct Cost Allocation (DCA) funding calculated at 18% of total award. <i>Funded by:</i> ARRA Base - 100.00% (\$17,021)	

Project Workplan Review

Project Level Issues
(Strength) Grantee proposes to use ARRA funds to continue enhancement of its young registry by recruiting providers who use electronic medical records and working with them to interface with the Immunizaation registry. [<i>cited by Lewis Anderson</i>]

Workplan Details

Approved	IIS Enhancement (2009-0054)
SMART Objective Statement:	By 12/31/2011, the IIS vendor will facilitate the enrollment of at least 20 new providers who use an existing electronic medical record (EMR) and who wish to submit electronic immunization information directly into VacTrAK, Alaska's IIS. Work on this objective will begin on 09/01/2009.
Performance Measure:	By 12/31/2011, at least 20 new providers who use EMRs will be enrolled in VacTrAK and will be submitting electronic immunization information directly into the system.
Enhancement to:	20090011- IIS - Number of Children in System

Grantee Activities:			Budget	
ID	Activity Description	Timeline	Object Class	\$ Amount
1	The Deputy Immunization Program Manager will follow state procedures to modify the existing contract with the VacTrAK vendor to support personnel and travel costs for a staff member to work with identified providers using EMRs to facilitate their addition of immunization data into VacTrAK.		FA - Contractual	\$94,560
			Total	\$94,560
2	The VacTrAK Manager will identify Alaska immunization providers using EMRs to compile immunization histories and will prioritize this listing for submission to the contractor.			
3	The contractor will recruit identified Alaska immunization providers to ensure their enrollment in VacTrAK and will provide technical assistance to facilitate electronic submission of immunization data from the provider's EMR into the system.			
4	The contractor will provide training to identified providers in the appropriate use of VacTrAK, including how to submit data and how to extract immunization information to be used in providing appropriate care for their patients.			

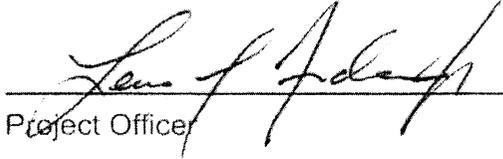
Associated Requirements

Component	Description	Split %
ARRA: Chapter 3, Program Requirement 3.1	Strive to achieve the program goal of enrolling at least 95 percent of children under six years of age in a fully operational IIS.	90.0%
ARRA: Chapter 3, Program Requirement 3.5	Implement and maintain IIS in accordance with the National Vaccine Advisory Committee functional recommendation/standards of operation.	10.0%

Approved		ARRA Reporting Requirements (2009-0055)		
SMART Objective Statement:		By 12/31/2011, the Immunization Program Manager will implement the system to meet the reporting requirements to ensure proper ARRA compliance. Work on this objective will begin on 09/01/2009.		
Performance Measure:		All monthly phone calls and quarterly/annual reports related to ARRA activities will have been completed according to designated timelines.		
Grantee Activities:			Budget	
ID	Activity Description	Timeline	Object Class	\$ Amount
1	Program staff will submit quarterly reports to HHS and post on recovery.gov 10 days after the end of each calendar quarter, beginning in October 2009.		Indirect	\$17,021
2	Program staff will participate in monthly calls with our CDC Project Officer, beginning in October 2009.		Total	\$17,021
3	Program staff will complete annual ARRA reports required by the NCIRD Program Operations Branch and recovery.gov.			
Associated Requirements				
Component		Description		Split %
ARRA: Chapter 1, Program Requirement 1.3		Additional Recommended Activities		100.0%

Project Officer Affirmation

The proposed budget, budget justification and programmatic workplan are consistent with the intended use of grant funds. The applicant is recommended for funding.


Project Officer

08/07/2009
Date

**Department of Natural Resources
North Latitude Plant Material Center
through the Office of the Governor**

Subject of RPL: Developing a rural village seed production program	ADN/RPL #: 10-0-5054
Amount requested: \$2,243,000	Appropriation Authority: Ch 17 SLA 09 Sec 4 pg 7 In 25
Funding source: Federal Stimulus: ARRA 2009 - capital	Statutory Authority: AS 03.05.010, 027, 030, AS 44.37.030

PURPOSE

Natural resource development, road and airport construction, and rehabilitation of military lands is occurring throughout rural Alaska. Revegetation materials specific to local areas are needed for nearly all of these projects. These ARRA funds will be used to assist rural communities in the development of native seed production businesses to serve the restoration needs. The primary users of seed will be the Alaska Department of Transportation and Public Facilities, the U.S. Department of Defense, mining companies and the oil industry.

Production of adapted and native seed is an industry suited for rural villages. There is potential for a decrease in cost and more effective revegetation if the materials can be produced locally. Implementation of this project will help communities build an industry that promotes wise resource rehabilitation and development, and provide a higher quality product at a lower cost to the end user.

Depending on available land and local interest, potential communities that could benefit from this funding are Barrow, Kotzebue, Aniak, Bethel, and Metlakatla, all of which are in close proximity to resource development projects.

***Legislative Fiscal Analyst Comment:* Because commercial vendors do not produce seed designed specifically for each of the State's regions, the rural village seed production program will improve restorative efforts and have minimal impact on existing Alaskan commercial seed producers.**

The Department has not yet set guidelines determining which communities will receive the funding or how much of the funding each community will receive.

PREVIOUS LEGISLATIVE CONSIDERATION

This funding was not anticipated so there has not been Finance Committee consideration. There are no current appropriations for this project, and no current intent language in the appropriation bill. No previous RPLs for this activity have been considered. The appropriation authority is found in the authorization under the Governor's Office for ARRA grants.

TIMING ISSUES

This funding is documented in the American Recovery and Reinvestment Act through a Forest Health Cooperative Project within the Forest Service, and is available immediately. Hiring and planning will need to take place prior to the 2010 field season in order to utilize and expend the funds prior to the expiration date of September, 2012.

Agency Contact: Leta Simons, (907) 465-3379

Legislative Finance Contact: Amanda Ryder, (907) 465-5411

BUDGETARY ISSUES

This funding fits into long-term plans and mission of the North Latitude Plant Material Center. The following is the line item distribution of the proposed expenditure.

Expense Type	Cost	Explanation
Personnel	\$239,815	Staff to carry out project objectives and provide administrative support will include three new long-term non-perm positions (Agronomist I/II or Natural Resource Specialist II/III), and extension of existing seasonal positions from five months to six months.
Travel	\$132,212	Travel to rural village sites across Alaska.
Contractual	\$1,797,328	Relevant on-site contractual agreements with local village work force and enterprise development authority for labor and equipment.
Supplies	\$73,645	Necessary and appropriate farm, harvesting, and seed conditioning equipment
		Total Cost: \$2,243,000

This is a new project, fully funded through ARRA. No additional funding will be needed to complete the project, nor will general funding be needed to replace ARRA funding once the project is completed. Project expenditures are expected to begin in November, 2009 and continue through September, 2012.



Forest
Service

Washington
Office

1400 Independence Avenue, SW
Washington, DC 20250

File Code: 1930
Route To:

Date: September 9, 2009

Subject: 2009 American Recovery and Reinvestment Act

To: Regional Foresters, Station Directors, Area Director, IITF Director, Deputy Chiefs
and WO Directors

I am pleased that Secretary of Agriculture Tom Vilsack has announced an additional \$89.3 million of Forest Service projects to be funded by the American Recovery and Reinvestment Act (ARRA). These funds are for 78 forest health projects in 30 states and one territory. Please see the enclosed table for project details.

The 78 projects will treat forest health conditions that threatened the benefits forested lands provide. Water quality, air quality, habitat for wildlife, resistance to wildfire, and recreational opportunities will benefit from these treatments. The projects will be carried out on Federal lands and provide technical and financial assistance to treatments on lands owned by States, local governments, private individuals and Tribes.

This release of funds completes the release of the ARRA funds authorized for Forest Service projects. We have now released funding for 695 projects across the country.

I expect you to ensure prompt obligation of these funds and implementation of these projects. Our goal is to have projects well underway as soon as possible to create jobs for the citizens we serve, and support our mission of sustaining the health, diversity, and productivity of the nation's forests to meet the needs of present and future generations.

Thank you for your continued efforts for ARRA implementation.

/s/ Hank Kashdan (for)
THOMAS L. TIDWELL
Chief

Enclosure



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Wildland Fire Management - Forest Health						
Region	State	Project Type	Project Number	Project Description	Number of Projects	Est't Am't to Accomplish (\$1000)
R01	ID	Forest Health - Cooperative	WFM-0156-03HFE	Managing Noxious Weeds & Invasive Species - Benewah & Shoshone	1	\$2,268.00
		Forest Health - Federal	WFM-0156-16HFE	Kootenai County Forest Health Improvement	1	\$516.00
			WFM-0104-01FHF	Forest Wide Pre-Commercial Thinning - 2009 Work	1	\$646.00
			WFM-0104-02FHF	Forest Wide White Pine Pruning for Blister Rust Control - 2009 Work	1	\$457.70
	ID Total				4	\$3,887.70
	MT	Forest Health - Cooperative	WFM-0156-02FHC	NW MT Forest Pest Management	1	\$296.00
		Forest Health - Federal	WFM-0103-05FHF	Forest Wide Timber Stewardship Projects	1	\$1,825.00
			WFM-0103-07FHF	Swift Creek	1	\$172.00
			WFM-0114-03FHF	Forest-wide Thinning	1	\$1,270.00
			WFM-0114-06FHF	Reforestation Maintenance Forest-wide	1	\$360.00
	MT Total				5	\$3,923.00
R01 Total					9	\$7,810.70
R02	CO	Forest Health - Federal	WFM-0213-02FHF	San Juan National Forest 5,000 Acre Fuels Project	1	\$1,500.00
	CO Total			Noxious Weed Control	1	\$1,500.00
R02 Total					1	\$1,500.00
R03	AZ	Forest Health - Cooperative	WFM-AZ-03FHC	Apache Ecosystem Restoration	1	\$475.00
		Forest Health - Federal	WFM-0301-01FHF	Brookbank pre-commercial thinning	1	\$1,400.00
			WFM-0301-03FHF	Nutriso WUI Pinyon-Juniper Restoration	1	\$593.00
			WFM-0301-06FHF	Pinyon-Juniper Thinning & Mastication	1	\$1,170.00
	AZ Total				4	\$3,638.00
R03 Total					4	\$3,638.00
R04	ID	Forest Health - Cooperative	WFM-0460-10HFE	Ada County Forest Health Improvement	1	\$516.00
	ID Total				1	\$516.00
	NV	Forest Health - Cooperative	WFM-0460-31HFE	Nevada Forest Revitalization	1	\$494.00
	NV Total				1	\$494.00
R04 Total					2	\$1,010.00
R05	CA	Forest Health - Federal	WFM-05-01FHF	Regionwide Biomass	1	\$5,000.00
			WFM-05-02FHF	Thinning and Biomass Phase 1	1	\$3,110.00
			WFM-05-03FHF	Insect & Disease	1	\$500.00

		WF05-05-04FHF	Thinning and Biomass Phase 2	1	\$2,100.00
CA Total				4	\$10,710.00
CA, GU, HI	Forest Health - Cooperative	WF05-05-03FHC	Insect & Disease Regionwide	1	\$2,190.00
CA, GU, HI Total				1	\$2,190.00
R05 Total				5	\$12,900.00
R06	Forest Health - Cooperative	WF06-0627-01FHC	Sudden Oak Death Host Reduction	1	\$2,692.00
		WF06-0627-04FHC	NE Oregon Forest Health Block Grant	1	\$2,243.00
		WF06-0627-13FHC	ODA National Forest Invasive Plant Control and Mgmt.	1	\$269.00
		WF06-0627-29HFE	NEO Ecosystem / Riparian restoration	1	\$1,795.00
		WF06-0627-32HFE	Linn County Forest Health	1	\$113.00
	Forest Health - Federal	WF06-0601-01FHF	Opine Beetle Risk Reduction	1	\$1,890.00
		WF06-0604-05FHF	P - Collaborative Restoration Forest Health Support Contracts	1	\$3,630.00
		WF06-0610-04FHF	P-Terrestrial Habitat Enhancement - Botany and Wildlife (Meadows) - Forestwide	1	\$1,400.00
		WF06-0610-06FHF	P - Ashland Forest Resiliency & Timber Stand Improvement	1	\$2,000.00
		WF06-0614-08FHF	Forest-wide Noncommercial Thinning 2009	1	\$1,000.00
		WF06-0616-10FHF	P-Native conifer and non-conifer seed collection and production for restoration projects	1	\$400.00
OR Total				11	\$17,432.00
WA	Forest Health - Cooperative	WF06-0627-03FHC	Eastern WA Private land forest health	1	\$1,240.00
		WF06-0627-14FHC	Republic/Gardner State land forest improvement	1	\$99.00
		WF06-0627-17FHC	Roo/Huckleberry/Strangeberry State lands forest improvement	1	\$92.00
		WF06-0627-23FHC	West Branch/Seldom State lands forest improvement	1	\$90.00
		WF06-0627-42FHC	Stevens County State land pre-commercial thinning	1	\$65.00
	Forest Health - Federal	WF06-0621-02FHF	Colville National Forest Timber Stand Improvement	1	\$1,800.00
WA Total				6	\$3,386.00
R06 Total				17	\$20,818.00
R08	Forest Health - Cooperative	WF08-0825-07FHC	Florida Forest Health Improvement Initiative	1	\$1,570.00
FL Total				1	\$1,570.00
GA	Forest Health - Cooperative	WF08-0825-08HFE	Community Tree Planting for Ecosystem Restoration and Green Jobs: Georgia's Growing Green	1	\$897.00
GA Total				1	\$897.00
MS	Forest Health - Cooperative	WF08-0825-08FHC	Comprehensive Southern Pine Beetle Prevention Project for Mississippi	1	\$897.00

	MI	Forest Health - Cooperative	WFM-2423-04RES	Restoring Native Plants on the Historic Grand Island National Recreation Area, Hiawatha National Forest	1	\$200.00
	MI Total				1	\$200.00
	MI,OH	Forest Health - Cooperative	WFM-2423-01FHC	Emerald Ash Borer Containment and Ecosystem Restoration	1	\$2,244.00
	MI,OH Total				1	\$2,244.00
	PA	Forest Health - Cooperative	WFM-2423-02HFE	Philadelphia: Restoring Ecosystems in Fairmount Park	1	\$1,795.00
	PA Total		WFM-2423-12HFE	Restoring Forests Through the Reclamation of Surface Coal Mines In Western Pennsylvania	1	\$359.00
	NRS Total				2	\$2,154.00
	PNW	Forest Health - Cooperative	WFM-2619-01FHC	Forests Adapting To and Mitigating Climate Change Effects	7	\$7,649.00
	AK,CA,HI,OR,WA Total				1	\$1,795.00
	CA,OR	Forest Health - Cooperative	WFM-2619-02RES	Research on restoring critical habitat after land management practices and fire for listed Pacific salmon through effective management approaches based on state-of-the-art scientific knowledge.	1	\$2,240.00
	CA,OR Total				1	\$2,240.00
	WA	Forest Health - Cooperative	OTH-2619-01O	Restore community ecosystems, while promoting green jobs in the Puget Sound area.	1	\$1,346.00
	WA Total				1	\$1,346.00
	PNW Total				3	\$5,381.00
	SRS	Forest Health - Cooperative	WFM-3301-1FHC	Create a cooperative marketing network within Western North Carolina	1	\$1,974.00
	NC Total				1	\$1,974.00
	SRS Total				1	\$1,974.00
	NE Area	Forest Health - Cooperative	WFM-4200-03FHC	Washington Parks and People District of Columbia Green Corps	1	\$2,692.00
	DC	Forest Health - Cooperative	WFM-4200-37FHC	The Mayor's Green Summer Job Corps, Tree Section	1	\$90.00
	DC Total				2	\$2,782.00
	DE	Forest Health - Cooperative	WFM-4200-06HFE	Northern DE Forestry Stimulus Project	1	\$895.00
	DE Total				1	\$895.00
	IA	Forest Health - Cooperative	WFM-4200-05HFE	Forest Regeneration Center Enhancement and Position Retention	1	\$449.00
	IA Total				1	\$449.00
	IL	Forest Health - Cooperative	WFM-4200-18FHC	Public Community and Forestry Program	1	\$1,795.00
	IL Total				1	\$1,795.00
	MA	Forest Health - Cooperative	WFM-4200-09FHC	MA Asian Longhorn Beetle Area Watershed Health and Ecological Enhancement	1	\$4,487.00

MA Total	Forest Health - Cooperative	WFM-4200-14FHC	Implementation of Mitigation Strategies based on the Slowing Ash Mortality (SLAM) effort in the Upper Peninsula (UP)	1	\$4,487.00
MI				1	\$2,243.00
MI Total				1	\$2,243.00
NJ	Forest Health - Cooperative	WFM-4200-16HFE	Ballanger Creek Enhancement	1	\$175.00
		WFM-4200-18HFE	Tree Seedling Survival Project	1	\$135.00
		WFM-4200-24FHC	NJ Community Stewardship Incentive Program - Small Business	1	\$992.00
		WFM-4200-28FHC	Hazard Tree Assessment and Removal Project	1	\$673.00
NJ Total				4	\$1,975.00
NY	Forest Health - Cooperative	WFM-4200-25FHC	Eradication of Oak Wilt and Giant Hogweed in NY	1	\$763.00
NY Total				1	\$763.00
RI	Forest Health - Cooperative	WFM-4200-34FHC	Forestry Sustainability Project	1	\$449.00
RI Total				1	\$449.00
NE Area Total				13	\$15,838.00
Grand Total				78	\$89,321.70

**Department of Natural Resources
Forest Management and Development**

Subject of RPL: Forestry and Fire Economic Stimulus – Forest Health	ADN/RPL #: 10-0-5059
Amount requested: \$1,468,000	Appropriation Authority: Ch 29 SLA2008 Sec 13 pg 153 ln 6
Funding source: Federal Stimulus: ARRA 2009 -- Capital	Statutory Authority: AS 41.17.030-055

PURPOSE

This request amends DNR authority to receive and expend federal American Recovery and Reinvestment Act (ARRA) funds for Forest Health projects to enhance wildlife habitat and increase timber volume, improve forest health and ecosystem functions, promote integrated resource management, repair roads to protect salmon habitat, contribute to water quality, reduce the risk of wildland fire, and enhance forest growth on State and Alaska Native Corporation lands.

The Division of Forestry is receiving an additional \$1,468,000 from the US Forest Service (USFS) to implement Forest Health projects and enter into a cooperative agreement with the Sealaska Corporation and one or more additional Alaska Native Corporations.

PREVIOUS LEGISLATIVE CONSIDERATION

Chapter 17, SLA 2009 (HB 199) contains \$1,500.0 in ARRA federal funding authority with \$1,000.0 in SDPR authority to perform fuels mitigation in interior Alaska. LB&A approved RPL # 10-9-5174 in June 2009 to authorize ARRA funding (\$4,030.0) and SDPR funding (\$500.0) in AR 40872 (Ch 29 SLA 2008 Sect 13 Pg 152 Ln 6) for fuels mitigation in southcentral Alaska.

TIMING ISSUES

The USFS solicited nation wide for competitive grant proposals to be funded by Economic Stimulus funds. Confirmation from the USFS, with their intent to award grant funds based for the projects listed above, was received on September 9, 2009. Based on the USFS notification, the division submitted a grant application for the funding. Award of funding is being processed by the Economic Recovery Center in Portland, Oregon and is expected to be signed in late October with project implementation to occur mid to late November.

The grant will be effective for up to five years from award date with all funds being obligated by September 30, 2010. This provides the state and pass through entity less than a year to obligate the funding and begin the work. Delay in authorizing funds limits the ability to have them obligated by September 30, 2010 and risks access to and compliance with funding availability and criteria for use. Sealaska Corporation, one of the pass through recipients of funding, has silvicultural crews in the field and has expressed desire to extend the 2009 field season if funding can be made available in fall 2009.

BUDGETARY ISSUES

Forest Health projects are accomplished largely with funding from US Forest Service State & Private Forestry grants. When funding is available, the USFS, Native entities, local government and the Division of Forestry work cooperatively to accomplish the goals of the projects. Approximately 50% of the funding available will pass through to Sealaska Corporation and other Southeast Alaska Village corporations for silviculture and forest road restoration work.

Agency Contact: Leta Simons, (907) 465-3379

Legislative Finance Contact: Amanda Ryder, (907) 465-5411

If the USFS approves more competitively solicited grant proposals, Forestry may utilize a portion of this authorization for additional ARRA Forestry work. Forestry would then seek Legislative Budget and Audit (LB&A) approval for additional ARRA authority to receive and expand the increased grant awards. There is no allocation specific to Alaska for USFS stimulus monies; instead, Alaska must compete for grant projects.

Line Item Distribution

Personnel	141,837	Includes grant administration, layout of thinning units, costs to comply with federal reporting requirements
Travel	29,000	Thinning crews on state land, grant administration other ANCs
Commodities	1,000	Crew supplies
Contractual	1,176,163	Forest thinning and thinning layout service contracts, cooperative agreement with Sealaska Corp.
Grants	120,000	Grants with other Alaska Native Corporations
Total	1,468,000	

SUMMARY

Healthy forests provide increased productivity for the forest products industry in Alaska. The enhanced forest productivity on State and Alaska Native Corporation lands that have been previously harvested will help speed the transition of the forest products industry in Southeast Alaska to second growth management and utilization. Other benefits include: enhanced wildlife and fish habitat and associated commercial, sport, personal use and subsistence opportunities; improved water quality; and improved integration of resource management among private landowners.

This authorization allows the state to continue to improve the health of the forests in Southeast Alaska with the added benefit of increasing forest productivity and maintaining access infrastructure and will put Alaskans to work.



Forest
Service

Washington
Office

1400 Independence Avenue, SW
Washington, DC 20250

File Code: 1930
Route To:

Date: September 9, 2009

Subject: 2009 American Recovery and Reinvestment Act

To: Regional Foresters, Station Directors, Area Director, IITF Director, Deputy Chiefs
and WO Directors

I am pleased that Secretary of Agriculture Tom Vilsack has announced an additional \$89.3 million of Forest Service projects to be funded by the American Recovery and Reinvestment Act (ARRA). These funds are for 78 forest health projects in 30 states and one territory. Please see the enclosed table for project details.

The 78 projects will treat forest health conditions that threatened the benefits forested lands provide. Water quality, air quality, habitat for wildlife, resistance to wildfire, and recreational opportunities will benefit from these treatments. The projects will be carried out on Federal lands and provide technical and financial assistance to treatments on lands owned by States, local governments, private individuals and Tribes.

This release of funds completes the release of the ARRA funds authorized for Forest Service projects. We have now released funding for 695 projects across the country.

I expect you to ensure prompt obligation of these funds and implementation of these projects. Our goal is to have projects well underway as soon as possible to create jobs for the citizens we serve, and support our mission of sustaining the health, diversity, and productivity of the nation's forests to meet the needs of present and future generations.

Thank you for your continued efforts for ARRA implementation.

/s/ Hank Kashdan (for)
THOMAS L. TIDWELL
Chief

Enclosure



It's Cool to Be Safe

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MS Total							1	\$897.00
NC	Forest Health - Cooperative	WFM-0825-12FHC	Keep Sediment in Check with Best Management Practices, Bridgemoats & Stream Restoration				1	\$247.00
	Forest Health - Federal	WFM-0811-01FHF	Southern Pine Beetle (SPB) Prevention Thinning on the Croatan and Uwharrie National Forests and SPB Restoration on the Croatan National Forest				1	\$181.00
NC Total		WFM-0811-17FHF	Pisgah National Forest, Linville Area Wildfire Paulownia Control				1	\$400.00
							3	\$828.00
SC	Forest Health - Cooperative	WFM-0825-04FHC	Forest Health Enrichment through Canopy Restoration & Hazard Mitigation				1	\$897.00
SC Total							1	\$897.00
TN	Forest Health - Federal	WFM-0804-09FHF	Restoration of Native Communities and Wildlife Habitat				1	\$160.00
TN Total							1	\$160.00
VA	Forest Health - Cooperative	WFM-0825-23HFE	Shenandoah Valley Watershed Community Ecosystem Restoration and Enhancement				1	\$897.00
		WFM-0825-25HFE	Southside Virginia Community Tree Planting Initiative				1	\$179.00
VA Total							2	\$1,076.00
R08 Total							10	\$6,325.00
R09	Forest Health - Cooperative	WFM-0920-2FHC	BUNDLE - 0920-01 (3 of them) and 0920-01 Partnerships with S&PF, State of NY and State of VT - Surveys and Forest Health Protection				1	\$567.00
VT Total							1	\$567.00
R09 Total							1	\$567.00
R10	Forest Health - Cooperative	WFM-1004-1RES	Daves Creek Watershed Restoration				1	\$200.00
		WFM-1006-10-HFE	Forest Restoration and Production - State Land				1	\$660.00
		WFM-1006-11-HFE	Forest Restoration and Productions - Alaska Native Corporation Land				1	\$148.00
		WFM-1006-4FHC	Alaska Native Village Seed Production				1	\$2,243.00
		WFM-1006-5FHC	Sealaska Native Corporation Forest Health				1	\$660.00
AK Total							5	\$3,911.00
R10 Total							5	\$3,911.00
NRS	Forest Health - Cooperative	WFM-2423-01HFE	Restoring Jobs/Restoring Habitats: Jobs That Bring Health Back to Chicago's Watersheds, Wetlands and Forests				1	\$1,077.00
IL Total							1	\$1,077.00
MD	Forest Health - Cooperative	WFM-2423-04HFE	Restoring Baltimore's Ecosystems through Site Improvements				1	\$897.00
		WFM-2423-14HFE	Creating Green Jobs to Turn Baltimore's Infrastructure and Natural Resources Green				1	\$1,077.00
MD Total							2	\$1,974.00

McKenzie, Lex L (DNR)

From: Weber-Sword, Arlene D (DNR)
Sent: Friday, September 11, 2009 2:43 PM
To: McKenzie, Lex L (DNR)
Cc: Brown, Dean N (DNR); Rogers, Richard J (DNR)
Subject: FW: 1930; 2009 American Recovery and Reinvestment Act
Importance: High
Attachments: FS_correspondence.doc; WFM_forest_health_for_chiefs_letter.xls

Lex

Looks like DOF will be receiving another 1468.0 in stimulus funding so another request to OMB for the authority to receive these funds will be needed. All Forest Health projects in SE.

