

STATE OF NORTH CAROLINA

DEPARTMENT OF PUBLIC SAFETY

OFFICE OF RECOVERY AND RESILIENCY (NCORR)

Request for Proposal #: 19-RFP-015478-VKA

DEVELOPMENT OF REGIONAL RESILIENCE PROJECT PORTFOLIOS

Date of Issue: October 4, 2021

Proposal Opening Date: October 22, 2021 at 2:00 PM ET

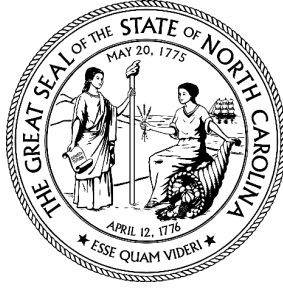
Direct all inquiries concerning this RFP to:

Kathryn Van Tol

Deputy Director, Purchasing and Contacting

Email: kathryn.vantol@ncdps.gov

Phone: 984-218-3559



STATE OF NORTH CAROLINA

Request for Proposal # 19-RFP-015478-VKA

For internal State agency processing, including tabulation of proposals in the Interactive Purchasing System (IPS), please provide your company's Federal Employer Identification (FID) Number or alternate identification number (e.g. Social Security Number). Pursuant to G.S. 132-1.10(b) this identification number shall not be released to the public. **This page will be removed and shredded, or otherwise kept confidential, before the procurement file is made available for public inspection.**

**This page is to be filled out and returned with your proposal.
Failure to do so may subject your proposal to rejection.**

Vendor Name

FID #

Note: For your proposal to be considered, your company must be a North Carolina registered Vendor in good standing. You should enter above the Vendor number assigned through eVP (Electronic Vendor Portal). If you do not have a Vendor number, register at <https://vendor.ncgov.com/vendor/login>. If you **need assistance determining your eVP number** contact the eProcurement Help Desk at **888-211-7440** Option 2 or vendor@nc.gov.

STATE OF NORTH CAROLINA
Department of Public Safety
NC Office of Recovery and Resiliency (NCORR)

| | |
|--|---|
| Refer <u>ALL</u> Inquiries regarding this RFP: Kathryn.vantol@ncdps.gov | Request for Proposal # 19-RFP-015478-VKA |
| | Proposals will be publicly opened: October 22, 2021 at 2:00 pm ET |
| Using Agency: NCDPS, NCORR | Commodity No. and Description: 926-72 Planning and Advisory Services, Environmental (NIGP). 771016 Environmental planning (UNSPSC). |
| Requisition No.: TBD | |

EXECUTION

In compliance with this Request for Proposals (RFP), and subject to all the conditions herein, the undersigned Vendor offers and agrees to furnish and deliver any or all items upon which prices are bid, at the prices set opposite each item within the time specified herein.

By executing this proposal, the undersigned Vendor understands that False certification is a Class I felony and certifies that:

- that this proposal is submitted competitively and without collusion (G.S. 143-54),
- that none of its officers, directors, or owners of an unincorporated business entity has been convicted of any violations of Chapter 78A of the General Statutes, the Securities Act of 1933, or the Securities Exchange Act of 1934 (G.S. 143-59.2), and
- it is not an ineligible Vendor as set forth in G.S. 143-59.1.

Furthermore, by executing this proposal, the undersigned certifies to the best of Vendor’s knowledge and belief, that:

- it and its principals are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from covered transactions by any Federal or State department or agency.

As required by G.S. 143-48.5, the undersigned Vendor certifies that it, and each of its sub-Contractors for any Contract awarded as a result of this RFP, complies with the requirements of Article 2 of Chapter 64 of the NC General Statutes, including the requirement for each employer with more than 25 employees in North Carolina to verify the work authorization of its employees through the federal E-Verify system.

G.S. 133-32 and Executive Order 24 (2009) prohibit the offer to, or acceptance by, any State Employee associated with the preparing plans, specifications, estimates for public Contract; or awarding or administering public Contracts; or inspecting or supervising delivery of the public Contract of any gift from anyone with a Contract with the State, or from any person seeking to do business with the State. By execution of this response to the RFP, the undersigned certifies, for Vendor’s entire organization and its employees or agents, that Vendor are not aware that any such gift has been offered, accepted, or promised by any employees of your organization.

As required by the Byrd Anti-Lobbying Amendment, 31 U.S.C. § 1352 (as amended), the undersigned Vendor certifies that by applying or bidding for an award of \$100,000 or more shall file the required certification. Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant, or any other award covered by 31 U.S.C § 1352. Each tier shall also disclose any lobbying with non-Federal funds that take place in connection with obtaining any Federal award. Such disclosures are forwarded from tier to tier up to the recipient. This procurement complies with the State’s own procurement laws, rules and procedures per 2 CFR § 200.317.

Failure to execute/sign proposal prior to submittal may render proposal invalid and it MAY BE REJECTED. Late proposals cannot be accepted.

| | | |
|---|-------------------|--------------------|
| COMPLETE/FORMAL NAME OF VENDOR: | | |
| STREET ADDRESS: | P.O. BOX: | ZIP: |
| CITY & STATE & ZIP: | TELEPHONE NUMBER: | TOLL FREE TEL. NO: |
| PRINCIPAL PLACE OF BUSINESS ADDRESS IF DIFFERENT FROM ABOVE (SEE INSTRUCTIONS TO VENDORS ITEM #12): | | |
| PRINT NAME & TITLE OF PERSON SIGNING ON BEHALF OF VENDOR: | | FAX NUMBER: |
| VENDOR’S AUTHORIZED SIGNATURE: | DATE: | EMAIL: |

VALIDITY PERIOD

Offer valid for at least 90 days from date of RFP opening, unless otherwise stated here: _____ days. After this date, any withdrawal of offer shall be made in writing, effective upon receipt by the agency issuing this RFP.

ACCEPTANCE OF PROPOSAL

If your proposal is accepted and results, through negotiation or otherwise, in a contract award you will be expected to accept the NORTH CAROLINA GENERAL TERMS AND CONDITIONS as part of the Contract. This document and all provisions of this Request for Proposal along with the Vendor proposal response and the written results of any negotiations shall then constitute the written agreement between the parties.

| |
|--|
| <p>FOR STATE USE ONLY: Offer accepted and Contract awarded this _____ day of _____, 2021, as indicated on</p> <p>The attached certification, by _____.</p> <p style="text-align: center;">(Authorized Representative of Department of Public Safety)</p> |
|--|

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1.0 PURPOSE AND BACKGROUND

The North Carolina Office of Recovery and Resiliency (NCORR), a division of the North Carolina Department of Public Safety (DPS), is soliciting proposals from qualified Vendors that have specific experience and qualifications in the areas identified in this solicitation to facilitate the development of Regional Resilience Portfolios (Portfolios) for storm-impacted regions in Eastern North Carolina. Developing these Portfolios will include conducting regional climate and natural hazards **Vulnerability Assessments** to assist communities in identifying **priority actions** to reduce risk and enhance resilience in the region and creating **recommend paths to implementation**. Developing the Portfolios will require stakeholder engagement. The stakeholder engagement process, including facilitated collaboration, is a critical element in determining the content of the Vulnerability Assessment and Portfolio. The ultimate purpose of the work products solicited here is to provide regions with a clear roadmap to high priority resilience activities. Projects included in the Portfolio can be of any sector as long as they have clear resiliency improvement benefits.

This project is funded by the U.S. Economic Development Administration (EDA), a bureau with the U.S. Department of Commerce; the Community Development Block Grant - Disaster Recovery (CDBG-DR), Community Development Block Grant - Mitigation (CDBG-MIT); as well as, any future grants awarded or appropriations made to NCORR. The service solicited in this RFP is part of the North Carolina Resilient Communities Program, an effort of North Carolina state government to assist smaller geographies with advancing climate and disaster resilience. The goals of this program are:

- 1) Building local capacity for vulnerability assessments, planning and project development, and implementation
- 2) Providing technical assistance for resilience planning, vulnerability assessments, and project/program identification and design
- 3) Supplying funds to plan and implement resilience projects and programs

Currently, the Resilient Communities Program is under partial implementation through two coordinated efforts. One of these efforts is called Regions Innovating for Strong Economies and Environment (RISE) Program, which is led by NCORR in partnership with a nonprofit, the North Carolina Rural Center (Rural Center). The services described in this Request for Proposal (RFP) are part of RISE and will be directed by NCORR. The other effort is called the Resilient Coastal Communities Program (RCCP), led by the North Carolina Department of Environmental Quality’s Division of Coastal Management. The services described in this RFP are *not* part of RCCP and are *not* directed by the Department of Environmental Quality.

RISE includes the three main activities listed below. The first and second are not the subject of this Request for Proposal. **The third is the subject of this RFP.**

- 1.) Develop the North Carolina Resilient Communities Guide (“*Guide*”). This document will help local and regional leaders, including government officials as well as business, nonprofit, and community leaders, understand their climate vulnerability and develop shared priorities for action. **A Vendor has already been procured for the *Guide* through a separate RFP, but the *Guide* is not yet complete.** Draft or final portions of the *Guide* may be used by the Vendor conducting the work included in this RFP.
- 2.) Conduct leadership and resilience training. The Rural Center is delivering a leadership and resilience training program to Eastern North Carolina, known as Homegrown Leaders.
- 3.) Develop Regional Resilience Project Portfolio. Nine regions in storm-impacted North Carolina will each develop a region-specific Portfolio of projects to improve resiliency outcomes. Projects may be construction or non-construction activities. Each Portfolio will assess the region’s vulnerability to climate hazards and identify a tailored set of prioritized potential resilience activities to improve the region’s resilience. The Portfolio will include implementation pathways for each priority project.

The Portfolios are the subject of this RFP.

1.1 CONTRACT TERM

The requirements of this Contract shall be completed by **July 1, 2022.**

1.2 OVERSIGHT & GOVERNANCE

NCORR leads the RISE Regional Resilience Portfolio effort. Vendors will be responsible for the completion of the Portfolios through a collaborative methodology outlined in this RFP. One tailored Portfolio will be completed for each of nine geographical regions in eastern North Carolina. The geographical extent of each region roughly follows the boundaries of the existing NC Councils of Government in the eastern half of the state. Details of counties included in each region are in **Attachment I.**

It is the intent to award this contract to multiple Vendors but NCORR reserves the right to award this contract to a single Vendor at NCORR's sole discretion. As part of the response to the RFP, each Vendor may indicate the maximum number of individual Portfolios that the Vendor is willing to develop (i.e. the number of regions that the Vendor is willing to work in), if fewer than all nine. Vendors shall explain expertise or experience in any particular geographic region. As part of the RFP response, Vendors may express preferences in these particular regions. The rationale for these preferences should be clearly described. However, it is NCORR's sole discretion to determine which regions to award to a Vendor.

In developing the regional portfolios, each region will have a team of actors with specific roles, including NCORR, a Vendor, a Facilitator and specified regional participants, as detailed below.

NCORR: NCORR provides project oversight, identifies an organizational lead for each region, serves as a single point of contact for outside inquiries about the program, and supports communication as needed between Vendor and participants. If any project-related decisions are required where consensus among the participants cannot be reached, NCORR shall make the decision.

North Carolina Rural Center: The Rural Center procures and manages regional Facilitators (see below). The Vendor is not required to engage directly with the Rural Center.

In addition to the Vendor, each region will have the following participants: an Organizational Lead, a Stakeholder Partnership, and a Facilitator.

Organizational Lead: Each region will have one lead organization. This Organizational Lead is likely to be an entity with a regional mission (e.g. Council of Government). The Organizational Lead provides direction on stakeholder engagement and serves as a locally trusted convener and liaison between the region and NCORR. The Organizational Lead may also provide input on key issues to be included in the Vulnerability Assessment and Portfolio, as needed. Vendor works directly with the Organizational Lead as needed to accomplish tasks in this scope of work.

Stakeholder Partnership: Each region will have a group of stakeholders committed to supporting the Vulnerability Assessment and Portfolio development in their region. The stakeholder partnership provides consistent input into the Portfolio and commits to reviewing material in advance of meetings; material typically will be limited to 3-5 pages, except in review of the full draft Vulnerability Assessment and full draft Portfolio. Members of this partnership will be identified through recruitment by the Organizational Lead and NCORR in collaboration with the Facilitators. Vendor communicates directly with the Stakeholder Partnership as needed to accomplish tasks in this scope of work.

Facilitator: Each region will be assigned a "Facilitator" by the Rural Center. Facilitators are alumni of the Rural Center's Homegrown Leaders program and will live in, work in, and/or otherwise be familiar with the region. The Facilitator supports Vendor with facilitation for meetings, supports the Vendor in planning agendas for each meeting, and provides expertise on merging the needs and desires of multiple jurisdictions, entities, and interests into a regional perspective. Each Facilitator will be provided and managed by the Rural Center. Facilitators will work up to ten hours per month on the RISE Regional Resilience Portfolio effort for the period September 2021 through June 2022.

2.0 GENERAL INFORMATION

2.1 REQUEST FOR PROPOSAL DOCUMENT

The RFP is comprised of the base RFP document, any attachments, and any addenda released before Contract award. All attachments and addenda released for this RFP in advance of any Contract award are incorporated herein by reference.

2.2 RESERVED E-PROCUREMENT SOLICITATION

ATTENTION: This is NOT an eProcurement solicitation. Paragraph entitled ELECTRONIC PROCUREMENT subsections (d) and (e) of the North Carolina General Contract Terms and Conditions, do not apply to this solicitation.

General information on the E-Procurement Services can be found at: <http://eprocurement.nc.gov/>.

2.3 NOTICE TO VENDORS REGARDING RFP TERMS AND CONDITIONS

It shall be the Vendor’s responsibility to read the Instructions, the State’s terms and conditions, all relevant exhibits and attachments, and any other components made a part of this RFP and comply with all requirements and specifications herein. Vendors also are responsible for obtaining and complying with all Addenda and other changes that may be issued in connection with this RFP.

If Vendors have questions, issues, or exceptions regarding any term, condition, or other component within this RFP, those must be submitted as questions in accordance with the instructions in Section 2.5 PROPOSAL QUESTIONS. If the State determines that any changes will be made as a result of the questions asked, then such decisions will be communicated in the form of an RFP addendum. The State may also elect to leave open the possibility for later negotiation and amendment of specific provisions of the Contract that have been addressed during the question and answer period. Other than through this process, the State rejects and will not be required to evaluate or consider any additional or modified terms and conditions submitted with Vendor’s proposal. This applies to any language appearing in or attached to the document as part of the Vendor’s proposal that purports to vary any terms and conditions or Vendors’ instructions herein or to render the proposal non-binding or subject to further negotiation. Vendor’s proposal shall constitute a firm offer. **By execution and delivery of this RFP Response, the Vendor agrees that any additional or modified terms and conditions, whether submitted purposely or inadvertently, shall have no force or effect, and will be disregarded. Noncompliance with, or any attempt to alter or delete, this paragraph shall constitute sufficient grounds to reject Vendor’s proposal as nonresponsive.**

By executing and submitting its proposal in response to this RFP, Vendor understands and agrees that the State may exercise its discretion not to consider any and all proposed modifications Vendor(s) may request and may accept Vendor’s proposal under the terms and conditions of this RFP.

2.4 RFP SCHEDULE

The table below shows the *intended* schedule for this RFP. The State will make every effort to adhere to this schedule.

| Event | Responsibility | Date and Time |
|-------------------------------|----------------|--------------------------------|
| Issue RFP | State | October 4, 2021 |
| Submit Written Questions | Vendor | October 8, 2021 by 2:00 pm ET |
| Provide Response to Questions | State | October 13, 2021 |
| Submit Proposals | Vendor | October 22, 2021 by 2:00 pm ET |

| | | |
|-------------------------|-------|--------------------------------------|
| Contract Award | State | As soon as possible after evaluation |
| Contract Effective Date | State | Immediately upon contract execution |

2.5 PROPOSAL QUESTIONS

Upon review of the RFP documents, Vendors may have questions to clarify or interpret the RFP in order to submit the best proposal possible. To accommodate the Proposal Questions process, Vendors shall submit any such questions by the above due date and time.

Written questions shall be emailed to kathryn.vantol@ncdps.gov by the date and time specified above. Vendors should enter “19-RFP-015478-VKA: Questions” as the subject for the email. Questions submittals should include a reference to the applicable RFP section and be submitted in a format shown below:

| Reference | Vendor Question |
|--------------------------|----------------------|
| RFP Section, Page Number | Vendor question ...? |

Questions received prior to the submission deadline date/time, the State’s response, and any additional terms deemed necessary by the State will be posted in the form of an addendum to the Interactive Purchasing System (IPS), <http://www.ips.state.nc.us>, and shall become an Addendum to this RFP. No information, instruction or advice provided orally or informally by any State personnel, whether made in response to a question or otherwise in connection with this RFP, shall be considered authoritative or binding. Vendors shall rely *only* on written material contained in an Addendum to this RFP.

2.6 PROPOSAL SUBMITTAL

IMPORTANT NOTE: This is an absolute requirement. Vendor shall bear the risk for late submission due to unintended or unanticipated delay—whether delivered by hand, U.S. Postal Service, courier or other delivery service. It is the Vendor’s sole responsibility to ensure its proposal has been received as described in this RFP by the specified time and date of opening. The time and date of receipt will be marked on each proposal when received. Any proposal received after the proposal deadline will be rejected.

Mailing address for delivery of proposal via US Postal Service or by any other method (hand delivery, special delivery, overnight, or any other carrier)

PROPOSAL NUMBER: **19-RFP-015478-VKA** Resilience Portfolio RFP Opens: **October 22, 2021** at 2:00 pm ET
 Attn: Kathryn Van Tol
 North Carolina Department of Public Safety
 Purchasing and Logistics
 3030 Hammond Business Place
 Raleigh, NC 27603

For proposals submitted via U.S. mail, please note that the U.S. Postal Service generally does not deliver mail to a specified street address but to the State’s Mail Service Center. Vendors are cautioned that proposals sent via U.S. Mail, including Express Mail, may not be delivered by the Mail Service Center to the agency’s purchasing office on the due date in time to meet the proposal deadline. All Vendors are urged to take the possibility of delay into account

when submitting a proposal by U.S. Postal Service, courier, or other delivery service. **Attempts to submit a proposal via facsimile (FAX) machine, telephone or email in response to this RFP shall NOT be accepted.**

- a) Submit one **(1) signed hardcopy** proposal response and one **(1) electronic** version on a flash drive.

The electronic (flash drive) shall contain two (2) files:

- **un-redacted** version (an exact replica of the signed hardcopy) and,
- if required, **redacted** version (all Proprietary and Confidential Information Excluded; and, Federal ID number removed).

Redacting refers to the blacking out of information so it is not visible.

Hardcopy and electronic copy shall be submitted simultaneously with the proposal response to the address identified in the table above. Electronic file(s) shall NOT be password-protected but, shall be in .PDF or .XLS format, and shall be capable of being copied to other sources.

- b) Submit your proposal in a sealed package. Clearly mark each package with: (1) Vendor name; (2) the RFP number; and (3) the due date. Address the package(s) for delivery as shown in the table above. Proposals are subject to rejection unless submitted with the information above included on the outside of the sealed proposal package.

The North Carolina Department of Public Safety, in responding to public records requests, will release the contents of the Redacted electronic (flash drive) file provided by the Vendor. It is the sole responsibility of the Vendor to ensure that the Redacted file complies with the requirements of Paragraph 29, CONFIDENTIAL INFORMATION, of ATTACHMENT B: INSTRUCTIONS TO VENDORS and ALL proprietary and confidential information has been removed. Cost information shall not be deemed confidential under any circumstances. **Redacting refers to the blacking out of information so it is not visible.**

Failure to submit a proposal in strict accordance with these instructions shall constitute sufficient cause to reject a Vendor’s proposal(s).

Critical updated information may be included in Addenda to this RFP. It is important that all Vendors proposing on this RFP periodically check the State’s IPS website for any Addenda that may be issued prior to the RFP opening date. All Vendors shall be deemed to have read and understood all information in this RFP and all Addenda thereto.

2.7 PROPOSAL CONTENTS

Vendors shall populate all attachments of this RFP that require the Vendor to provide information and include an authorized signature where requested. Listed below as a courtesy are attachments that require completion and/or signature. **All pages of the RFP should be returned.**

- a) Completed and signed **EXECUTION PAGE** (page 3 of this RFP)
- b) Completed and signed receipt pages of any addenda released in conjunction with this RFP (if required to be returned).
- c) Completed ATTACHMENT A: PRICING
- d) Completed ATTACHMENT D: LOCATION OF WORKERS UTILIZED BY VENDOR
- e) Completed and signed ATTACHMENT E: CERTIFICATION OF FINANCIAL CONDITION
- f) Completed ATTACHMENT F: CUSTOMER REFERENCE FORM

- g) Completed ATTACHMENT G: HUB SUPPLEMENTAL VENDOR INFORMATION
- h) Vendor's Proposal

2.8 DEFINITIONS, ACRONYMS, AND ABBREVIATIONS

The following definitions, acronyms, and abbreviations may be used within the RFP document. Please refer to this list and ATTACHMENT B: INSTRUCTIONS TO VENDORS for meaning as you review the RFP document and complete your bid.

- a) **COG:** North Carolina Regional Council of Government.
- b) **CONTRACT ADMINISTRATOR:** Representative of the North Carolina Office of Recovery and Resiliency (NCORR) responsible for providing daily technical oversight of the contract and making sure the Vendor performs according to the requirements of the contract.
- c) **CONTRACT OFFICER:** Representative of the Department of Public Safety who corresponds with potential Vendors in order to identify and contract with that Vendor providing the greatest benefit to the State and who will administer the contract for the State.
- d) **DPS:** Department of Public Safety.
- e) **NCORR:** North Carolina Office of Recovery and Resiliency.
- f) **OPENING DATE:** Responses will only be accepted up until the specified time and date listed in the RFP and then publicly opened. NO responses will be accepted after that time and date.
- g) **PRINCIPLE PLACE OF BUSINESS:** The principal place from which the overall trade or business of the Vendor is directed or managed.
- h) **REDACTED:** Edited copy of the Vendors proposal response with Proprietary and/or Confidential information excluded/removed; including removal of federal identification/social security number and any Personal Identifiable Information (PII). The electronic file provided by the Vendor that will be released by DPS/NCORR in responding to public records requests. "Redacted" refers to the blacking out of information so it is not visible.
- i) **RISE:** Regions Innovating for Strong Economies and Environment (RISE) Program.
- j) **SERVICES or SERVICE DELIVERABLES (TASKS):** The tasks and duties undertaken by the Vendor to fulfill the requirements and specifications of this RFP.
- k) **UN-REDACTED:** Copy of the Vendors proposal response unedited including all confidential and/or proprietary information.

3.0 METHOD OF AWARD AND PROPOSAL EVALUATION PROCESS

3.1 METHOD OF AWARD

Contracts will be awarded in accordance with G.S. § 143-52 and the evaluation criteria set out in this solicitation. Prospective Vendors shall not be discriminated against on the basis of any prohibited grounds as defined by Federal and State law.

All qualified proposals will be evaluated, and awards will be made to the Vendor(s) meeting the RFP requirements using the Best Value method based on the criteria described below.

While the intent of this RFP is to award a Contract(s) to a multiple Vendors, the State reserves the right to not award one or more line items or to cancel this RFP in its entirety without awarding a Contract, if it is considered to be most advantageous to the State to do so.

The State reserves the right to waive any minor informality or technicality in proposals received.

3.2 CONFIDENTIALITY AND PROHIBITED COMMUNICATIONS DURING EVALUATION

While this RFP is under evaluation, the proposer, including any subcontractors and suppliers are prohibited from engaging in conversations intended to influence the outcome of the evaluation. See the Paragraph 30, COMMUNICATIONS BY VENDORS, of the INSTRUCTIONS TO VENDORS.

3.3 PROPOSAL EVALUATION PROCESS

Only responsive submissions will be evaluated.