Arlene

*Arlene Weber Sword
Fire Staff Officer
State of Alaska , Division of Forestry
550 West 7th Suite 1450
Anchorage, AK 99501
Office (907)269-8471
Cell (907)240-7222
Fax (907)269-8921*

From: Steve Patterson [mailto:spatterson@fs.fed.us]
Sent: Friday, September 11, 2009 2:36 PM
To: Rogers, Richard J (DNR); Weber-Sword, Arlene D (DNR); Graham, Jeff S (DNR)
Cc: Peggy Cossaboom; Maisch, John C (DNR); ckrebs@fs.fed.us
Subject: Fw: 1930; 2009 American Recovery and Reinvestment Act
Importance: High

Rick,

Congratulation. We have 3 ARRA projects selected that are slated to be awarded to DOF:

- Forest Restoration and Production - State Land
- Forest Restoration and Productions - Alaska Native Corporation Land
- Sealaska Native Corporation Forest Health

The attached spreadsheet has additional details and the recovery website is available also. Please review and establish contact w/ Peggy Cossaboom and myself so we can work toward the grant details and award.

We look forward to working with you on these projects.

<i>Steve Patterson</i> (Assist. Director, S&PF, Forest Health Protection)	
USFS, State & Private Forestry, FHP 3301 'C' Street, Suite 202 Anchorage, Alaska 99503	

 <p>office: (907) 743-9451 cell: (907) 748-9877 fax: (907) 743-9479</p>	 <p>FOREST HEALTH PROTECTION</p> <p>http://www.fs.fed.us/r10/spf/fhp/ spatterson@fs.fed.us</p>
--	---

----- Forwarded by Steve Patterson/R10/USDAFS on 09/11/2009 12:49 PM -----

Larry Yarger/WO/USDAFS

To Steve Patterson/R10/USDAFS@FSNOTES

cc

09/10/2009 08:32 AM

Subject Fw: 1930; 2009 American Recovery and Reinvestment Act

Larry Yarger
Deputy Director, Forest Health Protection
USDA Forest Service
RPC-7
1601 North Kent Street
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703-605-5353 (fax)
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----- Forwarded by Larry Yarger/WO/USDAFS on 09/10/2009 12:31 PM -----

Mailroom WO

Sent by: Kathleen A Clemens

09/09/2009 04:26 PM

To pdl wo Chief R S D Mailrooms@FSNOTES, pdl wo Chief Regional Foresters & EAs@FSNOTES, pdl wo Chief WO Directors@FSNOTES, pdl wo chief Deputy Chiefs & EAs@FSNOTES, Bov Eav/PNW/USDAFS@FSNOTES, George S Foster/RMRS/USDAFS@FSNOTES, Ariel Lugo/IITF/USDAFS@FSNOTES, Kathryn Maloney/NA/USDAFS@FSNOTES, Michael Rains/NRS/USDAFS@FSNOTES, Jim Reaves/SRS/USDAFS@FSNOTES, Chris Risbrudt/FPL/USDAFS@FSNOTES, Deanna J Stouder/WO/USDAFS@FSNOTES

cc Cheryl Parkes/WO/USDAFS@FSNOTES, Rachel M Shibahara/PNW/USDAFS@FSNOTES, Sara Senn/RMRS/USDAFS@FSNOTES, Mildred Alayon/IITF/USDAFS@FSNOTES, Mary Wick/NA/USDAFS@FSNOTES, Rose Sook/NRS/USDAFS@FSNOTES, Trish Francis/SRS/USDAFS@FSNOTES, Eleanor M Pape/FPL/USDAFS@FSNOTES

Subject 1930; 2009 American Recovery and Reinvestment Act

The following Correspondence is archived in the Records database. Any enclosures will follow the letter in this message.

10/22/2009

To open this document in the Records database, click on this link ->[Link](#)

To access all documents in the National Records Database, click on this link ->[Link](#)

	Appropriation		General	Other
	Allocations	Items	Funds	Funds
1				
2				
3	Eagle Beach Accessible	58,000	58,000	
4	Public Use Cabin and			
5	Shelters (HD 3-4)			
6	Federal and Local	3,000,000		3,000,000
7	Government Funded Forest			
8	Resource and Fire Program			
9	Projects (HD 1-40)			
10	Fire Fighting Equipment	500,000	500,000	
11	Replacement Phase 2 (HD			
12	1-40)			
13	Forest Legacy Federal	2,516,500		2,516,500
14	Grant Program (HD 1-40)			
15	Juneau Area Historic Tour	250,000	250,000	
16	Development (HD 3-4)			
17	Kenai River Public Use	200,000	200,000	
18	Study (HD 33-35)			
19	Land and Water Conservation	600,000		600,000
20	Fund Federal Grant Program			
21	(HD 1-40)			
22	National Historic	1,050,000	50,000	1,000,000
23	Preservation Fund Federal			
24	Grant Program (HD 1-40)			
25	National Recreational Trail	1,500,000		1,500,000
26	Grants Federal Program			
27	(HD 1-40)			
28	South Denali Visitor and	8,900,000	6,400,000	2,500,000
29	Cruise Passenger Access			
30	Road Design and			
31	Construction (HD 1-40)			
32	State Park Sanitation and	850,000	850,000	
33	Safety Projects (HD 1-40)			

Department of Transportation and Public Facilities

Subject of RPL: Akutan: Airport Construction	ADN/RPL#: 25-0-1050
Amount Requested: \$23,738,126 (\$21,009,026 FAA and \$2,729,100 FHWA)	Appropriation Authority: Sec. 13, Ch. 29, SLA 08, Page 162, Lines 6 - 7 (FAA Funds) and Sec. 1, Ch. 82, SLA 06, Page 102, Line 19 (FHWA Funds)
Funding Source: Federal Receipts - Capital	Statutory Authority: AS 19.05.030 and AS 44.42.020

PURPOSE

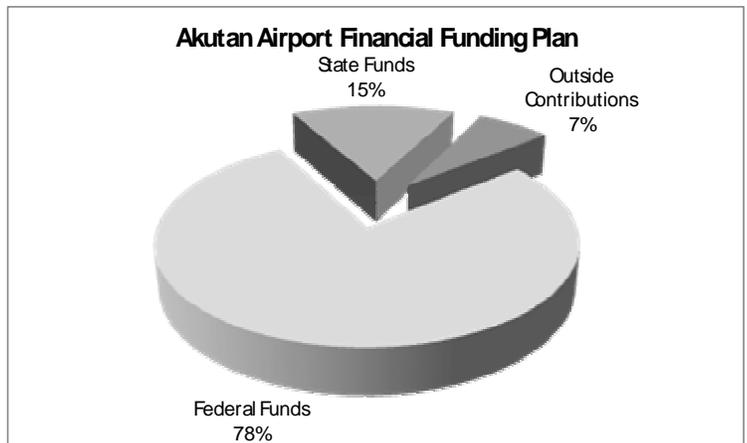
The Department of Transportation and Public Facilities (DOT&PF) is requesting authority to receive and expend \$23,738,126 in federal funds from the Federal Aviation Administration (FAA) and Federal Highway Administration (FHWA) related to the construction of an airport to serve the community of Akutan and as an emergency alternative for the Dutch Harbor and the Aleutians in general.

The project consists of a 4,500' x 75' runway on Akun Island with an apron, access road, snow removal equipment building, sand storage building, and two hovercraft landing pads/facilities. This will serve a community which currently has no land-based airport. The airport will be connected to the community by a hovercraft vessel that traverses between Akun Island and Akutan.

Air service to Akutan is currently provided with a World War II vintage G-21 Grumman Goose for amphibious sea landings as there is no land-based airport. Additionally smaller float planes are not durable enough to land in the sea near Akutan due to strong winds and waves, where even the Goose at times is not able to land. Ongoing maintenance and repair of the Goose is costly and will not be a viable option as parts are more difficult to find and just the aging of the Goose will become a safety issue.

Although Akutan is a small community, as mentioned above the airport will not only provide needed transportation and cargo shipping means, but serves an important economic seafood industry in the area.

These additional federal receipts will be combined with already secured project funding, including private funding, Aleutians East Borough bond funding, state general funds, federal highway administration funding, Denali Commission funding, Trident Seafoods, and Economic Development Administration (EDA) funding. The additional \$23 million will close the gap between the already allocated funds of \$54 million bringing the total project cost to



Agency Contact: Laura Baker, (907) 465-8974
 Legislative Finance Contact: Amanda Ryder, (907) 465-5411

\$77.4 million. The additional need was not known until planning and design work was further along.

Legislative Fiscal Analyst Comment: An August 6, 2009 FAA letter to Commissioner von Scheben (included in the RPL backup) states that FAA approval of the State of Alaska's funding plan is based upon the following four key provisions (a summary of the department's response to each provision is indented below each number):

1. The State of Alaska needs to provide a written "Co-sponsorship Agreement" outlining the roles and responsibilities that each organization has in developing and operating the airport.

According to the Department, the project will not go forward if the agreement is not completed. Although the agreement is being worked on DOT&PF does not have a specific date for completion.

2. The development of an accurate aviation CIP for the next 5 years. The CIP must clearly plan and prioritize future AIP-funded capital development within the State's system of airports.

Although the plan has not been completed, a draft is expected in the near future. With a very high score of 170 by the Aviation Project Evaluation Board, Akutan will rank at the top of the plan and the federal funding will be made available for this project.

3. The future commitment of NPE funding for Akutan will not adversely deter from other Statewide priority projects, and the proposed NPE funding will only come at the expense of other low priority projects

The AIP Spending Plan is developed based on funding the highest scoring priority projects first. Only lower scoring projects will be deferred to fund Akutan.

4. Any cost savings as the result of favorable construction bids would be to the benefit of the AIP program.

This means that if project bids are lower than currently expected, the amount of AIP funding from FAA allocated to this project will be reduced, rather than reducing funding from other sources, such as State general funds, local government bond funding or grants, or other funding sources.

PREVIOUS LEGISLATIVE CONSIDERATION

AKUTAN AIRPORT LEGISLATIVE AUTHORIZATION		
Title	Legislative Citation	Authorization
Akutan: Airport Development	Ch. 1, SSSLA02, Page 49, Line 33	4,000,000
Akutan Ferry Planning and Design	Ch. 159, SLA04, Page 88, Line 25	1,000,000
Akutan Road	Ch. 03, FSSLA05, Page 85, Line 26	1,500,000
Akutan: Airport Construction	Ch. 82, SLA06, Page 88, Line 33	2,000,000
Akutan: Access Road	Ch. 82, SLA06, Page 102, Line 19	1,275,000
Akutan: Airport	Ch. 82, SLA06, Page 107, Line 13	1,000,000
Akutan Airport Construction	Ch. 29, SLA08, Page 158, Line 9	3,000,000
Akutan: Airport Construction	Ch. 29, SLA08, Page 162, Line 6	31,000,000

TIMING ISSUES

As more field information became available and the design concepts were refined, the engineer's estimate was updated resulting in this funding gap of \$23 million. FAA approved a plan in August to bring additional Airport Improvement Program (AIP) funds to the project under an "advanced construct" method that will utilize federal receive and expend authority to construct the project in 2010-2012.

AIP grant reimbursement will be distributed over 6 federal fiscal years beginning with \$20.0 million in 2010, \$11.0 million in 2011, and the balance of \$21.0 million distributed in \$5.25 million dollar increments through 2015. In addition, the FHWA Statewide Transportation Improvement Program (STIP), Alaska Highway System (AHS) FFY2010-2013 now includes \$2.8 million for the Airport Access Road and Hovercraft Facility construction. (Figures do not include state match).

DOT&PF has pre-qualified four design-build firms to begin compiling design/construction packages once project funding is approved. This process takes 4-6 months and if funding approval is delayed there is a corresponding risk of rising material and transportation costs creating more of a funding shortfall than what is being requested.

Any delay in receiving additional federal funding authorization will result in the loss of a full year of activity on this project and the risk of further driving costs up.

BUDGETARY ISSUES

The project meets the goal of providing safe air access to communities without other year round means of transportation and received a very high score in the DOT&PF Aviation Project Evaluation Board forum. The acceptance of AIP funding commits the department to operate and maintain the facility for a minimum of 20 years. It is estimated the annual maintenance and operation costs for contracted personnel, supplies, commodities and fuel will be \$500,000.

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Legislative Finance Contact: Amanda Ryder, (907) 465-5411



U.S. Department
of Transportation

**Federal Aviation
Administration**

AUG 6 2009

Alaskan Region Airports Division
222 W. 7th Avenue, Box 14
Anchorage, Alaska 99513-7587

Mr. Leo von Scheben, P.E., L.S., M.B.A.
Office of the Commissioner
State of Alaska Department of
Transportation & Public Facilities
Juneau, AK 99811

Dear Commissioner von Scheben:

This letter is in response to two individual letters from the State of Alaska (dated June 5, 2009 and June 12, 2009) regarding the future funding plan for the new Akutan airport. Based upon our review, the FAA approves of the proposed funding plan as follows:

Year	Planned Funding Amount	AIP Statutory Funding
2010	\$20.0 M	apportionment and potential discretionary
2011	\$11.0 M	apportionment
2012	\$5.25 M	apportionment (NPE)
2013	\$5.25 M	apportionment (NPE)
2014	\$5.25 M	apportionment (NPE)
2015	\$5.25 M	apportionment (NPE)

Within the aforementioned letters you requested that the State of Alaska be reimbursed for some of said project costs with future AIP "entitlement" funds over four years. Federal statute 49 USC 47110 authorizes the FAA to reimburse eligible project costs with current or future nonprimary entitlement funds (NPE). In addition, the State of Alaska can "combine" NPE funds for all airports under its sponsorship to be utilized for high priority projects.

FAA approval of the State of Alaska's funding plan (and future use of NPE funds) is based upon some key provisions outlined within your two letters. These provisions include:

1. The State of Alaska (with the Aleutians East Borough and the City of Akutan) provides to the FAA a written "Co-sponsorship Agreement." The agreement must outline the roles and responsibilities that each organization has in developing and operating the airport.
2. The State of Alaska develops an accurate aviation Capital Improvement Plan (CIP) for the next 5 years. This CIP must account for the statewide effects of committing future NPE funds for Akutan. The CIP must clearly plan and prioritize future AIP-funded capital development within the State's system of airports.

3. The future commitment of NPE funding for Akutan will not adversely deter from other Statewide priority projects, and the proposed NPE funding will only come at the expense of other low priority projects
4. Any cost savings as the result of favorable constructions bids would be to the benefit of the AIP program.

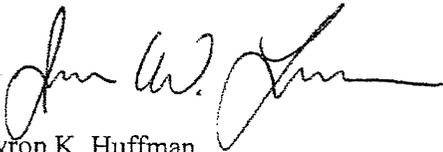
Your May 5 letter suggests that Akutan is one of the State of Alaska's top priorities. Although the FAA recognizes an Airport Sponsor's priorities, we need to remain aware of the effects that this decision could have on other statewide aviation needs. These include runway safety area improvements, declining airport pavement condition, and existing runways that do not meet FAA standards. It is important for the State of Alaska to plan and prepare for these potential impacts by developing a solid CIP. This is why provision number 2 is so vital.

An Airport Sponsor's decisions on entitlement funding significantly contributes to the FAA's development of the AIP Airports Capital Improvement Plan (ACIP). Furthermore, it influences the FAA's decisions on suitable uses of AIP Discretionary funds. This policy on developing the FAA's ACIP helps ensure that AIP funds in the aggregate contribute most to the safety, security, capacity, and efficiency of the Nation's system of airports.

Please be aware that this approval of the State of Alaska's funding plan in no way offers a commitment of future AIP discretionary funds. Although discretionary funding is being planned as part of the overall funding, an allocation commitment can only be made after completing the grant application process, congressional notification, and final grant approval.

Thank you for your correspondence. We look forward to our continued coordination in addressing the proposed Akutan Airport and all aviation priorities within the State of Alaska.

Sincerely,



for Byron K. Huffman
Manager, Airports Division

Department of Transportation and Public Facilities

Subject of RPL: Huslia: Landfill Road	ADN/RPL#: 25-0-7536
Amount Requested: \$2,414,453	Appropriation Authority: Sec. 1, Ch. 82, SLA 2006, Page 99, Line 9 and Sec. 1, Ch. 15, SLA 2009, Page 32, Lines 30 - 31
Funding Source: Federal Stimulus: ARRA 2009 - Capital	Statutory Authority: 19.05.030 and 44.42.020

BACKGROUND

This past legislative session, the Legislature appropriated approximately \$248 million in American Recover and Reinvestment Act of 2009 (ARRA) funding authority to the Department of Transportation and Public Facilities. The Department has been very successful in meeting federal obligation requirements on the majority of projects to-date; however, in a few instances projects have been delayed due to permitting snags. Additionally, due to a favorable bidding climate, some project bids are coming in lower than originally estimated. As a result, Alaska is at risk of losing ARRA dollars to other states if it is unable to meet federal obligation timelines.

The Marshall Airport Access Road, for example, will not meet the FHWA ARRA obligation date of February 17, 2010. Due to additional permitting, a re-evaluation of the environmental document, and additional design work this project will be ready for construction advertising in October 2010. To make the ARRA funds available for other eligible projects, the Department will be administratively restricting and lapsing ARRA receipt authority in Sec. 7, Ch. 15, SLA09, Page 54, Lines 16 - 18 and utilize existing regular federal receipt authority in Sec. 4, Ch. 30, SLA07, Page 114, Lines 23 – 24 and Sec. 1, FSSLA05, Page 80, Lines 26 – 27.

Legislative Fiscal Analyst Comment: The appropriation for the Marshall Airport Access Road was \$2.8 million of ARRA funding. Additional ARRA funding—made available as bids on various projects come in lower than anticipated—is expected to be at least \$2 million (since the last round of DOT&PF RPLs on this topic). The \$4.8 million obligated for the Marshall Road and “low bid” projects will be removed and must be re-obligated within 60 days or it will be reclaimed by the federal government.

The RPLs submitted for review at this meeting total \$3.9 million (\$2.4 million for the Huslia Landfill Road and \$1.5 million for King Cove Local Roads). The Committee should expect future RPLs reallocating the unobligated \$1 million, and may wish to extend the RPL process into the legislative session in order to ensure full use of ARRA funding. DOT&PF forwarded an October 23 letter from USDOT (included as backup) that warns of impending deadlines, consequences of missing deadlines, and the necessity of having contingent projects and a means of funding them quickly.

Agency Contact: Laura Baker, (907) 465-8974

Legislative Finance Contact: Amanda Ryder, (907) 465-5411

As it is in the best interest to the State to look for ways to retain these dollars, the Department is proposing to reallocate regular federal capital project funding and available ARRA funds, as well as increase ARRA federal project expenditure authority for the Huslia Landfill Road project.

PURPOSE

The Department of Transportation and Public Facilities is requesting authority to receive and expend American Recovery and Reinvestment Act of 2009 (ARRA) entitlement funds from the Federal Highway Administration (FHWA) for the Huslia Landfill Road.

Huslia is located on the northeast bank of the Koyukuk River, approximately 260 miles northwest of Fairbanks and 270 miles northeast of Nome. The project will improve the 1.2 mile access road to the new landfill. The existing trail to the landfill lies slightly below original ground, therefore, at times the trail becomes impassable for standard vehicles due to poor trail conditions during the winter and spring break-up. This project will raise the grade above original ground from 1.0 to 3.0 feet and will have a 20 foot wide driving surface. The new landfill road will improve safety with the addition of a new road embankment elevating it from potential spring runoff problems and it will help to have the roadway clearly defined. The new road will be maintained by the City of Huslia, which will help alleviate the accessibility problems associated with poor winter roadway conditions.

PREVIOUS LEGISLATIVE CONSIDERATION

Ch. 82, SLA 2006, page 99, line 9 – Huslia: Landfill Road. *Requesting \$650,000 in Federal Stimulus ARRA 2009 funds. The Department will administratively restrict and lapse the \$650,000 in regular federal receipt authority.*

Ch. 15, SLA 2009, page 32, lines 30–31 – Huslia: Landfill Road. *Requesting \$1,764,453 in Federal Stimulus ARRA 2009 funds. The Department will administratively restrict and lapse the \$630,000 in regular federal receipt authority.*

TIMING ISSUES

The obligation of “round two” FHWA ARRA funds must be completed by February 17, 2010. As stated above, the Department’s inability to obligate all of the available funding by the February deadline may result in the reallocation of Alaska’s remaining ARRA funds to other states.

The project is ready for construction advertising and will be completed within one year. The project involves building an ice road and most likely a winter haul of material from a site located 7 air miles southwest of Huslia on the opposite bank of the Koyukuk River. If the project is not advertised this winter the project completion date will be delayed another year. The new landfill road will improve the environmental and safety conditions in the community, as well as reduce potential public health issues from inappropriate trash storage.

The ARRA funds involved must be applied to areas with a population of less than 5,000. There is also strong pressure from FHWA that any additional ARRA projects be in areas defined as Economically Distressed. The Huslia Landfill Road meets both of these objectives.

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Legislative Finance Contact: Amanda Ryder, (907) 465-5411



U.S. Department
of Transportation
**Federal Highway
Administration**

Alaska Division
October 23, 2009

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Juneau, AK 99802
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(907) 586-7420 Fax
www.fhwa.dot.gov/akdiv

Mr. Leo von Scheben, Commissioner
Alaska Department of Transportation
and Public Facilities
P.O. Box 112500
Juneau, Alaska 99811-1125

In Reply Refer To:
ARRA Gen

Dear Mr. von Scheben:

Thank you for meeting with me on October 7, 2009, concerning the progress to date in fulfilling the Maintenance of Effort goal and fully utilizing the American Recovery and Reinvestment Act (ARRA) Highway and Bridge Funds. Alaska has done an exemplary job thus far in fulfilling the Congressional mandates for this program. At this time, about two-thirds of the ARRA funds have been obligated but most of the remaining projects that will use the remaining one-third of the funds appear that they will not be ready for obligation until December or January.

This leads to my encouragement that the Alaska DOT&PF take all necessary steps to ensure that ARRA Highway and Bridge funds are fully obligated by the February 2010 statutory deadline. This is a significant ARRA deadline and will require that all funds be obligated on or before February 17, 2010. Should any of the remaining ARRA projects be delayed, it is extremely important to have contingency projects ready to go to ensure all of the ARRA funds are obligated by the statutory deadline.

As you know, each project must secure many certifications and approvals, including permits from third parties before it may secure federal funds through the obligation step. In addition, there is an ARRA requirement that is going to affect obligation of the remaining funds. If ARRA funds are released due to low bids on earlier obligated projects, the state must obligate the released funds within 60 days. Failure to obligate the funds within the time period will result in the loss of the released funds. The state should prepare now to have additional projects ready to absorb the ARRA funds resulting from a project being delayed, funds released due to low bids, or project closeouts.

The federal steps required to have a possible substitute project ready would include completing designs and bid packages, securing permits, and approval of all certifications by the state



regarding right-of-way, environmental and design requirements. Additionally, the contingent projects must be in an approved STIP (Statewide Transportation Improvement Program).

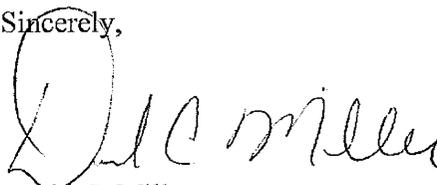
Projects must also fit the specific criteria of each class of ARRA funds, including funds intended to be used in communities less than 5,000 population and funds intended to be used for transportation enhancements. As well, it has become a firm requirement of the FHWA that the state give priority to projects located in communities that meet the economic distress criteria found in the ARRA legislation.

Since these steps are very time consuming and the window of time before the final ARRA deadline is shrinking, it is critical to make your preparations as soon as possible. If a project proves to be needed in late December or January, it is highly unlikely a substitute project could be found and made ready for obligation in the final weeks remaining. New projects may only be added to the STIP through an amendment that must include at least a 30 day public comment period and then approval by the FHWA and the FTA before any funds may be obligated. Considering the time to add any new project, it is imperative that the state position itself to take advantage of any ARRA funds becoming available prior to February 17, 2010.

Finally, as required by state law, the Alaska DOT&PF needs to secure all necessary authority from the Legislature to receive and expend federal funds. Similar to permitting, this is a process that is in control of others and therefore is of specific concern as we work to advance a program of projects.

We sincerely wish to see Alaska succeed in fully using all ARRA funds for which the state is eligible. To that end, I offer this letter to reinforce the need for one or more contingent projects. The FHWA is taking similar steps with all other states.

Sincerely,

A handwritten signature in black ink, appearing to read "D. C. Miller". The signature is written in a cursive style with a large, looped initial "D".

David C. Miller
Division Administrator

Cc: Frank Richards, DOT&PF, Deputy Commissioner
Jeff Ottesen, DOT&PF, Division of Program Development
Christine Johnson, DFS-West
Gloria Sheppard, Associate Administrator for Planning, Right of Way, and Environment

BUDGETARY ISSUES

The project is in the federally approved final Statewide Transportation Improvement Program Amendment #18. This project is 100% federal ARRA funds and requires no state match.

Agency Contact: Laura Baker, (907) 465-8974

Legislative Finance Contact: Amanda Ryder, (907) 465-5411

**Department of Transportation and Public Facilities
through the Office of the Governor**

Subject of RPL: King Cove Local Roads	ADN/RPL#: 25-0-7537
Amount Requested: \$1,500,000	Appropriation Authority: Sec. 4, Ch 17, SLA 2009, Page 7, Lines 25 - 30
Funding Source: Federal Stimulus: ARRA 2009 – Capital	Statutory Authority: AS 19.95.030 and AS 44.42.020

BACKGROUND

This past legislative session, the Legislature appropriated approximately \$248 million in American Recover and Reinvestment Act of 2009 (ARRA) funding authority to the Department of Transportation and Public Facilities. The Department has been very successful in meeting federal obligation requirements on the majority of projects to-date; however, in a few instances projects are delayed due to permitting snags. Additionally, due to a favorable bidding climate, some project bids are coming in lower than originally estimated. As a result, Alaska is at risk of losing these ARRA dollars to other states if it is unable to meet federal obligation timelines.

The Marshall Airport Access Road, for example, will not meet the FHWA ARRA obligation date of February 17, 2010. Due to additional permitting, a re-evaluation of the environmental document, and additional design work this project will be ready for construction advertising in October 2010. To make the ARRA funds available for other eligible projects, the Department will be administratively restricting and lapsing ARRA receipt authority in Sec. 7, Ch. 15, SLA09, Page 54, Lines 16 - 18 and utilize existing regular federal receipt authority in Sec. 4, Ch. 30, SLA07, Page 114, Lines 23 – 24 and Sec. 1, FSSLA05, Page 80, Lines 26 – 27.

***Legislative Fiscal Analyst Comment:* The appropriation for the Marshall Airport Access Road was \$2.8 million of ARRA funding. Additional ARRA funding—made available as bids on various projects come in lower than anticipated—is expected to be at least \$2 million (since the last round of DOT&PF RPLs on this topic). The \$4.8 million obligated for the Marshall Road and “low bid” projects will be removed and must be re-obligated by February 17 or it will be reclaimed by the federal government.**

The RPLs submitted for review at this meeting total \$3.9 million (\$2.4 million for the Huslia Landfill Road and \$1.5 million for King Cove Local Roads). The Committee should expect future RPLs reallocating the unobligated \$1 million, and may wish to extend the RPL process into the legislative session in order to ensure full use of ARRA funding. DOT&PF forwarded an October 23 letter from USDOT (included as backup) that warns of impending deadlines, consequences of missing deadlines, and the necessity of having contingent projects and a means of funding them quickly.

As it is in the best interest to the State to look for ways to retain these dollars, the Department is proposing to reallocate available ARRA funds for the King Cove Local Roads project.

Agency Contact: Laura Baker, (907) 465-8974
Legislative Finance Contact: Amanda Ryder, (907) 465-5411

PURPOSE

The Department of Transportation and Public Facilities is requesting authority to receive and expend funds from the Federal Highway Administration (FHWA) American Recovery and Reinvestment Act of 2009 (ARRA) as a contribution to funding \$9.3 million in improvements to city streets in King Cove. The project has been a five-year partnership with the Agdaagux Tribe of King Cove, Bureau of Indian Affairs, Denali Commission, and the Federal Highway Administration / Western Federal Lands Highway Division.

Once approved, these additional ARRA funds will be granted back to the Federal Lands Highway Division for administration of the project and funding, i.e. as pass-through funding.

The King Cove Local Roads project is being considered as a contingency project under ARRA for local communities fewer than 5,000 in population. There is also strong pressure from FHWA that any additional ARRA projects be in areas defined as Economically Distressed. King Cove meets both of these objectives.

PREVIOUS LEGISLATIVE CONSIDERATION

None

Legislative Fiscal Analyst Comment: In the absence of a legislatively approved capital project to which this RPL can be attached, this RPL makes use of the generic ARRA capital project appropriation in the Governor's Office.

TIMING ISSUES

In order to meet the federal obligation timelines of ARRA approval of the increased ARRA federal expenditure authorization needs to be obtained as quickly as possible. This partnership project will be delayed without approval of these pass-through ARRA funds.

BUDGETARY ISSUES

The King Cove City Streets are owned and operated by the City of King Cove.

Agency Contact: Laura Baker, (907) 465-8974

Legislative Finance Contact: Amanda Ryder, (907) 465-5411

University of Alaska

Subject of RPL: Combined request for ARRA Funding	ADN/RPL #: 45-0-1135
Amount Requested: \$4,167,614	Appropriation Authority: Sec. 4, Ch. 17, SLA 2009, Page 9, Lines 12-16
Funding Source: Federal Stimulus: ARRA 2009 – Capital	Statutory Authority: AS 14.40.40

PURPOSE

The requested federal stimulus receipt authority will allow the University of Alaska to accept the following awards:

NIH: Educating a Health Care Research Workforce in Alaska to Reduce Health Disparities in the amount of \$585,524 for the period 9/20/2009 through 8/31/2011, award 1P20MD005079-01.

NSF: Collaborative Research: PACMAN-Cyberinfrastructure for Discovering Climate Change Impacts on Water Resources across Alaska and the Hawaiian Islands in the amount of \$3,000,000 for the period 09/01/2009 through 08/31/2012, award EPS-0919608.

NSF: U.S. GEOTRACES North Atlantic Sector: The Fractional Solubility of Aerosol Iron in Seawater in the amount of \$115,305 for the period 09/15/2009 through 08/31/2012, award OCE-0928084.

NIH: Location-Based Monitoring and Intervention for Alcohol Use Disorders in the amount of \$998,798 for the period 9/30/2009 through 8/31/2011, award 1RC2AA019422-01.

Corrections to previous federal stimulus receipt authority:

Incorrect award amount authorized 09/08/09-NSF: Collaborative Research: A winter expedition to explore the biological and physical conditions of the Bering, Chukchi, and Southern Beaufort Seas in the amount of \$80 (\$336,800 should be \$336,880) for the period of 9/15/2009 through 8/31/2012, award ARC-0909193.

Federal stimulus authority not necessary, authorized 09/28/09-NSF-through the University of Washington: Bering Sea Retrospective: Seabirds At-Sea as Indicators of Spatial Variability and Temporal Change in the amount of (\$23,955) for the period 09/01/2009 through 08/31/2011, award ARC-0908262.

Federal stimulus authority not necessary, authorized 08/14/09-NSF through the U of Colorado: IPY: Human Response to Climate Change at Cape Espenberg AD 800-1400 in the amount of (\$508,138) for the period 6/15/2009 through 5/31/2012, award ARC-0755725.

Agency Contact: Michelle Rizk, (907) 450-8187

Legislative Finance Contact: Danith Watts, (907) 465-5435

Legislative Fiscal Analyst Comment: This RPL requests approval to spend additional competitive grants received after September 18, 2009 under the American Recovery and Reinvestment Act (ARRA 2009) (P. L. 111-5). Although funding for the four new projects totals \$4,699,627, the amount requested is \$4,167,614 due to funding adjustments for the following previously approved projects:

- addition of \$80 to correct an error in an award approved on September 9, 2009
- deletion of ARRA authority (\$23,955) approved for a subgrant on September 28, 2009
- deletion of ARRA authority (\$508,138) approved for a subgrant on August 14, 2009

No approval for ARRA funding received as a subgrant is required because AS 14.40.491 allows funding received through contracts with other Universities to be classified as University Receipts (fund code 1048).

PREVIOUS LEGISLATIVE CONSIDERATION

The projects were not previously considered. They are new multi-year federal awards received after September 18, 2009 and have not been requested as part of the University's budget.

TIMING ISSUES

On February 17, 2009, President Obama signed into law the American Recovery and Reinvestment Act of 2009, which authorized short-term federal spending designed to stimulate the American economy. Federal stimulus receipt authority was not included in the FY10 budget because ARRA funding was not available for application until February 17, 2009.

BUDGETARY ISSUES

These projects are directly aligned with the University of Alaska's long term plans and missions for the University of Alaska Fairbanks: "The University of Alaska Fairbanks, the nation's northernmost Land, Sea and Space Grant University and international research center, advances and disseminates knowledge through teaching, research and public service with an emphasis on Alaska, the circumpolar North and their diverse peoples. UAF – America's Arctic University – promotes academic excellence, student success and lifelong learning", and the University of Alaska Anchorage: "The mission of the University of Alaska Anchorage is to discover and disseminate knowledge through teaching, research, engagement, and creative expression,"

No State General Funds will be used, nor is any match required. The federal stimulus funds will be expended during the period FY10 through FY15. This request adds an additional \$4,167,614 to the University's existing federal economic stimulus authority for competitive, discretionary, and incentive grants capital project appropriation contained within Sec. 4, Ch. 17, SLA 2009.

Copies of the award documents and budgets for each project are attached.

Agency Contact: Michelle Rizk, (907) 450-8187

Legislative Finance Contact: Danith Watts, (907) 465-5435

ARRA Award #	Title	Authority	Agency	Campus	Amount	Start Date	End Date
1P20MD005079-01	Educating a Health Care Research Workforce in Alaska to Reduce Health Disparities		NIH	UAA	585,524	9/20/2009	8/31/2011
EPS-0919608	Collaborative Research: PACMAN-Cyberinfrastructure for Discovering Climate Change Impacts on Water Resources across Alaska and the Hawaiian Islands		NSF	UAF	3,000,000	9/1/2009	8/31/2012
OCE-0928084	U.S. GEOTRACES North Atlantic Sector: The Fractional Solubility of Aerosol Iron in Seawater		NSF	UAF	115,305	9/15/2009	8/31/2012
IRC2AA019422-01	Location-Based Monitoring and Intervention for Alcohol Use Disorders		NIH	UAA	998,798	9/30/2009	8/31/2011
ARC-0909193	Collaborative Research: A winter expedition to explore the biological and physical conditions of the Bering, Chukchi, and Southern Beaufort Seas physical conditions of the Bering, Chukchi, and Southern Beaufort Seas	09/08/09	NSF	UAF	80	9/15/2009	8/31/2012
ARC-0908262	Bering Sea Retrospective: Seabirds At-Sea as Indicators of Spatial Variability and Temporal Change	09/28/09	NSF through the U of Washington	UAF	(23,955)	9/1/2009	8/31/2011
ARC-0755725	IPY: Human Response to Climate Change at Cape Espenberg AD 800-1400	08/14/09	NSF through the U of Colorado	UAF	(508,138)	6/15/2009	5/31/2012

4,167,614



THIS AWARD IS ISSUED UNDER THE AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009 AND IS SUBJECT TO SPECIAL HHS TERMS AND CONDITIONS AS REFERENCED IN SECTION III

Grant Number: 1P20MD005079-01

Principal Investigator(s):
DENNIS P VALENZENO, PHD

Project Title: Educating a Health Care Research Workforce in Alaska to Reduce Health Disparities

DIRECTOR GRANTS & CONTRACTS
UNIV OF ALASKA, ANCHORAGE
PO BOX 141628
ANCHORAGE, AK 99508

Budget Period: 09/20/2009 – 08/31/2010
Project Period: 09/20/2009 – 08/31/2011

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$585,524 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to UNIVERSITY OF ALASKA ANCHORAGE in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

Each publication, press release or other document that cites results from NIH grant-supported research must include an acknowledgment of NIH grant support and disclaimer such as "The project described was supported by Award Number P20MD005079 from the National Center On Minority Health And Health Disparities. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Center On Minority Health And Health Disparities or the National Institutes of Health."

Award recipients are required to comply with the NIH Public Access Policy. This includes submission to PubMed Central (PMC), upon acceptance for publication, an electronic version of a final peer-reviewed, manuscript resulting from research supported in whole or in part, with direct costs from National Institutes of Health. The author's final peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process. For additional information, please visit <http://publicaccess.nih.gov/>.

Award recipients must promote objectivity in research by establishing standards to ensure that the design, conduct and reporting of research funded under NIH-funded awards are not biased by a conflicting financial interest of an Investigator. Investigator is defined as the Principal Investigator and any other person who is responsible for the design, conduct, or reporting of NIH-funded research or proposed research, including the Investigator's spouse and dependent children. Awardees must have a written administrative process to identify and manage financial conflict of interest and must inform Investigators of the conflict of interest policy and of the Investigators' responsibilities. Prior to expenditure of these awarded funds, the Awardee must report to the NIH Awarding Component the existence of a conflicting interest and within 60 days of any new conflicting interests identified after the initial report. Awardees must comply with these and all other aspects of 42 CFR Part 50, Subpart F. These requirements also apply to subgrantees, contractors, or collaborators engaged by the Awardee under this award. The NIH website <http://grants.nih.gov/grants/policy/coi/index.htm> provides additional information.

S-12683

ARRA TERM OF AWARD: This award is subject to the HHS-Approved Standard Terms and Conditions for the American Recovery and Reinvestment Act of 2009. Approved text for NIH awards can be found at http://grants.nih.gov/grants/policy/NIH_HHS_ARRA_Award_Terms.pdf. Recipients should pay particular attention to the special quarterly reporting requirements required by Section 1512 of the Recovery Act as specified in Term #2.

An unobligated balance may be carried over into the next budget period without Grants Management Officer prior approval.

This grant is excluded from Streamlined Noncompeting Award Procedures (SNAP). In accordance with P.L. 110-161, compliance with the NIH Public Access Policy is now mandatory. For more information, see NOT-OD-08-033 and the Public Access website: <http://publicaccess.nih.gov/>.

Treatment of Program Income:
Additional Costs

SECTION IV – MD Special Terms and Conditions – 1P20MD005079-01

RESTRICTION No funds from this award may be rebudgeted for pilot research projects.

REQUIREMENT This award is subject to the conditions set forth in RFA-MD-09-007, Recovery Act Limited Competition: NCMHD Exploratory Centers of Excellence (P20), NIH Guide to Grants and Contracts, May 12, 2009, which is hereby incorporated by reference as special terms and conditions of this award.

Copies of this RFA may be accessed at the following internet address:
<http://www.nih.gov/grants/guide/index.html>

Copies may also be obtained from the Grants Management Contact indicated in the terms of award.

REQUIREMENT Use of humans and animals in any new activities must be requested prior to the start of the activity and must be approved in writing in advance by the NCMHD. See NOT-MD-08-002, "Guidance and Clarification on NCMHD Policy on Prior Approval for Subprojects and Pilot Projects Involving Human Subjects or Vertebrate Animals," NIH Guide to Grants and Contracts, April 29, 2008, which is hereby incorporated by reference as special terms and conditions of this award.

Copies of this Notice may be accessed at the following internet address: <http://www.nih.gov/grants/guide/index.html>

Copies may also be obtained from the Grants Management Contact indicated in the terms of award.

INFORMATION Honoraria are unallowable when the primary intent is to confer distinction on, or to symbolize respect, esteem, or admiration for, the recipient of the honorarium. A payment for services rendered, such as a speaker's fee under a conference grant, is allowable. See http://grants2.nih.gov/grants/policy/nihgps_2003/NIHGPS_Part6.htm

INFORMATION Stipends and payments made for educational assistance may not be paid from NIH research grant funds even when they would appear to benefit the research project. Compensation must be in accordance with organizational policies consistently applied to both federally and non-federally supported activities and must be supported by acceptable accounting records. Under these conditions, the funds provided as compensation for services rendered are not considered stipend supplementation; they are allowable charges to Federal grants, including PHS research grants. (Stipends are payments made to an individual under a fellowship or training grant in accordance with preestablished levels to provide for the individual's living expenses during the period of training. A stipend is not considered compensation for the services expected of an employee.)

INFORMATION Regarding changes in scope, attention is called to the NIH Grants Policy Statement (December 2003). The Change in Scope section is found at http://grants1.nih.gov/grants/policy/nihgps_2003/NIHGPS_Part7.htm#_Changes_in_Project. The

Elizabeth (Lisa) Pettit

From: Dennis Valenzeno
Sent: Tuesday, June 23, 2009 10:33 AM
To: Tana Myrstol; MARYANN KNIFFEN; Karol Weatherby
Cc: Elizabeth (Lisa) Pettit
Subject: RE: Heads up; get ready for a BIG grant coming your way.

*Summary
of Project*

Here's the summary from the Specific Aims of the overall Exploratory Center of Excellence proposal. Is this sufficient for the scope of work that you needed? – DPV

The Alaska Center of Excellence: Research Pathways into Health Professions (The Center) will enable the training of the next generation of Alaskan's biomedical research workforce and will develop a cadre of healthcare practitioners who assiduously incorporate evidence-based principles into their practice as a result of training in research and the scientific method. That training begins in high school, or earlier, and to be successful in encouraging minority students to engage in biomedical research or to healthcare careers that serve underserved populations, provides a continuous pathway through completion of training. Several excellent pathway programs already exist at the University of Alaska Anchorage (UAA), the health education campus of the University of Alaska system, that promote these ends, but there is incomplete coordination among these programs. Thus, the broad overall goal of this proposal is to coordinate research and training for biomedical research among the many and varied health career pathways programs at UAA that interface seamlessly with programs in surrounding K-12 schools and healthcare institutions.

To that end the Specific Aims of this proposal are to:

SA 1. Build relationships with internal partners at UAA to support undergraduate research in biomedical and health career education programs, and with partner institutions in the U-Med District and throughout the state to allow for extension and coordination of these efforts beyond UAA.

STUDENT ORIENTED AIMS:

SA 2. Act as a front door for students interested in health careers.

SA 3. Assist in the development of new programs that lead students, particularly those from disadvantaged or minority backgrounds toward health career training that includes biomedical research.

RESEARCH OPPORTUNITY DEVELOPMENT AIMS:

SA 4. Promote expansion of opportunities for training and education in biomedical research by encouraging and supporting writing and submission of new biomedical research proposals.

From: Tana Myrstol
Sent: Tuesday, June 23, 2009 9:13 AM
To: MARYANN KNIFFEN; Karol Weatherby
Cc: Dennis Valenzeno; Elizabeth (Lisa) Pettit
Subject: RE: Heads up; get ready for a BIG grant coming your way.

Thanks Maryann. Can you send over the IPTF and the Program Announcement from the agency? Do you have a draft budget justification and scope of work so we can see the whole picture?

Many thanks,
Tana

From: MARYANN KNIFFEN
Sent: Tuesday, June 23, 2009 9:04 AM
To: Tana Myrstol; Karol Weatherby

6/23/2009

Cc: Dennis Valenzeno

Subject: Heads up; get ready for a BIG grant coming your way.

Importance: High

A big grant will be submitted to OSP very soon. The RFA should be ready to FedEx next Monday 6/29 (hard copy submission only) to arrive at the funding agency on July 1.

I'm attaching the draft budget forms here for your review. Is there anything that we need to change at this point? Please help catch any errors or corrections as the PIs continue to crunch the numbers and we create the proposal docs.

Thanks so much!

Maryann Kniffen
WWAMI Biomedical Program
University of Alaska Anchorage
3211 Providence Dr., ENGR 331
Anchorage, AK 99508
(907) 786-4794
fax 786-4700
maryann@uaa.alaska.edu

6/23/2009

Award Documents | MAIN ▶

Organization: University of Alaska Fairbanks Campus

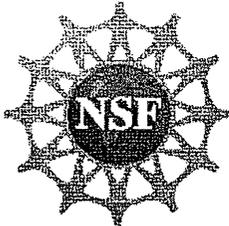
(A)

Award 0919608 as of 2009-8-28 : Amendment 000 (current) **Choose Version** ▶

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NATIONAL SCIENCE FOUNDATION
4201 Wilson Boulevard
Arlington, VA 22230
www.nsf.gov

COOPERATIVE AGREEMENT (CA)

AWARD: EPS-0919608	EFFECTIVE DATE:	September 1, 2009
	EXPIRATION DATE:	August 31, 2012

<p>PROJECTED TOTAL AWARD FUNDING: (Subject to availability of funds) \$3,000,000</p> <p>CUMULATIVE AMOUNT: \$3,000,000</p> <p><i>G. Maggie Griscavage</i> G. Maggie Griscavage, Director Office of Grants & Contracts Administration <i>proforma</i></p>	<p>SOLICITATION: (Incorporated by reference, as amended) NSF 08-595 EPSCoR Research Infrastructure Improvement Program: Track-2</p> <p>CFDA NUMBER: 47.082</p> <p>OTHER AWARDS UNDER THIS PROGRAM: Show List of Awards</p>
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AWARDEE:	University of Alaska Fairbanks
PROJECT TITLE:	Collaborative Research: PACMAN - Cyberinfrastructure for Discovering Climate Change Impacts on Water Resources across Alaska and the Hawaiian Islands
PROJECT ABSTRACT:	https://www.fastlane.nsf.gov/servlet/showaward?award=0919608

<u>Principal Investigator (s)</u>	<u>Proposal No.</u>	<u>Institution (s)</u>
Virgil L. Sharpton	EPS-0919608	University of Alaska Fairbanks
Daniel M. White		University of Alaska Fairbanks
Larry D. Hinzman		University of Alaska Fairbanks

Frank L. Williams

University of Alaska Fairbanks

Lilian Alessa

University of Alaska, Anchorage

Collaborators:

Principal Investigator (s)

Proposal No.

Institution (s)

Virgil L. Sharpton

EPS-0919608

University of Alaska Fairbanks

James R. Gaines

EPS-0919607

University of Hawaii

NSF Contact Information:

Financial/Administrative questions: e-mail your NSF Grants and Agreements Official, Ilonka Karasz, at ikarasz@nsf.gov or call the Division at 703-292-4831.

Programmatic questions: e-mail your NSF Program Officer, Uma D Venkateswaran, at uvenkate@nsf.gov or call the Program Division at 703-292-7732.

This CA is entered into between the United States of America, represented by the National Science Foundation (NSF), and the above named Awardee pursuant to the authority of the National Science Foundation Act of 1950, as amended (42 USC 1861-1875). This CA is provided electronically to the Awardee. The Awardee is responsible for full compliance with all Programmatic and Financial/Administrative Terms and Conditions as initially stated or as updated over the life of this CA. The Awardee's request to draw down funds under this CA will represent acceptance by the Awardee of all Terms and Conditions of the CA. The Authorized Organizational Representative (AOR) will be electronically notified of any changes to these Terms and Conditions and is encouraged to immediately review these changes and contact the Grants and Agreements Official or Program Officer within thirty days with any questions.

Financial/Administrative Terms and Conditions (FATC):

General FATC:

http://www.nsf.gov/publications/pub_summ.jsp?ods_key=NSF99999FATC003

Award Specific FATC:

NSF 08-595, EPSCoR Research Infrastructure Improvement Program: Track-2 (RII Track-2), has been amended to suspend the cost sharing requirement.

In accordance with sections 1869a and 1869b of title 42 of the United States Code, the awardee will do the following:

1. Obtain from the school board or comparable authority responsible for the schools considering participation in the project, written approval prior to involvement of pre-college students in pre-college education research and development, pilot-testing, evaluation, and revision of experimental and innovative pre-college curriculum.
2. Include in every publication, testing, or distribution agreement involving instructional materials developed under this award (including, but not limited to, teachers' manuals, textbooks, films, tapes, or other supplementary material) a requirement that such material be made available within the school district using it for inspection by parents or guardians of children engaged in educational programs or projects using such material of that school district.

Your revised budget of August 12, 2009 was further adjusted by NSF.

Programmatic Terms and Conditions (PTC):

General PTC:

http://www.nsf.gov/publications/pub_summ.jsp?ods_key=NSF08595TPTC000

Award Specific PTC:

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National Science Foundation
4201 Wilson Boulevard, Arlington, Virginia 22230, USA
Tel: 703-292-5111, FIRS: 800-877-8339 | TDD: 703-292-5080

Privacy and Security



Award Documents | MAIN ▶

Organization: University of Alaska Fairbanks Campus

Award 0919608 as of 2009-8-28 : Amendment 000 (current) **Choose Version** ▶

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CONSOLIDATED AWARD BUDGET

Award 0919608

Original Award

Person MOS	CAL	ACAD	SUM	Funds granted By NSF
A. (6) Total Senior personnel	19.59	0.0	0.0	\$ 208,500
B. Other Personnel				
1. (0) Post Doctorial associates	0.0	0.0	0.0	\$ 0
2. (6) Other professionals	3.09	0.0	0.0	\$ 282,658
3. (0) Graduate students				0
4. (0) Secretarial-clerical				0
5. (0) Undergraduate students				0
6. (0) Other				0
Total Salaries and wages (A+B)				491,158
C. Fringe benefits (if charged as direct cost)				195,251
Total Salaries wages and fringes (A+B+C)				686,409
D. Total permanent equipment				1,650,000
E. Travel				
1. Domestic				62,286
2. Foreign				0
F. Total participant support costs				0
G. Other direct costs				
1. Materials and supplies				225,003
2. Publication costs/page charges				0
3. Consultant services				0
4. Computer (ADPE) services				0
5. Subcontracts				0
6. Other				0
Total other direct costs				225,003
H. Total direct costs (A through G)				2,623,698
I. Total indirect costs				376,302
J. Total direct and indirect costs (H+I)				3,000,000
K. Residual funds / Small business fee				
1. Residual funds (if for further support of current projects GPM 252 and 253)				
2. Small business fee				
L. Amount of this request (J) or (J - (K1+K2))				\$ 3,000,000
M. Cost sharing				\$ 500,000

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FastLane NGIS Beta Site

Subject: Award Id : 0919608, PI: Sharpton
From: dmartin@nsf.gov
Date: 28 Sep 2009 10:43:08 -0400
To: fygrcon@uaf.edu
CC: dgaawd@nsf.gov

NATIONAL SCIENCE FOUNDATION
4201 Wilson Boulevard
Arlington, VA 22230
www.nsf.gov

Project Title: Collaborative Research: PACMAN - Cyberinfrastructure for Discovering
Climate Change Impacts on Water Resources across Alaska and the Hawaiian Islands
PI: Virgil L. Sharpton, Daniel M. White, Frank L. Williams, Larry D.
Hinzman, Lilian Alessa
Awardee: University of Alaska Fairbanks
Award Number: EPS-0919608

NSF has revised the award-specific FATC.