The State will conduct a One-Step evaluation of Proposals. Responsive proposals will be evaluated according to the method specified in Section 3.4 of this RFP.

All proposals must be received by the issuing agency not later than the date and time specified on the cover sheet of this RFP. At that date and time, the proposal from each responding Vendor will be opened publicly and the name of the Vendor will be announced. If negotiation is anticipated under 01 NCAC 05B.0503, pricing may not be public until award.

Vendors are cautioned that this is a request for offers, not an offer or request to contract, and the State reserves the unqualified right to reject any and all offers at any time if such rejection is deemed to be in the best interest of the State.

At their option, the evaluators may request oral presentations or discussions with any or all Vendors for clarification or to amplify the materials presented in any part of the proposal. Vendors are cautioned, however, that the evaluators are not required to request presentations or other clarification—and often do not. Therefore, all proposals should be complete and reflect the most favorable terms available from the Vendor.

The State reserves the right to negotiate with one or more Vendors, or to reject all original offers and negotiate with one or more sources of supply that may be capable of satisfying the requirement and submit a best and final offer (BAFO), based on discussions and negotiations with the State, if the initial responses to the RFP have been evaluated and determined to be unsatisfactory.

1) Source Selection

A trade-off/ranking method of source selection will be utilized in this procurement to allow the State to award this RFP to the Vendor providing the Best Value, and recognizing that Best Value may result in award other than the lowest price or highest technically qualified offer. By using this method, the overall ranking may be adjusted up or down when considered with, or traded-off against other non-price factors.

- a) Evaluation Process Explanation. The State will review all offers. All offers will be initially classified as being responsive or non-responsive. If an offer is found non-responsive, it will not be considered further. All responsive offers will be evaluated based on stated evaluation criteria. Any references in an answer to

another location in the RFP materials or Offer shall have specific page numbers and sections stated in the reference.

- b) To be eligible for consideration, Vendor’s offer must substantially conform to the intent of all specifications. Compliance with the intent of all specifications will be determined by the State. Offers that do not meet the full intent of all specifications listed in this RFP may be deemed deficient. Further, a serious deficiency in the offer to any one (1) factor may be grounds for rejection.
- c) The evaluation committee may request clarifications, or presentations from any or all Vendors. However, the State may refuse to accept, in full or partially, the response to a clarification request given by any Vendor. Vendors are cautioned that the evaluators are not required to request clarifications; therefore, all offers should be complete and reflect the most favorable terms.

2) Best and Final Offers (BAFO)

The State reserves the right to reject all original offers and request one or more of the Vendors submitting proposals within a competitive range to submit a best and final offer (BAFO), based on discussions and negotiations with the State, if the initial responses to the RFP have been evaluated and determined to be unsatisfactory.

Failure to deliver a BAFO when requested shall disqualify a Vendor from further consideration.

The State reserves the right to negotiate with one or more Vendors, or to reject all original offers and negotiate with one or more sources of supply that may be capable of satisfying the requirement and submit a best and final offer (BAFO), based on discussions and negotiations with the State, if the initial responses to the RFP have been evaluated and determined to be unsatisfactory.

At its discretion, the State may establish a competitive range based upon evaluations of offers, and request BAFOs from the Vendors within this range; e.g. “Finalist Vendors”. The State may evaluate BAFOs, oral presentations, and product demonstrations as part of the Vendors’ respective offer to attain their final ranking.

Upon completion of the evaluation process, the State will make Award(s) based on the evaluation and post the award(s) to IPS under the RFP number for this solicitation. Award of a Contract to one Vendor does not mean that the other proposals lacked merit, but that, all factors considered, the selected proposal was deemed most advantageous and represented the best value to the State.

3.4 EVALUATION CRITERIA

Vendor must demonstrate to the complete satisfaction of NCORR that it has the necessary ability, and financial resources to provide the services specified herein in a satisfactory manner. Vendors shall provide its past history and references to demonstrate its qualifications. NCORR may make reasonable investigations deemed necessary and proper to determine the ability of Vendor to perform the work, and Vendor shall furnish to NCORR all information for this purpose that may be requested. NCORR reserves the right to reject any offer if the evidence submitted by, or investigation of, Vendor fails to satisfy NCORR that it is properly qualified to carry out the obligations of the contract and to complete the work described therein.

All responsive proposals will be evaluated, and award will be made to the Vendor(s) meeting the RFP requirements using the Best Value method based on the criteria described below, listed in order of importance, to result in an award most advantageous to the State.

- Experience/Qualifications
- Quality of the Proposed Plan to Meet Scope of Work
- Cost

3.5 PERFORMANCE OUTSIDE THE UNITED STATES

Vendor shall complete ATTACHMENT D: LOCATION OF WORKERS UTILIZED BY VENDOR. In addition to any other evaluation criteria identified in this RFP, the State may also consider, for purposes of evaluating proposed or actual contract performance outside of the United States, how that performance may affect the following factors to ensure that any award will be in the best interest of the State:

- a) Total cost to the State
- b) Level of quality provided by the Vendor
- c) Process and performance capability across multiple jurisdictions
- d) Protection of the State’s information and intellectual property
- e) Availability of pertinent skills
- f) Ability to understand the State’s business requirements and internal operational culture
- g) Particular risk factors such as the security of the State’s information technology
- h) Relations with citizens and employees
- i) Contract enforcement jurisdictional issues

4.0 REQUIREMENTS

This Section lists the requirements related to this RFP. By submitting a proposal, the Vendor agrees to meet all stated requirements in this Section as well as any other specifications, requirements and terms and conditions stated in this RFP. If a Vendor is unclear about a requirement or specification or believes a change to a requirement would allow for the State to receive a better proposal, the Vendor is urged and cautioned to submit these items in the form of a question during the question and answer period in accordance with Section 2.5.

4.1 PRICING

Proposal price shall constitute the total cost to NCORR for complete performance in accordance with the requirements and specifications herein, including all applicable charges such as travel related costs, administrative and other similar fees. Vendor shall not invoice for any amounts not specifically allowed for in this RFP. Vendor shall complete ATTACHMENT A: PRICING FORM and include in Proposal.

4.2 INVOICES

- a) Invoices must be submitted to the NCORR Contract Administrator in hard copy on the Vendor’s official letterhead and must be identified by a unique invoice number unless otherwise directed by the Contract Administrator.

- b) Invoices must bear the correct contract number and purchase order number to ensure prompt payment. Vendor's failure to include the correct purchase order number may cause delay in payment.
- c) Invoices must include an accurate description of the work for which the invoice is being submitted, the invoice date, the period of time covered, and the amount of fees due to Vendor.

4.3 FINANCIAL STABILITY

As a condition of contract award, the Vendor must certify that it has the financial capacity to perform and to continue perform its obligations under the contract; that Vendor has no constructive or actual knowledge of an actual or potential legal proceeding being brought against Vendor that could materially adversely affect performance of this Contract; and that entering into this Contract is not prohibited by any contract, or order by any court of competent jurisdiction.

Each Vendor shall certify it is financially stable by completing the ATTACHMENT E: CERTIFICATION OF FINANCIAL CONDITION. The State is requiring this certification to minimize potential issues from Contracting with a Vendor that is financially unstable. From the date of the Certification to the expiration of the Contract, the Vendor shall notify the State within thirty (30) days of any occurrence or condition that materially alters the truth of any statement made in this Certification. The Contract Officer may require annual recertification of the Vendor's financial stability.

4.4 VENDOR EXPERIENCE

In its Proposal, **Vendor shall demonstrate experience with public and/or private sector clients with similar or greater size and complexity to the State of North Carolina.** Vendor shall provide information as to the qualifications and experience of all executive, managerial, legal, and professional personnel to be assigned to this project, including resumes citing experience with similar projects and the responsibilities to be assigned to each person.

4.5 REFERENCES

Vendors shall provide at least three (3) references, using ATTACHMENT F: CUSTOMER REFERENCE FORM, for which your company has provided Services of similar size and scope to that proposed herein. The State may contact these users to determine the Services provided are substantially similar in scope to those proposed herein and Vendor's performance has been satisfactory. The information obtained may be considered in the evaluation of the proposal.

4.6 PERSONNEL

Vendor warrants that qualified personnel shall provide Services under this Contract in a professional manner. "Professional manner" means that the personnel performing the Services will possess the skill and competence consistent with the prevailing business standards in the industry. Vendor will serve as the prime contractor under this Contract and shall be responsible for the performance and payment of all subcontractor(s) that may be approved by the State. Names of any third-party Vendors or subcontractors of Vendor may appear for purposes of convenience in Contract documents; and shall not limit Vendor's obligations hereunder. Vendor will retain executive representation for functional and technical expertise as needed in order to incorporate any work by third party subcontractor(s).

Should the Vendor's proposal result in an award, the Vendor shall be required to agree that it will not substitute key personnel assigned to the performance of the Contract without prior written approval by the NCORR Contract Administrator. Vendor shall further agree that it will notify the NCORR Contract Administrator of any desired substitution, including the name(s) and references of Vendor's recommended substitute personnel. The State will agree to approve or disapprove the requested substitution in a timely manner. The State may, in its sole discretion,

terminate the services of any person providing services under this Contract. Upon such termination, the State may request acceptable substitute personnel or terminate the contract services provided by such personnel.

4.7 VENDOR'S REPRESENTATIONS

If the proposal results in an award, the Vendor agrees that it will not enter any agreement with a third party that may abridge any rights of the State under the Contract. If any Services, deliverables, functions, or responsibilities not specifically described in this solicitation are required for Vendor's proper performance, provision and delivery of the service and deliverables under a resulting Contract, or are an inherent part of or necessary sub-task included within such service, they will be deemed to be implied by and included within the scope of the contract to the same extent and in the same manner as if specifically described in the contract. Unless otherwise expressly provided herein, Vendor will furnish all of its own necessary management, supervision, labor, facilities, furniture, computer and telecommunications equipment, software, supplies and materials necessary for the Vendor to provide and deliver the Services and Deliverables.

5.0 SCOPE OF WORK

5.1 GENERAL

NCORR requests proposals from Vendors that have specific experience and qualifications in the subject areas identified in this solicitation to facilitate the development of Regional Resilience Project Portfolios (Portfolios) for storm-impacted regions in Eastern North Carolina. Developing each Portfolio shall include conducting a regional climate and natural hazards Vulnerability Assessment, identifying priority actions to reduce risk and enhance resilience in the region, and recommending paths to implementation. **These Portfolios will be collaboratively developed through stakeholder engagement, as well as the expertise of the Vendor and input from NCORR.** Section 1.2 outlines the roles of each region's Facilitator, Stakeholder Partnership, and Organizational Lead, and further clarification is provided in the tasks below. Vendors will provide, at a minimum, expert services to NCORR staff with at least the levels of experience, abilities, and expertise identified below. Vendors and its employees, officers and executives, and subcontractors, if any, shall be independent Vendors and not employees or agents of the State. The Agreement shall not operate as a joint venture, partnership, trust, agency or any other similar business relationship.

Vendor shall indicate in its proposal the plan (methodology) and project timeline for meeting the Scope of Work requirements.

The SCHEDULE OF WORK in Section 5.5 sets forth the required deadline that shall be met in addition to an overall proposed timeline. The **required deadline** is **July 1, 2022**. The plan (methodology) and sequence of events proposed by Vendor in response to this RFP, including the timeline for meeting the requirements, do not have to mirror the proposed timeline provided in the SCHEDULE OF WORK or the proposed approach provided in SCOPE OF WORK. Vendor may propose an alternate timeline as long as the required deadline is met.

Vendor must identify the personnel to be assigned to the project, including the organizational structure, and each person's area of responsibility. Resumes and Bios for each professional assigned to this project are required. Vendor must have sufficient and qualified staff immediately available to enter into a contract under this RFP and to manage any work called for in the RFP.

Vendor's proposal must contain evidence of Vendor's experience and qualifications in the area directly related to the requirements of this RFP.

5.2 BACKGROUND

The eastern coastal plain of North Carolina has been impacted by multiple hurricanes and tropical storms in the past five years, with Hurricanes Matthew and Florence being particularly devastating. Numerous plans for resilient recoveries in counties and municipalities have been developed, but past plans have faced barriers including limited community buy-in, piecemeal vulnerability assessments, low local government capacity for partnership and implementation, and/or limited funding for implementation. These plans, which are listed below in **Section 5.4**, should be seen as foundational information resources that each Portfolio builds upon. For example, pre-existing plans may contain important information for vulnerability assessments or may propose actions that are included in the final Portfolio. **The process to develop the Portfolio shall avoid duplication of any previous efforts.**

The solicitation outlined in this RFP aims to build on at least two advantages of the regional scale approach. One of these advantages is that Eastern North Carolina's flooding problems typically occur at a watershed scale. Significant damage from recent hurricanes has been driven by upstream precipitation that may cause downstream riverine flooding to peak days or up to a week after the storm. Therefore, upstream communities' decisions and development may affect downstream communities, yet there are few incentives to address flooding at a regional level. The development of the Portfolio aims to create a forum for discussing and addressing these issues. The second advantage of the regional scale is regional-scale actors may need to be involved to support implementation, given that local government capacity is often limited, especially in rural areas. This is a crucial consideration for the implementation recommendations in the Portfolio. Vendors shall indicate in their proposals how they will integrate these two advantages of the regional scale.

Finally, the term "project portfolio" rather than "plan" is used to indicate that the final product shall include a small set of priority actions that are high-impact and/or for which implementation is feasible in the near to medium term. This smaller set of prioritized resilience activities will include a proposed pathway to implementation for each. This set is expected to include five to ten actions, but with approval of NCORR, the priority set can include more than ten. The final portfolio for each region should be no longer than 40 pages with each project summarized in a maximum of 3 pages. Appendices will not count toward the page total nor will the Vulnerability Assessment.

5.3 REGIONAL RESILIENCE PORTFOLIOS

The RFP requires the development of two primary products: (1) A **regional climate hazards Vulnerability Assessment** ("Vulnerability Assessment") that supports and is summarized by (2) A **Regional Resilience Portfolio** ("Portfolio"). These two products must be completed for each region, and each product will be the result of a collaborative process, as detailed further below under "Tasks."

The **Vulnerability Assessment** is a deliverable that shall be submitted prior to the Portfolio. The Vulnerability Assessment shall stand alone, but also contain content appropriate for integration into regional and local plans, grant applications, public presentations, and other development planning tools.

Each **Portfolio** shall include a summary of the Vulnerability Assessment, identify priority projects (construction or non-construction activities) to reduce risk and enhance resilience in their region, and recommend an implementation plan that provides a roadmap to getting the priority projects completed. The following is a suggested structure for the Portfolio:

- **Vision and Goals**, including a statement of the Portfolio’s purpose, the regional vision for resilience, and a description of the process used to develop the Portfolio.
- **Analysis**, including a summary of the climate Vulnerability Assessment, resilience assets or strengths of the region, analysis of previous disaster experience; and regional themes or overall takeaways.
- **Proposed projects**, including a description of each proposed project and intended impact; feasibility and high-level cost estimate; an implementation strategy, including coordination needs and potential barriers along with funding opportunities for which the project would qualify; and examples, if possible, of other communities in which similar projects have been completed and that demonstrate the value or impact of the projects.

The Vulnerability Assessments and the Portfolios must address climate resilience in a multifaceted manner. At minimum, they shall consider the region’s vulnerability to the following climate hazards as described in the 2020 North Carolina Risk and Resilience Plan:

- Hurricanes and storms
- Flooding
- Heavy precipitation and wind damage
- Extreme temperatures, including high heat indexes
- Drought and wildfires

The consideration of vulnerability shall include physical exposure of the built and natural environment to climate hazards as well as the social, economic, and governmental systems that support resilience to climate stressors. At a minimum, the Vulnerability Assessment must show evidence of having considered the following impact sectors:

- Housing resilience
- Infrastructure resilience
- Social and community resilience
- Public health
- Economic resilience
- Natural environment

Projects included in the Portfolio may be drawn from a wide range of potential activities, including construction and non-construction activities. These strategies might span, but are not limited to, natural, nature-based or hard infrastructure, building elevations or buyouts, local government programs or ordinances, regional initiatives such as stormwater management efforts, land conservation, public education or awareness, disaster preparedness, public health campaigns, civic or nonprofit capacity building, business continuity or economic development. Portfolios shall be developed with a focus on the needs of populations, places, and communities most vulnerable to climate disasters. The Portfolios shall build upon existing plans, programs, and analyses wherever appropriate (e.g. comprehensive economic development strategies, hazard

mitigation plans, disaster recovery plans, research briefs, etc.), but ultimately, the portfolios shall provide new insight and analysis.

Regions will be defined by the geography of the Councils of Government with the exception of the region covering Region J Council of Government, as listed in **Attachment I**. Each region shall include at least one county that had a federal disaster declaration in 2018. Regions will be concurrently served by this program. Vendors proposing to serve more than one region may avail themselves of the opportunities for cost savings by having similar processes replicated in multiple geographies but the content of each region’s assessment and plans shall be unique.

5.4 TASKS/DELIVERABLES

To develop this product will require completing, at minimum, the following work tasks. These tasks are based on NCORR’s preliminary analysis and the Vendor is not constrained from supplementing this list with additional sub-tasks it deems necessary to permit best performance or from describing alternative approaches to achieve final production of this deliverable.

For the tasks outlined here and the work discussed throughout this RFP, the Vendor shall comply with all COVID-19 protocols required by the State of North Carolina, including NCORR, and any other federal or local requirements. Any discussion of in-person activities here and elsewhere in this solicitation is understood to be so limited, and such activities may only be conducted in-person if they can be done in compliance with all required COVID-19 protocols, as may be updated from time to time. If any activities cannot be conducted in-person, Vendor shall conduct them to the greatest extent feasible using virtual methods.

TASK 1: Gather data to inform and support Vulnerability Assessment and Portfolio development process

- a. Gather relevant local and regional reports and plans to ensure incorporation of all relevant, existing information into Vulnerability Assessment and Portfolio development. At a minimum, this step entails review of the literature relevant to resiliency efforts in the region, including:
 - i. North Carolina Climate Risk Assessment and Resilience Plan 2020, including the Climate Science Report. Note that the Climate Science Report is considered the state’s most up-to-date and authoritative source on climate change projections for North Carolina.
 - ii. Regional and/or Local Hazard Mitigation Plans in region
 - iii. Regional Comprehensive Economic Development Strategy in region
 - iv. Hurricane Matthew Resilient Redevelopment Plans
 - v. River Basin Studies of the Lumber, Neuse, and Tar Rivers
 - vi. North Carolina Policy Collaboratory Flood Resilience Study
 - vii. North Carolina Climate and Health Profile

- b. Dataset collection. The datasets listed below are among those available to the Vendor. The Vendor may include additional datasets that are publicly available or already held by the Vendor. The need to purchase datasets is not anticipated, but if included in the proposal, the Vendor shall bear all costs associated with data set acquisition.
 - i. North Carolina Emergency Management Flood Hazard Data
 - ii. North Carolina Sea Level Rise Assessment Report (2015)
 - iii. Hazardous Extremes for Risk Assessment (HERA) Tool – Historical hazard data by county
 - iv. North Carolina Buildings Footprints

- v. Transportation Infrastructure
- vi. CDC Social Vulnerability Index
- vii. NC OneMap products

TASK 2: Engage stakeholders, including but not limited to Stakeholder Partnership members, at multiple points during the development of the Vulnerability Assessment and Portfolio. Public workshops, public comment periods, and any other stakeholder engagement techniques shall engage socially vulnerable persons and communities or appropriate representatives. All costs associated with executing the stakeholder engagement shall be borne by the Vendor. The following activities are the minimum; additional stakeholder engagement activities may be proposed in RFP response.

- a. Hold **between seven and ten meetings** with the Stakeholder Partnership. (Prior to the launch of the contract resulting from this RFP, a list of stakeholders invited to participate on the Partnership will be developed collaboratively by NCORR, the Organizational Lead, and the Facilitator.) All costs associated with the execution of these meetings shall be borne by the Vendor. These meetings shall be organized and executed by the Vendor and the Facilitator, with optional input from the Organizational Lead. The Vendor shall collaborate with the Facilitator to determine the content of each meeting to ensure consistent progress. Notes shall be taken for each Stakeholder Partnership meeting and provided to NCORR.
 - i. At least one of the Stakeholder Partnership meetings shall include a participatory self-assessment activity or activities to aggregate local knowledge for the Vulnerability Assessment that a desktop analysis might miss. Potential topics for input include: geographic areas of frequent flooding or other climate impacts *outside* of major disasters, non-climate stressors likely to intersect with climate stressors, impact of physical exposures to climate hazards, experiences with recent disaster and disaster recovery, if applicable, and other insights on the region's strengths and weaknesses with respect to resilience.
 - ii. At least one meeting will include activities to develop or refine a list of high-level categories or approaches to resilience activities that might be prioritized in the Portfolio, in support of the second public workshop described in Task 2(b)(ii) below.
 - iii. At least two meetings will include activities related to developing and prioritizing projects for inclusion in the Portfolio (Task 4).
 - iv. At least one meeting will focus on the development of implementation strategies for the projects proposed in the Portfolio (Task 5).
 - v. At least two meetings will include an opportunity for comment on draft deliverables, including at least one for the Vulnerability Assessment and one for the Project Portfolio.
- b. Hold two public workshops in each region. The Vendor shall execute the workshops; Facilitators will provide input on agenda development, participant recruitment, and on-site/online facilitation. All costs associated with the execution of public workshops shall be borne by the Vendor. The Vendor should provide the raw and summarized results of each public workshop to NCORR no later than 14 days following the workshop.

- i. The first public workshop is a kickoff to the project and its objectives are to introduce the project and the concept of regional resilience to the public and to solicit input for the Vulnerability Assessment (see suggested topics in Task 2(a)(i)).
- ii. The second public workshop will be used to solicit preferences of the high-level categories or approaches to resilience activities that might be prioritized in the Portfolio. This workshop will inform project development and prioritization.
- c. Hold two public comment periods—one following the completion of the second draft Vulnerability Assessment and one following the completion of the second draft Portfolio—lasting a minimum of 14 days each. The Vendor shall provide the raw and summarized results of each public comment period to NCORR no later than 14 days following the public comment deadline.
- d. Hold monthly meetings with the Facilitator. These meetings will allow the Facilitator the opportunity to engage with the Vendor and chart progress.
- e. Vendor shall submit two stakeholder engagement summary documents to NCORR and the partnership, one at the midpoint of the work and one at the conclusion of the contract period.

Task 3: Develop the Vulnerability Assessment.

The Vulnerability Assessment shall provide an overview of the region’s vulnerability based on geospatial, quantitative and qualitative evidence. It shall include a set of clear, overall conclusions in an executive summary. It shall use the best available data, including local knowledge. The primary aim of the Vulnerability Assessment is to inform the identification and prioritization of potential resilience projects; additional objectives include to provide an analysis appropriate for integration into other plans or grant applications as applicable, and to generally support future resilience work in the region.