1-The following ARRA terms and conditions have been added:

This award is funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) and is subject to the ARRA Terms and Conditions, dated May, 2009, available on the NSF website at:
<http://www.nsf.gov/publications/pubsumm.jsp?odskey=arra0509>

2-The FATC clarify that no cost sharing is proposed for this Agreement.

To view these changes, please access your award at:

[<https://www.fastlane.nsf.gov/researchadmin/emailLoginHome.do?awardId=0919608&amendmentId=001>]

The links within the award document include important terms and conditions. Your understanding of these terms and conditions is essential for effective management of the award.

ARRA
Stimulus Funds

Subject: Award Id : 0928084, PI: Aguilar-Islas
From: rjoyce@nsf.gov
Date: 14 Sep 2009 18:17:42 -0400
To: fygrcon@uaf.edu
CC: dgaawd@nsf.gov

Award Date:
Award No.
Proposal No.

September 14, 2009
OCE-0928084
OCE-0928084

Ms. Maggie Griscavage
Director, Grant and Contract Services
University of Alaska Fairbanks
Adm Svcs Ctr Rm 109
3295 College Road
Fairbanks, AK 99709-3705

Dear Ms. Griscavage:

The National Science Foundation hereby awards a grant of \$115,305 to University of Alaska Fairbanks for support of the project described in the proposal referenced above.

This project, entitled "U.S. GEOTRACES North Atlantic Sector: The Fractional Solubility of Aerosol Iron in Seawater," is under the direction of Ana M. Aguilar-Islas.

This award is effective September 15, 2009 and expires August 31, 2012.

This award is funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) and is subject to the ARRA Terms and Conditions, dated May, 2009, available on the NSF website at:
http://www.nsf.gov/publications/pub_summ.jsp?ods_key=arra0509

This grant is awarded pursuant to the authority of the National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-75) and is also subject to Research Terms and Conditions (RTC, dated July 2008) and the NSF RTC Agency-Specific Requirements (dated January 2009) are available at <http://www.nsf.gov/awards/managing/rtc.jsp>. This institution is a signatory to the Federal Demonstration Partnership (FDP) Phase V Agreement which requires active institutional participation in new or ongoing FDP demonstrations and pilots..

All data sets produced with the assistance of this award shall be archived at a data library approved by the cognizant Program Officer, no later than one year after the expiration date of the grant. In cases that involve issues of confidentiality or privacy, precautions consonant with human subjects guidelines as stated in the NSF Regulation entitled, "Protection of Human Subjects [45 CFR 690]," shall be observed.

The attached budget indicates the amounts, by categories, on which NSF has based its support.

Please view the project reporting requirements for this award at the following web address [<https://www.fastlane.nsf.gov/researchadmin/prsLoginHome.do?awdID=0928084>].

The cognizant NSF program official for this grant is Donald L. Rice, (703) 292-8582.

The cognizant NSF grants official contact is Virginia A. Hall, (703) 292-8210.

Sincerely,

Robert F. Joyce
Grants and Agreements Officer

CFDA No. 47.082
fygrcon@uaf.edu

OCE-0928084
000

SUMMARY PROPOSAL BUDGET

Person MOS	cal	acad	sumr	Funds granted By NSF
A. (3.00) Total Senior personnel	6.00	0.00	0.00	\$29,441
B. Other Personnel				
1. (0.00) Post Doctoral associates	0.00	0.00	0.00	\$0
2. (0.00) Other professionals	0.00	0.00	0.00	\$0
3. (0.00) Graduate students				\$0
4. (0.00) Secretarial-clerical				\$0
5. (1.00) Undergraduate students				\$1,995
6. (0.00) Other				\$0
Total salaries and wages (A+B)				\$31,436
C. Fringe benefits (if charged as direct cost)				\$9,451
Total salaries wages and fringes (A+B+C)				\$40,887
D. Total permanent equipment				\$0
E. Travel				
1. Domestic				\$12,438
2. Foreign				\$3,837
F. Total participant support costs				\$0
G. Other direct costs				
1. Materials and supplies				\$19,500
2. Publication costs/page charges				\$1,000
3. Consultant services				\$0
4. Computer (ADPE) services				\$0
5. Subcontracts				\$0
6. Other				\$12,000
Total other direct costs				\$32,500
H. Total direct costs (A through G)				\$89,662
I. Total indirect costs				\$25,643
J. Total direct and indirect costs (H+I)				\$115,305
K. Residual funds / Small business fee				
1. Residual funds (if for further support of current projects AAG I.D.2 and I.D.3)				\$0
2. Small business fee				\$0
L. Amount of this request (J) or (J-K1+K2)				\$115,305
M. Cost sharing				\$0

aspects of 42 CFR Part 50, Subpart F. These requirements also apply to subgrantees, contractors, or collaborators engaged by the Awardee under this award. The NIH website <http://grants.nih.gov/grants/policy/coi/index.htm> provides additional information.

If you have any questions about this award, please contact the individual(s) referenced in Section IV.

Sincerely yours,

Judy Fox
Grants Management Officer
NATIONAL INSTITUTE ON ALCOHOL ABUSE AND ALCOHOLISM

Additional information follows

SECTION I – AWARD DATA – 1RC2AA019422-01

Award Calculation (U.S. Dollars)

Salaries and Wages	\$210,609
Fringe Benefits	\$68,673
Consultant Services	\$36,400
Supplies	\$37,400
Travel Costs	\$3,800
Other Costs	\$391,376

Federal Direct Costs	\$748,258
Federal F&A Costs	\$250,540
Approved Budget	\$998,798
Federal Share	\$998,798
TOTAL FEDERAL AWARD AMOUNT	\$998,798

AMOUNT OF THIS ACTION (FEDERAL SHARE) \$998,798

SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
1	\$998,798	\$998,798
2	\$812,278	\$812,278

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project

Fiscal Information:

CFDA Number: 93.701
 EIN: 1926000147A1
 Document Number: RAA019422Z
 Fiscal Year: 2009

IC	CAN	2009	2010
AA	8484896	\$499,399	\$406,139
OD	8490018	\$499,399	\$406,139

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project

NIH Administrative Data:

PCC: AC E / OC: 414A / Processed: SIMONSJ 09/25/2009

SECTION II – PAYMENT/HOTLINE INFORMATION – 1RC2AA019422-01

For payment and HHS Office of Inspector General Hotline information, see the NIH Home Page at <http://grants.nih.gov/grants/policy/awardconditions.htm>

SECTION III – TERMS AND CONDITIONS – 1RC2AA019422-01

This award is based on the application submitted to, and as approved by, NIH on the above-titled project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- a. The grant program legislation and program regulation cited in this Notice of Award.
- b. Conditions on activities and expenditure of funds in other statutory requirements, such as those included in appropriations acts.
- c. 45 CFR Part 74 or 45 CFR Part 92 as applicable.
- d. The NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- e. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

(See NIH Home Page at 'http://grants.nih.gov/grants/policy/awardconditions.htm' for certain references cited above.)

ARRA TERM OF AWARD: This award is subject to the HHS-Approved Standard Terms and Conditions for the American Recovery and Reinvestment Act of 2009. Approved text for NIH awards can be found at http://grants.nih.gov/grants/policy/NIH_HHS_ARRA_Award_Terms.pdf. Recipients should pay particular attention to the special quarterly reporting requirements required by Section 1512 of the Recovery Act as specified in Term #2.

Carry over of an unobligated balance into the next budget period requires Grants Management Officer prior approval.

In accordance with P.L. 110-161, compliance with the NIH Public Access Policy is now mandatory. For more information, see NOT-OD-08-033 and the Public Access website: <http://publicaccess.nih.gov/>.

This award is funded by the following list of institutes. Any papers published under the auspices of this award must cite the funding support of all institutes.

National Institute On Alcohol Abuse And Alcoholism (NIAAA) Office Of The Director, National Institutes Of Health (OD)
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Treatment of Program Income:
Additional Costs

SECTION IV – AA Special Terms and Conditions – 1RC2AA019422-01

This award is issued in response to Notice OD-09-004, Recovery Act Limited Competition for NIH Grants: Research and Research Infrastructure Grand Opportunities (RC2), which is hereby incorporated by reference as special terms and conditions of this award. Copies of the RFA announcement may be accessed at the following internet address:
<http://grants.nih.gov/grants/guide/rfa-files/RFA-OD-09-004.html>

In accordance with the Notice: NOT-OD-02-017 entitled "GRADUATE STUDENT COMPENSATION", released December 10, 2001, in the NIH Guide for Grants and Contracts, total direct costs (salary, fringe benefits and tuition remission) for graduate students are provided at a level not to exceed the NIH maximum allowable amount (zero level of the Ruth L. Kirschstein National Research Service Award stipend in effect at the time of the competing award). Support recommended for future years has been adjusted accordingly, if applicable. The full guide Notice describing the level of compensation allowed for a graduate student can be found at:
<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-02-017.html>.

This grant has been identified as a Phase II Clinical Trial.

This grant has been identified as requiring a Data & Safety Monitoring Plan in accordance with the NIAAA Guidelines for Data and Safety Monitoring Plans at <http://www.niaaa.nih.gov/ResearchInformation/ExtramuralResearch/ResourcesAppGrantees/guidelines.htm>. The NIAAA Program Official named below has approved the Data & Safety Monitoring Plan submitted by the grantee.

STAFF CONTACTS

The Grants Management Specialist is responsible for the negotiation, award and administration of this project and for interpretation of Grants Administration policies and provisions. The Program Official is responsible for the scientific, programmatic and technical aspects of this project. These individuals work together in overall project administration. Prior approval requests (signed by an Authorized Organizational Representative) should be submitted in writing to the Grants Management Specialist. Requests may be made via e-mail.

Grants Management Specialist: Heather P. Gill
Email: gilldennyh@mail.nih.gov **Phone:** 301-443-8767 **Fax:** 301-443-3891

Program Official: Daniel Falk
Email: falkde@mail.nih.gov **Phone:** 301-443-0788 **Fax:** 301-443-8774

SPREADSHEET SUMMARY
GRANT NUMBER: 1RC2AA019422-01

INSTITUTION: UNIVERSITY OF ALASKA ANCHORAGE

<i>Budget</i>	<i>Year 1</i>	<i>Year 2</i>
Salaries and Wages	\$210,609	\$224,309
Fringe Benefits	\$68,673	\$74,331
Consultant Services	\$36,400	\$26,400
Supplies	\$37,400	\$1,000
Travel Costs	\$3,800	\$7,600
Other Costs	\$391,376	\$275,712
TOTAL FEDERAL DC	\$748,258	\$609,352
TOTAL FEDERAL F&A	\$250,540	\$202,926
TOTAL COST	\$998,798	\$812,278

<i>Facilities and Administrative Costs</i>	<i>Year 1</i>	<i>Year 2</i>
F&A Cost Rate 1	34%	34%
F&A Cost Base 1	\$736,883	\$596,840
F&A Costs 1	\$250,540	\$202,926

Subject: Award Id : 0909193, PI: Okkonen
From: jrobey@nsf.gov
Date: 26 Aug 2009 12:05:32 -0400
To: fygrcon@uaf.edu
CC: dgaawd@nsf.gov

Award Date: August 26, 2009
Award No. ARC-0909193
Proposal No. ARC-0909193

Ms. Maggie Griscavage
Director, Grant and Contract Services
University of Alaska Fairbanks
Adm Svcs Ctr Rm 109
3295 College Road
Fairbanks, AK 99709-3705

Dear Ms. Griscavage:

The National Science Foundation hereby awards a grant of \$336,880 to University of Alaska Fairbanks for support of the project described in the proposal referenced above.

This project, entitled "Collaborative Research: A winter expedition to explore the biological and physical conditions of the Bering, Chukchi, and Southern Beaufort Seas," is under the direction of Stephen Okkonen, in collaboration with the following proposals

Proposal No:	PI Name/Institution

0909368	Carin J. Ashjian, Woods Hole
Oceanographic Institution	
0909006	Robert G. Campbell, University
of Rhode Island	

This award is effective September 15, 2009 and expires August 31, 2012.

This award is funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) and is subject to the ARRA Terms and Conditions, dated May, 2009, available on the NSF website at:
http://www.nsf.gov/publications/pub_summ.jsp?ods_key=arra0509

This grant is awarded pursuant to the authority of the National Science Foundation Act of 1950, as amended (42 U.S.C. 1861-75) and is also subject to Research Terms and Conditions (RTC, dated July 2008) and the NSF RTC Agency-Specific Requirements (dated January 2009) are available at <http://www.nsf.gov/awards/managing/rtc.jsp>. This institution is a signatory to the Federal Demonstration Partnership (FDP) Phase V Agreement which requires active institutional participation in new or ongoing FDP demonstrations and pilots. and the following terms and conditions:

The provisions of NSF 08-597, "Arctic Research Opportunities" are applicable to this award.

The Director of the Office of Polar Programs has established Guidelines and Award Conditions for OPP Scientific Data effective in FY-99. The full document is available on the OPP webpages at: (<http://www.nsf.gov/pubs/1999/opp991/opp991.txt>).

Principal Investigators of OPP awards should make their data available to all reasonable requests. Where applicable, the Principal Investigators should submit the data collected to designated data centers as soon as possible, but no later than two (2) years after the data are collected. For continuing observations, data inventories should be submitted periodically if and when there is a significant change in location, type or frequency of such observations.

Principal Investigators of OPP-funded awards are REQUIRED to submit to appropriate electronic data directories, a description of their data (i.e., metadata) resulting from OPP-funded research in the form of a Directory Interchange Format (DIF) entry. Submission of the DIF may be at any time during the tenure of the grant. At the time of submission of the Final Report to NSF, a copy of the DIF

must be sent to the cognizant program official in OPP.

For OPP-supported Antarctic projects, DIF submission should be to the Antarctic Master Directory, via the USAP Data Coordination Center (<http://www.usap-data.org/>). For OPP-supported Arctic projects, DIF submission should be to the Arctic System Science Data Coordination Center at <http://arcss.colorado.edu>.

The attached budget indicates the amounts, by categories, on which NSF has based its support.

Please view the project reporting requirements for this award at the following web address [<https://www.fastlane.nsf.gov/researchadmin/prsLoginHome.do?awdID=0909193>].

The cognizant NSF program official for this grant is William J. Wiseman, Jr., (703) 292-4750.

The cognizant NSF grants official contact is Maria Valerio, (703) 292-4832.

Sincerely,

John C. Robey
Grants and Agreements Officer

CFDA No. 47.082
fygrcon@uaf.edu

ARC-0909193
000

SUMMARY PROPOSAL BUDGET

Person MOS	cal	acad	sumr	Funds granted By NSF
A. (1.00) Total Senior personnel	6.50	0.00	0.00	\$48,670
B. Other Personnel				
1. (0.00) Post Doctoral associates	0.00	0.00	0.00	\$0
2. (2.00) Other professionals	8.00	0.00	0.00	\$31,190
3. (3.00) Graduate students				\$82,140
4. (0.00) Secretarial-clerical				\$0
5. (0.00) Undergraduate students				\$0
6. (0.00) Other				\$0
Total salaries and wages (A+B)				\$162,000
C. Fringe benefits (if charged as direct cost)				\$42,543
Total salaries wages and fringes (A+B+C)				\$204,543
D. Total permanent equipment				\$6,500
E. Travel				
1. Domestic				\$0
2. Foreign				\$0
F. Total participant support costs				\$0
G. Other direct costs				
1. Materials and supplies				\$630
2. Publication costs/page charges				\$0
3. Consultant services				\$0
4. Computer (ADPE) services				\$0
5. Subcontracts				\$0
6. Other				\$38,128
Total other direct costs				\$38,758
H. Total direct costs (A through G)				\$249,801
I. Total indirect costs				\$87,079
J. Total direct and indirect costs (H+I)				\$336,880
K. Residual funds / Small business fee				
1. Residual funds (if for further support of current projects AAG I.D.2 and I.D.3)				\$0
2. Small business fee				\$0
L. Amount of this request (J) or (J-K1+K2)				\$336,880
M. Cost sharing				\$0

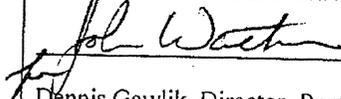
ARRA Research Subaward Agreement

Institution/Organization ("UNIVERSITY")		Institution/Organization ("COLLABORATOR")	
Name:	University of Washington	Name:	University of Alaska, Fairbanks
Address:	Purchasing Services 3917 University Way NE Seattle, WA 98105	Address:	Office of Sponsored Programs 3352 College Rd # A Fairbanks, AK 99709
Prime Award No.	ARC-0908262	Subaward No.	657596Z
Awarding Agency	NSF	CFDA No.	47.082
Subaward Period of Performance	09/01/09-08/31/11	Amount Funded this Action	\$23,955
Project Title "Bering Sea Retrospective: Seabirds At-Sea as Indicators of Spatial Variability and Temporal Change."			
Reporting Requirements [Check here if applicable: (x) See Attachment 4]			

Terms and Conditions

- 1) University hereby awards a cost reimbursable subaward, as described above, to Collaborator. The statement of work and budget for this subaward are (check one): (x) as specified in Collaborator's proposal dated 11/07/08; or () as shown in Attachment 5. In its performance of subaward work, Collaborator shall be an independent entity and not an employee or agent of University.
- 2) University shall reimburse Collaborator not more often than monthly for allowable costs. All invoices shall be submitted using Collaborator's standard invoice, but at a minimum shall include current and cumulative costs (including cost sharing), subaward number, and certification as to truth and accuracy of invoice. *Invoices that do not reference University's subaward number shall be returned to Collaborator.* Invoices and questions concerning invoice receipt or payments should be directed to the appropriate party's Financial Contact, as shown in Attachment 3.
- 3) A final statement of cumulative costs incurred, including cost sharing, marked "FINAL," must be submitted to University's Financial Contact NOT LATER THAN sixty (60) days after subaward end date. The final statement of costs shall constitute Collaborator's final financial report.
- 4) All payments shall be considered provisional and subject to adjustment within the total estimated cost in the event such adjustment is necessary as a result of an adverse audit finding against the Collaborator.
- 5) Matters concerning the technical performance of this subaward should be directed to the appropriate party's Project Director, as shown in Attachment 3. Technical reports are required as shown above, "Reporting Requirements."
- 6) Matters concerning the request or negotiation of any changes in the terms, conditions, or amounts cited in this subaward agreement should be directed to the appropriate party's Administrative Contact, as shown in Attachment 3. Any such changes made to this subaward agreement require the written approval of each party's Authorized Official, as shown in Attachment 3.
- 7) Each party shall be responsible for its negligent acts or omissions and the negligent acts or omissions of its employees, officers, or directors, to the extent allowed by law.
- 8) Either party may terminate this agreement with thirty days written notice to the appropriate party's Administrative Contact, as shown in Attachment 3. University shall pay Collaborator for termination costs as allowable under OMB Circular A-21, A-122 or 45 CFR Part 74, Appendix E, as applicable.
- 9) No-cost extensions require the approval of the University. Any requests for a no-cost extension should be addressed to and received by the Administrative Contact, as shown in Attachment 3, not less than thirty days prior to the desired effective date of the requested change.
- 10) The Subaward is subject to the terms and conditions of the Prime Award and other special terms and conditions, as identified in Attachment 2.
- 11) By signing below Collaborator makes the certifications and assurances shown in Attachments 1 and 2. Collaborator also assures that it will comply with applicable statutory and regulatory requirements specified in Appendix B of the FDP Operating Procedures found at: http://www.nsf.gov/home/grants/grants_fdp.htm.

By an Authorized Official of UNIVERSITY:



 Dennis Gawlik, Director, Purchasing
 Services

By an Authorized Official of COLLABORATOR:

**Attachment 1
ARRA Research Subaward Agreement**

By signing the Subaward Agreement, the authorized official of COLLABORATOR certifies, to the best of his/her knowledge and belief, that:

Certification Regarding Lobbying

- 1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the Collaborator, 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 the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- 2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or intending 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 Collaborator shall complete and submit Standard Form -LLL, "Disclosure Form to Report Lobbying," to the University.
- 3) The Collaborator 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 and disclose 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.

Debarment, Suspension, and Other Responsibility Matters

Collaborator certifies by signing this Subaward Agreement that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.

OMB Circular A-133 Assurance

Collaborator assures University that it complies with A-133 and that it will notify University of completion of required audits and of any adverse findings which impact this subaward.

Attachment 2
ARRA Research Subaward Agreement
NSF

Certifications/Assurances

1. By signing this Research Subaward Agreement Collaborator makes the certifications and assurances specified in the Research Terms and Conditions Appendix C found at <http://www.nsf.gov/bfa/dias/policy/rtc/appc.pdf>

General terms and conditions as of the effective date of this Research Subaward Agreement:

1. The restrictions on the expenditure of federal funds in appropriations acts are applicable to this subaward to the extent those restrictions are pertinent.
2. OMB Circular A-110 or 45 CFR Part 602 as applicable.
3. The Proposal and Award Policies and Procedures Guide, including addenda in effect as of the beginning date of the period of performance.
4. Research Terms and Conditions found at < <http://www.nsf.gov/bfa/dias/policy/rtc/terms.pdf> > and Agency Specific Requirements found at < http://www.nsf.gov/pubs/policydocs/rtc/nsf_708.pdf >, except for the following:
 - a. The right to initiate an automatic one-time extension of the end date provided by Article 25(c)(2) is replaced by the need to obtain prior written approval from the University;
 - b. The payment mechanism described in Article 22 and the financial reporting requirements in Article 52 of the Research Terms and Conditions and Article 9 of the Agency-Specific Requirements are replaced with Terms and Conditions (1) through (4) of this agreement; and
 - c. Any prior approvals are to be sought from the University and not the Federal Awarding Agency.
5. Title to equipment that is purchased or fabricated with research funds or Collaborator cost sharing funds, as direct costs of the project or program, shall unconditionally vest in the Collaborator upon acquisition without further obligation to the Federal Awarding Agency subject to the conditions specified in Article 34(a) of the Research Terms and Conditions.
6. Treatment of Program Income: Contact the University's Administrative Contact in Attachment 3 for guidance and determination of method to use, consistent with the Prime Award.

Special terms and conditions:

1. Copyrights - Collaborator grants to University an irrevocable, royalty-free, non-transferable, non-exclusive right and license to use, reproduce, make derivative works, display, and perform publicly any copyrights or copyrighted material (including any computer software and its documentation and/or databases) first developed and delivered under this Subaward Agreement solely for the purpose of and only to the extent required to meet University's obligations to the Federal Government under its Prime Award.
2. Data Rights - Collaborator grants to University the right to use data created in the performance of this Subaward Agreement solely for the purpose of and only to the extent required to meet University's obligations to the Federal Government under its Prime Award.
3. "This Subaward may be terminated by either party upon thirty (30) days written notice to the other party. In the event of termination, University shall pay Collaborator for all reasonable, allocable and allowable costs incurred up to the effective date of termination, including all non-cancelable commitments, not to exceed the total amount of this Subaward. Upon receipt of notice from one party to the other party, Collaborator shall take reasonable steps to immediately reduce all costs and outstanding obligations under this Subaward."
4. The provisions of NSF 08-597, "Arctic Research Opportunities" are applicable to this Subaward and are by reference incorporated herein.

Article 1. National Science Foundation American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) Award Term

- (a) This award is funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5). Unless otherwise specified, ARRA funding should be considered one-time funding.
- (b) Recipients must comply with standard NSF award conditions (Research Terms and Conditions or Grant General Conditions, as applicable) as well as the requirements set forth in ARRA, including, but not limited to, the reporting requirements specified in the award term entitled, "*Reporting and Registration Requirements under Section 1512 of the American Recovery and Reinvestment Act of 2009, Public Law 111-5*", as well as the accompanying OMB guidance (available on the Recovery.gov website.) Failure to submit timely reports may result in NSF taking administrative action, including disallowance of costs or the suspension or termination of the award.
- (c) Recipients of ARRA funds are reminded that such funds must be separately tracked and monitored independently from any non-ARRA funding.
- (d) Recipients of ARRA funds are reminded that ARRA-related terms and conditions are required to be incorporated into any subrecipient agreements, as appropriate.
- (e) NSF will monitor ARRA funds, and, if, after 12 months, no allowable expenditures have been incurred, NSF may consider reducing or terminating the award and reallocating the funds.

(End of award term)

Article 2. Reporting and Registration Requirements under Section 1512 of the American Recovery and Reinvestment Act of 2009, (Public Law 111-5)

- (a) This award requires the recipient to complete projects or activities which are funded under the American Recovery and Reinvestment Act of 2009 ("Recovery Act") and to report on use of Recovery Act funds provided through this award. Information from these reports will be made available to the public.
- (b) The reports are due no later than **five** calendar days after each calendar quarter (4/5, 7/5, 10/5, 1/5) in which the recipient receives the assistance award funded in whole or in part by the Recovery Act.
- (c) Recipients and their first-tier recipients must maintain current registrations in the Central Contractor Registration (www.ccr.gov) at all times during which they have active federal awards funded with Recovery Act funds. A Dun and Bradstreet Data Universal Numbering System (DUNS) Number (www.dnb.com) is one of the requirements for registration in the Central Contractor Registration.

(End of award term)

Article 3. Recovery Act Transactions listed in Schedule of Expenditures of Federal Awards and Recipient Responsibilities for Informing Sub-recipients

- (a) To maximize the transparency and accountability of funds authorized under the American Recovery and Reinvestment Act of 2009 (Public Law 111-5) (Recovery Act) as required by Congress and in accordance with 2 CFR 215, subpart ____ . 21 "Uniform Administrative Requirements for Grants and Agreements" and OMB A-102 Common Rules provisions, recipients agree to maintain records that identify adequately the source and application of Recovery Act funds.
- (b) For recipients covered by the Single Audit Act Amendments of 1996 and OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations," recipients agree to separately identify the expenditures for Federal awards under the Recovery Act on the Schedule of Expenditures of Federal Awards (SEFA) and the Data Collection Form (SF-SAC) required by OMB Circular A-133. This shall be accomplished by identifying expenditures for Federal awards made under Recovery Act separately on the SEFA, and as separate rows under Item 9 of Part III on the SF-SAC by CFDA number, and inclusion of the prefix "ARRA-" in identifying the name of the Federal program on the SEFA and as the first characters in Item 9d of Part III on the SF-SAC.
- (c) Recipients agree to separately identify to each subrecipient, and document at the time of sub-award and at the time of disbursement of funds, the Federal award number, CFDA number, and amount of Recovery Act funds. When a recipient awards Recovery Act funds for an existing program, the information furnished to sub-recipients shall distinguish the sub-awards of incremental Recovery Act funds from regular sub-awards under the existing program.
- (d) Recipients agree to require their subrecipients to include on their SEFA information to specifically identify Recovery Act funding similar to the requirements for the recipient SEFA described above. This information is needed to allow the recipient to properly monitor subrecipient expenditure of ARRA funds as well as oversight by the Federal awarding agencies, Offices of Inspector General and the Government Accountability Office

(End of award term)

Article 4. Protecting State and Local Government and Contractor Whistleblowers

under Section 1553 of the American Recovery and Reinvestment Act of 2009, (Public Law 111-5)

This article contains ARRA's statutory provisions prohibiting non-Federal employers receiving covered funds from taking actions against employees in reprisal for whistleblowing. Please note, that, pursuant to section (e), any employer receiving covered funds must post notice of the rights and remedies outlined in this award term.

(a) PROHIBITION OF REPRISALS.—An employee of any non-Federal employer receiving covered funds may not be discharged, demoted, or otherwise discriminated against as a reprisal for disclosing, including a disclosure made in the ordinary course of an employee's duties, to the Board, an inspector general, the Comptroller General, a member of Congress, a State or Federal regulatory or law enforcement agency, a person with supervisory authority over the employee (or such other person working for the employer who has the authority to investigate, discover, or terminate misconduct), a court or grand jury, the head of a Federal agency, or their representatives, information that the employee reasonably believes is evidence of—

- (1) gross mismanagement of an agency contract or grant relating to covered funds;
- (2) a gross waste of covered funds;
- (3) a substantial and specific danger to public health or safety related to the implementation or use of covered funds;
- (4) an abuse of authority related to the implementation or use of covered funds; or
- (5) a violation of law, rule, or regulation related to an agency contract (including the competition for or negotiation of a contract) or grant, awarded or issued relating to covered funds.

(b) INVESTIGATION OF COMPLAINTS.—

(1) **IN GENERAL.**—A person who believes that the person has been subjected to a reprisal prohibited by subsection (a) may submit a complaint regarding the reprisal to the appropriate inspector general. Except as provided under paragraph (3), unless the inspector general determines that the complaint is frivolous, does not relate to covered funds, or another Federal or State judicial or administrative proceeding has previously been invoked to resolve such complaint, the inspector general shall investigate the complaint and, upon completion of such investigation, submit a report of the findings of the investigation to the person, the person's employer, the head of the appropriate agency, and the Board.

(2) TIME LIMITATIONS FOR ACTIONS.—

(A) **IN GENERAL.**—Except as provided under subparagraph (B), the inspector general shall, not later than 180 days after receiving a complaint under paragraph (1)—

- (i) make a determination that the complaint is frivolous, does not relate to covered funds, or another Federal or State judicial or administrative proceeding has previously been invoked to resolve such complaint; or
- (ii) submit a report under paragraph (1).

(B) EXTENSIONS.—

(i) **VOLUNTARY EXTENSION AGREED TO BETWEEN INSPECTOR GENERAL AND COMPLAINANT.**—If the inspector general is unable to complete an investigation under this section in time to submit a report within the 180-day period specified under subparagraph (A) and the person submitting the complaint agrees to an extension of time, the inspector general shall submit a report under paragraph (1) within such additional period of time as shall be agreed upon between the inspector general and the person submitting the complaint.

(ii) **EXTENSION GRANTED BY INSPECTOR GENERAL.**—

If the inspector general is unable to complete an investigation under this section in time to submit a report within the 180-day period specified under subparagraph (A), the inspector general may extend the period for not more than 180 days without agreeing with the person submitting the complaint to such extension, provided that the inspector general provides a written explanation (subject to the authority to exclude information under paragraph (4)(C)) for the decision, which shall be provided to both the person submitting the complaint and the non-Federal employer.

(iii) **SEMI-ANNUAL REPORT ON EXTENSIONS.**—The inspector general shall include in semi-annual reports to Congress a list of those investigations for which the inspector general received an extension.

(3) DISCRETION NOT TO INVESTIGATE COMPLAINTS.—

(A) **IN GENERAL.**—The inspector general may decide not to conduct or continue an investigation under this section upon providing to the person submitting the complaint and the non-Federal employer a written explanation (subject to the authority to exclude information under paragraph (4)(C)) for such decision.

(B) ASSUMPTION OF RIGHTS TO CIVIL REMEDY.—Upon receipt of an explanation of a decision not to conduct or continue an investigation under subparagraph (A), the person submitting a complaint shall immediately assume the right to a civil remedy under subsection (c)(3) as if the 210-day period specified under such subsection has already passed.

(C) SEMI-ANNUAL REPORT.—The inspector general shall include in semi-annual reports to Congress a list of those investigations the inspector general decided not to conduct or continue under this paragraph.

(4) ACCESS TO INVESTIGATIVE FILE OF INSPECTOR GENERAL.—

(A) IN GENERAL.—The person alleging a reprisal under this section shall have access to the investigation file of the appropriate inspector general in accordance with section 552a of title 5, United States Code (commonly referred to as the “Privacy Act”). The investigation of the inspector general shall be deemed closed for purposes of disclosure under such section when an employee files an appeal to an agency head or a court of competent jurisdiction.

(B) CIVIL ACTION.—In the event the person alleging the reprisal brings suit under subsection (c)(3), the person alleging the reprisal and the non-Federal employer shall have access to the investigative file of the inspector general in accordance with the Privacy Act.

(C) EXCEPTION.—The inspector general may exclude from disclosure—

(i) information protected from disclosure by a provision of law; and (ii) any additional information the inspector general determines disclosure of which would impede a continuing investigation, provided that such information is disclosed once such disclosure would no longer impede such investigation, unless the inspector general determines that disclosure of law enforcement techniques, procedures, or information could reasonably be expected to risk circumvention of the law or disclose the identity of a confidential source.

(5) PRIVACY OF INFORMATION.—An inspector general investigating an alleged reprisal under this section may not respond to any inquiry or disclose any information from or about any person alleging such reprisal, except in accordance with the provisions of section 552a of title 5, United States Code, or as required by any other applicable Federal law.

(c) REMEDY AND ENFORCEMENT AUTHORITY.—

(1) BURDEN OF PROOF.—

(A) DISCLOSURE AS CONTRIBUTING FACTOR IN REPRISAL.—

(i) IN GENERAL.—A person alleging a reprisal under this section shall be deemed to have affirmatively established the occurrence of the reprisal if the person demonstrates that a disclosure described in subsection (a) was a contributing factor in the reprisal.

(ii) USE OF CIRCUMSTANTIAL EVIDENCE.—A disclosure may be demonstrated as a contributing factor in a reprisal for purposes of this paragraph by circumstantial evidence, including—

(I) evidence that the official undertaking the reprisal knew of the disclosure; or

(II) evidence that the reprisal occurred within a period of time after the disclosure such that a reasonable person could conclude that the disclosure was a contributing factor in the reprisal.

(B) OPPORTUNITY FOR REBUTTAL.—The head of an agency may not find the occurrence of a reprisal with respect to a reprisal that is affirmatively established under subparagraph (A) if the non-Federal employer demonstrates by clear and convincing evidence that the non-Federal employer would have taken the action constituting the reprisal in the absence of the disclosure.

(2) AGENCY ACTION.—Not later than 30 days after receiving an inspector general report under subsection (b), the head of the agency concerned shall determine whether there is sufficient basis to conclude that the non-Federal employer has subjected the complainant to a reprisal prohibited by subsection (a) and shall either issue an order denying relief in whole or in part or shall take 1 or more of the following actions:

(A) Order the employer to take affirmative action to abate the reprisal.

(B) Order the employer to reinstate the person to the position that the person held before the reprisal, together with the compensation (including back pay), compensatory damages, employment benefits, and other terms and conditions of employment that would apply to the person in that position if the reprisal had not been taken.

(C) Order the employer to pay the complainant an amount equal to the aggregate amount of all costs and expenses (including attorneys’ fees and expert witnesses’ fees) that were reasonably incurred by the complainant for, or in connection with, bringing the complaint regarding the reprisal, as determined by the head of the agency or a court of competent jurisdiction.

(3) CIVIL ACTION.—If the head of an agency issues an order denying relief in whole or in part under paragraph (1), has not issued an order within 210 days after the submission of a complaint under subsection (b), or in the case of an extension of time under subsection (b)(2)(B)(i), within 30 days after the expiration of the extension of time, or decides under subsection (b)(3) not

to investigate or to discontinue an investigation, and there is no showing that such delay or decision is due to the bad faith of the complainant, the complainant shall be deemed to have exhausted all administrative remedies with respect to the complaint, and the complainant may bring a de novo action at law or equity against the employer to seek compensatory damages and other relief available under this section in the appropriate district court of the United States, which shall have jurisdiction over such an action without regard to the amount in controversy. Such an action shall, at the request of either party to the action, be tried by the court with a jury.

(4) JUDICIAL ENFORCEMENT OF ORDER.—Whenever a person fails to comply with an order issued under paragraph (2), the head of the agency shall file an action for enforcement of such order in the United States district court for a district in which the reprisal was found to have occurred. In any action brought under this paragraph, the court may grant appropriate relief, including injunctive relief, compensatory and exemplary damages, and attorneys' fees and costs.

(5) JUDICIAL REVIEW.—Any person adversely affected or aggrieved by an order issued under paragraph (2) may obtain review of the order's conformance with this subsection, and any regulations issued to carry out this section, in the United States court of appeals for a circuit in which the reprisal is alleged in the order to have occurred. No petition seeking such review may be filed more than 60 days after issuance of the order by the head of the agency. Review shall conform to chapter 7 of title 5, United States Code.

(d) NONENFORCEABILITY OF CERTAIN PROVISIONS WAIVING RIGHTS AND REMEDIES OR REQUIRING ARBITRATION OF DISPUTES.—

(1) WAIVER OF RIGHTS AND REMEDIES.—Except as provided under paragraph (3), the rights and remedies provided for in this section may not be waived by any agreement, policy, form, or condition of employment, including by any predispute arbitration agreement.

(2) PREDISPUTE ARBITRATION AGREEMENTS.—Except as provided under paragraph (3), no predispute arbitration agreement shall be valid or enforceable if it requires arbitration of a dispute arising under this section.

(3) EXCEPTION FOR COLLECTIVE BARGAINING AGREEMENTS.—

Notwithstanding paragraphs (1) and (2), an arbitration provision in a collective bargaining agreement shall be enforceable as to disputes arising under the collective bargaining agreement.

(e) REQUIREMENT TO POST NOTICE OF RIGHTS AND REMEDIES.—

Any employer receiving covered funds shall post notice of the rights and remedies provided under this section.

(f) RULES OF CONSTRUCTION.—

(1) NO IMPLIED AUTHORITY TO RETALIATE FOR NON-PROTECTED DISCLOSURES.—Nothing in this section may be construed to authorize the discharge of, demotion of, or discrimination against an employee for a disclosure other than a disclosure protected by subsection (a) or to modify or derogate from a right or remedy otherwise available to the employee.

(2) RELATIONSHIP TO STATE LAWS.—Nothing in this section may be construed to preempt, preclude, or limit the protections provided for public or private employees under State whistleblower laws.

(g) DEFINITIONS.—In this section:

(1) ABUSE OF AUTHORITY.—The term "abuse of authority" means an arbitrary and capricious exercise of authority by a contracting official or employee that adversely affects the rights of any person, or that results in personal gain or advantage to the official or employee or to preferred other persons.

(2) COVERED FUNDS.—The term "covered funds" means any contract, grant, or other payment received by any non-Federal employer if—

(A) the Federal Government provides any portion of the money or property that is provided, requested, or demanded; and (B) at least some of the funds are appropriated or otherwise made available by this Act.

(3) EMPLOYEE.—The term "employee"—

(A) except as provided under subparagraph (B), means an individual performing services on behalf of an employer; and (B) does not include any Federal employee or member of the uniformed services (as that term is defined in section 101(a)(5) of title 10, United States Code).

(4) NON-FEDERAL EMPLOYER.—The term "non-Federal employer"—

(A) means any employer—

(i) with respect to covered funds—

(I) the contractor, subcontractor, grantee, or recipient, as the case may be, if the contractor and (II) any professional membership organization, certification or other professional body, any agent or licensee of the Federal government, or any person acting directly or indirectly in the interest of an employer receiving covered funds; or (ii) with respect to covered funds received by a State or local government, the State or local government receiving the funds and any contractor or subcontractor of the State or local government; and (B) does not mean any department, agency, or other entity of the Federal Government.

(5) STATE OR LOCAL GOVERNMENT.—The term “State or local government” means—

(A) the government of each of the several States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, or any other territory or possession of the United States; or (B) the government of any political subdivision of a government listed in subparagraph (A).

(6) BOARD — The term “Board” means the Recovery Accountability and Transparency Board, which was established in section 1521 of ARRA.

(End of award term)

Article 5. ARRA Provision 1604 Regarding Limit on Funds

a. Section 1604 of the Recovery Act specifies that: “None of the funds appropriated or otherwise made available in this Act may be used by any State or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool.”

b. In accordance with this ARRA provision, no awards may be made using ARRA funds to support any of these types of establishments and/or facilities. In addition, in the March 20, 2009 White House Memorandum, Subject: *Ensuring Responsible Spending of Recovery Act Funds*, President Obama noted that, to the extent permitted by law, agencies “shall not approve or otherwise support funding for projects that are similar to those described in section 1604 ...” The Memorandum did not elaborate on the types of projects that might be “similar” to those listed in section 1604. Thus, if an awardee plans to enter into a subaward arrangement with an establishment and/or facility that may be similar to those projects listed in section 1604, the expenditure of funds.

(End of award term)

Article 6. Referrals to the NSF Office of the Inspector General

The recipient (including any subrecipients of ARRA funds), shall promptly refer to the NSF Inspector General any credible evidence that a principal, employee, agent, contractor, subgrantee, subcontractor, or other person has submitted a false claim under the False Claims Act or has committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity, or similar misconduct involving those funds.

(End of award term)

**Attachment 3
ARRA Research Subaward Agreement**

University Contacts	Collaborator Contacts
<p>Administrative Contact</p> <p>Name: Michael J. Blackwell</p> <p>Address: Sponsored Programs Box 359472 University of Washington Seattle, WA 98195</p> <p>Telephone: 206-543-4043 Fax: 206-685-1732 Email: mikeb@u.washington.edu</p>	<p>Administrative Contact</p> <p>Name:</p> <p>Address:</p> <p>Telephone: Fax: Email:</p>
<p>Principal Investigator</p> <p>Name: Dr. George Hunt</p> <p>Address: Aquatic and Fishery Sciences Box# 355020 UW, Seattle, WA 98195</p> <p>Telephone: Email: geohunt2@u.washington.edu</p>	<p>Project Director</p> <p>Name: Dr. Kenneth Coyle</p> <p>Address:</p> <p>Telephone: Fax: Email:</p>
<p>Financial Contact</p> <p>Name: Customer Inquiries</p> <p>Address: Payables Administration 3917 University Way NE University of Washington Seattle, WA 98105</p> <p>Telephone: 206-543-4500 Fax: 206-685-8018 Email: aphelp@u.washington.edu</p>	<p>Financial Contact</p> <p>Name:</p> <p>Address:</p> <p>Telephone: Fax: Email:</p>
<p>Authorized Official</p> <p>Name: Dennis Gawlik</p> <p>Address: Purchasing Services 3917 University Way NE University of Washington Seattle, WA 98105</p> <p>Telephone: 206-543-5823 Fax: 206-685-3686 Email: gawlikd@u.washington.edu</p>	<p>Authorized Official</p> <p>Name:</p> <p>Address:</p> <p>Telephone: Fax: Email:</p>

Attachment 4
ARRA Research Subaward Agreement Reporting

Definition. "Reporting" includes invoicing, financial reporting, and technical reporting.

Invoicing. Subrecipient must invoice the Prime Recipient in a timely manner as follows:

Monthly

Amendment for Updated Reporting Requirements. A unilateral amendment may be issued to update reporting requirements in response to any additional requirements or guidance from the OMB or Sponsor including, but not limited to, the definition of terms and data elements, and specific instructions for reporting and report formats.

Compliance with the American Recovery and Reinvestment Act. Subrecipient must comply with all requirements specified in Division A of the ARRA (Public Law 111-5), including reporting requirements outlined in Section 1512 of the Act.

Responsibilities for Informing Sub-recipients. If Subrecipient issues subawards under this agreement, Subrecipient agrees to separately identify to each subrecipient, and document at the time of sub-award and at the time of disbursement of funds, the Federal award number, any CFDA number assigned for ARRA purposes, and amount of ARRA funds. (2 CFR 215.26, 45 CFR 74.26, and 45 CFR 92.26)

Delegation of Reporting in federalreporting.gov. Prime Recipient hereby does NOT delegate ARRA quarterly reporting requirements to the Subrecipient.

Subrecipient shall submit quarterly ARRA reports to the Prime Recipient as follows.

In all cases, Prime Recipient reserves the rights delineated in 2 CFR 215.53 part E, to request additional detail from the Subrecipient as needed to comply with the terms and reporting requirements of the Prime award.

Quarterly ARRA Reports to Prime Recipient

Subrecipient shall submit ARRA reports quarterly, to the Administrative Contact listed on Attachment 3, due 4/5, 7/5, 10/5, and 1/5 for the duration of the Subaward. The Quarterly ARRA Reports shall contain the following:

A. Subrecipient Type.

Subrecipient shall disclose its entity type as identified in the CCR.

B. Performance Site

Subrecipient shall identify the physical location of the primary place of performance of the Subaward, if it differs from the CCR.

Attachment 4
ARRA Research Subaward Agreement Reporting

- (1) Street Address _____
- (2) City, State, ZIP Code _____
- (3) Congressional District _____

Subrecipient shall report any changes in performance site on the Quarterly ARRA Report.

C. Jobs Created and Retained

- (1) A brief description of the types of jobs created and jobs retained in the United States and outlying areas. "Jobs or positions created" means those new positions created and filled, or previously existing unfilled positions that are filled, as a result of Recovery Act funding. "Jobs or positions retained" means those previously existing filled positions that are retained under Recovery Act funding. This description may rely on job titles, broader labor categories, or the contractor's existing practice for describing jobs as long as the terms used are widely understood and describe the general nature of the work; and
- (2) An estimate of the number of jobs created and jobs retained in the United States and outlying areas. At a minimum, this estimate shall include any new positions created and any existing filled positions that were retained to support or carry out Recovery Act projects or activities managed directly by the recipient, and if known, by subrecipients. The number shall be expressed as "full-time equivalent" (FTE), calculated cumulatively as all hours worked divided by the total number of hours in a full-time schedule, as defined by the recipient. For instance, two full-time employees and one part-time employee working half days would be reported as 2.5 FTE in each calendar quarter.
- (3) A job cannot be reported as both created and retained.

D. Most Highly Compensated Officers

Subrecipient shall provide the names and total compensation of the five most highly compensated officers of the Subrecipient entity if the following items (1) and (2) apply.

If either item (1) or (2) does not apply, the Subrecipient's report shall include a statement certifying this.

If these items do apply, but there is no change in the most highly compensated individuals or their total compensation, the Subrecipient's report shall include a statement certifying this.

- (1) The Subrecipient in its preceding fiscal year received—
- (a) 80 percent or more of its annual gross revenues in Federal awards; and
 - (b) \$25,000,000 or more in annual gross revenues from Federal awards; and

Attachment 4
ARRA Research Subaward Agreement Reporting

(2) The public does not have access to information about the compensation of the senior executives of the entity 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 [26 USC § 6104].

“Total compensation” means the cash and noncash dollar value earned by the executive during the subrecipient’s past fiscal year of 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 FAS 123R.
- (iii). Earnings for services under non-equity incentive plans. 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 are not taxqualified.
- (vi). Other compensation. For example, severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property if the value for the executive exceeds \$10,000.

E. Technical Reporting.

Subrecipient will include a brief update on cumulative programmatic achievements, including significant deliverables or milestones reached, to the University.

F. Area of Benefit.

Subrecipient will note the geographical area(s) benefited by the project.

G. Vendor Numbers and Payments (if applicable)

Subrecipient must report the total number and total amount of payments to vendors less than \$25,000/award. Subrecipient shall report the vendor names and D-U-N-S numbers if available. If the D-U-N-S is not available, the Subrecipient shall report on the vendor names and zip codes of vendor headquarters.

H. Subaward Numbers and Payments to Individuals (if applicable)

Subrecipient must report the total number and amount of subawards to individuals.

Subaward Agreement

ARRA FUNDS

Institution/Organization ("PRIME RECIPIENT") Name: Regents of the University of Colorado, a body corporate, acting on behalf of the University of Colorado at Boulder Address: 3100 Marine Street, 572 UCB Boulder, CO 80309-0572	Institution/Organization ("SUBRECIPIENT") Name: University of Alaska-Fairbanks Address: P.O. Box 757880 Fairbanks, AK 99775-7880 EIN No.: 92-6000147		
Prime Award No. <p style="text-align: center;">ARC 0755725</p>	CU Reference No. <p style="text-align: center;">1545792</p>		
Awarding Agency <p style="text-align: center;">NSF</p>	CFDA No. <p style="text-align: center;">47.082</p>		
Subaward Period of Performance <p style="text-align: center;">6/15/09-5/31/12</p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;"> Amount Funded this Action <p style="text-align: center;">508,138</p> </td> <td style="width: 50%;"> Est. Total (if incrementally funded) <p style="text-align: center;">508,138</p> </td> </tr> </table>	Amount Funded this Action <p style="text-align: center;">508,138</p>	Est. Total (if incrementally funded) <p style="text-align: center;">508,138</p>
Amount Funded this Action <p style="text-align: center;">508,138</p>	Est. Total (if incrementally funded) <p style="text-align: center;">508,138</p>		

Project Title
 IPY: Human Response to Climate Change at Cape Espenberg AD 800-1400
 Reporting Requirements - See Attachment 4

Terms and Conditions

- 1) Prime Recipient hereby awards a cost reimbursable subaward, as described above, to Subrecipient. The statement of work and budget for this subaward are shown in Attachment 5. In its performance of subaward work, Subrecipient shall be an independent entity and not an employee or agent of Prime Recipient.
- 2) Prime Recipient shall reimburse Subrecipient not more often than monthly for allowable costs. All invoices shall be submitted using Subrecipient's standard invoice, but at a minimum shall include current and cumulative costs by major cost categories (including cost sharing), subaward number, standing purchase order number and certification as to truth and accuracy of invoice. *Invoices that do not reference Prime Recipient's standing purchase order number shall be returned to Subrecipient.* Invoices and questions concerning invoice receipt or payments should be directed to the Prime Recipient's Financial Contact, as shown in Attachment 3.
- 3) A final invoice of cumulative costs incurred, including cost sharing, marked "FINAL," must be submitted to Prime Recipient's Financial Contact NOT LATER THAN sixty (60) days after subaward end date. The final statement of costs shall constitute Subrecipient's final financial report.
- 4) All payments shall be considered provisional and subject to adjustment within the total estimated cost in the event such adjustment is necessary as a result of an adverse audit finding against the Subrecipient.
- 5) Matters concerning the technical performance of this subaward should be directed to the appropriate party's Principal Investigator, as shown in Attachment 3. Technical reports are required as shown in Attachment 2.
- 6) Matters concerning the request or negotiation of any changes in the terms, conditions, or amounts cited in this subaward agreement, and any changes requiring prior approval, should be directed to the appropriate party's Administrative Contact, as shown in Attachment 3. Any such changes made to this subaward agreement require the written approval of each party's Authorized Official, as shown in Attachment 3.
- 7) Each party shall be responsible for its negligent acts or omissions and the negligent acts or omissions of its employees, officers, or directors, to the extent allowed by law.
- 8) Either party may terminate this agreement with thirty days written notice to the appropriate party's Administrative Contact, as shown in Attachment 3. Prime Recipient shall pay Subrecipient for termination costs as allowable under OMB Circular A-21 or A-122, as applicable.
- 9) No-cost extensions require the approval of the Prime Recipient. Any requests for a no-cost extension should be addressed to and received by the Administrative Contact, as shown in Attachment 3, not less than thirty days prior to the desired effective date of the requested change.
- 10) The Subaward is subject to the terms and conditions of the Prime Award and other special terms and conditions, as identified in Attachment 2.
- 11) By signing below Subrecipient makes the certifications and assurances shown in Attachments 1 and 2.
- 12) This Subaward Agreement will be assigned a purchase order number by the University of Colorado Procurement Service Center. The purchase order number is assigned for the administrative convenience of Prime Recipient and the purchase order's terms and conditions do NOT form a part of this Subaward Agreement. The purchase order number must be included on all invoices in order to facilitate timely payment to the Subrecipient.