- a. Assess the likelihood and general nature of impact on the region, at a minimum, of the following climate hazards: riverine, flash, localized and coastal flooding due to storms and hurricanes; sea level rise; heat; wind; drought; and wildfire. Future conditions through the next thirty years shall be considered, relying heavily on the findings described in “Chapter 3: NC Climate Science Report” of the North Carolina Climate Risk Assessment and Resilience Plan. Where historic or current data are used, the Vulnerability Assessment must contextualize these data for anticipated future conditions.
- b. Analyze exposure, sensitivity, and adaptive capacity of regional assets and populations in the categories named below to highest likelihood climate hazards; at minimum, this includes all types of flooding, storms, and high heat. This analysis shall at minimum consolidate existing qualitative analyses and local knowledge gathered in Tasks 1 and 2. Where data allow, quantitative assessment shall be included. Complexity and nature of the analysis for each impact sector below are expected to vary depending on the applicability and availability of data.

| Impact Sector to Be Included | Suggested Scale of Analysis |
|---|---|
| Housing, including an analysis of housing occupied by low- and moderate-income households | The number and location of houses vulnerable to flooding under multiple scenarios, including current 100- and 500-year floodplains (if available), historic flood extends, storm surge and sea level rise. Qualitative analysis of other housing vulnerability issues in the region, such as energy cost burden, standards to which manufactured or other housing were built, issues with new |

| | |
|---|---|
| | development, availability of affordable alternatives to vulnerable housing, etc. with maps and/or data to support where available |
| Critical infrastructure | Individual assets – Number and location of individual assets at greatest risk to climate hazards and ability to adapt to future conditions. Consideration of ability to function under future conditions, with maps and/or data to support where available |
| Healthcare, education, and public services facilities | See “Critical infrastructure” above |
| Major economic development assets | See “Critical infrastructure” above |
| Public health | Analysis of the climate threats, vulnerabilities, and adaptive capacities applicable to the region’s public health (e.g., reliance on outdoor labor and industries, mold growth in low-income and rental households, water quality issues, septic system overflows, mental health and adverse impacts to children), with maps and/or data to support analysis where available |
| Natural environmental systems | Analysis of the climate threats, vulnerabilities, and adaptive capacities applicable to the region’s natural environmental systems (e.g., threatened species’ habitat vulnerability, health of natural systems that manage floodwaters), with maps and/or data to support analysis where available |
| Socially vulnerable populations | Census tract-level analysis, which may include a standalone section that uses an index, but should also be considered in context of other sectors and specific drivers of social vulnerability |

- c. Analyze region’s overall strengths and challenges with respect to resilience. Consider in qualitative terms:
 - i. Recovery processes and challenges that have occurred in the region with recent disasters if applicable, with attention to learning from past disasters. For example, this analysis might include areas of physical impact (expected and unexpected) and observations on the recovery process and its challenges
 - ii. Significant non-climate stressors, e.g. decaying or potentially undersized infrastructure, population dynamics, economic shifts, land use or land cover change within the region or upstream
 - iii. Regional strengths and advantages in relation to climate resilience
 - iv. Key gaps in data and understanding, if applicable
- d. Facilitate stakeholder participation in Vulnerability Assessment. At a minimum the Vendor shall use the public workshop and Stakeholder Partnership meetings, as described in Task 2, to ensure local stakeholder experiences and knowledge are incorporated in the Vulnerability Assessment.
- e. Develop a draft Vulnerability Assessment that provides a unified regional analysis and includes references to relevant studies, plans or reports.
- f. Receive and respond to a maximum of two rounds of edits from NCORR staff and the Stakeholder Partnership.

- g. Release one draft of the Vulnerability Assessment for public comment as described in Task 2. Integrate public comment where appropriate into Vulnerability Assessment. Stakeholder Partnership edits and public comment period may be simultaneous, if needed.
- h. Submit final Vulnerability Assessment to NCORR.
- i. In addition to the narrative included in deliverable, Vendor shall transfer data generated in the Vulnerability Assessment to NCORR. NCORR shall have sole ownership of these files at the conclusion of the contract period, including metadata, shapefiles, and any created source documents. Geospatial data shall be transferred as an ArcGIS Pro product. Other data may be submitted in other easily accessible formats (e.g. MS Excel, MS Office). Prior to the commencement of contractual work all vendors shall agree to use the NCORR approved GIS data management guidelines for vulnerability assessment and portfolio development. All information provided shall allow modification and updating by NCORR following conclusion of the project inclusive of; maintaining and updating all existing layers, customizing GIS related web pages, and incorporation of additional state of NC datasets.

It is the responsibility of the Vendor to gather relevant data sets necessary for conducting analyses. Sources may include federal, state, regional, local government, or nongovernmental. The need to purchase datasets is not anticipated, but if included in the proposal, the Vendor shall bear all costs associated with data set acquisition.

Task 4. Develop a list of projects and prioritize top projects for inclusion in the Portfolio.

- a. With support from the Facilitator, the Vendor shall lead the Stakeholder Partnership through the following related tasks. These tasks do not need to be accomplished in this order or at the same meeting.
 - i. Identify key issues or themes that emerged from the Vulnerability Assessment.
 - ii. Articulate regional goals for resilience.
 - iii. Explore potential projects or types of activities to include in the Portfolio.
 - iv. Determine any overall priorities for Portfolio projects as a whole (e.g. a geographic balance, balance of types of projects, etc.)
- b. Based on input from the Stakeholder Partnership, public workshops, and Organizational Lead, provide a “long list” list of potential projects that the region might pursue in response to the Vulnerability Assessment, its key themes, and resilience goals. Proposed projects may have been identified previously in other planning documents; however, the proposed project must be justified by stakeholder engagement and Vulnerability Assessment conducted under this scope of work.
- c. Select or develop a standardized, transparent project prioritization method that incorporates analytical information from the Vulnerability Assessment and the expertise and input of stakeholders. NCORR shall approve the project prioritization method.
- d. Conduct project prioritization with participation from the Stakeholder Partnership to determine proposed projects for inclusion in the Portfolio. Proposed projects not prioritized shall be listed as an Appendix to the final Portfolio with their prioritization rankings, if applicable.

- e. Develop descriptions for each prioritized project. This description should include high-level feasibility and cost estimate, along with location and service area, if applicable. It should include a description of expected benefits.

Task 5. Develop an implementation strategy for each proposed project.

Each proposed project shall include a project-specific implementation strategy.

- a. Develop implementation strategy for each prioritized proposed project in collaboration with Stakeholder Partnership. The implementation strategy:
 - i. Articulates the population(s) to be served and the need(s) being addressed by the proposed project.
 - ii. Identifies potential implementers, partners, and opportunities for collaboration.
 - iii. Describes known and potential resources needed for implementation (such as, for example, financial resources, organizational capacity, local experts knowledgeable about such a project, and (if available) a list of other communities that have completed a similar project). Particular attention should be given to pathways to existing state and federal resources. If proposed projects must be consistent with or identified in a particular adopted plan or other document to be considered for a funding opportunity, this information must be included.
 - iv. Identifies potential implementation barriers and describes ways to overcome them.
 - v. Examines opportunities to integrate strategies into existing plans, programs, or policies.
- b. Provide a minimum of two drafts of the implementation strategies to NCORR through the revision process described in Task 6.

Task 6. Develop the Regional Resilience Portfolio.

Draft the Regional Resilience Portfolio, which includes, at minimum, a summary of the Vulnerability Assessment, regional resilience goals, and the portfolio of projects, including implementation strategies.

- a. Suggested Project Summary Format (2-3 pages each) for Project
 - i. Project Description & Type
 - ii. Identified Goal(s) and Vulnerability(ies) to be Addressed
 - iii. Relevant Context (environmental, social, governance, previous efforts, relationship to adopted plans, etc.)
 - iv. Location and Regional Value
 - v. Implementation Overview
 - vi. Potential Implementers and Notes on Capacity or Partners
 - vii. Potential Cost Range

- viii. Potential Funding Sources, Opportunities to Integrate Project into Existing Plans, Programs, or Strategies, and Other Relevant Opportunities
- ix. Potential Barriers and Strategies to Overcome Them
- x. Examples of similar efforts in other places, if available
- xi. Other Information

Appendices, shall include, at minimum, a list of projects not prioritized and their rankings, if applicable

- b. Receive and respond to no more than two rounds of comments from NCORR and the Stakeholder Partnership.
- c. Release one draft of the Regional Resilience Portfolio for public comment as described in Task 2. Integrate public comment where appropriate into Portfolio with input from NCORR. Stakeholder Partnership input on draft and public comment period may be simultaneous, if needed.
- d. Submit final Regional Resilience Project Portfolio and data products to NCORR.

5.5 TIMELINE

The below timeline is preliminary based on NCORR analysis. The plan (methodology) and sequence of events proposed by Vendor in response to this RFP, including the timeline for meeting the requirements, do not have to mirror the example provided in the below table. Vendor may propose an alternate timeline as long as the required deadline of **July 1, 2022** is met.

The actual project timeline shall be adjusted to comport with the actual Effective Date and may be further revised by mutual agreement of the parties.

| | |
|---|---------------------------------|
| Initial meeting with NCORR | Within 1 week of contract award |
| Public workshop #1 in each region | November or early December 2021 |
| Stakeholder Partnership engaged in participatory self-assessment for Vulnerability Assessment | December 2021 |
| Stakeholder partnership discusses potential projects for inclusion in Portfolio | January - February 2022 |
| Public workshop #2 in each region | Late January 2022 |
| Vendor submits draft Vulnerability Assessment | February 4, 2022 |
| Vendor receives comments from NCORR on draft Vulnerability Assessment | February 18, 2022 |

| | |
|--|---------------|
| Vendor releases revised Vulnerability Assessment for Stakeholder Partnership review and public comment | March 4, 2022 |
| Stakeholder partnership conducts project prioritization activity | March 2022 |
| Vendor submits revised and final Vulnerability Assessment to NCORR | April 1, 2022 |
| Stakeholder partnership discusses implementation strategies for priority projects | April 2022 |
| Vendor submits draft Portfolio | May 6, 2022 |
| Vendor receives comments from NCORR on Portfolio submission | May 20, 2022 |
| Vendor releases revised Portfolio for Stakeholder Partnership review and public comment | June 3, 2022 |
| Vendor submits revised and final Portfolio to NCORR | July 1, 2022 |

5.6 TECHNICAL APPROACH

Vendor’s **proposal shall include**, in narrative, outline, and/or graph form the Vendor’s **approach to accomplishing** the **tasks** outlined in the Scope of Work section of this RFP. A description of each task and deliverable and the schedule for accomplishing each shall be included.

6.0 CONTRACT ADMINISTRATION

All Contract Administration requirements are conditioned on an award resulting from this solicitation. This document is not a contract; it is, instead, a request for proposals. This information is provided for the Vendor’s planning purposes.

6.1 PROJECT MANAGER AND CUSTOMER SERVICE

Vendor shall be required to designate and make available to the State a project manager. The project manager shall be the State’s point of contact for contract related issues and issues concerning performance, progress review, scheduling and service.

| Project Manager | Email | Phone Number |
|-----------------|-------|--------------|
| | | |

6.2 BIWEEKLY STATUS REPORTS

Vendor shall be required to provide Project Status Reports to the designated NCORR Contract Administrator on a biweekly basis. This report shall include, at a minimum, information concerning the work accomplished during the reporting period; work to be accomplished during the subsequent reporting period; problems, real or anticipated, and notification of any significant deviation from previously agreed upon work plans and schedules. These reports shall be well organized and easy to read. Vendor shall submit these reports electronically using Microsoft Excel and, as needed, either Microsoft PowerPoint or Microsoft Word. Vendor shall submit the reports in a timely manner and on a regular schedule.

6.3 STATUS MEETINGS

Vendor, at the request of the State, may be asked to attend monthly status meetings (virtually) for Project Review. The purpose of these meetings will be to review project progress reports, discuss Vendor and State performance, address outstanding issues, review problem resolution, provide direction, evaluate continuous improvement and cost saving ideas, and discuss any other pertinent topics. These meetings shall include, at a minimum, information concerning the work accomplished during the reporting period; work to be accomplished during the subsequent reporting period; problems, real or anticipated, and notification of any significant deviation from previously agreed upon work plans and schedules.

6.4 ACCEPTANCE OF WORK

Performance of the work and delivery of goods shall be considered complete when the services or goods are approved as acceptable by the NCORR Contract Administrator.

NCORR Contract Administrator shall have the obligation to notify Vendor, in writing ten (10) calendar days following completion of such work or deliverable described in the Contract that it is not acceptable. The notice shall specify in reasonable detail the reason(s) it is unacceptable. Acceptance by the State shall not be unreasonably withheld; but may be conditioned or delayed as required for reasonable review and evaluation. Final acceptance is expressly conditioned upon completion of all applicable assessment procedures. Should the work or deliverables fail to meet any requirements, acceptance criteria or otherwise fail to conform to the contract, the State may exercise any and all rights hereunder, including, for deliverables, such rights provided by the Uniform Commercial Code as adopted in North Carolina.

6.5 DISPUTE RESOLUTION

During the performance of the contract, the parties must agree that it is in their mutual interest to resolve disputes informally. Any claims by the Vendor shall be submitted in writing to the State's Contract Officer for resolution. Any claims by the State shall be submitted in writing to the Vendor's Project Manager for resolution. The Parties shall agree to negotiate in good faith and use all reasonable efforts to resolve such dispute(s). During the time the Parties are attempting to resolve any dispute, each shall proceed diligently to perform their respective duties and responsibilities under this Contract. The parties will agree on a reasonable amount of time to resolve a dispute. If a dispute cannot be resolved between the Parties within the agreed upon period, either Party may elect to exercise any other remedies available under the Contract, or at law. This term, when agreed in the Contract, shall not constitute an agreement by either party to mediate or arbitrate any dispute.

6.6 CONTRACT CHANGES

Contract changes, if any, over the life of the contract shall be implemented by contract amendments agreed to in writing by the State and Vendor.

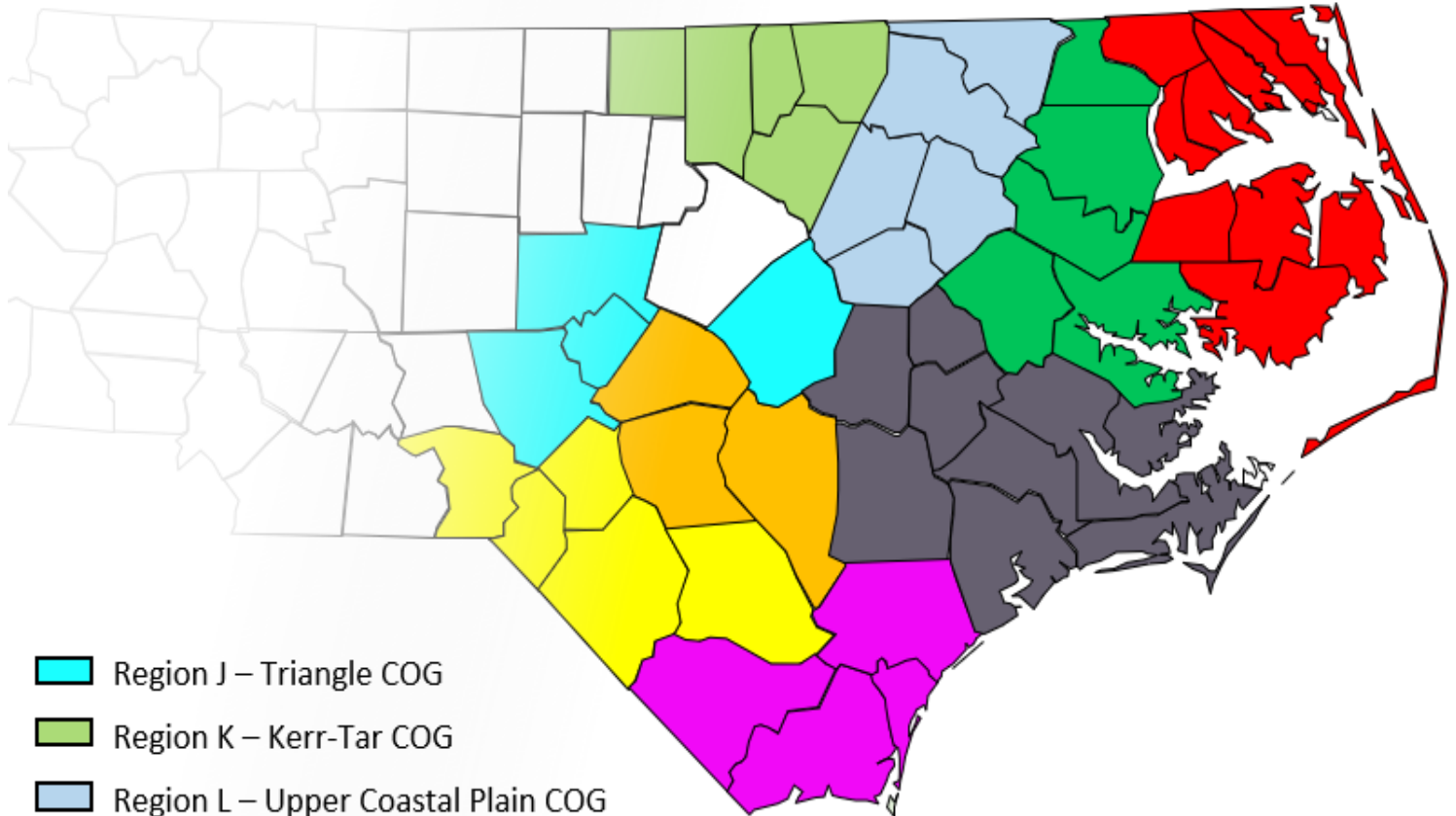
Proposal Number: 19-RFP-015478-VKA

Vendor: _____

ATTACHMENT A: PRICING

Vendor shall offer a firm fixed price, all inclusive of labor, materials, transportation and travel related expenses, general and administrative overhead, and profit. State may alter pay points as needed during BAFO negotiations.

Vendor shall indicate **each** region in which they are desirous of working and the anticipated costs associated with **each** region. Below is a color breakdown of the counties included for each region, this is provided only for convenience.



- Region J – Triangle COG
- Region K – Kerr-Tar COG
- Region L – Upper Coastal Plain COG
- Region M – Mid-Carolina COG
- Region N – Lumber River COG
- Region O – Cape Fear COG
- Region P – Eastern Carolina COG
- Region Q – Mid East Commission
- Region R – Albemarle Commission

Vendor shall indicate below the maximum number of individual Portfolios that the Vendor is willing to develop (i.e. the number of regions that the Vendor is willing to work in), up to nine. Ref. Section 1.2 OVERSIGHT AND GOVERNANCE.

Maximum number of individual Portfolios Vendor is willing to develop:

Vendors may express preferences for a particular region of the state if desired. Ref. Section 1.2 OVERSIGHT AND GOVERNANCE

Indicate below region preference, if applicable.

- REGION J** – Triangle J Council of Governments

- REGION K** - Kerr-Tar Council of Governments

- REGION L** - Upper Coastal Plain Council of Governments

- REGION M** - Mid-Carolina Council of Governments:

- REGION N** - Lumber River Council of Governments

- REGION O** - Cape Fear Council of Governments

- REGION P** - Eastern Carolina Council of Governments

- REGION Q** - Mid-East Commission

- REGION R** - Albemarle Commission

| REGION J – Triangle J Council of Governments Chatham, Johnston, Lee, Moore Counties - ONLY | | |
|---|---|-------|
| Item Number | Task Description* | Price |
| 1 | <p>TASK 1: Gather data to inform and support Vulnerability Assessment and Portfolio development process.</p> <ul style="list-style-type: none"> a. Review of Literature relevant to resiliency efforts in the region. Provide NCORR a summary of the literature reviewed. b. GIS Data Collection. Provide NCORR a summary of the data collected. | \$ |
| 2 | <p>TASK 2: Engage stakeholders, including but not limited to Stakeholder Partnership members, at multiple points during the development of the Vulnerability Assessment and Portfolio.</p> <ul style="list-style-type: none"> a. Hold up to ten Stakeholder Partnership meetings. Meetings should include, at minimum: one session with an activity for the Vulnerability Assessment; one with an activity related to developing a list of high-level categories of resilience actions; two sessions with activities on developing and prioritizing proposed Portfolio projects; one session with an activity on implementation strategies; and two sessions (one per deliverable) for commenting on the draft Vulnerability Assessment and Portfolio. b. Hold two public workshops, one of which will kick off the project and collect input for the Vulnerability Assessment, and one of which will be used to solicit preferences for high-level categories of resilience actions for the Portfolio. c. Hold two public comment periods, one for the draft Vulnerability Assessment and one for the draft Portfolio. d. Hold monthly meetings with the Facilitator. e. Submit two stakeholder engagement summaries, one midway through the project, and one at the conclusion of the contract period. | \$ |
| 3 | <p>TASK 3: Develop the Vulnerability Assessment.</p> <ul style="list-style-type: none"> a. Assess the likelihood and general nature of climate impacts on the region. b. Analyze the exposure, sensitivity, and adaptative capacity of regional assets and populations. c. Analyze the region’s strengths and challenges with respect to resilience. d. Facilitate stakeholder participation in the Vulnerability Assessment, as described in Task 2, including but not limited to a participatory self-assessment, public workshop, and a public comment period. e. Provide a draft narrative Vulnerability Assessment to NCORR. f. Receive and respond to a maximum of two rounds of edits from NCORR staff and the Stakeholder Partnership. | \$ |

| REGION J – Triangle J Council of Governments | | |
|--|---|--------------|
| Chatham, Johnston, Lee, Moore Counties - ONLY | | |
| Item Number | Task Description* | Price |
| | <ul style="list-style-type: none"> g. Release one draft of the Vulnerability Assessment for public comment, as described in Task 2. h. Submit a final Vulnerability Assessment to NCORR. i. Transfer Vulnerability Assessment Data to NCORR. | |
| 4 | <p>TASK 4: Develop a list of projects and prioritize top projects for inclusion in the Portfolio.</p> <ul style="list-style-type: none"> a. Engage the Stakeholder Partnership in developing priorities for Portfolio. b. Provide to NCORR a “long list” of potential projects the region might pursue. c. Select or develop a project prioritization method, in partnership with NCORR. d. Conduct project prioritization with participation from the Stakeholder Partnership. Provide to NCORR the narrowed list of 5-10 projects that will be included in the final portfolio. e. Provide NCORR the descriptions for each selected project. | \$ |
| 5 | <p>TASK 5: Develop an implementation strategy for each proposed project.</p> <ul style="list-style-type: none"> a. Develop implementation strategy for each proposed project with input from the Stakeholder Partnership, as described in Task 2. b. Provide a minimum of two drafts to NCORR through the revision process described in Task 6. | \$ |
| 6 | <p>TASK 6: Develop the Regional Resilience Portfolio.</p> <ul style="list-style-type: none"> a. Provide a draft narrative Regional Resilience Portfolio to NCORR. b. Receive and respond to a maximum of two rounds of edits from NCORR staff and the Stakeholder Partnership. c. Release one draft of the Portfolio for public comment, as described in Task 2. d. Submit a final Portfolio and data products to NCORR. | \$ |

*Task Description *ref.* Section 5.4 TASKS/DELIVERABLES.