By an Authorized Official of Prime Recipient:

By an Authorized Official of Subrecipient:

Date

Date

**Attachment 1
Subaward Agreement**

By signing the Subaward Agreement, the authorized official of Subrecipient certifies, to the best of his/her knowledge and belief, that:

Certification Regarding Lobbying

1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the Subrecipient, 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 the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or intending 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 Collaborator shall complete and submit Standard Form -LLL, "Disclosure Form to Report Lobbying," to the Prime Recipient.

3) The Subrecipient 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 and disclose 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.

Debarment, Suspension, and Other Responsibility Matters

Subrecipient certifies by signing this Subaward Agreement that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in this transaction by any federal department or agency.

OMB Circular A-133 Assurance

Subrecipient assures Prime Recipient that it complies with A-133 and that it will notify Prime Recipient of completion of required audits and of any adverse findings, which impact this subaward.

Attachment 2
Research Subaward Agreement
Prime Award Terms and Conditions
NSF

Certifications/Assurances

1. By signing this Research Subaward Agreement Subrecipient makes the certifications and assurances specified in the Research Terms and Conditions Appendix C found at <http://www.nsf.gov/bfa/dias/policy/rtc/appc.pdf>

General terms and conditions as of the effective date of this Research Subaward Agreement:

This award is funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) and is subject to the ARRA Terms and Conditions, dated May, 2009, available on the NSF website at: http://www.nsf.gov/publications/pub_summ.jsp?ods_key=arra0509.

The provisions of NSF 07-536, "International Polar Year 2007" are applicable to this award, available at: <http://www.nsf.gov/pubs/2007/nsf07536/nsf07536.htm>.

1. The restrictions on the expenditure of federal funds in appropriations acts are applicable to this subaward to the extent those restrictions are pertinent.
2. OMB Circular A-110 or 45 CFR Part 602 as applicable.
3. The Proposal and Award Policies and Procedures Guide, including addenda in effect as of the beginning date of the period of performance.
4. Research Terms and Conditions found at < <http://www.nsf.gov/bfa/dias/policy/rtc/terms.pdf>> and Agency Specific Requirements found at < http://www.nsf.gov/pubs/policydocs/rtc/nsf_708.pdf>, except for the following:
 - a. The right to initiate an automatic one-time extension of the end date provided by Article 25(c) (2) is replaced by the need to obtain prior written approval from the Prime Recipient;
 - b. The payment mechanism described in Article 22 and the financial reporting requirements in Article 52 of the Research Terms and Conditions and Article 9 of the Agency-Specific Requirements are replaced with Terms and Conditions (1) through (4) of this agreement; and
 - c. Any prior approvals are to be sought from the Prime Recipient and not the Federal Awarding Agency.
5. Title to equipment costing \$5,000 or more that is purchased or fabricated with research funds or Subrecipient cost sharing funds, as direct costs of the project or program, shall unconditionally vest in the Subrecipient upon acquisition without further obligation to the Federal Awarding Agency subject to the conditions specified in Article 34(a) of the Research Terms and Conditions.

Attachment 2 (continued)
Research Subaward Agreement
Prime Award Terms and Conditions

American Recovery and Reinvestment Act of 2009

Article 1. National Science Foundation American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5) Award Term

(a) This award is funded under the American Recovery and Reinvestment Act of 2009 (ARRA) (Public Law 111-5). Unless otherwise specified, ARRA funding should be considered one-time funding.

(b) Recipients must comply with standard NSF award conditions (Research Terms and Conditions or Grant General Conditions, as applicable) as well as the requirements set forth in ARRA, including, but not limited to, the reporting requirements specified in the award term entitled, "*Reporting and Registration Requirements under Section 1512 of the American Recovery and Reinvestment Act of 2009, Public Law 111-5*", as well as the accompanying OMB guidance (available on the Recovery.gov website.) Failure to submit timely reports may result in NSF taking administrative action, including disallowance of costs or the suspension or termination of the award.

(c) Recipients of ARRA funds are reminded that such funds must be separately tracked and monitored independently from any non-ARRA funding.

(d) Recipients of ARRA funds are reminded that ARRA-related terms and conditions are required to be incorporated into any subrecipient agreements, as appropriate.

(e) NSF will monitor ARRA funds, and, if, after 12 months, no allowable expenditures have been incurred, NSF may consider reducing or terminating the award and reallocating the funds.

(End of award term)

Article 2. Reporting and Registration Requirements under Section 1512 of the American Recovery and Reinvestment Act of 2009, (Public Law 111-5)

(a) This award requires the recipient to complete projects or activities which are funded under the American Recovery and Reinvestment Act of 2009 ("Recovery Act") and to report on use of Recovery Act funds provided through this award. Information from these reports will be made available to the public.

(b) The reports are due no later than **five** calendar days after each calendar quarter in which the recipient receives the assistance award funded in whole or in part by the Recovery Act.

(c) Recipients and their first-tier recipients must maintain current registrations in the Central Contractor Registration (www.ccr.gov) at all times during which they have active federal awards funded with Recovery Act funds. A Dun and Bradstreet Data Universal Numbering System (DUNS) Number (www.dnb.com) is one of the requirements for registration in the Central Contractor Registration.

(End of award term)

Article 3. Recovery Act Transactions listed in Schedule of Expenditures of Federal Awards and Recipient Responsibilities for Informing Sub-recipients

(a) To maximize the transparency and accountability of funds authorized under the American Recovery and Reinvestment Act of 2009 (Public Law 111-5) (Recovery Act) as required by Congress and in accordance with 2 CFR 215, "Uniform Administrative Requirements for Grants and Agreements" and OMB A-102 Common Rules provisions, recipients agree to maintain records that identify adequately the source and application of Recovery Act funds.

(b) For recipients covered by the Single Audit Act Amendments of 1996 and OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations," recipients agree to separately identify the expenditures for Federal awards under the Recovery Act on the Schedule of Expenditures of Federal Awards (SEFA) and the Data Collection Form (SF-SAC) required by OMB Circular A-133. This shall be accomplished by identifying expenditures for Federal awards made under Recovery Act separately on the SEFA, and as separate rows under Item 9 of Part III on the SF-SAC by CFDA number, and inclusion of the prefix "ARRA-" in identifying the name of the Federal program on the SEFA and as the first characters in Item 9d of Part III on the SF-SAC.

(c) Recipients agree to separately identify to each subrecipient, and document at the time of sub-award and at the time of disbursement of funds, the Federal award number, CFDA number, and amount of Recovery Act funds. When a recipient awards Recovery Act funds for an existing program, the information furnished to sub-recipients shall distinguish the sub-awards of incremental Recovery Act funds from regular sub-awards under the existing program.

(d) Recipients agree to require their subrecipients to include on their SEFA information to specifically identify Recovery Act funding similar to the requirements for the recipient SEFA

described above. This information is needed to allow the recipient to properly monitor subrecipient expenditure of ARRA funds as well as oversight by the Federal awarding agencies, Offices of Inspector General and the Government Accountability Office

(End of award term)

Article 4. Protecting State and Local Government and Contractor Whistleblowers under Section 1553 of the American Recovery and Reinvestment Act of 2009, (Public Law 111-5)

This article contains ARRA's statutory provisions prohibiting non-Federal employers receiving covered funds from taking actions against employees in reprisal for whistleblowing. Please note, that, pursuant to section (e), any employer receiving covered funds must post notice of the rights and remedies outlined in this award term.

(a) PROHIBITION OF REPRISALS.—An employee of any non-Federal employer receiving covered funds may not be discharged, demoted, or otherwise discriminated against as a reprisal for disclosing, including a disclosure made in the ordinary course of an employee's duties, to the Board, an inspector general, the Comptroller General, a member of Congress, a State or Federal regulatory or law enforcement agency, a person with supervisory authority over the employee (or such other person working for the employer who has the authority to investigate, discover, or terminate misconduct), a court or grand jury, the head of a Federal agency, or their representatives, information that the employee reasonably believes is evidence of—

- (1) gross mismanagement of an agency contract or grant relating to covered funds;
- (2) a gross waste of covered funds;
- (3) a substantial and specific danger to public health or safety related to the implementation or use of covered funds;
- (4) an abuse of authority related to the implementation or use of covered funds; or
- (5) a violation of law, rule, or regulation related to an agency contract (including the competition for or negotiation of a contract) or grant, awarded or issued relating to covered funds.

(b) INVESTIGATION OF COMPLAINTS.—

(1) **IN GENERAL.**—A person who believes that the person has been subjected to a reprisal prohibited by subsection (a) may submit a complaint regarding the reprisal to the appropriate inspector general. Except as provided under paragraph (3), unless the inspector general determines that the complaint is frivolous, does not relate to covered funds, or another Federal or State judicial or administrative proceeding has previously been invoked to resolve such complaint, the inspector general shall investigate the complaint and, upon completion of such investigation, submit a report of the findings of the investigation to the person, the person's employer, the head of the appropriate agency, and the Board.

(2) TIME LIMITATIONS FOR ACTIONS.—

(A) **IN GENERAL.**—Except as provided under subparagraph (B), the inspector general shall, not later than 180 days after receiving a complaint under paragraph (1)—

- (i) make a determination that the complaint is frivolous, does not relate to covered funds, or another Federal or State judicial or administrative proceeding has previously been invoked to resolve such complaint; or
- (ii) submit a report under paragraph (1).

(B) EXTENSIONS.—

(i) **VOLUNTARY EXTENSION AGREED TO BETWEEN INSPECTOR GENERAL AND COMPLAINANT.**—If the inspector general is unable to complete an investigation under this section in time to submit a report within the 180-day period specified under subparagraph (A) and the person submitting the complaint agrees to an extension of time, the inspector general shall submit a report under paragraph (1) within such additional period of time as shall be agreed upon between the inspector general and the person submitting the complaint.

(ii) **EXTENSION GRANTED BY INSPECTOR GENERAL.**—

If the inspector general is unable to complete an investigation under this section in time to submit a report within the 180-day period specified under subparagraph (A), the inspector general may extend the period for not more than 180 days without agreeing with the person submitting the complaint to such extension, provided that the inspector general provides a written explanation (subject to the authority to exclude information under paragraph (4)(C)) for the decision, which shall be provided to both the person submitting the complaint and the non-Federal employer.

(iii) **SEMI-ANNUAL REPORT ON EXTENSIONS.**—The inspector general shall include in semi-annual reports to Congress a list of those investigations for which the inspector general received an extension.

(3) DISCRETION NOT TO INVESTIGATE COMPLAINTS.—

(A) **IN GENERAL.**—The inspector general may decide not to conduct or continue an investigation under this section upon providing to the person submitting the complaint and the non-Federal employer a written explanation (subject to the authority to exclude information under paragraph (4)(C)) for such decision.

(B) **ASSUMPTION OF RIGHTS TO CIVIL REMEDY.**—Upon receipt of an explanation of a decision not to conduct or continue an investigation under subparagraph (A), the person submitting a complaint shall immediately assume the right to a civil remedy under subsection (c)(3) as if the 210-day period specified under such subsection has already passed.

(C) **SEMI-ANNUAL REPORT.**—The inspector general shall include in semi-annual reports to Congress a list of those investigations the inspector general decided not to conduct or continue under this paragraph.

(4) ACCESS TO INVESTIGATIVE FILE OF INSPECTOR GENERAL.—

(A) **IN GENERAL.**—The person alleging a reprisal under this section shall have access to the investigation file of the appropriate inspector general in accordance with section 552a of title 5, United States Code (commonly referred to as the “Privacy Act”). The investigation of the inspector general shall be deemed closed for purposes of disclosure under such section when an employee files an appeal to an agency head or a court of competent jurisdiction.

(B) **CIVIL ACTION.**—In the event the person alleging the reprisal brings suit under subsection (c)(3), the person alleging the reprisal and the non-Federal employer shall have access to the investigative file of the inspector general in accordance with the Privacy Act.

(C) **EXCEPTION.**—The inspector general may exclude from disclosure—

(i) information protected from disclosure by a provision of law; and (ii) any additional information the inspector general determines disclosure of which would impede a continuing investigation, provided that such information is disclosed once such disclosure would no longer impede such investigation, unless the inspector general determines that disclosure of law enforcement techniques, procedures, or information could reasonably be expected to risk circumvention of the law or disclose the identity of a confidential source.

(5) **PRIVACY OF INFORMATION.**—An inspector general investigating an alleged reprisal under this section may not respond to any inquiry or disclose any information from or about any person alleging such reprisal, except in accordance with the provisions of section 552a of title 5, United States Code, or as required by any other applicable Federal law.

(c) REMEDY AND ENFORCEMENT AUTHORITY.—

(1) BURDEN OF PROOF.—

(A) DISCLOSURE AS CONTRIBUTING FACTOR IN REPRISAL.—

(i) **IN GENERAL.**—A person alleging a reprisal under this section shall be deemed to have affirmatively established the occurrence of the reprisal if the person demonstrates that a disclosure described in subsection (a) was a contributing factor in the reprisal.

(ii) **USE OF CIRCUMSTANTIAL EVIDENCE.**—A disclosure may be demonstrated as a contributing factor in a reprisal for purposes of this paragraph by circumstantial evidence, including—

(I) evidence that the official undertaking the reprisal knew of the disclosure; or

(II) evidence that the reprisal occurred within a period of time after the disclosure such that a reasonable person could conclude that the disclosure was a contributing factor in the reprisal.

(B) **OPPORTUNITY FOR REBUTTAL.**—The head of an agency may not find the occurrence of a reprisal with respect to a reprisal that is affirmatively established under subparagraph (A) if the non-Federal employer demonstrates by clear and convincing evidence that the non-Federal employer would have taken the action constituting the reprisal in the absence of the disclosure.

(2) AGENCY ACTION.—Not later than 30 days after receiving an inspector general report under subsection (b), the head of the agency concerned shall determine whether there is sufficient basis to conclude that the non-Federal employer has subjected the complainant to a reprisal prohibited by subsection (a) and shall either issue an order denying relief in whole or in part or shall take 1 or more of the following actions:

(A) Order the employer to take affirmative action to abate the reprisal.

(B) Order the employer to reinstate the person to the position that the person held before the reprisal, together with the compensation (including back pay), compensatory damages, employment benefits, and other terms and conditions of employment that would apply to the person in that position if the reprisal had not been taken.

(C) Order the employer to pay the complainant an amount equal to the aggregate amount of all costs and expenses (including attorneys' fees and expert witnesses' fees) that were reasonably incurred by the complainant for, or in connection with, bringing the complaint regarding the reprisal, as determined by the head of the agency or a court of competent jurisdiction.

(3) CIVIL ACTION.—If the head of an agency issues an order denying relief in whole or in part under paragraph (1), has not issued an order within 210 days after the submission of a complaint under subsection (b), or in the case of an extension of time under subsection (b)(2)(B)(i), within 30 days after the expiration of the extension of time, or decides under subsection (b)(3) not to investigate or to discontinue an investigation, and there is no showing that such delay or decision is due to the bad faith of the complainant, the complainant shall be deemed to have exhausted all administrative remedies with respect to the complaint, and the complainant may bring a de novo action at law or equity against the employer to seek compensatory damages and other relief available under this section in the appropriate district court of the United States, which shall have jurisdiction over such an action without regard to the amount in controversy. Such an action shall, at the request of either party to the action, be tried by the court with a jury.

(4) JUDICIAL ENFORCEMENT OF ORDER.—Whenever a person fails to comply with an order issued under paragraph (2), the head of the agency shall file an action for enforcement of such order in the United States district court for a district in which the reprisal was found to have occurred. In any action brought under this paragraph, the court may grant appropriate relief, including injunctive relief, compensatory and exemplary damages, and attorneys' fees and costs.

(5) JUDICIAL REVIEW.—Any person adversely affected or aggrieved by an order issued under paragraph (2) may obtain review of the order's conformance with this subsection, and any regulations issued to carry out this section, in the United States court of appeals for a circuit in which the reprisal is alleged in the order to have occurred. No petition seeking such review may be filed more than 60 days after issuance of the order by the head of the agency. Review shall conform to chapter 7 of title 5, United States Code.

(d) NONENFORCEABILITY OF CERTAIN PROVISIONS WAIVING RIGHTS AND REMEDIES OR REQUIRING ARBITRATION OF DISPUTES.—

(1) WAIVER OF RIGHTS AND REMEDIES.—Except as provided under paragraph (3), the rights and remedies provided for in this section may not be waived by any agreement, policy, form, or condition of employment, including by any predispute arbitration agreement.

(2) PREDISPUTE ARBITRATION AGREEMENTS.—Except as provided under paragraph (3), no predispute arbitration agreement shall be valid or enforceable if it requires arbitration of a dispute arising under this section.

(3) EXCEPTION FOR COLLECTIVE BARGAINING AGREEMENTS.—

Notwithstanding paragraphs (1) and (2), an arbitration provision in a collective bargaining agreement shall be enforceable as to disputes arising under the collective bargaining agreement.

(e) REQUIREMENT TO POST NOTICE OF RIGHTS AND REMEDIES.—

Any employer receiving covered funds shall post notice of the rights and remedies provided under this section.

(f) RULES OF CONSTRUCTION.—

(1) NO IMPLIED AUTHORITY TO RETALIATE FOR NON-PROTECTED DISCLOSURES.—Nothing in this section may be construed to authorize the discharge of, demotion of, or discrimination against an employee for a disclosure other than a disclosure protected by subsection (a) or to modify or derogate from a right or remedy otherwise available to the employee.

(2) RELATIONSHIP TO STATE LAWS.—Nothing in this section may be construed to preempt, preclude, or limit the protections provided for public or private employees under State whistleblower laws.

(g) DEFINITIONS.—In this section:

(1) ABUSE OF AUTHORITY.—The term "abuse of authority" means an arbitrary and capricious exercise of authority by a contracting official or employee that adversely affects the rights of any person, or that results in personal gain or advantage to the official or employee or to preferred other persons.

(2) COVERED FUNDS.—The term “covered funds” means any contract, grant, or other payment received by any non-Federal employer if—

(A) the Federal Government provides any portion of the money or property that is provided, requested, or demanded; and (B) at least some of the funds are appropriated or otherwise made available by this Act.

(3) EMPLOYEE.—The term “employee”—

(A) except as provided under subparagraph (B), means an individual performing services on behalf of an employer; and (B) does not include any Federal employee or member of the uniformed services (as that term is defined in section 101(a)(5) of title 10, United States Code).

(4) NON-FEDERAL EMPLOYER.—The term “non-Federal employer”—

(A) means any employer—

(i) with respect to covered funds—

(I) the contractor, subcontractor, grantee, or recipient, as the case may be, if the contractor and (II) any professional membership organization, certification or other professional body, any agent or licensee of the Federal government, or any person acting directly or indirectly in the interest of an employer receiving covered funds; or (ii) with respect to covered funds received by a State or local government, the State or local government receiving the funds and any contractor or subcontractor of the State or local government; and (B) does not mean any department, agency, or other entity of the Federal Government.

(5) STATE OR LOCAL GOVERNMENT.—The term “State or local government” means—

(A) the government of each of the several States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, or any other territory or possession of the United States; or (B) the government of any political subdivision of a government listed in subparagraph (A).

(6) BOARD – The term “Board” means the Recovery Accountability and Transparency Board, which was established in section 1521 of ARRA.

(End of award term)

Article 5. ARRA Provision 1604 Regarding Limit on Funds

a. Section 1604 of the Recovery Act specifies that: “None of the funds appropriated or otherwise made available in this Act may be used by any State or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool.”

b. In accordance with this ARRA provision, no awards may be made using ARRA funds to support any of these types of establishments and/or facilities. In addition, in the March 20, 2009 White House Memorandum, Subject: *Ensuring Responsible Spending of Recovery Act Funds*, President Obama noted that, to the extent permitted by law, agencies “shall not approve or otherwise support funding for projects that are similar to those described in section 1604 ...” The Memorandum did not elaborate on the types of projects that might be “similar” to those listed in section 1604. Thus, if an awardee plans to enter into a subaward arrangement with an establishment and/or facility that may be similar to those projects listed in section 1604, the expenditure of funds.

(End of award term)

Article 6. Referrals to the NSF Office of the Inspector General

The recipient (including any subrecipients of ARRA funds), shall promptly refer to the NSF Inspector General any credible evidence that a principal, employee, agent, contractor, subgrantee,

subcontractor, or other person has submitted a false claim under the False Claims Act or has committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity, or similar misconduct involving those funds.

(End of award term)

Attachment 2 (continued)
Research Subaward Agreement
Prime Award Terms and Conditions
American Recovery and Reinvestment Act of 2009

Buy American - Use of American Iron, Steel, and Manufactured Goods

Recipients may not use any funds obligated under this award for the construction, alteration, maintenance, or repair of a public building or public work unless all of the iron, steel, and manufactured goods used in the project are produced in the United States unless HHS waives the application of this provision. (ARRA Sec. 1605)

Wage Rate Requirements

[This term and condition shall not apply to tribal contracts entered into by the Indian Health Service funded with this appropriation. (ARRA Title VII—Interior, Environment, and Related Agencies, Department of Health and Human Services, Indian Health Facilities)]

Subject to further clarification issued by the Office of Management and Budget, and notwithstanding any other provision of law and in a manner consistent with other provisions of ARRA, all laborers and mechanics employed by contractors and subcontractors on projects funded directly by or assisted in whole or in part by and through the Federal Government pursuant to this award shall be paid wages at rates not less than those prevailing on projects of a character similar in the locality as determined by the Secretary of Labor in accordance with subchapter IV of chapter 31 of title 40, United States Code. With respect to the labor standards specified in this section, the Secretary of Labor shall have the authority and functions set forth in Reorganization Plan Numbered 14 of 1950 (64 Stat. 1267; 5 U.S.C. App.) and section 3145 of title 40, United States Code. (ARRA Sec. 1606)

Preference for Quick Start Activities (ARRA)

In using funds for this award for infrastructure investment, recipients shall give preference to activities that can be started and completed expeditiously, including a goal of using at least 50 percent of the funds for activities that can be initiated not later than 120 days after the date of the enactment of ARRA. Recipients shall also use grant funds in a manner that maximizes job creation and economic benefit. (ARRA Sec. 1602)

Limit on Funds (ARRA)

None of the funds appropriated or otherwise made available in ARRA may be used by any State or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool. (ARRA Sec. 1604)

Disclosure of Fraud or Misconduct

Each recipient or sub-recipient awarded funds made available under the ARRA shall promptly refer to the HHS Office of Inspector General any credible evidence that a principal, employee, agent, contractor, sub-recipient, subcontractor, or other person has submitted a false claim under the False Claims Act or has committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity, or similar misconduct involving those funds. The HHS Office of Inspector General can be reached at <http://www.oig.hhs.gov/fraud/hotline/>

ARRA: One-Time Funding

Unless otherwise specified, ARRA funding to existent or new awardees should be considered one-time funding.