Total Not-to-Exceed (NTE) Cost for REGION J: \$ _____

| REGION K - Kerr-Tar Council of Governments Franklin, Granville, Person, Vance and Warren Counties | | |
|--|---|-------|
| Item Number | Task Description* | Price |
| 1 | <p>TASK 1: Gather data to inform and support Vulnerability Assessment and Portfolio development process.</p> <ul style="list-style-type: none"> a. Review of Literature relevant to resiliency efforts in the region. Provide NCORR a summary of the literature reviewed. b. GIS Data Collection. Provide NCORR a summary of the data collected. | \$ |
| 2 | <p>TASK 2: Engage stakeholders, including but not limited to Stakeholder Partnership members, at multiple points during the development of the Vulnerability Assessment and Portfolio.</p> <ul style="list-style-type: none"> a. Hold up to ten Stakeholder Partnership meetings. Meetings should include, at minimum: one session with an activity for the Vulnerability Assessment; one with an activity related to developing a list of high-level categories of resilience actions; two sessions with activities on developing and prioritizing proposed Portfolio projects; one session with an activity on implementation strategies; and two sessions (one per deliverable) for commenting on the draft Vulnerability Assessment and Portfolio. b. Hold two public workshops, one of which will kick off the project and collect input for the Vulnerability Assessment, and one of which will be used to solicit preferences for high-level categories of resilience actions for the Portfolio. c. Hold two public comment periods, one for the draft Vulnerability Assessment and one for the draft Portfolio. d. Hold monthly meetings with the Facilitator. e. Submit two stakeholder engagement summaries, one midway through the project, and one at the conclusion of the contract period. | \$ |
| 3 | <p>TASK 3: Develop the Vulnerability Assessment.</p> <ul style="list-style-type: none"> a. Assess the likelihood and general nature of climate impacts on the region. b. Analyze the exposure, sensitivity, and adaptative capacity of regional assets and populations. c. Analyze the region’s strengths and challenges with respect to resilience. d. Facilitate stakeholder participation in the Vulnerability Assessment, as described in Task 2, including but not limited to a participatory self-assessment, public workshop, and a public comment period. e. Provide a draft narrative Vulnerability Assessment to NCORR. f. Receive and respond to a maximum of two rounds of edits from NCORR staff and the Stakeholder Partnership. | \$ |

| REGION K - Kerr-Tar Council of Governments Franklin, Granville, Person, Vance and Warren Counties | | |
|--|---|-------|
| Item Number | Task Description* | Price |
| | <ul style="list-style-type: none"> g. Release one draft of the Vulnerability Assessment for public comment, as described in Task 2. h. Submit a final Vulnerability Assessment to NCORR. i. Transfer Vulnerability Assessment Data to NCORR. | |
| 4 | <p>TASK 4: Develop a list of projects and prioritize top projects for inclusion in the Portfolio.</p> <ul style="list-style-type: none"> a. Engage the Stakeholder Partnership in developing priorities for Portfolio. b. Provide to NCORR a “long list” of potential projects the region might pursue. c. Select or develop a project prioritization method, in partnership with NCORR. d. Conduct project prioritization with participation from the Stakeholder Partnership. Provide to NCORR the narrowed list of 5-10 projects that will be included in the final portfolio. e. Provide NCORR the descriptions for each selected project. | \$ |
| 5 | <p>TASK 5: Develop an implementation strategy for each proposed project.</p> <ul style="list-style-type: none"> a. Develop implementation strategy for each proposed project with input from the Stakeholder Partnership, as described in Task 2. b. Provide a minimum of two drafts to NCORR through the revision process described in Task 6. | \$ |
| 6 | <p>TASK 6: Develop the Regional Resilience Portfolio.</p> <ul style="list-style-type: none"> a. Provide a draft narrative Regional Resilience Portfolio to NCORR. b. Receive and respond to a maximum of two rounds of edits from NCORR staff and the Stakeholder Partnership. c. Release one draft of the Portfolio for public comment, as described in Task 2. d. Submit a final Portfolio and data products to NCORR. | \$ |

*Task Description *ref.* Section 5.4 TASKS/DELIVERABLES.

Total Not-to-Exceed (NTE) Cost for REGION K: \$ _____

| REGION L - Upper Coastal Plain Council of Governments Edgecombe, Halifax, Nash, Northampton and Wilson Counties | | |
|--|---|-------|
| Item Number | Task Description* | Price |
| 1 | <p>TASK 1: Gather data to inform and support Vulnerability Assessment and Portfolio development process.</p> <ul style="list-style-type: none"> a. Review of Literature relevant to resiliency efforts in the region. Provide NCORR a summary of the literature reviewed. b. GIS Data Collection. Provide NCORR a summary of the data collected. | \$ |
| 2 | <p>TASK 2: Engage stakeholders, including but not limited to Stakeholder Partnership members, at multiple points during the development of the Vulnerability Assessment and Portfolio.</p> <ul style="list-style-type: none"> a. Hold up to ten Stakeholder Partnership meetings. Meetings should include, at minimum: one session with an activity for the Vulnerability Assessment; one with an activity related to developing a list of high-level categories of resilience actions; two sessions with activities on developing and prioritizing proposed Portfolio projects; one session with an activity on implementation strategies; and two sessions (one per deliverable) for commenting on the draft Vulnerability Assessment and Portfolio. b. Hold two public workshops, one of which will kick off the project and collect input for the Vulnerability Assessment, and one of which will be used to solicit preferences for high-level categories of resilience actions for the Portfolio. c. Hold two public comment periods, one for the draft Vulnerability Assessment and one for the draft Portfolio. d. Hold monthly meetings with the Facilitator. e. Submit two stakeholder engagement summaries, one midway through the project, and one at the conclusion of the contract period. | \$ |
| 3 | <p>TASK 3: Develop the Vulnerability Assessment.</p> <ul style="list-style-type: none"> a. Assess the likelihood and general nature of climate impacts on the region. b. Analyze the exposure, sensitivity, and adaptative capacity of regional assets and populations. c. Analyze the region’s strengths and challenges with respect to resilience. d. Facilitate stakeholder participation in the Vulnerability Assessment, as described in Task 2, including but not limited to a participatory self-assessment, public workshop, and a public comment period. e. Provide a draft narrative Vulnerability Assessment to NCORR. f. Receive and respond to a maximum of two rounds of edits from NCORR staff and the Stakeholder Partnership. | \$ |

| REGION L - Upper Coastal Plain Council of Governments Edgecombe, Halifax, Nash, Northampton and Wilson Counties | | |
|--|---|-------|
| Item Number | Task Description* | Price |
| | <ul style="list-style-type: none"> g. Release one draft of the Vulnerability Assessment for public comment, as described in Task 2. h. Submit a final Vulnerability Assessment to NCORR. i. Transfer Vulnerability Assessment Data to NCORR. | |
| 4 | <p>TASK 4: Develop a list of projects and prioritize top projects for inclusion in the Portfolio.</p> <ul style="list-style-type: none"> a. Engage the Stakeholder Partnership in developing priorities for Portfolio. b. Provide to NCORR a “long list” of potential projects the region might pursue. c. Select or develop a project prioritization method, in partnership with NCORR. d. Conduct project prioritization with participation from the Stakeholder Partnership. Provide to NCORR the narrowed list of 5-10 projects that will be included in the final portfolio. e. Provide NCORR the descriptions for each selected project. | \$ |
| 5 | <p>TASK 5: Develop an implementation strategy for each proposed project.</p> <ul style="list-style-type: none"> a. Develop implementation strategy for each proposed project with input from the Stakeholder Partnership, as described in Task 2. b. Provide a minimum of two drafts to NCORR through the revision process described in Task 6. | \$ |
| 6 | <p>TASK 6: Develop the Regional Resilience Portfolio.</p> <ul style="list-style-type: none"> a. Provide a draft narrative Regional Resilience Portfolio to NCORR. b. Receive and respond to a maximum of two rounds of edits from NCORR staff and the Stakeholder Partnership. c. Release one draft of the Portfolio for public comment, as described in Task 2. d. Submit a final Portfolio and data products to NCORR. | \$ |

*Task Description *ref.* Section 5.4 TASKS/DELIVERABLES.

Total Not-to-Exceed (NTE) Cost for REGION L: \$ _____

| REGION M - Mid-Carolina Council of Governments Cumberland, Harnett and Sampson Counties | | |
|--|---|-------|
| Item Number | Task Description* | Price |
| 1 | <p>TASK 1: Gather data to inform and support Vulnerability Assessment and Portfolio development process.</p> <ul style="list-style-type: none"> a. Review of Literature relevant to resiliency efforts in the region. Provide NCORR a summary of the literature reviewed. b. GIS Data Collection. Provide NCORR a summary of the data collected. | \$ |
| 2 | <p>TASK 2: Engage stakeholders, including but not limited to Stakeholder Partnership members, at multiple points during the development of the Vulnerability Assessment and Portfolio.</p> <ul style="list-style-type: none"> a. Hold up to ten Stakeholder Partnership meetings. Meetings should include, at minimum: one session with an activity for the Vulnerability Assessment; one with an activity related to developing a list of high-level categories of resilience actions; two sessions with activities on developing and prioritizing proposed Portfolio projects; one session with an activity on implementation strategies; and two sessions (one per deliverable) for commenting on the draft Vulnerability Assessment and Portfolio. b. Hold two public workshops, one of which will kick off the project and collect input for the Vulnerability Assessment, and one of which will be used to solicit preferences for high-level categories of resilience actions for the Portfolio. c. Hold two public comment periods, one for the draft Vulnerability Assessment and one for the draft Portfolio. d. Hold monthly meetings with the Facilitator. e. Submit two stakeholder engagement summaries, one midway through the project, and one at the conclusion of the contract period. | \$ |
| 3 | <p>TASK 3: Develop the Vulnerability Assessment.</p> <ul style="list-style-type: none"> a. Assess the likelihood and general nature of climate impacts on the region. b. Analyze the exposure, sensitivity, and adaptative capacity of regional assets and populations. c. Analyze the region’s strengths and challenges with respect to resilience. d. Facilitate stakeholder participation in the Vulnerability Assessment, as described in Task 2, including but not limited to a participatory self-assessment, public workshop, and a public comment period. e. Provide a draft narrative Vulnerability Assessment to NCORR. f. Receive and respond to a maximum of two rounds of edits from NCORR staff and the Stakeholder Partnership. | \$ |

| REGION M - Mid-Carolina Council of Governments Cumberland, Harnett and Sampson Counties | | |
|--|---|-------|
| Item Number | Task Description* | Price |
| | <ul style="list-style-type: none"> g. Release one draft of the Vulnerability Assessment for public comment, as described in Task 2. h. Submit a final Vulnerability Assessment to NCORR. i. Transfer Vulnerability Assessment Data to NCORR. | |
| 4 | <p>TASK 4: Develop a list of projects and prioritize top projects for inclusion in the Portfolio.</p> <ul style="list-style-type: none"> a. Engage the Stakeholder Partnership in developing priorities for Portfolio. b. Provide to NCORR a “long list” of potential projects the region might pursue. c. Select or develop a project prioritization method, in partnership with NCORR. d. Conduct project prioritization with participation from the Stakeholder Partnership. Provide to NCORR the narrowed list of 5-10 projects that will be included in the final portfolio. e. Provide NCORR the descriptions for each selected project. | \$ |
| 5 | <p>TASK 5: Develop an implementation strategy for each proposed project.</p> <ul style="list-style-type: none"> a. Develop implementation strategy for each proposed project with input from the Stakeholder Partnership, as described in Task 2. b. Provide a minimum of two drafts to NCORR through the revision process described in Task 6. | \$ |
| 6 | <p>TASK 6: Develop the Regional Resilience Portfolio.</p> <ul style="list-style-type: none"> a. Provide a draft narrative Regional Resilience Portfolio to NCORR. b. Receive and respond to a maximum of two rounds of edits from NCORR staff and the Stakeholder Partnership. c. Release one draft of the Portfolio for public comment, as described in Task 2. d. Submit a final Portfolio and data products to NCORR. | \$ |

*Task Description *ref.* Section 5.4 TASKS/DELIVERABLES.

Total Not-to-Exceed (NTE) Cost for REGION M: \$ _____

| REGION N - Lumber River Council of Governments Bladen, Hoke, Richmond, Robeson and Scotland Counties | | |
|---|---|-------|
| Item Number | Task Description* | Price |
| 1 | <p>TASK 1: Gather data to inform and support Vulnerability Assessment and Portfolio development process.</p> <ul style="list-style-type: none"> a. Review of Literature relevant to resiliency efforts in the region. Provide NCORR a summary of the literature reviewed. b. GIS Data Collection. Provide NCORR a summary of the data collected. | \$ |
| 2 | <p>TASK 2: Engage stakeholders, including but not limited to Stakeholder Partnership members, at multiple points during the development of the Vulnerability Assessment and Portfolio.</p> <ul style="list-style-type: none"> a. Hold up to ten Stakeholder Partnership meetings. Meetings should include, at minimum: one session with an activity for the Vulnerability Assessment; one with an activity related to developing a list of high-level categories of resilience actions; two sessions with activities on developing and prioritizing proposed Portfolio projects; one session with an activity on implementation strategies; and two sessions (one per deliverable) for commenting on the draft Vulnerability Assessment and Portfolio. b. Hold two public workshops, one of which will kick off the project and collect input for the Vulnerability Assessment, and one of which will be used to solicit preferences for high-level categories of resilience actions for the Portfolio. c. Hold two public comment periods, one for the draft Vulnerability Assessment and one for the draft Portfolio. d. Hold monthly meetings with the Facilitator. e. Submit two stakeholder engagement summaries, one midway through the project, and one at the conclusion of the contract period. | \$ |
| 3 | <p>TASK 3: Develop the Vulnerability Assessment.</p> <ul style="list-style-type: none"> a. Assess the likelihood and general nature of climate impacts on the region. b. Analyze the exposure, sensitivity, and adaptative capacity of regional assets and populations. c. Analyze the region’s strengths and challenges with respect to resilience. d. Facilitate stakeholder participation in the Vulnerability Assessment, as described in Task 2, including but not limited to a participatory self-assessment, public workshop, and a public comment period. e. Provide a draft narrative Vulnerability Assessment to NCORR. f. Receive and respond to a maximum of two rounds of edits from NCORR | \$ |

| REGION N - Lumber River Council of Governments Bladen, Hoke, Richmond, Robeson and Scotland Counties | | |
|---|--|-------|
| Item Number | Task Description* | Price |
| | staff and the Stakeholder Partnership. g. Release one draft of the Vulnerability Assessment for public comment , as described in Task 2. h. Submit a final Vulnerability Assessment to NCORR. i. Transfer Vulnerability Assessment Data to NCORR. | |
| 4 | TASK 4: Develop a list of projects and prioritize top projects for inclusion in the Portfolio. a. Engage the Stakeholder Partnership in developing priorities for Portfolio. b. Provide to NCORR a “long list” of potential projects the region might pursue. c. Select or develop a project prioritization method , in partnership with NCORR. d. Conduct project prioritization with participation from the Stakeholder Partnership. Provide to NCORR the narrowed list of 5-10 projects that will be included in the final portfolio. e. Provide NCORR the descriptions for each selected project. | \$ |
| 5 | TASK 5: Develop an implementation strategy for each proposed project. a. Develop implementation strategy for each proposed project with input from the Stakeholder Partnership, as described in Task 2. b. Provide a minimum of two drafts to NCORR through the revision process described in Task 6. | \$ |
| 6 | TASK 6: Develop the Regional Resilience Portfolio. a. Provide a draft narrative Regional Resilience Portfolio to NCORR. b. Receive and respond to a maximum of two rounds of edits from NCORR staff and the Stakeholder Partnership. c. Release one draft of the Portfolio for public comment , as described in Task 2. d. Submit a final Portfolio and data products to NCORR. | \$ |

*Task Description *ref.* Section 5.4 TASKS/DELIVERABLES.

Total Not-to-Exceed (NTE) Cost for REGION N: \$ _____

| REGION O - Cape Fear Council of Governments Brunswick, Columbus, New Hanover and Pender Counties | | |
|---|---|-------|
| Item Number | Task Description* | Price |
| 1 | <p>TASK 1: Gather data to inform and support Vulnerability Assessment and Portfolio development process.</p> <ul style="list-style-type: none"> a. Review of Literature relevant to resiliency efforts in the region. Provide NCORR a summary of the literature reviewed. b. GIS Data Collection. Provide NCORR a summary of the data collected. | \$ |
| 2 | <p>TASK 2: Engage stakeholders, including but not limited to Stakeholder Partnership members, at multiple points during the development of the Vulnerability Assessment and Portfolio.</p> <ul style="list-style-type: none"> a. Hold up to ten Stakeholder Partnership meetings. Meetings should include, at minimum: one session with an activity for the Vulnerability Assessment; one with an activity related to developing a list of high-level categories of resilience actions; two sessions with activities on developing and prioritizing proposed Portfolio projects; one session with an activity on implementation strategies; and two sessions (one per deliverable) for commenting on the draft Vulnerability Assessment and Portfolio. b. Hold two public workshops, one of which will kick off the project and collect input for the Vulnerability Assessment, and one of which will be used to solicit preferences for high-level categories of resilience actions for the Portfolio. c. Hold two public comment periods, one for the draft Vulnerability Assessment and one for the draft Portfolio. d. Hold monthly meetings with the Facilitator. e. Submit two stakeholder engagement summaries, one midway through the project, and one at the conclusion of the contract period. | \$ |
| 3 | <p>TASK 3: Develop the Vulnerability Assessment.</p> <ul style="list-style-type: none"> a. Assess the likelihood and general nature of climate impacts on the region. b. Analyze the exposure, sensitivity, and adaptative capacity of regional assets and populations. c. Analyze the region’s strengths and challenges with respect to resilience. d. Facilitate stakeholder participation in the Vulnerability Assessment, as described in Task 2, including but not limited to a participatory self-assessment, public workshop, and a public comment period. e. Provide a draft narrative Vulnerability Assessment to NCORR. f. Receive and respond to a maximum of two rounds of edits from NCORR staff and the Stakeholder Partnership. | \$ |

| REGION O - Cape Fear Council of Governments Brunswick, Columbus, New Hanover and Pender Counties | | |
|---|--|-------|
| Item Number | Task Description* | Price |
| | g. Release one draft of the Vulnerability Assessment for public comment , as described in Task 2. h. Submit a final Vulnerability Assessment to NCORR. i. Transfer Vulnerability Assessment Data to NCORR. | |
| 4 | TASK 4: Develop a list of projects and prioritize top projects for inclusion in the Portfolio. a. Engage the Stakeholder Partnership in developing priorities for Portfolio. b. Provide to NCORR a “long list” of potential projects the region might pursue. c. Select or develop a project prioritization method , in partnership with NCORR. d. Conduct project prioritization with participation from the Stakeholder Partnership. Provide to NCORR the narrowed list of 5-10 projects that will be included in the final portfolio. e. Provide NCORR the descriptions for each selected project. | \$ |
| 5 | TASK 5: Develop an implementation strategy for each proposed project. a. Develop implementation strategy for each proposed project with input from the Stakeholder Partnership, as described in Task 2. b. Provide a minimum of two drafts to NCORR through the revision process described in Task 6. | \$ |
| 6 | TASK 6: Develop the Regional Resilience Portfolio. a. Provide a draft narrative Regional Resilience Portfolio to NCORR. b. Receive and respond to a maximum of two rounds of edits from NCORR staff and the Stakeholder Partnership. c. Release one draft of the Portfolio for public comment , as described in Task 2. d. Submit a final Portfolio and data products to NCORR. | \$ |

*Task Description *ref.* Section 5.4 TASKS/DELIVERABLES.

Total Not-to-Exceed (NTE) Cost for REGION O: \$ _____

| REGION P - Eastern Carolina Council of Governments Carteret, Craven, Duplin, Greene, Jones, Lenoir, Onslow, Pamlico and Wayne Counties | | |
|---|---|-------|
| Item Number | Task Description* | Price |
| 1 | <p>TASK 1: Gather data to inform and support Vulnerability Assessment and Portfolio development process.</p> <ul style="list-style-type: none"> a. Review of Literature relevant to resiliency efforts in the region. Provide NCORR a summary of the literature reviewed. b. GIS Data Collection. Provide NCORR a summary of the data collected. | \$ |
| 2 | <p>TASK 2: Engage stakeholders, including but not limited to Stakeholder Partnership members, at multiple points during the development of the Vulnerability Assessment and Portfolio.</p> <ul style="list-style-type: none"> a. Hold up to ten Stakeholder Partnership meetings. Meetings should include, at minimum: one session with an activity for the Vulnerability Assessment; one with an activity related to developing a list of high-level categories of resilience actions; two sessions with activities on developing and prioritizing proposed Portfolio projects; one session with an activity on implementation strategies; and two sessions (one per deliverable) for commenting on the draft Vulnerability Assessment and Portfolio. b. Hold two public workshops, one of which will kick off the project and collect input for the Vulnerability Assessment, and one of which will be used to solicit preferences for high-level categories of resilience actions for the Portfolio. c. Hold two public comment periods, one for the draft Vulnerability Assessment and one for the draft Portfolio. d. Hold monthly meetings with the Facilitator. e. Submit two stakeholder engagement summaries, one midway through the project, and one at the conclusion of the contract period. | \$ |
| 3 | <p>TASK 3: Develop the Vulnerability Assessment.</p> <ul style="list-style-type: none"> a. Assess the likelihood and general nature of climate impacts on the region. b. Analyze the exposure, sensitivity, and adaptative capacity of regional assets and populations. c. Analyze the region’s strengths and challenges with respect to resilience. d. Facilitate stakeholder participation in the Vulnerability Assessment, as described in Task 2, including but not limited to a participatory self-assessment, public workshop, and a public comment period. e. Provide a draft narrative Vulnerability Assessment to NCORR. f. Receive and respond to a maximum of two rounds of edits from NCORR staff and the Stakeholder Partnership. | \$ |

| REGION P - Eastern Carolina Council of Governments Carteret, Craven, Duplin, Greene, Jones, Lenoir, Onslow, Pamlico and Wayne Counties | | |
|---|---|-------|
| Item Number | Task Description* | Price |
| | <ul style="list-style-type: none"> g. Release one draft of the Vulnerability Assessment for public comment, as described in Task 2. h. Submit a final Vulnerability Assessment to NCORR. i. Transfer Vulnerability Assessment Data to NCORR. | |
| 4 | <p>TASK 4: Develop a list of projects and prioritize top projects for inclusion in the Portfolio.</p> <ul style="list-style-type: none"> a. Engage the Stakeholder Partnership in developing priorities for Portfolio. b. Provide to NCORR a “long list” of potential projects the region might pursue. c. Select or develop a project prioritization method, in partnership with NCORR. d. Conduct project prioritization with participation from the Stakeholder Partnership. Provide to NCORR the narrowed list of 5-10 projects that will be included in the final portfolio. e. Provide NCORR the descriptions for each selected project. | \$ |
| 5 | <p>TASK 5: Develop an implementation strategy for each proposed project.</p> <ul style="list-style-type: none"> a. Develop implementation strategy for each proposed project with input from the Stakeholder Partnership, as described in Task 2. b. Provide a minimum of two drafts to NCORR through the revision process described in Task 6. | \$ |
| 6 | <p>TASK 6: Develop the Regional Resilience Portfolio.</p> <ul style="list-style-type: none"> a. Provide a draft narrative Regional Resilience Portfolio to NCORR. b. Receive and respond to a maximum of two rounds of edits from NCORR staff and the Stakeholder Partnership. c. Release one draft of the Portfolio for public comment, as described in Task 2. d. Submit a final Portfolio and data products to NCORR. | \$ |

*Task Description *ref.* Section 5.4 TASKS/DELIVERABLES.

Total Not-to-Exceed (NTE) Cost for REGION P: \$ _____

| REGION Q - Mid-East Commission Beaufort, Bertie, Hertford, Martin and Pitt Counties | | |
|--|---|-------|
| Item Number | Task Description* | Price |
| 1 | <p>TASK 1: Gather data to inform and support Vulnerability Assessment and Portfolio development process.</p> <ul style="list-style-type: none"> a. Review of Literature relevant to resiliency efforts in the region. Provide NCORR a summary of the literature reviewed. b. GIS Data Collection. Provide NCORR a summary of the data collected. | \$ |
| 2 | <p>TASK 2: Engage stakeholders, including but not limited to Stakeholder Partnership members, at multiple points during the development of the Vulnerability Assessment and Portfolio.</p> <ul style="list-style-type: none"> a. Hold up to ten Stakeholder Partnership meetings. Meetings should include, at minimum: one session with an activity for the Vulnerability Assessment; one with an activity related to developing a list of high-level categories of resilience actions; two sessions with activities on developing and prioritizing proposed Portfolio projects; one session with an activity on implementation strategies; and two sessions (one per deliverable) for commenting on the draft Vulnerability Assessment and Portfolio. b. Hold two public workshops, one of which will kick off the project and collect input for the Vulnerability Assessment, and one of which will be used to solicit preferences for high-level categories of resilience actions for the Portfolio. c. Hold two public comment periods, one for the draft Vulnerability Assessment and one for the draft Portfolio. d. Hold monthly meetings with the Facilitator. e. Submit two stakeholder engagement summaries, one midway through the project, and one at the conclusion of the contract period. | \$ |
| 3 | <p>TASK 3: Develop the Vulnerability Assessment.</p> <ul style="list-style-type: none"> a. Assess the likelihood and general nature of climate impacts on the region. b. Analyze the exposure, sensitivity, and adaptative capacity of regional assets and populations. c. Analyze the region’s strengths and challenges with respect to resilience. d. Facilitate stakeholder participation in the Vulnerability Assessment, as described in Task 2, including but not limited to a participatory self-assessment, public workshop, and a public comment period. e. Provide a draft narrative Vulnerability Assessment to NCORR. f. Receive and respond to a maximum of two rounds of edits from NCORR staff and the Stakeholder Partnership. | \$ |

| REGION Q - Mid-East Commission Beaufort, Bertie, Hertford, Martin and Pitt Counties | | |
|--|---|-------|
| Item Number | Task Description* | Price |
| | <ul style="list-style-type: none"> g. Release one draft of the Vulnerability Assessment for public comment, as described in Task 2. h. Submit a final Vulnerability Assessment to NCORR. i. Transfer Vulnerability Assessment Data to NCORR. | |
| 4 | <p>TASK 4: Develop a list of projects and prioritize top projects for inclusion in the Portfolio.</p> <ul style="list-style-type: none"> a. Engage the Stakeholder Partnership in developing priorities for Portfolio. b. Provide to NCORR a “long list” of potential projects the region might pursue. c. Select or develop a project prioritization method, in partnership with NCORR. d. Conduct project prioritization with participation from the Stakeholder Partnership. Provide to NCORR the narrowed list of 5-10 projects that will be included in the final portfolio. e. Provide NCORR the descriptions for each selected project. | \$ |
| 5 | <p>TASK 5: Develop an implementation strategy for each proposed project.</p> <ul style="list-style-type: none"> a. Develop implementation strategy for each proposed project with input from the Stakeholder Partnership, as described in Task 2. b. Provide a minimum of two drafts to NCORR through the revision process described in Task 6. | \$ |
| 6 | <p>TASK 6: Develop the Regional Resilience Portfolio.</p> <ul style="list-style-type: none"> a. Provide a draft narrative Regional Resilience Portfolio to NCORR. b. Receive and respond to a maximum of two rounds of edits from NCORR staff and the Stakeholder Partnership. c. Release one draft of the Portfolio for public comment, as described in Task 2. d. Submit a final Portfolio and data products to NCORR. | \$ |

*Task Description *ref.* Section 5.4 TASKS/DELIVERABLES.

Total Not-to-Exceed (NTE) Cost for REGION Q: \$ _____

| REGION R - Albemarle Commission | | |
|--|---|--------------|
| Camden, Chowan, Currituck, Dare, Gates, Hyde, Pasquotank, Perquimans, Tyrrell and Washington Counties | | |
| Item Number | Task Description* | Price |
| 1 | <p>TASK 1: Gather data to inform and support Vulnerability Assessment and Portfolio development process.</p> <ul style="list-style-type: none"> a. Review of Literature relevant to resiliency efforts in the region. Provide NCORR a summary of the literature reviewed. b. GIS Data Collection. Provide NCORR a summary of the data collected. | \$ |
| 2 | <p>TASK 2: Engage stakeholders, including but not limited to Stakeholder Partnership members, at multiple points during the development of the Vulnerability Assessment and Portfolio.</p> <ul style="list-style-type: none"> a. Hold up to ten Stakeholder Partnership meetings. Meetings should include, at minimum: one session with an activity for the Vulnerability Assessment; one with an activity related to developing a list of high-level categories of resilience actions; two sessions with activities on developing and prioritizing proposed Portfolio projects; one session with an activity on implementation strategies; and two sessions (one per deliverable) for commenting on the draft Vulnerability Assessment and Portfolio. b. Hold two public workshops, one of which will kick off the project and collect input for the Vulnerability Assessment, and one of which will be used to solicit preferences for high-level categories of resilience actions for the Portfolio. c. Hold two public comment periods, one for the draft Vulnerability Assessment and one for the draft Portfolio. d. Hold monthly meetings with the Facilitator. e. Submit two stakeholder engagement summaries, one midway through the project, and one at the conclusion of the contract period. | \$ |
| 3 | <p>TASK 3: Develop the Vulnerability Assessment.</p> <ul style="list-style-type: none"> a. Assess the likelihood and general nature of climate impacts on the region. b. Analyze the exposure, sensitivity, and adaptative capacity of regional assets and populations. c. Analyze the region’s strengths and challenges with respect to resilience. d. Facilitate stakeholder participation in the Vulnerability Assessment, as described in Task 2, including but not limited to a participatory self-assessment, public workshop, and a public comment period. e. Provide a draft narrative Vulnerability Assessment to NCORR. f. Receive and respond to a maximum of two rounds of edits from NCORR staff and the Stakeholder Partnership. | \$ |

| REGION R - Albemarle Commission | | |
|--|---|--------------|
| Camden, Chowan, Currituck, Dare, Gates, Hyde, Pasquotank, Perquimans, Tyrrell and Washington Counties | | |
| Item Number | Task Description* | Price |
| | <ul style="list-style-type: none"> g. Release one draft of the Vulnerability Assessment for public comment, as described in Task 2. h. Submit a final Vulnerability Assessment to NCORR. i. Transfer Vulnerability Assessment Data to NCORR. | |
| 4 | <p>TASK 4: Develop a list of projects and prioritize top projects for inclusion in the Portfolio.</p> <ul style="list-style-type: none"> a. Engage the Stakeholder Partnership in developing priorities for Portfolio. b. Provide to NCORR a “long list” of potential projects the region might pursue. c. Select or develop a project prioritization method, in partnership with NCORR. d. Conduct project prioritization with participation from the Stakeholder Partnership. Provide to NCORR the narrowed list of 5-10 projects that will be included in the final portfolio. e. Provide NCORR the descriptions for each selected project. | \$ |
| 5 | <p>TASK 5: Develop an implementation strategy for each proposed project.</p> <ul style="list-style-type: none"> a. Develop implementation strategy for each proposed project with input from the Stakeholder Partnership, as described in Task 2. b. Provide a minimum of two drafts to NCORR through the revision process described in Task 6. | \$ |
| 6 | <p>TASK 6: Develop the Regional Resilience Portfolio.</p> <ul style="list-style-type: none"> a. Provide a draft narrative Regional Resilience Portfolio to NCORR. b. Receive and respond to a maximum of two rounds of edits from NCORR staff and the Stakeholder Partnership. c. Release one draft of the Portfolio for public comment, as described in Task 2. d. Submit a final Portfolio and data products to NCORR. | \$ |

*Task Description *ref.* Section 5.4 TASKS/DELIVERABLES.

Total Not-to-Exceed (NTE) Cost for REGION R: \$ _____

NOTE: Payment will be made throughout the term of the contract (final deliverable, Regional Resilience Portfolio, is required by July 1, 2022) and payment will be based on completion, and NCORR acceptance of, each Task described in the above tables. Vendor shall place a price by each Task; and, Vendor invoices shall be submitted referencing the respective Task.

ATTACHMENT B: INSTRUCTIONS TO VENDORS

READ, REVIEW AND COMPLY:

It shall be the Vendor's responsibility to read this entire document, review all enclosures and attachments, and any addenda, and comply with all requirements specified, regardless of whether appearing in these Instructions to Vendors or elsewhere in the solicitation document.

Any gender-specific pronouns used herein, whether masculine or feminine, shall be read and construed as gender neutral, and the singular of any word or phrase shall be read to include the plural and vice versa.

REQUEST FOR OFFERS

Vendors are cautioned that this is a request for offers, not an offer or request to contract, and the State reserves the unqualified right to reject any and all bids at any time if such rejection is deemed to be in the best interest of the State.

By submitting Your Bid or Proposal, you are offering to enter into a contract with the State.

DUTY TO INQUIRE

Offeror, by submitting an Offer, represents that it has read and understands the Solicitation and that its Offer is made in compliance with the Solicitation. Offerors are expected to examine the Solicitation thoroughly and should request an explanation of any ambiguities, discrepancies, errors, omissions, or conflicting statements in the Solicitation. Failure to do so will be at the Offeror's risk. All ambiguities, discrepancies, errors, omissions, or conflicting statements in the Solicitation shall be interpreted to require the better quality or greater quantity of work and/or materials, unless otherwise directed by amendment. Offeror assumes responsibility for any patent ambiguity in the Solicitation that Offeror does not bring to the State's attention.

DEFINITIONS, ACRONYMS AND ABBREVIATIONS

The following definitions, acronyms, and abbreviations may be used within the bid document. Please refer to this list for meaning as you review the bid document and complete your bid.

- a) **AGENCY SPECIFIC TERM CONTRACT:** A contract generally intended to cover all normal requirements for a commodity for a specified period of time based on estimated quantities for a single entity.
- b) **AMENDMENT:** A document issued to supplement the original solicitation document.
- c) **BAFO:** Best and Final Offer, submitted by a Vendor to alter its initial bid, made in response to a request by the issuing agency.
- d) **BUYER:** The employee of the State or Other Eligible Entity that places an order with the Vendor.
- e) **CONTRACT LEAD:** Representative of the AGENCY identified on the first page of this solicitation document who will correspond with potential Vendors concerning solicitation issues and will contract with the Vendor providing the best offer to the State, and is the individual who will administer The Contract for the State.
- f) **E-PROCUREMENT SERVICES:** The program, system, and associated services through which the State conducts electronic procurement.
- g) **FOB-DESTINATION:** Title changes hand from Vendor to purchaser at the destination point of the shipment; Vendor owns commodity in transit and files any claims, and Vendor pays all freight and any related transportation charges.

A solicitation may request a Vendor to separately identify freight charges in its bid, but no amount or charge not included as part of the total bid price will be paid.

h) **GUIDE COMMITTEE:** A committee composed of resilience practitioners and potential users that will assist NCORR in providing feedback on *Guide* development.

i) **IFB:** Invitation for Bids (a type of solicitation document).

j) **IPS:** Interactive Purchasing System.

k) **LOT:** A grouping of similar products within this solicitation document.

l) **OFFER:** The bid or proposal submitted in response to this solicitation. The terms Bid and Proposal are used interchangeably with the term Offer.

m) **OFFEROR:** The single legal entity submitting the offer. The term Bidder is used interchangeably with the term Offeror. See bidding provisions entitled Signing Your Offer and Bid/Proposal As Offer To Contract.

n) **ON-TIME DELIVERY:** The delivery of all items within a single order to the receiving point designated by the ordering entity within the delivery time required.

o) **QUALIFIED BID/PROPOSAL:** A responsive bid submitted by a responsible Vendor.

p) **RESPONSIBLE:** Refers to a Vendor who demonstrates in its Offer that it has the capability to perform the requirements of the solicitation.

q) **RESPONSIVE:** Refers to an Offer that conforms to the Requirements of the solicitation in all respects to be considered by the State for award.

r) **RFI:** Request for Information (a type of solicitation document that does not result in a contract).

s) **RFP:** Request for Proposals (a type of solicitation document).

t) **RFPQ:** Request for Pre-Qualifications (a type of solicitation document).

u) **RFQ:** Request for Quotes (a type of solicitation document); in the eProcurement system, RFQs are received through the Collaborative Requisitioning process.

v) **STATE:** The State of North Carolina, including any of its sub-units recognized under North Carolina law.

w) **STATE AGENCY:** Any of the more than 400 sub-units within the executive branch of the State, including its departments, boards, commissions, institutions of higher education and other institutions.

x) **STATE DEPARTMENTS:** Department of Administration, Department of Agriculture and Consumer Services, Department of Commerce, Department of Natural and Cultural Resources, Department of Environmental Quality, Department of Health and Human Services, Department of Information Technology, Department of Insurance, Department of Justice, Department of Labor, Department of Military and Veteran Affairs, Department of Public Instruction, Department of Public Safety, Department of Revenue, Department of State Treasurer, Office of the Secretary of the State, Department of Transportation, Wildlife Resources Commission, Office of Budget and Management, Office of the Governor, Office of the Lieutenant Governor, Office of The State Auditor, Office of the State Controller.

- y) **THE CONTRACT:** A contract resulting from or arising out of Vendor responses to this solicitation document.
- z) **VENDOR:** Supplier, bidder, proposer, company, firm, corporation, partnership, individual or other entity submitting a response to a Solicitation document. Following award of a contract, the term refers to an entity receiving such an award.
- aa) **WORK:** All labor, materials, equipment, services, or property of any type, provided or to be provided by the Contractor to fulfill the Contractor's obligations under the Contract.
- ab) **YOU and YOUR:** Offeror.

INTERPRETATION OF TERMS AND PHRASES

The solicitation document serves to advise potential Vendors of the parameters of the solution being sought by the Department. The use of phrases such as “shall,” “must,” and “requirements” are intended to create enforceable contract conditions. In determining whether bids should be evaluated or rejected, the Department will take into consideration the degree to which Vendors have proposed or failed to propose solutions that will satisfy the Department’s needs as described in the Solicitation document. Except as specifically stated in the Solicitation document, no one requirement shall automatically disqualify a Vendor from consideration. However, failure to comply with any single requirement, if determined to be essential under the circumstances then existing, may result in the Department exercising its discretion to reject a bid in its entirety.

BID SUBMISSION

1. **VENDOR’S REPRESENTATIVE:** Each Vendor shall submit with its bid the name, address, and telephone number of the person(s) with authority to bind the firm and answer questions or provide clarification concerning the firm's bid.
2. **SIGNING YOUR OFFER:** Every Offer must be signed by an individual with actual authority to bind the Offeror. (a) If the Offeror is an individual, the Offer must be signed by that individual. If the Offeror is an individual doing business as a firm, the Offer must be submitted in the firm name, signed by the individual, and state that the individual is doing business as a firm. (b) If the Offeror is a partnership, the Offer must be submitted in the partnership name, followed by the words by its Partner, and signed by a general partner. (c) If the Offeror is a corporation, the Offer must be submitted in the corporate name, followed by the signature and title of the person authorized to sign. (d) An Offer may be submitted by a joint venture involving any combination of individuals, partnerships, or corporations. If the Offeror is a joint venture, the Offer must be submitted in the name of the Joint Venture and signed by every participant in the joint venture in the manner prescribed in paragraphs (a) through (c) above for each type of participant. (e) If an Offer is signed by an agent, other than as stated in subparagraphs (a) through (d) above, the Offer must state that is has been signed by an Agent. Upon request, Offeror must provide proof of the agent's authorization to bind the principal.
3. **EXECUTION:** Failure to sign the Execution Page (numbered page 3 of the solicitation document) in the indicated space may render bid non-responsive, and it may be rejected.
4. **STATE OFFICE CLOSINGS:** If an emergency or unanticipated event interrupts normal government processes so that offers cannot be received at the State office designated for receipt of bids by the exact time specified in the solicitation, the time specified for receipt of offers will be deemed to be extended to the same time of day specified in the solicitation on the first work day on which normal government processes resume. In lieu of an automatic

extension, an Amendment may be issued to reschedule bid opening. If State offices are closed at the time a pre-bid or pre-proposal conference is scheduled, an Amendment will be issued to reschedule the conference.

5. **BID IN ENGLISH and DOLLARS**: Offers submitted in response to this solicitation shall be in the English language and in US dollars, unless otherwise permitted by the Solicitation.

6. **LATE BIDS**: Late bids, regardless of cause, will not be opened or considered, and will automatically be disqualified from further consideration. It shall be the Vendor’s sole responsibility to ensure delivery at the designated office by the designated time.

- Vendor shall bear the risk for late submission due to unintended or unanticipated delay— whether submitted electronically, delivered by hand, U.S. Postal Service, courier or other delivery service. It is the Vendor’s sole responsibility to ensure its bid has been submitted to this Office by the specified time and date of opening. The date and time of submission will be marked on each bid when received, and any bid received after the bid submission deadline will be rejected.

7. **DETERMINATION OF RESPONSIVENESS**: Any Offer which fails to conform to the material requirements of the Solicitation may be rejected as nonresponsive. Offers which impose conditions that modify material requirements of the Solicitation may be rejected. If a fixed price is required, an Offer will be rejected if the total possible cost to the State cannot be determined. Offerors will not be given an opportunity to correct any material nonconformity. Any deficiency resulting from a minor informality may be cured or waived at the sole discretion of the Procurement Officer.

8. **CONTENTS OF OFFER**:

- a) Offers should be complete and carefully worded and should convey all of the information requested.
- b) Offers should be prepared simply and economically, providing a straightforward, concise description of offeror's capabilities to satisfy the requirements of the RFP. Emphasis should be on completeness and clarity of content.
- c) If your offer includes any comment over and above the specific information requested in the solicitation, you are to include this information as a separate appendix to your offer. Offers which include either modifications to any of the solicitation's contractual requirements or an offeror's standard terms and conditions may be deemed non-responsive and not considered for award.

9. **MULTIPLE OFFERS**. If specifically stated in the solicitation document, Offerors may submit more than one Offer, provided that each Offer has significant differences other than price. Each separate Offer must satisfy all Solicitation requirements.

10. **CLARIFICATION**: The State may elect to communicate with you after opening for the purpose of clarifying either your offer or the requirements of the solicitation. Such communications may be conducted only with offerors who have submitted an offer which obviously conforms in all material aspects to the solicitation. Clarification of an offer must be documented in writing and included with the offer. Clarifications may not be used to revise an offer or the solicitation.

11. **ACCEPTANCE AND REJECTION**: The State reserves the right to reject any and all bids, to waive any informality in bids and, unless otherwise specified by the Vendor, to accept any item in the bid. If either a unit price or an extended price is obviously in error and the other is obviously correct, the incorrect price will be disregarded. Regardless of error or omission, a Vendor shall not be permitted to increase its pricing after the deadline for submitting bids.

12. **BASIS FOR REJECTION**: Pursuant to 01 NCAC 05B .0501, the State reserves the right to reject any and all offers, in whole or in part, by deeming the offer unsatisfactory as to quality or quantity, delivery, price or service offered,

non-compliance with the requirements or intent of this solicitation, lack of competitiveness, error(s) in specifications or indications that revision would be advantageous to the State, cancellation or other changes in the intended project or any other determination that the proposed requirement is no longer needed, limitation or lack of available funds, circumstances that prevent determination of the best offer, or any other determination that rejection would be in the best interest of the State.

13. **INFORMATION AND DESCRIPTIVE LITERATURE:** Vendor shall furnish all information requested in the spaces provided in the solicitation document. Further, if required elsewhere in this bid, each Vendor shall submit with its bid any sketches, descriptive literature and/or complete specifications covering the products and services offered. Reference to literature submitted with a previous bid or available elsewhere will not satisfy this provision. Do not submit bid samples or descriptive literature unless expressly requested. Unsolicited bid samples or descriptive literature will not be examined or tested, will not be used to determine responsiveness, and will not be deemed to vary any of the provisions of the solicitation. Failure to comply with these requirements shall constitute sufficient cause to reject a bid without further consideration.

14. **WITHDRAWAL OF BID OR PROPOSAL:** Proposals submitted electronically may be withdrawn at any time prior to the date for opening proposals identified on the cover page of this solicitation documents (or such later date included in an Addendum). Proposals that have been delivered by hand, U.S. Postal Service, courier or other delivery service may be withdrawn only in writing and if receipt is acknowledged by the office issuing the solicitation document prior to the time for opening offers or proposals identified on the cover page of the solicitation document (or such later date included in an Addendum). Written withdrawal requests shall be submitted on the Vendor’s letterhead and signed by an official of the Vendor authorized to make such request. Any withdrawal request made after the opening of proposals shall be allowed only for good cause shown and in the sole discretion of the Department.

15. **COST FOR BID OR PROPOSAL PREPARATION:** Any costs incurred by Vendor in preparing or submitting offers are the Vendor’s sole responsibility; the State of North Carolina will not reimburse any Vendor for any costs incurred prior to award.

16. **INSPECTION AT VENDOR’S SITE:** The State reserves the right to inspect, at a reasonable time, the equipment, item, plant or other facilities of a prospective Vendor prior to Contract award, and during the Contract term as necessary for the State’s determination that such equipment, item, plant or other facilities conform with the specifications/requirements and are adequate and suitable for the proper and effective performance of the Contract.

NORTH CAROLINA REGULATIONS AND ORDERS

17. **RECYCLING AND SOURCE REDUCTION:** It is the policy of the State to encourage and promote the purchase of products with recycled content to the extent economically practicable, and to purchase items which are reusable, refillable, repairable, more durable and less toxic to the extent that the purchase or use is practicable and cost-effective. We also encourage and promote using minimal packaging and the use of recycled/recyclable products in the packaging of commodities purchased. However, no sacrifice in quality of packaging will be acceptable. The company remains responsible for providing packaging that will adequately protect the commodity and contain it for its intended use. Companies are strongly urged to bring to the attention of purchasers those products or packaging they offer which have recycled content and that are recyclable.

18. **CERTIFICATE TO TRANSACT BUSINESS IN NORTH CAROLINA:** As a condition of contract award, each out-of-State Vendor that is a corporation, limited-liability company or limited liability partnership shall have received, and shall maintain throughout the term of The Contract, a Certificate of Authority to Transact Business in North Carolina from the North Carolina Secretary of State, as required by North Carolina law. A State contract requiring only an isolated transaction completed within a period of six months, and not in the course of a number of repeated transactions of

like nature, shall not be considered as transacting business in North Carolina and shall not require a Certificate of Authority to Transact Business.

19. **SUSTAINABILITY:** To support the sustainability efforts of the State of North Carolina we solicit your cooperation in this effort. Pursuant to Executive Order 156 (1999), it is desirable that all responses meet the following:

- If paper copies are requested, all copies of the bid are printed double sided. All submittals and copies are printed on recycled paper with a minimum post-consumer content of 30%.
- Unless absolutely necessary, all bids and copies should minimize or eliminate use of non-recyclable or non-reusable materials such as plastic report covers, plastic dividers, vinyl sleeves, and GBC binding. Three-ringed binders, glued materials, paper clips, and staples are acceptable.
- Materials should be submitted in a format which allows for easy removal, filing and/or recycling of paper and binder materials. Use of oversized paper is strongly discouraged unless necessary for clarity or legibility.

20. **HISTORICALLY UNDERUTILIZED BUSINESSES (HUB):** The State is committed to retaining Vendors from diverse backgrounds, and it invites and encourages participation in the procurement process by businesses owned by minorities, women, disabled, disabled business enterprises and nonprofit work centers for the blind and severely disabled. In particular, the State encourages participation by Vendors certified by the State Office of Historically Underutilized Businesses, as well as the use of HUB-certified Vendors as subcontractors on State contracts.

21. **RECIPROCAL PREFERENCE:** RESERVED.

22. **INELIGIBLE VENDORS:** As provided in G.S. 147-86.59 and G.S. 147-86.82, the following companies are ineligible to contract with the State of North Carolina or any political subdivision of the State: a) any company identified as engaging in investment activities in Iran, as determined by appearing on the Final Divestment List created by the State Treasurer pursuant to G.S. 147-86.58, and b) any company identified as engaged in a boycott of Israel as determined by appearing on the List of restricted companies created by the State Treasurer pursuant to G.S. 147-86.81. A contract with the State or any of its political subdivisions by any company identified in a) or b) above shall be void.

23. **BACKGROUND CHECKS:** Vendor and its personnel may be required to provide or undergo background checks at Vendor’s expense prior to beginning work with the State. The State of North Carolina, as described in Governor Cooper’s Executive Order 158, Furthering Fair Chance Policies in State Government Employment (August 18, 2020) is committed to eliminating discrimination against persons who have criminal records. The State will not disqualify a Vendor from participating in a contract merely based on the criminal history of the Vendor, including its officers or directors, or any of its employees or other personnel providing Services on a project, unless that criminal history impedes the Vendor’s ability to perform the contract, or if State or federal law prohibits contracting with Vendors with certain criminal convictions. The Vendor is encouraged to extend these considerations to employees, subcontractors, and suppliers.