Schedule of Expenditures of Federal Awards

Recipients agree to separately identify the expenditures for each grant award funded under ARRA on the Schedule of Expenditures of Federal Awards (SEFA) and the Data Collection Form (SF-SAC) required by Office of Management and Budget Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations." This identification on the SEFA and SF-SAC shall include the Federal award number, the Catalog of Federal Domestic Assistance (CFDA) number, and amount such that separate accountability and disclosure is provided for ARRA funds by Federal award number consistent with the recipient reports required by ARRA Section 1512(c). (2 CFR 215.26, 45 CFR 74.26, and 45 CFR 92.26)

**Attachment 3
Subaward Agreement**

Prime Recipient Contacts	Subrecipient Contacts
<p>Administrative Contact</p> <p>Name: Mindy Vallejos, Subcontract Administrator</p> <p>Address: University of Colorado Office of Contract and Grants 3100 Marine Street, 572 UCB Boulder, CO 80309-0572</p> <p>Telephone: 303-492-6223 Fax: 303-735-1899 Email: Mindy.Vallejos@colorado.edu</p>	<p>Administrative Contact</p> <p>Name: Maggie G. Griscavage</p> <p>Address: University of Alaska – Fairbanks P.O. Box 757880 Fairbanks, AK 99775-7880</p> <p>Telephone: 907-474-7301 Fax: 907-474-5506 Email: fngmgl@usf.edu</p>
<p>Principal Investigator</p> <p>Name: John Hoffecker Address: University of Colorado INSTAAR 450 UCB Boulder, CO 80309-0450</p> <p>Telephone: 303-735-7804 Fax: 303-492-6388 Email: john.hoffecker@colorado.edu</p>	<p>Principal Investigator</p> <p>Name: Nancy Bigelow Address: University of Alaska – Fairbanks Alaska Quaternary Center P.O. Box 757880 Fairbanks, AK 99775-7880</p> <p>Telephone: 907-474-5433 Fax: 907-474-5506 Email: ffnhb@uaf.edu</p>
<p>Financial Contact</p> <p>Name: Julie Hughes Telephone: 303-492-5106 Email: Julie.Hughes@colorado.edu</p> <p>Remit Invoices to: The University of Colorado Procurement Service Center Accounts Payable PO Box 173364 Campus Box 119 Denver, CO 80217-3364</p>	<p>Reporting Contact- Submit ARRA reports to:</p> <p>Name: Sutharshini Thanikasalam Telephone: 303-735-4760 Email: sutha@colorado.edu</p> <p>Remit Reports to: Sutharshini Thanikasalam SPA University of Colorado UCB 579 Boulder, CO 80309-0579</p>
<p>Authorized Official</p> <p>Name: Randall W. Draper, PhD, Director or Kathleen Reneau Lorenzi, CPCM, Associate Director</p> <p>Address: University of Colorado Office of Contract and Grants 3100 Marine Street, 572 UCB Boulder, CO 80309-0572</p>	<p>Authorized Official</p> <p>Name: Maggie G. Griscavage</p> <p>Address: University of Alaska – Fairbanks P.O. Box 757880 Fairbanks, AK 99775-7880</p>

Attachment 4 Reporting Requirements

Definition. "Reporting" includes invoicing, financial reporting, and technical reporting.

Invoicing. Subrecipient must invoice the Prime Recipient no less than monthly.

Compliance with the American Recovery and Reinvestment Act. Subrecipient must comply with all requirements specified in Division A of the ARRA (Public Law 111-5), including reporting requirements outlined in Section 1512 of the Act. If Subrecipient issues subawards under this agreement, Subrecipient must report on all sub-recipient (sub-grantee and sub-contractor) activities as specified below.

Responsibilities for Informing Sub-recipients. If Subrecipient issues subawards under this agreement, Subrecipient agrees to separately identify to each sub-recipient, and document at the time of sub-award and at the time of disbursement of funds, the Federal award number, any special CFDA number assigned for ARRA purposes, and amount of ARRA funds. (2 CFR 215.26, 45 CFR 74.26, and 45 CFR 92.26)

Amendment for Updated Reporting Requirements. A unilateral amendment may be issued to update reporting requirements in response to any additional requirements or guidance from the OMB or Sponsor including, but not limited to, the definition of terms and data elements, and specific instructions for reporting and report formats.

Quarterly ARRA Report. Subrecipient shall submit ARRA reports quarterly, to the Reporting contact listed on Attachment 3A, due 4/5, 7/5, 10/5, and 1/5 for the duration of the subaward. The Quarterly ARRA Reports shall contain the following:

A. Subrecipient Type.

Subrecipient shall disclose its entity type on the Quarterly ARRA Report, based on the following list:

- (1) State Government.
- (2) County Government.
- (3) City or Township Government.
- (4) Special District Government.
- (5) Regional Organization.
- (6) U.S. Territory or Possession.
- (7) Independent School District.
- (8) Public/State Controlled Institution of Higher Education.
- (9) Indian/Native American Tribal Government (Federally Recognized).
- (10) Indian/Native American Tribal Government (Other than Federally Recognized).
- (11) Indian/Native American Tribally Designated Organization.
- (12) Public/Indian Housing Authority.
- (13) Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education).
- (14) Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education).
- (15) Private Institution of Higher Education.
- (16) Individual.
- (17) For-Profit Organization (Other than Small Business).
- (18) Small Business.
- (19) Hispanic-serving Institution.
- (20) Historically Black Colleges and Universities (HBCUs).
- (21) Tribally Controlled Colleges and Universities (TCCUs).
- (22) Alaska Native and Native Hawaiian Serving Institutions.
- (23) Non-domestic (non-US) Entity.
- (24) Other

B. Performance Site

Subrecipient shall identify the physical location of the primary place of performance of the Subaward, including:

- (1) Street Address
- (2) City, State, ZIP Code
- (3) Congressional District

C. Jobs Created and Retained

(1) A brief description of the types of jobs created and jobs retained in the United States and outlying areas. "Jobs or positions created" means those new positions created and filled, or previously existing unfilled positions that are filled, as a result of Recovery Act funding. "Jobs or positions retained" means those previously existing filled positions that are retained as a result of Recovery Act funding. This description may rely on job titles, broader labor categories, or the contractor's existing practice for describing jobs as long as the terms used are widely understood and describe the general nature of the work; and

(2) An estimate of the number of jobs created and jobs retained in the United States and outlying areas. At a minimum, this estimate shall include any new positions created and any existing filled positions that were retained to support or carry out Recovery Act projects or activities managed directly by the recipient, and if known, by subrecipients. The number shall be expressed as "full-time equivalent" (FTE), calculated cumulatively as all hours worked divided by the total number of hours in a full-time schedule, as defined by the recipient. For instance, two full-time employees and one part-time employee working half days would be reported as 2.5 FTE in each calendar quarter.

(3) A job cannot be reported as both created and retained.

D. Most Highly Compensated Officers

Subrecipient shall provide the names and total compensation of the five most highly compensated officers of the Subrecipient entity if the following items (1) and (2) apply.

If either item (1) or (2) does not apply, the Subrecipient's report shall include a statement certifying this.

If these items do apply, but there is no change in the most highly compensated individuals or their total compensation, the Subrecipient's report shall include a statement certifying this.

(1) The Subrecipient in its preceding fiscal year received—

- (a) 80 percent or more of its annual gross revenues in Federal awards; and
- (b) \$25,000,000 or more in annual gross revenues from Federal awards; and

(2) The public does not have access to information about the compensation of the senior executives of the entity 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 [26 USC § 6104].

"Total compensation" means the cash and noncash dollar value earned by the executive during the subrecipient's past fiscal year of 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 FAS 123R.
- (iii). Earnings for services under non-equity incentive plans. 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 are not taxqualified.
- (vi). Other compensation. For example, severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property if the value for the executive exceeds \$10,000.

E. Technical Reporting. Subrecipient will include a brief update on cumulative programmatic achievements, including significant deliverables or milestones reached.

F. Second-Tier Subawards issued under this Subaward Agreement

- (1) *Demographic information and contacts.* Subrecipient will append a completed Attachment 3b form with information for any new second-tier subrecipient(s), once, in the quarter after the subaward is issued.
- (2) *Responsibilities for Informing Second-Tier Sub-recipients.* If Subrecipient issues second-tier subawards under this agreement, Subrecipient agrees to separately identify to each second-tier subrecipient, and document at the time of sub-award and at the time of disbursement of funds, the

Federal award number, any special CFDA number assigned for ARRA purposes, and amount of ARRA funds. (2 CFR 215.26, 45 CFR 74.26, and 45 CFR 92.26)

- (3) *Quarterly Disclosure.* Subrecipient will include detailed information on any second-tier subawards (subcontracts or sub-grants) issued under this subaward whose cumulative cost is greater than \$25,000. This report will include the data elements required to comply with the Federal Funding Accountability and Transparency Act of 2006 (Public Law 109-282) and will include information required under Quarterly ARRA Report items A - E.

Attachment 5 Statement of Work and Budget

Scope of Work University of Alaska Fairbanks

The University of Alaska Fairbanks subaward consists of two integrated research foci lead by Dr. Nancy Bigelow and Dr. Claire Alix and involving one graduate and two undergraduate students, and a related research program led by post-doctoral researcher Josh Wisniewski. Bigelow's research focuses on the natural environment of Cape Espenberg since the formation of the spit, with particular emphasis on the period between AD 800 and AD 1400. Alix's research focuses on human use of wood and woody plants at the site and tree-ring analysis on driftwood and archaeological wood for dating and potential climate correlation. Wisniewski cultural anthropology research investigates local knowledge construction through an ethnographically grounded study of Inupiaq and Yup'ik hunters' ways of knowing and hunting sea mammals.

In specific, Bigelow's research involves sampling of the frozen peat and pond sediments in swales adjacent to the sites, as well as detailed mapping, describing, and sampling of exposed peats on the southern shore of Cape Espenberg where a long and complete peat record is preserved. Approximately 30 to 50 samples will be analyzed for plant macrofossils and about 75 samples will be analyzed for pollen. About 50 samples from the pond cores will be analyzed for C and N isotopes, and diatoms while *Chironomid* head capsules will be picked from about 40 samples for O and H isotope analysis. One undergraduate student (supervised by Bigelow) will help in the field work and in laboratory analyses.

Alix's research involves detailed microscopic analysis of wood artifacts and remains combined with an analysis of wood-working techniques for the western Thule culture. Tree-ring research on modern driftwood logs and archaeological structural house timbers will also be conducted. The number of objects to be identified will depend on what is found during excavation of the archaeological structures and associated middens. However, considering the condition of organic preservation at the site, we expect a relatively large amount of wood remains to be found and plan to microscopically identify a minimum of 100 significant objects and a representative sample of worked wood artifacts. A minimum of 50 logs from local driftwood deposits will also be processed and measured to build local floating chronologies to be crossdated with available master chronologies of interior Alaska. All structural house timbers will be assessed for tree-ring dating suitability and adequate samples will be prepared, measured, analyzed and crossdated. The number of tree-ring samples to be processed will of course depend on extent of excavation and state of preservation.

The work undertaken by the graduate student (supervised by Alix and Bigelow) will involve processing representative soil samples for plant remains (charcoal and plant macrofossils) from living floors of excavated houses and middens. Standard sample size of a minimum of 300 charcoal fragments and 300 macrofossils per level and/or occupation will be microscopically identified.

Wisniewski's research involves ethnographic fieldwork carried out over two years in Inupiaq and Yup'ik communities of Seward Peninsula to examine the ways indigenous hunters integrate scientific knowledge into their decision making processes, the role of life histories toward shaping an individual's knowledge through time, local factors leading to annual variability in harvest levels and specific regional and community hunting practices. Wisniewski will conduct interviews and community meetings during several field trips to communities over the span of two years. He will complement this information with archival research and literature review.

Work Schedule

Date	Planned Work	Personnel
Spring and Summer 2009	Fieldwork: Sample peat and pond sediment localities that were identified in August, 2007	Bigelow and undergraduate student
	Fieldwork preparation. Mapping, describing and sampling driftwood deposits at the Cape.	Alix
Autumn 2009-Spring 2010	Analyze collected peat and pond sediments for pollen, macrofossils, chironomids, conduct isotopic analyses. Begin dating the sediments	Bigelow and undergraduate student
	Travel to Emmonak, Shishmaref and participate in and document marine mammals hunting activities	Wisniewski
Summer 2010	Complete peat and pond sediment collection.	Bigelow and undergraduate student
	Excavation of house structures. Sampling structural timbers, charcoal and macrofossil remains on-site	Alix and Master's student
	Transcribe, translate and analyze 2010 recorded data, conduct archival and literature research.	Wisniewski
Autumn 2010-Spring 2011	Continue peat and pond sediment analyses	Bigelow and undergraduate student
	Wood artifact analysis, processing and analysis of structural timber. Crossdating with local and regional chronologies. Preparing, measuring and analyzing/crossdating driftwood samples.	Alix and undergraduate student
	Processing and analysis of charcoal and macrofossil samples.	Master's student
	Transcribe, translate and analyse 2010 field data. Archival and literature review, travel to villages and document hunting and conduct interviews	Wisniewski
Summer 2011	Complete peat and pond sediment analyses; begin write up of results	Bigelow
	Excavation of house structures. Sampling structural timbers, charcoal and macrofossil remains on-site	Alix and Master's student
	Participate in meetings, analyze data, complete archival research	Wisniewski
Autumn 2011 – Spring 2012	Complete write up of results	Bigelow
	Wood artifact analysis, processing and analysis of structural timber. Crossdating with local and regional chronologies. Complete overall analysis and report write-up	Alix
	Processing and analysis of charcoal and macrofossil samples and complete general analysis. MA thesis write-up	Master's student
	Complete write up of results	Wisniewski

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PROJECT TITLE: IPT: Human Response to Climate Change at Cape Espenberg AD 990 to AD 1400
 PI: Bigelow (UAF subaward) or Hultchen at Colorado (line read instruction)
 START: 4/1/009
 END: 3/31/012

DEPT #:

BANNER #:

Use zero to report the appropriate F&A rates on line 130.

ACCT	SALARIES AND WAGES	Year 1		Year 2		Year 3		Total Project					
		Hours		Hours		Hours							
1900	Other Personnel												
	Total number of hours												
	057.00	Bigelow	XI - Exempt Staff	\$21.07	30.0%	1.00	217.5	\$6,578	391.5	\$10,341	348.0	\$9,458	\$25,387
	1044.00	Abz	NT - Temp Staff	\$29.47	0.0%	1.00	217.5	\$6,410	478.3	\$14,224	348.0	\$10,280	\$31,614
	2030.00	Wiszewski	FN - Faculty (Non-Union, <12 mo.)	\$23.00	1.8%	1.00	2080.0	\$48,701	0.0	\$0	0.0	\$0	\$48,701
	2090.00	Wiszewski	F9 - Faculty (UNAC)	\$23.00	1.5%	1.045	0.0	\$0	2080.0	\$50,740	0.0	\$0	\$50,740
1000	Student Employees												
	Number of Students												
	1		SN - Undergrad, academic	\$10.00	0.0%	1.00	391.5	\$3,915	391.5	\$4,032	0.0	\$0	\$7,947
	1		SN - Undergrad, academic	\$10.00	0.0%	1.00	0.0	\$0	587.3	\$6,049	391.5	\$4,193	\$10,292
	1		ST - Undergrad, summer	\$10.00	2.0%	1.00	57.0	\$570	57.0	\$595	0.0	\$0	\$1,165
	1		GH - Graduate, academic	\$29.11	5.0%	1.00	0.0	\$0	780.0	\$15,742	780.0	\$18,214	\$31,956
	1		GT - Graduate, summer	\$20.11	3.0%	1.00	0.0	\$0	174.0	\$3,604	174.0	\$3,722	\$7,326
			Total Other Personnel					\$65,474		\$105,931		\$44,427	\$215,832
			TOTAL SALARIES AND WAGES					\$65,474		\$105,931		\$44,427	\$215,832
1900	FRINGE BENEFITS												
	Other Personnel												
		Bigelow	XI - Exempt Staff	46.7%				\$2,710		\$5,338		\$4,011	\$12,059
		Abz	NT - Temp Staff	7.9%				\$604		\$1,147		\$960	\$2,711
		Wiszewski	FN - Faculty (Non-Union, <12 mo.)	32.6%				\$16,877		\$0		\$0	\$16,877
		Wiszewski	F9 - Faculty (UNAC)	32.1%				\$0		\$16,189		\$0	\$16,189
	Student Employees												
			SN - Undergrad, academic	0.0%				\$0		\$0		\$0	\$0
			ST - Undergrad, academic	0.0%				\$0		\$0		\$0	\$0
			ST - Undergrad, summer	7.9%				\$68		\$71		\$0	\$140
			GH - Graduate, academic	0.0%				\$0		\$0		\$0	\$0
			GT - Graduate, summer	7.9%				\$0		\$95		\$95	\$190
			0 Select E-Class	0.0%				\$0		\$0		\$0	\$0
			Grand Student Health Insurance (Enter monthly)					\$0		\$1,300		\$1,300	\$2,700
			Total Other Personnel					\$19,168		\$24,188		\$7,124	\$50,480
			TOTAL FRINGE BENEFITS					\$19,168		\$24,188		\$7,124	\$50,480
			TOTAL SALARIES AND BENEFITS					\$84,642		\$130,119		\$51,551	\$266,312
2000	TRAVEL												
	I. Domestic Travel												
		Description	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Item Cost	Yearly Increase				
	Airfare	FAI to Kotzebue	3	4	2			650	1.1	\$1,150	\$2,850	\$1,570	\$6,340
	Meals	FAI to Kotzebue	6	8	4			44	7	\$264	\$262	\$176	\$732
	Lodging	FAI to Kotzebue	6	8	4			141	1	\$846	\$1,128	\$564	\$2,538
	Airfare	Home to Anch to Nome	3	3				1000	1.1	\$3,100	\$3,300	\$0	\$4,300
	Airfare	Nome to Shishmaref	3	3				390	1.1	\$1,140	\$1,264	\$4	\$2,704
	Airfare	Home to FAI	1					480	1.1	\$0	\$528	\$4	\$528
	Meals	Nome, Ektchivart, FAI to professional meetings 3 people 1 meeting	3	3				44		\$1,354	\$1,300	\$4	\$4,758
	Airfare		3	0				1000	1.1	\$0	\$3,380	\$0	\$3,380
	Meals	Professional meetings	12	0				55	1	\$0	\$660	\$0	\$660
	Lodging	Professional meetings	12					120	1	\$0	\$1,440	\$0	\$1,440
		Total Domestic Travel						\$8,584		\$16,196		\$2,312	\$27,063
		TOTAL TRAVEL						\$8,584		\$16,196		\$2,312	\$27,063
3000	CONTRACTUAL SERVICES	Description											

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	Journal Publication Page Charges - 3032	charge per page for publication (WannewsM)	\$200	\$200	\$200	\$600
	Lab Analysis/Services (Lab Testing) - 3052	Diatoms, 50 samples @ \$200/sample	\$10,000	\$0	\$0	\$10,000
	Lab Analysis/Services (Lab Testing) - 3052	Radioactivation dates	\$3,250	\$0	\$0	\$3,250
	Lab Analysis/Services (Lab Testing) - 3052	210 Pb date suite (15 dates @ \$70/date)	\$1,050	\$0	\$0	\$1,050
	Lab Analysis/Services (Lab Testing) - 3062	Isotope (O and H) 40 samples @ \$23/sample	\$900	\$0	\$0	\$900
	Lab Analysis/Services (Lab Testing) - 3052	Isotope (C&N) 50 samples @ \$16/sample	\$800	\$0	\$0	\$800
	Communication (Photocopies, Postage, Toll Charges) - 3331, 3444, 3	Communication charges	\$450	\$450	\$450	\$1,350
	Rentals, short-term (Auto, Aircraft, and Boat) - 3112	Permatrust auger rental (2 weeks/year, \$500/week)	\$1,000	\$1,000	\$0	\$2,000
	Consultants - 3005	Elkors (10 individuals @ \$50.00 for 4 sessions)	\$2,000	\$1,000	\$0	\$3,000
	Consultants - 3005	Transcription and translation	\$1,500	\$1,000	\$0	\$2,500
		Total Other Contractual Svcs	\$21,050	\$3,650	\$650	\$25,350
		TOTAL CONTRACTUAL SERVICES	\$21,050	\$3,650	\$650	\$25,350
4000	COMMODITIES	Description				
	Supplies (Lab) - 4012	Altk: Lab supplies free ring and IC	\$300	\$0	\$0	\$300
	Supplies (Field) - 4075	Altk: Field supplies/sampling	\$500	\$0	\$0	\$500
	Supplies (Lab) - 4012	Bigelow: Polten expendables 75, \$5/sample	\$375	\$0	\$0	\$375
	Supplies (Lab) - 4012	Bigelow: Sampling supplies	\$200	\$0	\$0	\$200
	Supplies (Lab) - 4012	Bigelow: Macroalgal expendables \$0, \$5 sample	\$250	\$0	\$0	\$250
	Supplies (Lab) - 4012	Bigelow: lactose and nitrate expendables \$8 sample	\$200	\$0	\$0	\$200
	Supplies (Field) - 4075	Bigelow: Auger head purchases	\$500	\$0	\$0	\$500
	Supplies (Field) - 4075	Bigelow: Poly carbonate tubing and shipping	\$500	\$0	\$0	\$500
	Supplies (Field) - 4075	Bigelow: surface sediment sample (Aquatic research) and shipping	\$700	\$0	\$0	\$700
	Supplies (Field) - 4075	Bigelow: D-sites (25 @ \$26 + \$30 shipping)	\$200	\$0	\$0	\$200
	Supplies (Field) - 4075	Bigelow: 1 boat @ \$900 (Achilles LT series 7J) (Boat shop)	\$900	\$0	\$0	\$900
	Supplies (Program and Project) - 4015	Wisniewski: research supplies	\$500	\$500	\$0	\$1,000
	Supplies (Field) - 4075	Wisniewski: research equipment (projector)	\$1,000	\$0	\$0	\$1,000
		TOTAL COMMODITIES	\$6,125	\$300	\$0	\$6,425
	A. MTDC (total costs subject to F&A)		\$120,261	\$150,456	\$64,514	\$335,231
	B. Facilities and Administration (F&A)	Sponsored Research: 48.1%	\$54,232	\$67,886	\$24,586	\$146,704
6000	STUDENT SERVICES					
	Number of Students Tuition	\$ Per Credit (Fall 2008) # credits Total				
	1 In-State Tuition	\$301 16 \$5,416	\$0	\$6,210	\$6,645	\$12,855
	0 Out-Of-State Tuition	\$0 0 \$0	\$0	\$0	\$0	\$0
	Scholarship(s) or Fellowship(s)		\$0	\$0	\$0	\$0
		TOTAL STUDENT SERVICES	\$0	\$6,210	\$6,645	\$12,855
	EQUIPMENT					
	Microscope	1	\$23,200	\$0	\$0	\$23,200
		TOTAL EQUIPMENT	\$23,200	\$0	\$0	\$23,200
	C. Total Costs Exempt from F&A		\$23,200	\$6,210	\$6,645	\$36,055
	D. Total Direct Costs (A+C)		\$143,461	\$156,666	\$61,159	\$361,286
	E. Total Sponsor Request (B+D)		\$197,693	\$224,522	\$86,744	\$508,959

**SUMMARY
PROPCAL BUDGET**

YEAR 1

ORGANIZATION University of Alaska Fairbanks				FOR NSF USE ONLY	
PRINCIPAL INVESTIGATOR/PROJECT DIRECTOR		PROPOSAL NO.	DURATION (MONTHS)		
		AWARD NO.	Proposed	Granted	
A. SENIOR PERSONNEL: PIPD, Co.-Prs, Faculty and Other Senior Associates (list each separately with title, A,7, show number in brackets)		NSF Funded Person-mos.		Funds Requested by Proposer	Check
		CAL	ACAD	SUMR	
1.		0.0	0.0	0.0	0
2.		0.0	0.0	0.0	0
3.		0.0	0.0	0.0	0
4.		0.0	0.0	0.0	0
5.		0.0	0.0	0.0	0
E.		0.0	0.0	0.0	0
7.	(0) TOTAL SENIOR PERSONNEL (1-6)	0.0	0.0	0.0	0
B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)					
1.	(0) POST DOCTORAL ASSOCIATES	0.0	0.0	0.0	0
2.	(0) OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.)				0
3.	(0) GRADUATE STUDENTS				0
4.	(0) UNDERGRADUATE STUDENTS				0
5.	(0) SECRETARIAL - CLERICAL (IF CHARGED DIRECTLY)				0
6.	(0) OTHER				0
TOTAL OTHER PERSONNEL					65,474
TOTAL SALARIES AND WAGES (A + B)					65,474
C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)					19,168
TOTAL SALARIES, WAGES, AND FRINGE BENEFITS (A+B+C)					84,642
D. EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING \$5,000.)					
TOTAL EQUIPMENT					0
E. TRAVEL 1. DOMESTIC (INCL. CANADA AND U.S. POSSESSIONS)					8,564
2. FOREIGN					0
F. PARTICIPANT SUPPORT COSTS					
1.	STIPENDS \$0				
2.	TRAVEL \$0				
3.	SUBSISTENCE \$0				
4.	OTHER \$0				
TOTAL PARTICIPANT SUPPORT COSTS					0
G. OTHER DIRECT COSTS					
1.	MATERIALS AND SUPPLIES				6,125
2.	PUBLICATION COSTS/DOCUMENTATION/DISSEMINATION				200
3.	CONSULTANT SERVICES				10,000
4.	COMPUTER SERVICES				
5.	SUBAWARDS				0
6.	OTHER				10,850
TOTAL OTHER DIRECT COSTS					27,175
H. TOTAL DIRECT COSTS (A THROUGH G)					143,581
I. INDIRECT COSTS (F&A) (SPECIFY RATE AND BASE)					120,381
Modified Total Direct Csts					
TOTAL INDIRECT COSTS (F&A) Base Amount: \$120,381					54,292
J. TOTAL DIRECT AND INDIRECT COSTS (H + I)					197,873
K. RESIDUAL FUNDS (IF FOR FURTHER SUPPORT OF CURRENT PROJECTS SEE GPC II.D.7.)					
L. AMOUNT OF THIS REQUEST (J) OR (J) MINUS (K)					197,873
M. COST SHARING: PROPOSED LEVEL 5		ACREED LEVEL IF DIFFERENT 5			
PI/PD TYPED NAME & SIGNATURE*		DATE	FOR NSF USE ONLY		
Nancy H. Bigelow <i>Nancy H. Bigelow</i>		4/22/09			
ORG. REP. TYPED NAME & SIGNATURE*		DATE	INDIRECT COST RATE VERIFICATION		
Andrew Parkkonen - Gray <i>Andrew Parkkonen - Gray</i>		04/22/09	Date Checked	Date of Rate Sheet	Initials/URC

NSF Form 1030 (10/99) Supersedes All Previous Editions

*SIGNATURES REQUIRED ONLY FOR REVISED BUDGET (GPC III L)