As part of Vendor background the details below must be provided to the State:

- a) Any **criminal felony conviction**, or conviction of any crime involving moral turpitude, including, but not limited to fraud, misappropriation or deception, of Vendor, its officers or directors, or any of its employees or other personnel to provide Services on this project, of which Vendor has knowledge or a statement that it is aware of none.
- b) Any **criminal investigation** for any offense involving moral turpitude, including, but not limited to fraud, misappropriation, falsification or deception pending against Vendor of which it has knowledge or a statement it is aware of none;
- c) Any **regulatory sanctions** levied against Vendor or any of its officers, directors or its professional employees expected to provide Services on this project by any state or federal regulatory agencies within the past three years

or a statement that there are none. As used herein, the term “regulatory sanctions” includes the revocation or suspension of any license or certification, the levying of any monetary penalties or fines, and the issuance of any written warnings;

d) Any **regulatory investigations** pending against Vendor or any of its officers, directors or its professional employees expected to provide Services on this project by any state or federal regulatory agencies of which Vendor has knowledge or a statement that there are none.

e) Any **civil litigation**, arbitration, proceeding, or judgments pending against Vendor during the three (3) years preceding submission of its proposal herein or a statement that there are none.

Vendor’s responses to these requests shall be considered to be continuing representations, and Vendor’s failure to notify the State within thirty (30) days of any criminal litigation, investigation or proceeding involving Vendor or its then current officers, directors or persons providing Services under this contract during its term shall constitute a material breach of contract. The provisions of this paragraph shall also apply to any subcontractor utilized by Vendor to perform Services under this contract.

eBUSINESS

24. **VALID TAXPAYER INFORMATION:** All persons or entities desiring to do business with the State must provide correct taxpayer information on North Carolina specified forms. The Substitute W-9 and Instructions are here: https://files.nc.gov/ncosc/documents/NCAS_forms/State_of_North_Carolina_Sub_W9_01292019.pdf.

25. **VENDOR REGISTRATION AND SOLICITATION NOTIFICATION SYSTEM:** The North Carolina electronic Vendor Portal (eVP) allows Vendors to electronically register free with the State to receive electronic notification of current goods and services procurement opportunities on the Interactive Purchasing System, as well as notifications of status changes to those solicitations. Online registration and other purchasing information is available at the following website: <http://ncadmin.nc.gov/about-doa/divisions/purchase-contract>.

26. The status of a Vendor’s **E-Procurement Services account(s)** shall be considered a relevant factor in determining whether to approve the award of a contract resulting from this SOLICITATION DOCUMENT. Any Vendor with an E-Procurement Services account that is in arrears by 91 days or more at the time of bid opening may, suspended, or deactivated, at the State’s discretion, may be disqualified from further evaluation or consideration.

27. **TABULATIONS:** Bid tabulations can be electronically retrieved at the Interactive Purchasing System (IPS), <https://www.ips.state.nc.us/ips/BidNumberSearch.aspx>. Click on the IPS BIDS icon, click on Search for Bid, enter the bid number, and then search. Tabulations will normally be available at this web site not later than one working day after the bid opening. Lengthy or complex tabulations may be summarized, with other details not made available on IPS, and requests for additional details or information concerning such tabulations cannot be honored.

28. **SOURCING EVENT, ePROCUREMENT SYSTEM:** Sourcing is an electronic bidding application that allows an agency to receive Vendor responses electronically for specified solicitations, saving time and money by eliminating the need to print and ship paper proposal packages. For more information and online training on the eProcurement Sourcing tool, visit <https://eprocurement.nc.gov/training/vendor-training>.

29. **CONFIDENTIAL INFORMATION:** To the extent permitted by applicable statutes and rules, the State will maintain as confidential trade secrets in its bid that the Vendor does not wish disclosed. As a condition to confidential treatment, each page containing trade secret information shall be identified in boldface at the top and bottom as “CONFIDENTIAL” by the Vendor, with specific trade secret information enclosed in boxes, marked in a distinctive color or by similar indication. Cost information shall not be deemed confidential under any circumstances. Regardless of what a Vendor may label as a trade secret, the determination whether it is or is not entitled to protection will be

determined in accordance with G.S. 132-1.2. Any material labeled as confidential constitutes a representation by the Vendor that it has made a reasonable effort in good faith to determine that such material is, in fact, a trade secret under G.S. 132-1.2. Vendors are urged and cautioned to limit the marking of information as a trade secret or as confidential so far as is possible. If a legal action is brought to require the disclosure of any material so marked as confidential, the State will notify Vendor of such action and allow Vendor to defend the confidential status of its information.

30. COMMUNICATIONS BY VENDORS: In submitting its bid, the Vendor agrees not to discuss or otherwise reveal the contents of its bid to any source, government or private, outside of the using or issuing agency until after the award of the Contract or cancellation of this solicitation document. All Vendors are forbidden from having any communications with the using or issuing agency, or any other representative of the State concerning the solicitation, during the evaluation of the bids (i.e., after the public opening of the bids and before the award of the Contract), unless the State directly contacts the Vendor(s) for purposes of seeking clarification or another reason permitted by the solicitation. A Vendor shall not: (a) transmit to the issuing and/or using agency any information commenting on the ability or qualifications of any other Vendor to provide the advertised good, equipment, commodity; (b) identify defects, errors and/or omissions in any other Vendor's bid and/or prices at any time during the procurement process; and/or (c) engage in or attempt any other communication or conduct that could influence the evaluation or award of a Contract related to this solicitation document. Failure to comply with this requirement shall constitute sufficient justification to disqualify a Vendor from a Contract award. Only those communications with the using agency or issuing agency authorized by this solicitation document are permitted.

31. INFORMAL COMMENTS: The State shall not be bound by informal explanations, instructions or information given at any time by anyone on behalf of the State during the competitive process or after award. The State is bound only by information provided in writing in this solicitation document and in formal Addenda issued through IPS.

32. PROTEST PROCEDURES: When a Vendor wishes to protest the award of The Contract, a Vendor shall submit a written request addressed to the Purchasing Director at: Department of Public Safety, Purchasing and Logistics, 3030 Hammond Business Place, Raleigh, NC 27603. The protest request must be received in the proper office within thirty (30) consecutive calendar days from the date of the Contract award. Protest letters shall contain specific grounds and reasons for the protest, how the protesting party was harmed by the award made and any documentation providing support for the protesting party's claims. Note: Contract award notices are sent only to the Vendor actually awarded the Contract, and not to every person or firm responding to a solicitation. Bid status and Award notices are posted on the Internet at <https://www.ips.state.nc.us/ips/>. All protests will be handled pursuant to the North Carolina Administrative Code, 01 NCAC 05B .1519.

33. ORDER OF PRECEDENCE: In cases of conflict between specific provisions in this solicitation or those in any resulting contract documents, the order of precedence shall be (high to low) (1) any special terms and conditions specific to this solicitation document, including any negotiated terms; (2) requirements and specifications and administration; (3) North Carolina General Contract Terms and Conditions in NORTH CAROLINA GENERAL CONTRACT TERMS AND CONDITIONS; (4) Instructions in INSTRUCTIONS TO VENDORS; (5) PRICING, and (6) Vendor's Bid.

34. ADDENDA: Critical updated information may be included in Addenda to the solicitation document. It is important that all Vendors bidding on the solicitation document periodically check the State's IPS website and the eProcurement System Sourcing Event for any Addenda that may be issued prior to the bid opening date. All Vendors shall be deemed to have read and understood all information in the solicitation document and all Addenda thereto. Vendors are also responsible for obtaining and complying with all Addenda and other changes that may be issued concerning the solicitation document.

35. ORAL EXPLANATIONS NON-BINDING: Oral explanations or instructions will not be binding. Any information given a prospective offeror concerning a solicitation will be furnished promptly to all other prospective offerors as an Amendment to the solicitation, if that information is necessary for submitting offers or if the lack of it would be

prejudicial to other prospective offerors. See clause entitled "Duty to Inquire." The State will not identify You in its answer to Your question.

36. **MAXIMUM COMPETITION**: The State seeks to permit maximum practicable competition. Offerors are urged to advise the State, as soon as possible, regarding any aspect of this procurement, including any aspect of the Solicitation that unnecessarily or inappropriately limits full and open competition. If the State determines that any changes will be made resulting from the questions asked, then such decisions will be communicated in the form of an addendum.

37. **PROCESS TO AMEND TERMS AND CONDITIONS**: The State may elect to negotiate and amend specific provisions that have been addressed during the question and answer period. Other than through this process, the State rejects and will not be required to evaluate or consider any additional or modified terms and conditions submitted with Vendor's bid or proposal. This applies to any language appearing in or attached to the document as part of the Vendor's bid or proposal that purports to vary any terms and conditions or Vendors' instructions herein or to render the bid non-binding or subject to further negotiation.

38. **FIRM OFFER**: Vendor's bid shall constitute a firm offer. By execution and delivery of a bid in response to a solicitation document, the Vendor agrees that any additional or modified terms and conditions, whether submitted purposefully or inadvertently, shall have no force or effect, and will be disregarded. Any bid that contains language that indicates the bid is non-binding or subject to further negotiation before a contractual document may be signed shall be rejected.

ATTACHMENT C: NORTH CAROLINA GENERAL CONTRACT TERMS & CONDITIONS

1. PERFORMANCE:

- a) It is anticipated that the tasks and duties undertaken by the Vendor under the contract which results from the State solicitation in this matter (Contract) shall include Services, and/or the manufacturing, furnishing, or development of goods and other tangible features or components, as deliverables.
- b) Except as provided herein, and unless otherwise mutually agreed in writing prior to award, any deliverables not subject to an agreed Vendor license and provided by Vendor in performance of this Contract shall be and remain property of the State. During performance, Vendor may provide proprietary components as part of the deliverables that are identified in this Contract. Vendor grants the State a personal, permanent, non-transferable license to use such proprietary components of the deliverables and other functionalities, as provided under this Contract. Any technical and business information owned by Vendor or its suppliers or licensors made accessible or furnished to the State shall be and remain the property of the Vendor or such other party, respectively. Vendor agrees to perform under the Contract in at least the same or similar manner provided to comparable users and customers. The State shall notify the Vendor of any defects or deficiencies in performance or failure of deliverables to conform to the standards and specifications provided in this Contract. Vendor agrees to timely remedy defective performance or any nonconforming deliverables on its own or upon such notice provided by the State.
- c) Vendor has a limited, non-exclusive license to access and use State Data provided to Vendor, but solely for performing its obligations under and during this Agreement and in confidence as further provided for herein or by law.
- d) Vendor or its suppliers, as specified and agreed in the Contract, shall provide support assistance to the State related to all Services performed or other deliverables procured hereunder during the State’s normal business hours. Vendor warrants that its support, customer service, and assistance will be performed at a minimum in accordance with generally accepted and applicable industry standards.
- e) The State may document and take into account in awarding or renewing future procurement contracts the general reputation, performance and performance capabilities of the Vendor under this Contract as provided by G.S. 143-52 and 143-135.9 (a) and (b) (Best Value).

2. DEFAULT AND TERMINATION:

- a) In the event of default by the Vendor, the State may, as provided by NC law, procure goods and services necessary to complete performance hereunder from other sources and hold the Vendor responsible for any excess cost occasioned thereby. See, G.S. 25-2-712. In addition, and in the event of default by the Vendor under the Contract, or upon the Vendor filing a petition for bankruptcy or the entering of a judgment of bankruptcy by or against the Vendor, the State may immediately cease doing business with the Vendor, terminate the Contract for cause, and take action to recover relevant damages, and if permitted by applicable law, debar the Vendor from doing future business with the State. 01 NCAC 05B.1520.
- b) If, through any cause, Vendor shall fail to fulfill in a timely and proper manner the obligations under the Contract, including, without limitation, in these North Carolina General Terms and Conditions, the State shall have the right to terminate the Contract by giving thirty days written notice to the Vendor and specifying the effective date thereof. In that event, any or all finished or unfinished deliverables that are prepared by the

Vendor under the Contract shall, at the option of the State, become the property of the State (and under any applicable Vendor license to the extent necessary for the State to use such property), and the Vendor shall be entitled to receive just and equitable compensation for any acceptable deliverable completed (or partially completed at the State's option) as to which such option is exercised. Notwithstanding, Vendor shall not be relieved of liability to the State for damages sustained by the State by virtue of any breach of the Contract, and the State may withhold any payment due the Vendor for the purpose of setoff until such time as the exact amount of damages due the State from such breach can be determined. The State, if insecure as to receiving proper performance or provision of goods deliverables, or if documented Vendor Services performance issues exist, under this Contract, may require at any time a performance bond or other alternative performance guarantees from a Vendor without expense to the State as provided by applicable law. G.S. 143-52(a); 01 NCAC 05B.1521; G.S. 25-2-609.

- c) If this Contract contemplates deliveries or performance over a period of time, the State may terminate this Contract for convenience at any time by providing 60 days' notice in writing from the State to the Vendor. In that event, any or all finished or unfinished deliverables prepared by the Vendor under this Contract shall, at the option of the State, become its property, and under any applicable Vendor license to the extent necessary for the State to use such property. If the Contract is terminated by the State for convenience, the State shall pay for those items or Services for which such option is exercised, less any payment or compensation previously made.

3. INTERPRETATION, CONFLICT OF TERM:

- a) The definitions in the Instructions to Vendors in the relevant solicitation for this Contract, and in 01 NCAC 05A.0112 are specifically incorporated herein.
- b) If federal funds are involved in the transactions under this Contract, the Vendor shall comply with all applicable state and federal requirements and laws, except where State requirements are more restrictive. See the additional federal requirements included in the "Federal Funds Provisions" section below.
- c) "Purchasing Agency" herein is as defined in 01 NCAC 05A.0112, except that if this Contract has been entered into by the NC Department of Administration, Division of Purchase and Contract (P&C) as indicated in the Contract (e.g., a State Term Contract), then P&C will then be a Purchasing Agency for the purposes herein and in the Federal Funds Provisions, below.
- d) Contracts made in contravention of General Statutes, Chapter 143, Article 3 and the Rules in 05 NCAC Chapter 5, are void. G.S. 143-58.
- e) In cases of conflict between specific provisions in this Contract and any other referenced documents, the Order of Precedence shall be (high to low) (1) any special terms and conditions specific to this Contract, including any negotiated terms; (2) requirements, specifications and administrative terms; (3) these NORTH CAROLINA GENERAL CONTRACT TERMS AND CONDITIONS, including the Federal Funds Provisions; (4) Definitions and other provisions in INSTRUCTIONS TO VENDORS in this solicitation, which is specifically incorporated in this Contract; (5) PRICING, and (6) Vendor's Bid, to the extent specifically and mutually incorporated into this Contract.
- f) In the event of conflict of terms between applicable provisions of the Federal Funds Provisions and the other provisions of these North Carolina General Contract Terms and Conditions, the more restrictive provision will govern.

4. **GOVERNMENTAL RESTRICTIONS:** In the event any Governmental restrictions are imposed which necessitate alteration of the goods, material, quality, workmanship, or performance of the Services offered, prior to acceptance, it shall be the responsibility of the Vendor to notify the State Contract Lead or Administrator indicated in the Contract at once, in writing, indicating the specific regulation which requires such alterations. The State reserves the right to accept any such alterations, including any price adjustments occasioned thereby, or to cancel the Contract.

5. **AVAILABILITY OF FUNDS:** Any and all payments to the Vendor shall be dependent upon and subject to the availability of funds appropriated or allocated to the agency for the purpose set forth in the Contract.

6. **TAXES:** Any applicable taxes shall be invoiced as a separate item.
 - a) G.S. 143-59.1 bars the Secretary of Administration from entering into Contracts with Vendors if the Vendor or its affiliates meet one of the conditions of G.S. 105-164.8(b) and refuses to collect use tax on sales of tangible personal property to purchasers in North Carolina. Conditions under G.S. 105- 164.8(b) include: (1) Maintenance of a retail establishment or office, (2) Presence of representatives in the State that solicit sales or transact business on behalf of the Vendor and (3) Systematic exploitation of the market by media-assisted, media-facilitated, or media-solicited means. By execution of the proposal document the Vendor certifies that it and all of its affiliates, (if it has affiliates), collect(s) the appropriate taxes.
 - b) The agency(ies) participating in the Contract are exempt from Federal Taxes, such as excise and transportation. Exemption forms submitted by the Vendor will be executed and returned by the using agency.
 - c) Prices offered are not to include any personal property taxes, nor any sales or use tax (or fees) unless required by the North Carolina Department of Revenue.

7. **SITUS AND GOVERNING LAWS:**
 - a) This Contract is made under and shall be governed by and construed in accordance with the laws of the State of North Carolina, including, without limitation, the relevant provisions of G.S. Chapter 143, Article 3, and the Rules in 01 NCAC Chapter 05, and any applicable successor provisions, without regard to its conflict of laws rules, and within which State all matters, whether sounding in Contract, tort or otherwise, relating to its validity, construction, interpretation and enforcement shall be determined. G.S. 22B-3.
 - b) Vendor shall comply with all laws, ordinances, codes, rules, regulations, and licensing requirements that are applicable to the conduct of its business and its performance in accordance with the Contract, including those of federal, state, and local agencies having jurisdiction and/or authority, and including, without limitation, the applicable requirements in the Federal Funds Provisions, below.
 - c) Non-resident Vendor corporations not formed under NC law must be domesticated in the Office of the NC Secretary of State in order to contract with the State of North Carolina. G.S. 55A-15-01.

8. **NON-DISCRIMINATION COMPLIANCE:**

Wholly State Funded Contracts.

 - a) The Vendor will take affirmative action in complying with all State requirements and laws concerning fair

employment and employment of people with disabilities, and concerning the treatment of all employees without regard to discrimination by reason of race, color, religion, sex, national origin or disability or rights, such as preserved by Governor Roy Cooper Order E.O. 24 or 25, and will take necessary action to ensure that its internal employee policies and procedures are consistent with Executive Order #82 (Roy Cooper, December 6, 2018), which extends workplace protections and accommodations to pregnant employees.

- b) Federal Law, such as the following, applies as provided for therein: Titles VI and VII of the Civil Rights Act of 1964 (PL 88-352), and the regulations issued pursuant thereto (prohibiting discrimination on the basis race, color, national origin and ensuring that individuals are employed, and that employees are treated during employment, without regard to their race, color, creed, national origin, sex, or age); Title IX of the Education Amendments of 1972 (codified as amended at 20 U.S.C. § 1681 et seq.) (prohibiting discrimination on the basis of sex); Titles I, II, III, IV, and V of the Americans with Disability Act of 1990 (prohibiting discrimination on the basis of disability); Section 504 of the Rehabilitation Act of 1973 (codified as amended at 29 U.S.C. § 794) (prohibiting discrimination on the basis of handicap); the Age Page Discrimination Act of 1975 (codified as amended at 42 U.S.C. § 6101 et seq.) (prohibiting age discrimination); Executive Order 11063 as amended by Executive Order 2259; and Section 109 of the Housing and Community Development Act of 1974, as amended.

Contracts Partially or Wholly Federally Funded.

To the extent federal funding is involved in this procurement, in whole or in part, compliance with the following is required:

- c) The Vendor shall comply with all Federal Funds Provisions requirements (below) and not discriminate against any employee or applicant for employment because of race, color, religion, sex, sexual orientation, gender identity, or national origin. The Vendor will take affirmative action to ensure that applicants are employed, and that employees are treated during employment without regard to their race, color, religion, sex, sexual orientation, gender identity, or national origin. Such action shall include, but not be limited to the following:

Employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. The Vendor agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided setting forth the provisions of this nondiscrimination clause.

- d) The Vendor shall, in all solicitations or advertisements for employees placed by or on behalf of the Vendor, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, sexual orientation, gender identity, or national origin.
- e) The Vendor will not discharge or in any other manner discriminate against any employee or applicant for employment because such employee or applicant has inquired about, discussed, or disclosed the compensation of the employee or applicant or another employee or applicant. This provision shall not apply to instances in which an employee who has access to the compensation information of other employees or applicants as a part of such employee's essential job functions discloses the compensation of such other employees or applicants to individuals who do not otherwise have access to such information, unless such disclosure is in response to a formal complaint or charge, in furtherance of an investigation, proceeding, hearing, or action, including an investigation conducted by the employer, or is consistent with the Vendor's legal duty to furnish information.

- f) The Vendor will send to each labor union or representative of workers with which it has a collective bargaining agreement or other contract or understanding, a notice to be provided advising the said labor union or workers' representatives of the Vendor's commitments under this section, and shall post copies of the notice in conspicuous places available to employees and applicants for employment.
- g) The Vendor shall comply with all provisions of Executive Order 11246 of September 24, 1965, and of the rules, regulations, and relevant orders of the Secretary of Labor.
- h) The Vendor shall furnish all information and reports required by Executive Order 11246 of September 24, 1965, and by rules, regulations, and orders of the Secretary of Labor, or pursuant thereto, and shall permit access to his books, records, and accounts by the administering agency and the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations, and orders.
- i) In the event of the Vendor's noncompliance with the nondiscrimination clauses of this Contract or with any of the said rules, regulations, or orders, this Contract may be canceled, terminated, or suspended in whole or in part and the Vendor may be declared ineligible for further Government contracts or federally assisted construction Contracts in accordance with procedures authorized in Executive Order 11246 of September 24, 1965, and such other sanctions may be imposed and remedies invoked as provided in Executive Order 11246 of September 24, 1965, or by rule, regulation, or order of the Secretary of Labor, or as otherwise provided by law.
- j) The Vendor shall include the portion of the sentence immediately preceding paragraph (a) and the provisions of paragraphs (a) through (g) in every subcontract or purchase order unless exempted by rules, regulations, or orders of the Secretary of Labor issued pursuant to section 204 of Executive Order 11246 of September 24, 1965, so that such provisions will be binding upon each subcontractor or Vendor. The Vendor will take such action with respect to any subcontract or purchase order as the administering agency may direct as a means of enforcing such provisions, including sanctions for noncompliance: Provided, however, that in the event a Vendor (or herein "applicant," as applicable in context within these Federal Funds Provisions) becomes involved in, or is threatened with, litigation with a subcontractor or Vendor as a result of such direction by the administering agency, the Vendor may request the United States to enter into such litigation to protect the interests of the United States.
- k) The Vendor further agrees that it shall be bound by the above equal opportunity clause with respect to its own employment practices when it participates in federally assisted construction work: Provided, that if the Vendor so participating is a State or local government, the above equal opportunity clause is not applicable to any agency, instrumentality or subdivision of such government which does not participate in work on or under the Contract.
- l) The Vendor agrees that it shall assist and cooperate actively with the administering agency and the Secretary of Labor in obtaining the compliance of Vendors and subcontractors with the equal opportunity clause and the rules, regulations, and relevant orders of the Secretary of Labor, that it shall furnish the administering agency and the Secretary of Labor such information as they may require for the supervision of such compliance, and that it shall otherwise assist the administering agency in the discharge of the agency's primary responsibility for securing compliance.
- m) The Vendor further agrees that it shall refrain from entering into any contract or contract modification subject to Executive Order 11246 of September 24, 1965, with a Vendor debarred from, or who has not

demonstrated eligibility for, Government Contracts and federally assisted construction contracts pursuant to the Executive Order and will carry out such sanctions and penalties for violation of the equal opportunity clause as may be imposed upon Vendors and subcontractors by the administering agency or the Secretary of Labor pursuant to Part II, Subpart D of the Executive Order. In addition, the Vendor agrees that if it fails or refuses to comply with these undertakings, the administering agency may take any or all of the following actions: Cancel, terminate, or suspend in whole or in part any relevant grant (contract, loan, insurance, guarantee); refrain from extending any further assistance to the Vendor under the program with respect to which the failure or refund occurred until satisfactory assurance of future compliance has been received from such Vendor; and refer the case to the Department of Justice for appropriate legal proceedings.

- 9. **PAYMENT TERMS:** Payment terms are net not later than 30 days after receipt of a correct invoice or acceptance of goods, whichever is later. The Procuring Agency is responsible for all payments to the Vendor under the Contract. Payment by some agencies may be made by procurement card. If the Vendor accepts Visa, MasterCard, etc., from other customers, it shall accept procurement card payment by the State under the terms provided for the procurement card. 01 NCAC 05B.1523. If payment is made by procurement card, then payment for amounts then due may be processed immediately by the Vendor.

The State does not agree in advance, in contract, pursuant to Constitutional limitations, to pay costs such as interest, late fees, penalties or attorney’s fees. This Contract will not be construed as an agreement by the State to pay such costs and will be paid only as ordered by a court of competent jurisdiction.

- 10. **CONDITION AND PACKAGING:** Unless otherwise expressly provided by special terms and conditions or specifications in the Contract or by express, specific federal law or rule, it is understood and agreed that any item offered or shipped has not been sold or used for any purpose, is newly manufactured, and shall be in first class condition. All containers/packaging shall be suitable for handling, storage or shipment.
- 11. **INTELLECTUAL PROPERTY WARRANTY AND INDEMNITY:** Vendor shall hold and save the State, its officers, agents and employees, harmless from liability of any kind, including costs and expenses, resulting from infringement of the rights of any third party in any Services or copyrighted material, patented or patent-pending invention, article, device or appliance delivered in connection with the Contract.

- a) Vendor warrants to the best of its knowledge that:
 - i) Performance under the Contract does not infringe upon any intellectual property rights of any third party; and
 - ii) There are no actual or threatened actions arising from, or alleged under, any intellectual property rights of any third party.
- b) Should any deliverables supplied by Vendor become the subject of a claim of infringement of a patent, copyright, trademark or a trade secret in the United States, the Vendor, shall at its option and expense, either procure for the State the right to continue using the deliverables, or replace or modify the same to become non-infringing. If neither of these options can reasonably be taken in Vendor’s judgment, or if further use shall be prevented by injunction, the Vendor agrees to cease provision of any affected deliverables and refund any sums the State has paid Vendor for such deliverables and make every reasonable effort to assist the State in procuring substitute deliverables. If, in the sole opinion of the State, the cessation of use by the State of any such deliverables due to infringement issues makes the retention of other items acquired from the Vendor under this

Agreement impractical, the State shall then have the option of terminating the Agreement for convenience, or applicable portions thereof, without penalty or termination charge; and Vendor agrees to refund any sums the State paid for unused Services or other deliverables.

- c) The Vendor, at its own expense, shall defend any action brought against the State to the extent that such action is based upon a claim that the deliverables supplied by the Vendor, their use or operation, infringe on a patent, copyright, trademark or violate a trade secret in the United States. The Vendor shall pay those costs and damages finally awarded or agreed in a settlement against the State in any such action. Such defense and payment shall be conditioned on the following:
 - i) That the Vendor shall be notified within a reasonable time in writing by the State of any such claim; and
 - ii) That the Vendor shall have the sole control of the defense of any action on such claim and all negotiations for its settlement or compromise provided, however, that the State shall have the option to participate in such action at its own expense.
- d) Vendor will not be required to defend or indemnify the State to the extent any claim by a third party against the State for infringement or misappropriation results solely from the State’s material alteration of any Vendor-branded deliverables or Services, or from the continued use of the Services or other deliverables after receiving written notice from the Vendor of the claimed infringement.

12. ADVERTISING: Vendor agrees not to use the existence of the Contract or the name of the State of North Carolina as part of any commercial advertising or marketing of products or Services except as provided in 01 NCAC 05B.1516. A Vendor may inquire whether the State is willing to be included on a listing of its existing customers.

13. ACCESS TO PERSONS AND RECORDS: During, and after the term hereof during the relevant period required for retention of records by State law (G.S. 121-5, 132-1 et seq., typically five years), the State Auditor and any Purchasing Agency’s internal auditors shall have access to persons and records related to the Contract to verify accounts and data affecting fees or performance under the Contract, as provided in G.S. 143-49(9). However, if any audit, litigation or other action arising out of or related in any way to this project is commenced before the end of the such retention of records period, the records shall be retained for one (1) year after all issues arising out of the action are finally resolved or until the end of the record retentions period, whichever is later.

14. ASSIGNMENT OR DELEGATION OF DUTIES:

- a) As a convenience to the Vendor, the State may include any person or entity designated by the Vendor in writing as a joint payee on the Vendor’s payment check. In no event shall such approval and action obligate the State to anyone other than the Vendor.
- b) If Vendor requests any assignment, or delegation of duties, the Vendor shall remain responsible for fulfillment of all Contract obligations. Upon written request, the State may, in its unfettered discretion, approve an assignment or delegation to another responsible entity acceptable to the State, such as the surviving entity of a merger, acquisition or a corporate reorganization if made as part of the transfer of all or substantially all of the Vendor’s assets. 01 NCAC 05B.1507. Any purported assignment or delegation made in violation of this provision shall be void and a material breach of the Contract. G.S. 143-58.

15. **INSURANCE:** This section provides minimum insurance coverage rates that are applicable to most moderate risk solicitations. Agency Risk Analysis will determine if higher insurance coverage amounts are needed based on the likelihood and severity of exposure to the State. The analysis is documented in writing in the official file and considers the following non-exclusive factors:

1. Potential for damage to State property or property of a third party,
2. Potential for bodily injury to State employees or third parties,
3. Whether Vendor will transport State property, clients, or employees,
4. Use of a vehicle to accomplish the work or to travel to or from State locations,
5. Anticipated physical contacts of the Vendor with the State,
6. Anticipated number and activity of Vendor personnel within the State, and
7. Any other unique considerations that could result in harm, bodily injury, or property damage.

The Purchasing Agency has specified elsewhere in this Contract any increase in the minimum insurance coverage requirements below if the risk from the above factors is high.

a) REQUIREMENTS - Providing and maintaining adequate insurance coverage is a material obligation of the Vendor and is of the essence of the Contract. All such insurance shall meet all laws of the State of North Carolina. Such insurance coverage shall be obtained from companies that are authorized to provide such coverage and that are authorized by the NC Commissioner of Insurance to do business in North Carolina. The Vendor shall at all times comply with the terms of such insurance policies, and all requirements of the insurer under any such insurance policies, except as they may conflict with existing North Carolina laws or the Contract. The limits of coverage under each insurance policy maintained by the Vendor shall not be interpreted as limiting the Vendor’s liability and obligations or the indemnification requirements under the Contract. As provided above, a State agency is authorized, upon written evaluation and substantiation in the official file of the significant risk of bodily injury and/or property or other damage in the contract, to require and enforce higher coverage limits to mitigate the potential risk of liability to the State.

b) COVERAGE - During the term of the Contract, the Vendor at its sole cost and expense shall provide commercial insurance of such type and with such terms and limits as may be reasonably associated with the Contract. At a minimum, the Vendor shall provide and maintain the following coverage and limits, subject to higher requirements by an agency after the risk analysis indicated above:

1. **For Small Purchases** as defined under North Carolina Administrative Code 01 NCAC 05A.0112 (35) and 05B.0301 (1), the minimum applicable insurance requirements for Worker’s Compensation and Automobile Liability will apply as required by North Carolina law. The Purchasing Agency may require Commercial General Liability coverage consistent with the assessed risks involved in the procurement.
2. **For Contracts valued in excess of the Small Purchase threshold, but up to \$1,000,000.00 the following limits shall apply:**
 - i. **Worker’s Compensation** - The Vendor shall provide and maintain Worker’s Compensation Insurance, as may be required by the laws of North Carolina, as well as employer’s liability coverage, with minimum limits of \$250,000.00, covering all of Vendor’s employees who are engaged in any work under the Contract in North Carolina. If any work is sub-Contracted, the Vendor shall require the sub-contractor

to provide the same coverage for any of its employees engaged in any work under the Contract within the State.

- ii. **Commercial General Liability** - General Liability Coverage on a Comprehensive Broad Form on an occurrence basis in the minimum amount of \$500,000.00 Combined Single Limit. Defense costs shall be in excess of the limit of liability.
- iii. **Automobile** - Automobile Liability Insurance, to include liability coverage covering all owned, hired and non-owned vehicles, used within North Carolina in connection with the Contract. The minimum combined single limit shall be \$250,000.00 bodily injury and property damage; \$250,000.00 uninsured/under insured motorist; and \$2,500.00 medical payment.

3. For Contracts valued in excess of \$1,000,000.00 the following limits shall apply:

- i. **Worker’s Compensation** - The Vendor shall provide and maintain Worker’s Compensation Insurance, as may be required by the laws of North Carolina, as well as employer’s liability coverage, with minimum limits of \$500,000.00, covering all of Vendor’s employees who are engaged in any work under the Contract in North Carolina. If any work is sub-Contracted, the Vendor shall require the sub-contractor to provide the same coverage for any of its employees engaged in any work under the Contract within the State.
- ii. **Commercial General Liability** - General Liability Coverage on a Comprehensive Broad Form on an occurrence basis in the minimum amount of \$1,000,000.00 Combined Single Limit. Defense costs shall be in excess of the limit of liability.
- iii. **Automobile** - Automobile Liability Insurance, to include liability coverage covering all owned, hired and non-owned vehicles, used within North Carolina in connection with the Contract. The minimum combined single limit shall be \$500,000.00 bodily injury and property damage; \$500,000.00 uninsured/under insured motorist; and \$5,000.00 medical payment.

16. GENERAL INDEMNITY: The Vendor shall hold and save the State, its officers, agents, and employees, harmless from liability of any kind, including all claims and losses accruing or resulting to any other person, firm, or corporation furnishing or supplying work, Services, materials, or supplies in connection with the performance of the Contract, and also from any and all claims and losses accruing or resulting to any person, firm, or corporation that may be injured or damaged by the Vendor in the performance of the Contract that are attributable to the negligence or intentionally tortious acts of the Vendor, provided that the Vendor is notified in writing within 30 days from the date that the State has knowledge of such claims. The Vendor represents and warrants that it shall make no claim of any kind or nature against the State’s agents who are involved in the delivery or processing of Vendor deliverables or Services to the State. As part of this provision for indemnity, if federal funds are involved in this procurement, the Vendor warrants that it will comply with all relevant and applicable federal requirements and laws, and will indemnify and hold and save the State harmless from any claims or losses resulting to the State from the Vendor’s noncompliance with such federal requirements or law in this Contract. The representations and warranties in the preceding two sentences shall survive the termination or expiration of the Contract. The State does not participate in indemnification

due to Constitutional restrictions, or arbitration, which effectively and unacceptably waives jury trial. See, G.S. 22B-3, -10.

17. ELECTRONIC PROCUREMENT: (G.S. 143-48.3)

GENERALLY APPLICABLE TO GOODS AND SERVICES CONTRACTS:

- a) Purchasing shall be conducted through the Statewide E-Procurement Service. The State’s third party agent shall serve as the Supplier Manager for this E-Procurement Service. The Vendor shall register for the Statewide E-Procurement Service within two (2) business days of notification of award in order to receive an electronic purchase order resulting from award of this Contract.
- b) The Supplier Manager will capture an order from a State approved user, including the shipping and payment information, and submit the order in accordance with E-Procurement Service procedures. Subsequently, the Supplier Manager will send those orders to the appropriate Vendor on State Contract. The State or State-approved user, not the Supplier Manager, shall be responsible for the solicitation, bids received, evaluation of bids received, award of Contract, and the payment for goods delivered.
- c) Vendor shall at all times maintain the confidentiality of its username and password for the Statewide E-Procurement Services. Vendor shall be responsible for all activity and all charges by its agents or employees. Vendor agrees not to permit a third party to use its E-Procurement Services account. If there is a breach of security through the Vendor’s account, Vendor shall immediately change its password and notify the Supplier Manager of the security breach by email. Vendor shall cooperate with the State and the Supplier Manager to mitigate and correct any security breach.

E-PROCUREMENT FEES – APPLICABLE ONLY TO GOODS CONTRACTS

- d) **THE SUCCESSFUL BIDDER(S) SHALL PAY A TRANSACTION FEE, CURRENTLY 1.75% (.0175), ON THE TOTAL DOLLAR AMOUNT (EXCLUDING SALES TAXES) INCLUDED ON EACH PURCHASE ORDER ISSUED THROUGH THE STATEWIDE E-PROCUREMENT SERVICE (OR ANY OFFICIAL REPLACEMENT SERVICE). G.S. 66-58.12; See, NC E-Procurement Terms of Use.** This applies to all purchase orders, regardless of the quantity or dollar amount of the purchase order. The transaction fee shall not be stated or included as a separate item on the invoice. Vendor will receive a credit for transaction fees they paid for the purchase of any item(s) if an item(s) is returned through no fault of the Vendor. Transaction fees are non-refundable when an item is rejected and returned, or declined, due to the Vendor’s failure to perform or comply with specifications or requirements of the Contract.
- e) Vendor or its Authorized Reseller, as applicable, will be invoiced monthly for the State’s transaction fee by the E-Procurement Supplier Manager (Supplier Manager), based on a) purchase activity for the prior month, or b) purchases for which the supplier invoice has been paid. Unless the Supplier Manager receives written notice from the Vendor identifying with specificity any errors in an invoice for the transaction fee within thirty (30) days of the receipt of invoice, such invoice shall be deemed to be correct and Vendor shall have waived its right to later dispute the accuracy and completeness of the invoice. Payment of the transaction fee by the Vendor is due to the account designated by the State within thirty (30) days after receipt of the invoice for the transaction fee, or it shall be considered a material breach of Contract. Pursuant to G.S. 147-86.23, the service will charge 1)

interest on past due balances at the rate set by the Secretary of Revenue pursuant to G.S. 105-241.21 as of the date the balances are past due, and, 2) late payment penalties, currently ten percent (10%) of the account receivable. No interest shall be charged on disputed and overdue amounts to the extent the State agrees to reduce or adjust the amount in dispute. The Supplier Manager shall provide, whenever reasonably requested by the Vendor in writing (including electronic documents), supporting documentation from the E-Procurement Service that accounts for the amount of the invoice.

- 18. **SUBCONTRACTING:** Performance under the Contract by the Vendor shall not be subcontracted without prior written approval of the State’s assigned Contract Lead. Unless otherwise agreed in writing, acceptance of a Vendor’s proposal shall include approval to use the subcontractor(s) that have been specified therein.
- 19. **CONFIDENTIALITY:** Vendor information that cannot be shown to be, e.g., a trade secret, may be subject to public disclosure under the terms of the State Public Records Act (SPRA), beginning at G.S. 132.1. Blanket assertions of confidentiality are not favored, but confidentiality of specific material meeting one or more exceptions in the SPRA will be honored. Vendors are notified that if the confidentiality of material is challenged by other parties, the Vendor has the responsibility of defending the assertion of confidentiality. G.S. 143-52(a).
- 20. **CARE OF STATE DATA AND PROPERTY:** Any State property, information, data, instruments, documents, studies or reports given to or prepared or assembled by or provided to the Vendor under the Contract shall be kept as confidential, used only for the purpose(s) required to perform the Contract and not divulged or made available to any individual or organization without the prior written approval of the State.

The State’s data and property in the hands of the Vendor shall be protected from unauthorized disclosure, loss, damage, destruction by a natural event or another eventuality. The Vendor agrees to reimburse the State for loss or damage of State property while in Vendor’s custody. Such State Data shall be returned to the State in a form acceptable to the State upon the termination or expiration of this Agreement.

The Vendor shall notify the State of any security breaches within 24 hours as required by G.S. 143B-1379. For further information, see, G.S. 75-60 et seq. Notice is given to the Vendor that the NC Department of Information Technology (DIT) has requirements relating to the security of the State network, and rules relating to the use of the State network, IT software and equipment, that the Vendor must comply with, as applicable. See, e.g., G.S. 143B-1376.

- 21. **OUTSOURCING:** Any Vendor or subcontractor providing call or contact center services to the State of North Carolina or any of its agencies shall disclose to inbound callers the location from which the call or contact center services are being provided.

If, after award of a Contract, and consistent with any applicable NC DIT security provisions, the Contractor wishes to relocate or outsource any portion of performance to a location outside the United States, or to Contract with a subcontractor for any such performance, which subcontractor and nature of the work has not previously been disclosed to the State in writing, prior written approval must be obtained from the State Purchasing Agency. Vendor shall give notice to the Purchasing Agency of any relocation of the Vendor, employees of the Vendor, subcontractors of the Vendor, or other persons providing performance under a State Contract to a location outside of the United States. See, G.S. 143-59.4.

- 22. **ENTIRE AGREEMENT:** The Contract (including any documents mutually incorporated specifically therein) resulting from a relevant solicitation represents the entire agreement between the parties and supersedes all prior oral or written statements or agreements. All promises, requirements, terms, conditions, provisions, representations, guarantees, and warranties contained herein shall survive the Contract expiration or termination date unless specifically provided otherwise herein, or unless superseded by applicable Federal or State statutes of limitation.

- 23. **ELECTRONIC RECORDS:** The State will digitize all Vendor responses to the relevant solicitation, if not received electronically, as well as any awarded Contract together with associated procurement-related documents. These electronic copies shall constitute a preservation record and shall serve as the official record of this procurement with the same force and effect as the original written documents comprising such record. Any official electronic copy, printout or other output readable by sight shown to reflect such record accurately shall constitute an "original."

- 24. **AMENDMENTS:** This Contract may be amended only by a written amendment duly executed by the State and the Vendor.

- 25. **NO WAIVER:** Notwithstanding any other language or provision in the Contract or in any Vendor-supplied material, nothing herein is intended nor shall be interpreted as a waiver of any right or remedy otherwise available to the State under applicable law. The waiver by the State of any right or remedy on any one occasion or instance shall not constitute or be interpreted as a waiver of that or any other right or remedy on any other occasion or instance.

- 26. **FORCE MAJEURE:** Neither party shall be deemed to be in default of its obligations hereunder if and so long as it is prevented from performing such obligations as a result of events beyond its reasonable control, including, without limitation, fire, power failures, any act of war, hostile foreign action, nuclear explosion, riot, strikes or failures or refusals to perform under subcontracts, civil insurrection, earthquake, hurricane, tornado, other catastrophic epidemic or pandemic, natural event or Act of God.

- 27. **SOVEREIGN IMMUNITY:** Notwithstanding any other term or provision in the Contract, nothing herein is intended nor shall be interpreted as waiving any claim or defense based on the principle of sovereign immunity or other State or federal constitutional provision or principle that otherwise would be available to the State under applicable law.

- 28. **FEDERAL FUNDS PROVISIONS:**

Where federal funds are utilized in connection with this procurement, and to the extent applicable and absent stricter or controlling State provisions, the following federal provisions (in addition to the North Carolina General Terms and Conditions above) may apply consistent with Uniform Guidance in 2 C.F.R. § 200.326 and 2 C.F.R. Part 200, and its Appendix II. Relevant federal authorities may require additional provisions depending on the scope and context of the Contract. Failure or unwillingness of the Vendor to continually meet any of these requirements, as applicable, may result in Contract termination.

- a) **No governmental non-competes.** Vendor shall not impose or enforce any non-competition agreement upon the employees included in Vendor’s bid that would prevent those employees from accepting any offer of employment from the State of North Carolina outside of the first Term of the

Contract. By executing this Contract, the Vendor affirms this condition. This affirmation is a material condition for the State’s award of any work under this Contract.

- b) **Program Monitoring.** Vendor agrees to assist and cooperate with the Federal grantor or funding agency and the relevant Purchasing Agency or their duly designated representatives in the monitoring of the project or projects to which this Contract relates, and to provide in form and manner approved by the Purchasing Agency such monitoring reports, progress reports, and the like as may be required and to provide such reports at the times specified.
- c) **Remedies and Termination.** For purposes of this section the State Remedies and Termination provisions above apply as written.
- d) **Contract Work Hours and Safety Standards Act (40 U.S.C. 3701-3708).**

Compliance with the Contract Work Hours and Safety Standards Act.

1. *Overtime requirements.* No Vendor or subcontractor contracting for any part of the Contract work which may require or involve the employment of laborers or mechanics shall require or permit any such laborer or mechanic in any workweek in which he or she is employed on such work to work in excess of forty hours in such workweek unless such laborer or mechanic receives compensation at a rate not less than one and one-half times the basic rate of pay for all hours worked in excess of forty hours in such workweek.
2. *Violation; liability for unpaid wages; liquidated damages.* In the event of any violation of the clause set forth in 29 C.F.R. §5.5(b)(1) the Vendor and any subcontractor responsible therefor shall be liable for the unpaid wages. In addition, such Vendor and subcontractor shall be liable to the United States (in the case of work done under contract for the District of Columbia or a territory, to such District or to such territory), for liquidated damages. Such liquidated damages shall be computed with respect to each individual laborer or mechanic, including watchmen and guards, employed in violation of the clause set forth in 29 C.F.R. §5.5(b)(1), in the sum of \$26 for each calendar day on which such individual was required or permitted to work in excess of the standard workweek of forty hours without payment of the overtime wages required by the clause set forth in 29 C.F.R. §5.5(b)(1).
3. *Withholding for unpaid wages and liquidated damages.* The Purchasing Agency shall upon its own action or upon written request of an authorized representative of the Department of Labor withhold or cause to be withheld, from any moneys payable on account of work performed by the Vendor or subcontractor under any such contract or any other Federal contract with the same prime Vendor, or any other federally-assisted contract subject to the Contract Work Hours and Safety Standards Act, which is held by the same prime Vendor, such sums as may be determined to be necessary to satisfy any liabilities of such Vendor or subcontractor for unpaid wages and liquidated damages as provided in the clause set forth in 29 C.F.R. §5.5(b)(2).
4. *SubContracts.* The Vendor or subcontractor shall insert in any subcontracts the clauses set forth in paragraph (b)(1) through (4) of 29 C.F.R. §5.5 and also a clause

requiring the subcontractors to include these clauses in any lower tier subcontracts. The prime Vendor shall be responsible for compliance by any subcontractor or lower tier subcontractor with the clauses set forth in 29 C.F.R. §5.5(b)(2) through (4).

e) CLEAN AIR ACT AND THE FEDERAL WATER POLLUTION CONTROL ACT.

Clean Air Act

1. The Vendor agrees to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act, as amended, 42 U.S.C. § 7401 et seq.
2. The Vendor agrees to report each violation to the Purchasing Agency and understands and agrees that the Purchasing Agency will, in turn, report each violation as required to assure notification to the Federal Emergency Management Agency, and the appropriate Environmental Protection Agency Regional Office.
3. The Vendor agrees to include these requirements in each subcontract exceeding \$150,000 financed in whole or in part with Federal assistance.

Federal Water Pollution Control Act

1. The Vendor agrees to comply with all applicable standards, orders, or regulations issued pursuant to the Federal Water Pollution Control Act, as amended, 33 U.S.C. 1251 et seq.
2. The Vendor agrees to report each violation to the Purchasing Agency and understands and agrees that the Purchasing Agency will, in turn, report each violation as required to assure notification to the federal agency providing funds hereunder, and the appropriate Environmental Protection Agency Regional Office.
3. The Vendor agrees that these requirements will be included in each subcontract exceeding \$150,000 financed in whole or in part with Federal assistance.

f) Debarment and Suspension.