**SUMMARY
PROPOSAL BUDGET**

YEAR 2

ORGANIZATION University of Alaska Fairbanks				FOR NSF USE ONLY			
				PROPOSAL NO.	DURATION (MONTHS)		
PRINCIPAL INVESTIGATOR/PROJECT DIRECTOR 0				AWARD NO.			
A. SENIOR PERSONNEL: PMPD, Co-PI's, Faculty and Other Senior Associates (List each separately with title, A.7. show number in brackets)				NSF Funded Person-mos.		Funds Requested by	
				CAL	ACAD	SUMR	Proposer
1.		0.0	0.0	0.0		0	
2.		0.0	0.0	0.0		0	
3.		0.0	0.0	0.0		0	
4.		0.0	0.0	0.0		0	
5.		0.0	0.0	0.0		0	
6.		0.0	0.0	0.0		0	
7.	(0)	0.0	0.0	0.0		0	
TOTAL SENIOR PERSONNEL (1-6)							
B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)							
1.	(0)		0.0	0.0		0	
1. (0) POST DOCTORAL ASSOCIATES							
2.	(0)					0	
2. (0) OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.)							
3.	(0)					0	
3. (0) GRADUATE STUDENTS							
4.	(0)					0	
4. (0) UNDERGRADUATE STUDENTS							
5.	(0)					0	
5. (0) SECRETARIAL - CLERICAL (IF CHARGED DIRECTLY)							
6.	(0)					0	
6. (0) OTHER							
TOTAL OTHER PERSONNEL						105,931	
TOTAL SALARIES AND WAGES (A + B)						105,931	
						105,931	
C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)						24,188	
TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A + B + C)						130,119	
						130,119	
D. EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING \$5,000.)							
TOTAL EQUIPMENT							
						0	
E. TRAVEL 1. DOMESTIC (INCL. CANADA AND U.S. POSSESSIONS)							
						16,186	
2. FOREIGN							
						0	
F. PARTICIPANT SUPPORT COSTS							
1.	STIPENDS	\$0					
2.	TRAVEL	\$0					
3.	SUBSISTENCE	\$0					
4.	OTHER	\$0					
						0	
G. OTHER DIRECT COSTS							
1. MATERIALS AND SUPPLIES						500	
2. PUBLICATION COSTS/DOCUMENTATION/DISSEMINATION						200	
3. CONSULTANT SERVICES						0	
4. COMPUTER SERVICES							
5. SUBAWARDS						0	
6. OTHER						9,660	
TOTAL OTHER DIRECT COSTS						10,360	
						10,360	
H. TOTAL DIRECT COSTS (A THROUGH G)						156,665	
						156,665	
I. INDIRECT COSTS (F&A) (SPECIFY RATE AND BASE)							
Modified Total Direct Costs							
TOTAL INDIRECT COSTS (F&A)				Base Amount:	\$150,455	67,855	
						224,520	
J. TOTAL DIRECT AND INDIRECT COSTS (H + I)							
						224,520	
K. RESIDUAL FUNDS (IF FOR FURTHER SUPPORT OF CURRENT PROJECTS SEE GPC II.D.7.J.)							
						224,520	
L. AMOUNT OF THIS REQUEST (J) OR (J MINUS K)							
						224,520	
M. COST SHARING: PROPOSED LEVEL 5				AGREED LEVEL IF DIFFERENT 5			
PMPD TYPED NAME & SIGNATURE*				DATE	FOR NSF USE ONLY		
Nancy H. Bigelow Nancy H. Bigelow				4/22/09	INDIRECT COST RATE VERIFICATION		
ORG. REP. TYPED NAME & SIGNATURE*				DATE	Date Checked	Date of Rate Sheet	Initials ORC
Andrew Parkinson - Gray				04/22/09			

**SUMMARY
PROPOSAL BUDGET**

YEAR 3

ORGANIZATION University of Alaska Fairbanks				PROPOSAL NO.		FOR NSF USE ONLY		
				DURATION (MONTHS)		Proposed	Granted	
PRINCIPAL INVESTIGATOR/PROJECT DIRECTOR				AWARD NO.				
A. SENIOR PERSONNEL: PVPD, Co-PI's, Faculty and Other Senior Associates (List each separately with title, A.7 show number in brackets)				NSF Funded Person-mos.		Funds Requested by		
				CAL	ACAD	SUMR	Proposer	Check
1.				0.0	0.0	0.0	0	
2.				0.0	0.0	0.0	0	
3.				0.0	0.0	0.0	0	
4.				0.0	0.0	0.0	0	
5.				0.0	0.0	0.0	0	
6.				0.0	0.0	0.0	0	
7.	(0)	TOTAL SENIOR PERSONNEL (1-6)		0.0	0.0	0.0	0	0
B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)								
1.	(0)	POST DOCTORAL ASSOCIATES		0.0	0.0	0.0	0	
2.	(0)	OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.)					0	
3.	(0)	GRADUATE STUDENTS					0	
4.	(0)	UNDERGRADUATE STUDENTS					0	
5.	(0)	SECRETARIAL - CLERICAL (IF CHARGED DIRECTLY)					0	
6.	(0)	OTHER					0	
TOTAL OTHER PERSONNEL							44,427	
TOTAL SALARIES AND WAGES (A + B)							44,427	44,427
C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)							7,124	
TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A + B + C)							51,551	51,551
D. EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING \$5,000.)								
TOTAL EQUIPMENT							0	
E. TRAVEL 1. DOMESTIC (INCL. CANADA AND U.S. POSSESSIONS)							2,313	
2. FOREIGN							0	
F. PARTICIPANT SUPPORT COSTS								
1.		STIPENDS	\$0					
2.		TRAVEL	\$0					
3.		SUBSISTENCE	\$0					
4.		OTHER	\$0					
							0	
G. OTHER DIRECT COSTS								
1. MATERIALS AND SUPPLIES							0	
2. PUBLICATION COSTS/DOCUMENTATION/DISSEMINATION							200	
3. CONSULTANT SERVICES							0	
4. COMPUTER SERVICES								
5. SUBAWARDS							0	
6. OTHER							7,095	
TOTAL OTHER DIRECT COSTS							7,295	7,295
H. TOTAL DIRECT COSTS (A THROUGH G)							61,159	61,159
I. INDIRECT COSTS (F&A) (SPECIFY RATE AND BASE)								
TOTAL INDIRECT COSTS (F&A)						Base Amount: \$54,514	24,586	
J. TOTAL DIRECT AND INDIRECT COSTS (H + I)							85,745	
K. RESIDUAL FUNDS (IF FOR FURTHER SUPPORT OF CURRENT PROJECTS SEE GPC II.D.7.)								
L. AMOUNT OF THIS REQUEST (J) OR (J) MINUS (K)							85,745	
M. COST SHARING: PROPOSED LEVEL 5				AGREED LEVEL IF DIFFERENT 5				
PVPD TYPED NAME & SIGNATURE*				DATE		FOR NSF USE ONLY		
<i>Nancy H. Bigelow Nancy H. Bigelow</i>				4/22/09		INDIRECT COST RATE VERIFICATION		
ORC. REP. TYPED NAME & SIGNATURE*				DATE		Date Checked	Date of Rate Sheet	Initials-ORC
<i>Andrew Parkerson-Gray</i>				04/22/09				

NSF Form 1030 (10/99) Supersedes All Previous Editions

*SIGNATURES REQUIRED ONLY FOR REVISED BUDGET (GPC III C)

**SUMMARY
PROPOSAL BUDGET**

SUMMARY

ORGANIZATION University of Alaska Fairbanks				FOR NSF USE ONLY	
PRINCIPAL INVESTIGATOR/PROJECT DIRECTOR 0				DURATION (MONTHS)	
				Proposed	Granted
A. SENIOR PERSONNEL: PMPD, Co-PI's, Faculty and Other Senior Associates (List each separately with title, A 7 show number in brackets)				NSF Funded Person-MOS	
				Funds Requested by	
				Proposer	Check
1.	0.0	0.0	0.0	0	
2.	0.0	0.0	0.0	0	
3.	0.0	0.0	0.0	0	
4.	0.0	0.0	0.0	0	
5.	0.0	0.0	0.0	0	
6.	0.0	0.0	0.0	0	
7. (0) TOTAL SENIOR PERSONNEL (1-6)	0.0	0.0	0.0	0	0
B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)					
1. (0) POST DOCTORAL ASSOCIATES	0.0	0.0	0.0	0	
2. (0) OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.)				0	
3. (0) GRADUATE STUDENTS				0	
4. (0) UNDERGRADUATE STUDENTS				0	
5. (0) SECRETARIAL - CLERICAL (IF CHARGED DIRECTLY)				0	
6. (0) OTHER				0	
TOTAL OTHER PERSONNEL				215,832	215,832
TOTAL SALARIES AND WAGES (A + B)				215,832	215,832
C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)				50,480	50,480
TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A + B + C)				266,312	266,312
D. EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING \$5,000.)					
TOTAL EQUIPMENT				0	0
E. TRAVEL 1. DOMESTIC (INCL. CANADA AND U.S. POSSESSIONS)					
				27,063	27,063
2. FOREIGN					
				0	0
F. PARTICIPANT SUPPORT COSTS					
1. STIPENDS	\$0				
2. TRAVEL	\$0				
3. SUBSISTENCE	\$0				
4. OTHER	\$0				
				0	0
G. OTHER DIRECT COSTS					
1. MATERIALS AND SUPPLIES				6,625	6,625
2. PUBLICATION COSTS/DOCUMENTATION/DISSEMINATION				600	600
3. CONSULTANT SERVICES				10,000	10,000
4. COMPUTER SERVICES				0	0
5. SUBAWARDS				0	0
6. OTHER				27,605	27,605
TOTAL OTHER DIRECT COSTS				44,830	44,830
H. TOTAL DIRECT COSTS (A THROUGH G)				361,405	361,405
I. INDIRECT COSTS (F&A) (SPECIFY RATE AND BASE)					
TOTAL INDIRECT COSTS (F&A)				146,733	146,733
				Base Amount: \$325,350	146,733
J. TOTAL DIRECT AND INDIRECT COSTS (H + I)				508,138	508,138
K. RESIDUAL FUNDS (IF FOR FURTHER SUPPORT OF CURRENT PROJECTS SEE GPG II.D.7.J)					
				0	0
L. AMOUNT OF THIS REQUEST (J) OR (J) MINUS (K)					
				508,138	508,138
M. COST SHARING: PROPOSED LEVEL 5				0	
PMPD TYPED NAME & SIGNATURE*				DATE	
<i>Nancy H. Bickelov Nancy H. Bickelov</i>				4/22/09	
ORC, REP. TYPED NAME & SIGNATURE*				DATE	
<i>Andrew Parkerson Gray</i>				04/22/09	
				FOR NSF USE ONLY	
				INDIRECT COST RATE VERIFICATION	
		Date Checked		Date of Rate Sheet	
				Initial-ORC	

NSF Form 1030 (10/98) Supersedes All Previous Editions *SIGNATURES REQUIRED ONLY FOR REVISED BUDGET (GPG II.G)

University of Alaska

Subject of RPL: Combined request for ARRA Funding	ADN/RPL #: 45-0-1136
Amount Requested: \$1,385,524	Appropriation Authority: Sec. 1, Ch. 12, SLA 2009, Page 43, Lines 8, 20 & Page 44, Line 4
Funding Source: Federal Stimulus: ARRA 2010 – Operating	Statutory Authority: AS 14.40.40

PURPOSE

The requested federal stimulus receipt authority will allow the University of Alaska (UA) to accept the following Federal Pell Grants and Federal Work Study Awards:

DOE: UA Anchorage Federal Work Study Awards in the amount of \$60,149 for the period 7/01/2009 through 06/30/2010, award P033A90089.

DOE: UA Fairbanks Federal Work Study Awards in the amount of \$47,528 for the period 7/01/2009 through 06/30/2010, award P033A090090.

DOE: UA Southeast Federal Work Study Awards in the amount of \$8,847 for the period 7/01/2009 through 06/30/2010.

DOE: UA Anchorage Federal Pell Grant in the amount of \$799,000 for the period 07/01/2009 through 06/30/2010.

DOE: UA Fairbanks Federal Pell Grant in the amount of \$329,000 for the period 07/01/2009 through 06/30/2010.

DOE: UA Southeast Federal Pell Grant in the amount of \$141,000 for the period 07/01/2009 through 06/30/2010.

Legislative Fiscal Analyst Comment: Based on discussion with Legislative Finance, the University submitted a single RPL for this purpose rather than six (one for each grant type at each campus). However, approval of this RPL will result in the following three transactions:

- **University of Alaska Anchorage - \$859,149**
- **University of Alaska Fairbanks - \$376,528**
- **University of Alaska Southeast - \$149,847**

Agency Contact: Michelle Rizk, (907) 450-8187

Legislative Finance Contact: Danith Watts, (907) 465-5435

PREVIOUS LEGISLATIVE CONSIDERATION

The projects were not previously considered. They are increases to existing federal awards which have not been requested as part of the University's budget.

***Legislative Fiscal Analyst Comment:* No RPL would have been necessary (the University could have used existing federal authority) except for the fact that the US Department of Education is classifying the additional funding as ARRA funding, and the University has insufficient ARRA authorization.**

The amount of ARRA funding (versus regular federal funding) is an estimate and the split will never be known with precision. The lack of precision does not appear to be a problem; the University claims that US DOE does not expect or desire separate accounting for the ARRA funds. The estimated \$1.4 million in additional operating funds is based on a \$500 increase in the maximum Pell Grant award per student and an increase of 9.4% in student Pell Grant Awards.

TIMING ISSUES

On February 17, 2009, President Obama signed into law the American Recovery and Reinvestment Act of 2009, which authorized short-term federal spending designed to stimulate the American economy. Federal stimulus receipt authority was not included in the FY10 budget because ARRA funding was not available for application until February 17, 2009.

BUDGETARY ISSUES

The Federal Pell Grant Program provides need-based grants to low-income undergraduate and certain post baccalaureate students to promote access to postsecondary education. As a result of the FY09 ARRA legislation, the U.S. Department of Education is able to increase funding of its Pell Grant Program; thus, in addition to the Federal Pell Grant related funding University of Alaska currently receives, University of Alaska expects to receive \$1,269,000 in additional ARRA Pell Grant funding through FY10.

The Federal Work Study Program provides funds that are earned through part-time employment to assist students in financing the costs of postsecondary education. As a result of the FY09 ARRA legislation, the U.S. Department of Education is able to increase funding of its Work Study Program; thus, in addition to the Federal Work Study related funding University of Alaska currently receives, University of Alaska expects to receive \$116,524 in additional ARRA Work Study Program funding through FY10.

No State General Funds will be used, nor is any match required. This request adds \$1,385,524 to the University's operating budget for federal economic stimulus authority for Pell Grants and Work Study awards to students.

Copies of the support documents are attached.

Agency Contact: Michelle Rizk, (907) 450-8187

Legislative Finance Contact: Danith Watts, (907) 465-5435

Recipient Report: Grant or Loan **Version: 1.5**
Prime Recipient

Reporting Information	
Award Type*	Final Report*
Grant	N
Award Number*	
P033A90089	

Award Recipient Information	
Recipient DUNS Number*	Recipient Congressional District*
076664986	
SO0012894/252012/G00004884	00

Award Information	
Funding Agency Code*	Award Date*
9100	03/30/2009
Amount of Award*	
\$60,149.00	
CFDA Number*	
84.033	
Program Source (TAS)*	
91-0199	
Total Number of Sub Awards to Individuals*	
Total Number of Payments to Vendors less than \$25,000/award*	
Total Number of Sub Awards less than \$25,000/award*	
Award Description*	

Need Help Finding Award Information?	
Browse the Full Listings by using the drop-down lists.	
Agency Drop-Down List:	0000 - The Legislative Branch
Program Source (TAS) Drop-Down List:	05-0108-Government Accountability Office-Salaries and Expenses, Recovery Act
Know the code and want to check the name? Search by Code	
Enter Agency Code:	0500
Agency Name:	Government Accountability Office
Enter Program Source (TAS) Code:	05-0108
Program Source (TAS) Name:	Government Accountability Office-Salaries and Expenses, Recovery Act
Know the name and want to find the code? Search by Name	
Enter Agency Name:	Government Accountability Office
Agency Code:	0500
Enter Program Source (TAS) Name:	Government Accountability Office-Salaries and Expenses, Recovery Act
Program Source (TAS) Code:	05-0108

The Federal share of compensation paid to students does not exceed 75 percent for work on campus, or work in a public agency or private nonprofit organization, unless waived by the Secretary. The Federal share of compensation paid to students does not exceed 50 percent for jobs with a private-for-profit organization. No more than 25 percent of an institution's work-study allocation may be used for private-for-profit organizations. If it provides FWS employment to its students in that year, an institution is entitled to an administrative cost allowance for an award year of 5 percent of the first \$2,750,000 of its program expenses, plus up to 4 percent for expenditures greater than \$2,750,000 but less than \$5,500,000 plus up to 3 percent of expenditures in excess of \$5,500,000. An institution is required to use at least 5 percent of its total FWS allocation to pay the Federal share of wages to students employed in community service jobs unless it receives a waiver.

Number of characters entered: 987

Project Information		Total Federal Amount ARRA Funds Received/Invoiced*
Project Name or Project/Program Title*	Project Status*	
FY2010 Federal College Work Study On Campus	Less than 50% completed	
Number of Jobs*	Description of Jobs Created*	
	This project was originally awarded without ARRA funding. We received notification on September 25, 2009 to Clarifying Guidance on the American Recovery and Reinvestment Act of 2009 Reporting on Jobs Creation Estimates by Recipients issued by the US Department of Education that we have a reporting requirement for FY2010 Federal College Work Study On Campus. We have had student employees since 7/1/2009 but we had not segregated this ARRA funding until the end of September. We will have labor for these student workers to reflect the beginning of the funding period. This is done through Labor Reallocations. There are currently no changes in this account and no funds have yet been drawn due to this revision in accounting for the ARRA portion of the FY2010 Federal College Work Study On-Campus USDOE award.	
Number of characters entered: 816		
Quarterly Activities/Project Description*		
1		2
2		4
3		
<p>Although we have had student on-campus College Work Study workers since July 1, 2009, we did not originally set up a separate grant/fund to record these expenses. When we received the Guidance issued by US Department of Education Clarifying Guidance on ARRA of 2009 Reporting of Jobs Creation Estimates by Recipients issued in September 2009, we set up the necessary segregated accounting process to track these student workers compensation. When USA reports for the period ending 12/31/2009, we anticipate that most or all of our allocated ARRA award portion will be expended.</p> <p>Number of characters entered: 578</p>		
Activity Code (NAICS or NTEE-NPC)*		
B07.08		

Need Help Finding an Activity, State, or Country Code?

Browse the Full Listing by using the drop-down list.

Activity Code Drop-Down List: Z99 - NTEE - Unknown

State Drop-Down List: AK - Alaska

5	6		Country Drop-Down List: US - United States
7	8		Know the code and want to check the name? Search by Code
9	10		Enter Activity Code: 111110
		Infrastructure Contact Name	Activity Name: Soybean Farming
		Infrastructure Contact Phone	Enter State Code: CA
		Infrastructure Contact Phone Ext	State Name: California
		Infrastructure Contact Street Address 1	Enter Country Code: US
		Infrastructure Contact Street Address 2	Country Name: United States
		Infrastructure Contact Street Address 3	Know the name and want to find the code? Search by Name
		Infrastructure State	Enter Activity Name: Other Vegetable (except Potato) and Melon Farming
		Infrastructure ZIP Code+4	Activity Code: 111219
		Infrastructure Purpose and Rationale	Enter State Name: California
			State Code: CA
			Enter Country Name: United States
			Country Code: US

6	7	8	9	10
Total Federal ARRA Infrastructure Expenditure		Infrastructure Contact Name		
Infrastructure Contact Email		Infrastructure Contact Phone		
Infrastructure Contact Phone		Infrastructure Contact Phone Ext		
Infrastructure Contact Street Address 1		Infrastructure Contact Street Address 2		
Infrastructure Contact Street Address 2		Infrastructure Contact Street Address 3		
Infrastructure City		Infrastructure State		
Infrastructure ZIP Code+4		Infrastructure ZIP Code+4		
Infrastructure Purpose and Rationale				
Number of characters entered: 0				
Primary Place of Performance				
Street Address 1		City*		
Street Address 2		Anchorage		
3211 Providence Drive		Congressional District*		
State*		995086414		
AK		00		
Country*		US		

Recipient Highly Compensated Officers		
Prime Recipient Indication of Reporting Applicability	Officer Name	Officer Compensation
	1	
	2	
	3	
	4	
	5	

Recipient Report: Grant or Loan

Version: 1.5

Prime Recipient

Reporting Information	
Award Type	Final Report*
Grant	N
Award Number	PO33A08090

Award Recipient Information	
Recipient DUNS Number*	Recipient Congressional District*
615245164	01
Recipient Account Number	S-12638

Award Information		
Funding Agency Code*	Awarding Agency Code*	Award Date*
9100	9100	07/01/2009
Amount of Award*	CFDA Number*	
\$47,528.00	84.033	
Program Source (TAS)*	Sub Account Number for Program Source (TAS)	
91-0199		
Total Number of Sub Awards to Individuals*	Total Amount of Sub Awards to Individuals*	
0.00	\$0.00	
Total Number of Payments to Vendors less than \$25,000/award*	Total Amount of Payments to Vendors less than \$25,000/award*	
0.00	\$0.00	
Total Number of Sub Awards less than \$25,000/award*	Total Amount of Sub Awards less than \$25,000/award*	
0.00	\$0.00	
Award Description*		

Need Help Finding Award Information?	
Browse the Full Listings by using the drop-down lists.	
Agency Drop-Down List: 0000 - The Legislative Branch	
Program Source (TAS) Drop-Down List: Salaries and Expenses, Recovery Act	
Know the code and want to check the name? Search by Code	
Enter Agency Code: 0500	
Agency Name: Government Accountability Office	
Enter Program Source (TAS) Code: 05-0108	
Program Source (TAS) Name: Government Accountability Office-Salaries and Expenses, Recovery Act	
Know the name and want to find the code? Search by Name	
Enter Agency Name: Government Accountability Office	
Agency Code: 0500	
Enter Program Source (TAS) Name: Government Accountability Office-Salaries and Expenses, Recovery Act	
Program Source (TAS) Code: 05-0108	

Federal Work-Study provides need-based financial aid to students. Number of characters entered: 65	
---	--

Project Information		Total Federal Amount-ARRA Funds Received/Invoiced
Project Name or Project/Program Title*	Project Status*	
Federal Work-Study 2009-2010	Not Started	\$0.00
Number of Jobs*		
Description of Jobs Created*		
To be created.		
Number of characters entered: 14		
0.00		
Quarterly Activities/Project Description*		

Federal Work-Study provides need-based financial aid to students through compensation for hours worked at on- or off-campus jobs. Number of characters entered: 129	
--	--

Activity Code (NAICS or NITEE-NPCI)*	
1	2
B40 - NTEE	
3	4

Need Help Finding an Activity, State, or Country Code?	
Browse the Full Listing by using the drop-down list.	
Activity Code Drop-Down List: B04 - Educational Programs	
State Drop-Down List: AK - Alaska	

5		6	
7		8	
9		10	

Total Federal Amount of ARRA Expenditure*	Total Federal ARRA Infrastructure Expenditure	Infrastructure Contact Name
\$0.00	\$0.00	Infrastructure Contact Phone Ext
Infrastructure Contact Email	Infrastructure Contact Phone	Infrastructure Contact Street Address 3
Infrastructure Contact Street Address 1	Infrastructure Contact Street Address 2	Infrastructure ZIP Code+4
Infrastructure City	Infrastructure State	
Infrastructure Purpose and Rationale		

n/a

Number of characters entered: 3

Primary Place of Performance

Street Address 1	Street Address 2	City*
Adm Svcs Ctr Rm 109	3295 College Road	Fairbanks
State*	ZIP Code+4*	Congressional District*
AK	997093705	01
Country*		
US		

Country Drop-Down List: US - United States	Know the code and want to check the name? Search by Code
Enter Activity Code: 111110	
Activity Name: Soybean Farming	
Enter State Code: CA	
State Name: California	
Enter Country Code: US	
Country Name: United States	
Know the name and want to find the code? Search by Name	
Enter Activity Name: Farming	Other Vegetable (except Potato) and Melon Farming
Activity Code: 111219	
Enter State Name: California	
State Code: CA	
Enter Country Name: United States	
Country Code: US	

Recipient Highly Compensated Officers		
Prime Recipient Indication of Reporting Applicability	Officer Name	Officer Compensation
No	1	
	2	
	3	
	4	
	5	

**UA Pell Grant Financial Aid Paid by MAU
AY05 - AY09**

MAU	FY04-FY05	FY05-FY06	FY06-FY07	FY07-FY08	FY08-FY09	FY09-FY10	
						MAU Estimate	Pell Estimate 9.4% *
UAA	5,379,035	5,345,945	5,415,610	6,156,244	6,925,550	8,500,000	799,000
UAF	3,158,096	2,913,518	2,807,207	2,984,007	3,450,726	3,500,000	329,000
UAS	720,673	679,613	695,816	694,970	831,916	1,500,000	141,000
UA Total	9,257,804	8,939,076	8,918,633	9,835,221	11,208,192	13,500,000	1,269,000

* U.S. Department of Education has increased the maximum Pell award for all eligible student from \$4,850.0 to \$5,350. UA is estimating a 9.4% increase in student pell grant awards.