1. This Contract, if federal funding is used, is a covered transaction for purposes of 2 C.F.R. pt. 180 and 2 C.F.R. pt. 3000. As such, the Vendor is required to verify that none of the Vendor’s principals (defined at 2 C.F.R. § 180.995) or its affiliates (defined at 2 C.F.R. § 180.905) are excluded (defined at 2 C.F.R. § 180.940) or disqualified (defined at 2 C.F.R. § 180.935).
2. The Vendor must comply with 2 C.F.R. pt. 180, subpart C and 2 C.F.R. pt. 3000, subpart C, and must include a requirement to comply with these regulations in any lower tier covered transaction it enters into.
3. This certification is a material representation of fact relied upon by a federal agency providing federal funds herein and the Purchasing Agency. If it is later determined that the Vendor did not comply with 2 C.F.R. pt. 180, subpart C and 2 C.F.R. pt. 3000, subpart C, in addition to remedies available to federal agency providing federal funds herein and the Purchasing Agency, the Federal Government may pursue available remedies, including but not limited to suspension and/or debarment.
4. The Vendor agrees to comply with the requirements of 2 C.F.R. pt. 180, subpart C and 2 C.F.R. pt. 3000, subpart C while this offer is valid and throughout the period of

the Contract resulting from a relevant solicitation herein. The Vendor further agrees to include a provision requiring such compliance in its lower tier covered transactions.

g) **Byrd Anti-Lobbying Amendment (31 U.S.C. 1352)** (as Amended).

To the extent applicable, Vendors that apply or bid for an award of \$100,000 or more shall file the required certification. Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, officer or employee of Congress, or an employee of a Member of Congress in connection with obtaining any Federal Contract, grant, or any other award covered by 31 U.S.C. § 1352. Each tier shall also disclose any lobbying with non-Federal funds that takes place in connection with obtaining any Federal award. Such disclosures are forwarded from tier to tier up to the recipient who in turn will forward the certification(s) to the awarding agency.

Required Certification. If applicable, Vendors must sign and submit to the Purchasing Agency the certification. See the latest version of “Certification for Contracts, Grants, Loans, and Cooperative Agreements” found at <https://ncadmin.nc.gov/documents/vendor-forms>.

h) **Procurement of Recovered Materials.**

1. Unless specified otherwise in the Contract, in the performance of this Contract, the Vendor shall make maximum use of products containing recovered materials that are EPA-designated items unless the product cannot be acquired:
 - Competitively within a timeframe providing for compliance with the Contract performance schedule;
 - Meeting Contract performance requirements; or
 - At a reasonable price.
2. Information about this requirement, along with the list of EPA designated items, is available at EPA’s Comprehensive Procurement Guidelines web site: <https://www.epa.gov/smm/comprehensive-procurement-guideline-cpg-program>.
3. The Vendor also agrees to comply with all other applicable requirements of Section 6002 of the Solid Waste Disposal Act.”

i) **Access to Records.** In addition to the North Carolina General Contract Terms & Conditions section entitled “**ACCESS TO PERSONS AND RECORDS**” included in this Contract, the following access to records requirements apply to this Contract:

1. The Vendor agrees to provide the Purchasing Agency, the Administrator of the federal agency providing funds hereunder, the Comptroller General of the United States, or any of their authorized representatives access to any books, documents, papers, and records of the Vendor which are directly pertinent to this Contract for the purposes of making audits, examinations, excerpts, and transcriptions.
2. The Vendor agrees to permit any of the foregoing parties to reproduce by any means whatsoever or to copy excerpts and transcriptions as reasonably needed.
3. The Vendor agrees to provide the Administrator of the federal agency providing

funds hereunder or his authorized representative access to construction or other work sites pertaining to the work being completed under the Contract.

4. In compliance with the Disaster Recovery Act of 2018, the Purchasing Agency and the Vendor acknowledge and agree that no language in this Contract is intended to prohibit audits or internal reviews by the Administrator of the federal agency providing funds hereunder or the Comptroller General of the United States.

- j) **Modifications to Contract.** Modifications to the Contract are governed by the North Carolina General Contract Terms & Conditions section above entitled "**AMENDMENTS**," except as approval and signature by any federal official may also be required.

- k) **Records Retention.** All records required to be kept on the project shall be maintained for at least five (5) years after final payments and until all other pending matters under the grant for this project have been closed. However, if any audit, litigation or other action arising out of or related in any way to this project is commenced before the end of the five (5) year period, the records shall be retained for one (1) year after all issues arising out of the action are finally resolved or until the end of the five (5) year period, whichever is later.

- l) **Energy Efficiency.** All participants in the projects funded hereby shall recognize mandatory standards and policies relating to energy efficiency, which are contained in the state energy conservation plan issued in compliance with the Energy Policy and Conservation Act (PL 94-163).

- m) **Program Fraud and False or Fraudulent Statements or Related Acts.** Vendor acknowledges that 31 U.S.C. Chapter 38 (Administrative Remedies for False Claims and Statements) applies to its actions pertaining to the Contract.

- n) **No Obligation by Federal Government.** The Federal Government is not a party to this Contract and is not subject to any obligations or liabilities to the non-Federal entity, Vendor, or any other party pertaining to any matter resulting from the Contract.

- o) **Compliance with Federal Law, Regulations, and Executive Orders.** This is an acknowledgement that federal financial assistance will be used to fund all or a portion of the Contract. The Vendor will comply with all applicable Federal law, regulations, executive orders, the policies of the federal agency(ies) providing funding, procedures, and directives.

- p) **Federal Seals, Logos, and Flags.** In addition to the prohibitions of the North Carolina General Contract Terms & Conditions section above entitled "**ADVERTISING**," the Vendor shall not use the seal(s), logos, crests, or reproductions of flags of a federal agency providing funding herein, or likenesses of federal agency officials without specific pre-approval of the relevant federal agency.

- q) **System for Awards Management.** Vendor shall be responsible to ensure that it has checked the federal System for Awards Management (SAM) <https://www.sam.gov/SAM/> and the State Debarred Vendors Listing, <http://www.pandc.nc.gov/actions.asp> to verify that Contractors or sub-Recipients have not been suspended or debarred from doing business with federal or State government.

ADDITIONAL DEPARTMENT OF PUBLIC SAFETY CONTRACT TERMS & CONDITIONS:

- 1. **ALCOHOL/DRUG FREE WORK PLACE POLICY:** A copy of the Department’s Alcohol/Drug Free Work Place Policy is attached (**ATTACHMENT G**) to this solicitation. The contractor shall use reasonable and good faith efforts to ensure that employees/staff are aware of the Department’s policy. The contractor understands that its employees/staff are required to abide by these standards. The contractor further understands that possession, use, manufacture, or distribution of illegal drugs or alcohol in violation of this policy, by employees/staff participating in the performance of this contract, may result in immediate termination of this contract for cause.

- 2. **PREA:** The NC Department of Public Safety is committed to a standard of zero-tolerance pertaining to unduly familiar or sexually abusive behavior either by another juvenile or by staff, volunteer, Vendor, contractor or party. Staff, volunteers, Vendors, contractors or parties are strictly prohibited from engaging in personal dealings or any conduct of a sexual nature with any inmate or juvenile. Conversation and conduct with any inmate or juvenile must be professional at all times. Sexual acts between a juvenile or inmate and staff, volunteer, Vendor, contractor or party may violate North Carolina law. Additionally, sexual acts between a juvenile or inmate and staff member will contradict the standards of the federal Prison Rape Elimination Act of 2003 (PREA). Such acts also may be punishable, at a minimum, as a Class E felony in North Carolina. Under North Carolina, consent of the inmate or juvenile may not available as a defense for an individual who is charged criminally based on sexual conduct with the inmate or juvenile. Also, pursuant to PREA standards, no juvenile or inmate can consent to engage in sexual activity with staff, volunteers, Vendors, contractors or parties. Any contractual facility will comply with the national standards to prevent, detect, and respond to PREA (115.12, 212, 312) and permit the Department to monitor this aspect of the contract to ensure compliance with the PREA standards.

As a valued partner with DPS, it is important to remember that if you become aware of a report of any incidents of unduly familiar or sexually abusive behavior or sexual harassment, you have a duty to report this information immediately to your contact person with the Agency, by email to prea@ncdps.gov, or the DPS Communications office at (800) 368-1985.

Additionally, it may violate North Carolina law to sell or give an inmate or juvenile any alcoholic beverages, barbiturate or stimulant drug, or any narcotic, poison or poisonous substance, except upon the prescription of a physician; and it may violate North Carolina law to give an inmate or juvenile any tobacco or tobacco products, alcohol, or cell phones. It may also violate NCDPS policy to convey to or take from any juvenile or inmate any letters, or verbal messages; to convey any weapon or instrument by which to effect an escape, or that will aid in an assault or insurrection; to trade with any inmate for clothing or stolen goods or to sell any inmate any article forbidden by NCDPS policy.

By signing this document, you acknowledge that you understand and will abide by this policy as outlined above.

- 3. **ESCALATION CLAUSE:** Prices offered herein shall be firm for a period of one (1) year from the date of initial contract performance. If the contract provides for an option year(s) and the Department exercises that option(s), the contractor may request a price increase for that year but it must not exceed the change in points during the previous twelve (12) month period in the *Consumer Price Index-All Items (All Urban Consumers) or 5%, whichever is less. If the requested increase is in compliance with these specified limitations, the new price will be effective thirty (30) days from the date the request is received by the Department.

Consumer Price Index: U. S. Department of Labor, Bureau of Labor Statistics; www.bls.gov.

ATTACHMENT D: LOCATION OF WORKERS UTILIZED BY VENDOR

In accordance with N.C.G.S. §143-59.4, the Vendor shall detail the location(s) at which performance will occur, as well as the manner in which it intends to utilize resources or workers outside the United States in the performance of the Contract. Vendor shall complete items a) and b) below.

a) Will any work under this Contract be performed outside the United States? YES NO

If "YES":

- 1) List the location(s) outside the United States where work under the Contract will be performed by the Vendor, any subcontractors, employees, or other persons performing work under the Contract:

- 2) Specify the manner in which the resources or workers will be utilized:

b) Where, within the U.S., will work be performed?

NOTES:

- 1) The State will evaluate the additional risks, costs, and other factors associated with the utilization of workers outside the United States prior to making an award.
- 2) Vendor shall provide notice, in writing to the State, of the relocation of the Vendor, employees of the Vendor, subcontractors of the Vendor, or other persons performing services under the Contract to a location outside the United States.
- 3) All Vendor or subcontractor personnel providing call or contact center services to the State of North Carolina under the Contract shall disclose to inbound callers the location from which the call or contact center services are being provided.

ATTACHMENT E: CERTIFICATION OF FINANCIAL CONDITION

The undersigned hereby certifies that: [check all applicable boxes]

- The Vendor is in sound financial condition and, if applicable, has received an unqualified audit opinion for the latest audit of its financial statements.

Date of latest audit: _____ (If no audit within past 18 months, explain reason below.)

- The Vendor has no outstanding liabilities, including tax and judgment liens, to the Internal Revenue Service or any other government entity.
- The Vendor is current in all amounts due for payments of federal and state taxes and required employment-related contributions and withholdings.
- The Vendor is not the subject of any current litigation or findings of noncompliance under federal or state law.
- The Vendor has not been the subject of any past or current litigation, findings in any past litigation, or findings of noncompliance under federal or state law that may impact in any way its ability to fulfill the requirements of this Contract.
- He or she is authorized to make the foregoing statements on behalf of the Vendor.

Note: This shall constitute a continuing certification and Vendor shall notify the Contract Lead within 15 days of any material change to any of the representations made herein.

If any one or more of the foregoing boxes is NOT checked, Vendor shall explain the reason(s) in the space below:



Signature

Date

Printed Name

Title

[This Certification must be signed by an individual authorized to speak for the Vendor]

ATTACHMENT F: CUSTOMER REFERENCE FORM

Instructions: Please use this form to submit three (3) customer references.

Reference #1:

| | | | |
|---|--|--|--|
| Name of Customer Organization | | Customer Reference Name | |
| | | Customer Reference Address | |
| Contract Start Date | | Customer Reference Phone Number | |
| Contract End Date | | Customer Reference Email | |
| Describe the quantity and type of products or services provided by your company to the customer. | | | |
| | | | |
| Describe any service level agreements your company had in place with this customer, how your company performed against these service level agreements during the term of the contract, and describe any issues that came up during the contract period and how they were resolved. | | | |
| | | | |

Reference #2:

| | | | |
|--------------------------------------|--|--|--|
| Name of Customer Organization | | Customer Reference Name | |
| | | Customer Reference Address | |
| Contract Start Date | | Customer Reference Phone Number | |
| Contract End Date | | Customer Reference Email | |

Describe the quantity and type of products or services provided by your company to the customer.

Describe any service level agreements your company had in place with this customer, how your company performed against these service level agreements during the term of the contract, and describe any issues that came up during the contract period and how they were resolved.

Reference #3:

| | | | |
|--------------------------------------|--|--|--|
| Name of Customer Organization | | Customer Reference Name | |
| | | Customer Reference Address | |
| Contract Start Date | | Customer Reference Phone Number | |
| Contract End Date | | Customer Reference Email | |

Describe the quantity and type of products or services provided by your company to the customer.

Describe any service level agreements your company had in place with this customer, how your company performed against these service level agreements during the term of the contract, and describe any issues that came up during the contract period and how they were resolved.

ATTACHMENT G: HUB SUPPLEMENTAL VENDOR INFORMATION

Historically Underutilized Businesses (HUBs) consist of minority, women and disabled business firms that are at least fifty-one percent owned and operated by an individual(s) of the categories. Also included in this category are disabled business enterprises and non-profit work centers for the blind and severely disabled.

Pursuant to G.S. 143B-1361(a), 143-48 and 143-128.4, the State invites and encourages participation in this procurement process by businesses owned by minorities, women, disabled, disabled business enterprises and non-profit work centers for the blind and severely disabled. This includes utilizing individual(s) of the categories as subcontractors to perform the required functions in this solicitation documents.

The Vendor shall respond to questions below, as applicable.

1. Is Vendor a NC-certified HUB? Yes No

If yes, provide Vendor #: _____

If no, does Vendor qualify for certification as HUB? Yes No

Vendors that check “yes” will be referred to the HUB Office for assistance in acquiring certification.

Questions concerning NC HUB certification, contact the [North Carolina Office of Historically Underutilized Businesses](#) at 984-236-0130 or huboffice.doa@doa.nc.gov.

1. For **Commodity** procurements, are you using Tier 2 suppliers? Yes No

If yes, then provide the following information:

| Company Name | Company Address | Website Address | Contact Name | Contact E-mail | Contact Phone # | NC HUB certified? | Percentage of Total Proposal Price |
|--------------|-----------------|-----------------|--------------|----------------|-----------------|-------------------|------------------------------------|
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |

2. For **Services** procurements, are you using Subcontractors to perform any of the services being procured under this solicitation? Yes No

If yes, then provide the following information:

| Company Name | Company Address | Website Address | Contact Name | Contact E-mail | Contact Phone # | NC HUB certified? | Percentage of Total Proposal Price |
|--------------|-----------------|-----------------|--------------|----------------|-----------------|-------------------|------------------------------------|
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |

NOTE:

Vendor shall comply with requirements under **2 C.F.R. §200.321**. The awarded Vendor agrees, if subcontracts are to be utilized, to assure that minority businesses, women’s business enterprises and labor surplus area firms are used when possible.

The affirmative steps must include:

- a. Placing qualified small and minority businesses, and women’s business enterprises on solicitation lists;
- b. Assuring that small and minority businesses, and women’s business enterprises are solicited whenever they are potential sources;
- c. Dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by small and minority businesses, and women’s business enterprises;
- d. Establishing delivery schedules, where the requirement permits, which encourages participation by small and minority businesses, and women’s business enterprises;
- e. Using the services and assistance, as appropriate, of such organizations as North Carolina Department of Administration Office of Historically Underutilized Businesses, the Small Business Administration and the Minority Business Development Agency of the Department of Commerce.

ATTACHMENT H: ALCOHOL/DRUG-FREE WORK PLACE POLICY

POLICY

It is the policy of the Department of Public Safety to provide a work environment free of alcohol and drugs in order to ensure the safety and well-being of employees, correctional clientele, and the general public. All employees of the Department of Public Safety, including permanent full-time, trainee, and permanent part-time, permanent hourly, probationary, and temporary shall abide by this policy.

PURPOSE

This document is intended to advise managers and employees of the guidelines of an alcohol/drug free work place, and to set out the penalties for violation(s) of the guidelines.

PROCEDURES/OPERATIONAL GUIDELINES

All employees of the Department of Public Safety are expected to be physically and mentally prepared and able to perform their assigned duties throughout the workday. No employee shall report to the work site impaired by or suffering from the effects of drugs or alcohol.

Individuals reporting for work under the influence or the effects of alcohol and/or drugs shall be issued discipline, up to and including dismissal, consistent with the policy governing personal conduct.

No employee shall manufacture, distribute, or dispense controlled substances (drugs/alcohol) at the work site or away from the work site. No employee shall use "across the counter" medication to the point of impairment while at the work site, or in any situation which may bring discredit to the Department. Use or abuse shall be viewed as personal misconduct and shall be cause for immediate disciplinary action up to and including dismissal.

Possession of an illegal substance in any situation, at work or away from the work site shall be cause for discipline. Possession of controlled substances, i.e. Prescription medication or alcohol, must be in compliance with existing laws. Violations will result in discipline up to and including dismissal based on personal misconduct.

Employees who are arrested, detained, or served a warrant for any alcohol/drug related incident, at the work site or away from the work site have 24 hours to file a written report of the situation with the work unit supervisor/manager, i.e. Warden, Superintendent, Branch Manager. The work unit supervisor/manager shall make a recommendation for appropriate disciplinary action based on the facts of the case after conducting a thorough investigation.

If sufficient facts cannot be obtained due to pending litigation, the work unit supervisor/manager shall request, in writing, that any recommendation for disciplinary action be delayed until the court has disposed of the matter. Once the legal proceedings have been completed, the employee shall furnish a certified copy of the court disposition within 48 hours of the judgment. The recommendation for discipline shall be made at this time, if not previously addressed.

Any conviction of a drug or alcohol related offense, which occurred at the work site, shall be reported to the federal government by the Personnel Office; therefore, such offenses shall be reported to the Personnel Office by the appropriate manager so that the Personnel Office may comply with the requirement.

The Department of Public Safety utilizes the State Employee Assistance Program (EAP) administered through the Office of State Personnel. The EAP provides employees with a comprehensive referral service to aid in coping with or overcoming personal problems, including drug and alcohol problems. Consultants with the State EAP will provide managerial/supervisory training and coordinate employee orientation.

ATTACHMENT I: REGIONS FOR PORTFOLIOS

Counties with a 2018 federal disaster declaration are shown in RED.

Each region includes at least one county with a 2018 federal disaster declaration in eastern or eastern-central North Carolina. By Council of Government (COG) nomenclature, these counties include:

REGION J – Triangle J Council of Governments

Counties - Chatham, Johnston, Lee, and Moore. *Note that the region served by the Portfolio does not include all counties in the Triangle J COG service area.*

REGION K - Kerr-Tar Council of Governments

Counties - Franklin, Granville, Person, Vance and Warren

REGION L - Upper Coastal Plain Council of Governments

Counties - Edgecombe, Halifax, Nash, Northampton and Wilson

REGION M - Mid-Carolina Council of Governments:

Counties - Cumberland, Harnett and Sampson

REGION N - Lumber River Council of Governments

Counties - Bladen, Hoke, Richmond, Robeson and Scotland

REGION O - Cape Fear Council of Governments

Counties - Brunswick, Columbus, New Hanover and Pender

REGION P - Eastern Carolina Council of Governments

Counties - Carteret, Craven, Duplin, Greene, Jones, Lenoir, Onslow, Pamlico and Wayne

REGION Q - Mid-East Commission

Counties - Beaufort, Bertie, Hertford, Martin and Pitt

REGION R - Albemarle Commission

Counties - Camden, Chowan, Currituck, Dare, Gates, Hyde, Pasquotank, Perquimans, Tyrrell and Washington

ATTACHMENT J: CHECKLIST

As a courtesy the following checklist has been provided. It is the sole responsibility of the Vendor to ensure all required information has been provided.

| Section | Requirement |
|--|---|
| Execution Page (page 3) | Execute (sign) the proposal. |
| 1.2 OVERSIGHT & GOVERNANCE | <p>Vendor may indicate the maximum number of individual Portfolios that the Vendor is willing to develop (i.e. the number of regions that the Vendor is willing to work in), if fewer than all nine regions.</p> <p>Vendors shall explain expertise or experience in any particular geographical region. As part of the RFP response, Vendors may express preferences in these particular regions. The rationale for these preferences should be clearly described.</p> |
| 3.4 EVALUATION CRITERIA | Vendor must demonstrate to the complete satisfaction of NCORR that it has the necessary ability, and financial resources to provide the services specified herein in a satisfactory manner. Vendors shall provide its past history and references to demonstrate its qualifications. |
| 3.5 PERFORMANCE OUTSIDE THE UNITED STATES | Vendor shall complete ATTACHMENT D: LOCATION OF WORKERS UTILIZED BY VENDOR. |
| 4.1 PRICING | Vendor shall complete ATTACHMENT A: PRICING FORM and include in Proposal. |
| 4.3 FINANCIAL STABILITY | Each Vendor shall certify it is financially stable by completing the ATTACHMENT E: CERTIFICATION OF FINANCIAL CONDITION. |
| 4.4 VENDOR EXPERIENCE | In its Proposal, Vendor shall demonstrate experience with public and/or private sector clients with similar or greater size and complexity to the State of North Carolina. Vendor shall provide information as to the qualifications and experience of all executive, managerial, legal, and professional personnel to be assigned to this project, including resumes citing experience with similar projects and the responsibilities to be assigned to each person. |
| 4.5 REFERENCES | Vendors shall provide at least three (3) references, using ATTACHMENT F: CUSTOMER REFERENCE FORM, for which your company has provided Services of similar size and scope to that proposed herein. |

| Section | Requirement |
|--|--|
| <p>5.1 GENERAL</p> | <p>Vendor shall indicate in its proposal the plan (methodology) and project timeline for meeting the Scope of Work requirements.</p> <p>Vendor must identify the personnel to be assigned to the project, including the organizational structure, and each person’s area of responsibility. Resumes and Bios for each professional assigned to this project are required. Vendor must have sufficient and qualified staff immediately available to enter into a contract under this RFP and to manage any work called for in the RFP.</p> <p>Vendor’s proposal must contain evidence of Vendor’s experience and qualifications in the area directly related to the requirements of this RFP.</p> |
| <p>5.2 BACKGROUND</p> | <p>Vendor shall indicate in their proposals how they will integrate these two advantages of the regional scale.</p> |
| <p>5.5 Project Timeline</p> | <p>The plan (methodology) and sequence of events proposed by Vendor in response to this RFP, including the timeline for meeting the requirements, do not have to mirror the example provided in the below table. Vendor may propose an alternate timeline as long as the required deadline of July 1, 2022 is met.</p> |
| <p>5.6 Technical Approach</p> | <p>Vendor’s proposal shall include, in narrative, outline, and/or graph form the Vendor's approach to accomplishing the tasks outlined in the Scope of Work section of this RFP. A description of each task and deliverable and the schedule for accomplishing each shall be included.</p> |
| <p>6.1 Project Manager and Customer Service</p> | <p>Vendor shall be required to designate and make available to the State a project manager. The project manager shall be the State’s point of contact for contract related issues and issues concerning performance, progress review, scheduling and service.</p> <p><i>Designation box included.</i></p> |
| <p>Attachment A: Pricing</p> | <p>Complete pricing table.</p> <p>Indicate maximum number of individual Portfolios willing to develop.</p> <p>Indicate region preference, if applicable.</p> |
| <p>Attachment D: Location of Workers Utilized by Vendor</p> | <p>In accordance with N.C.G.S. §143-59.4, the Vendor shall detail the location(s) at which performance will occur, as well as the manner in which it intends to utilize resources or workers outside the United States in the performance of the Contract.</p> |

| Section | Requirement |
|---|--|
| Attachment E: Certification of Financial Condition | Vendor shall complete and sign. |
| Attachment F: Customer Reference Form | Use this form to submit three (3) customer references. |
| Attachment G: HUB Supplemental Vendor Information | The Vendor <u>shall</u> respond to the questions on this form. |
| | |

**ATTACHMENT K: DEPARTMENT OF COMMERCE FINANCIAL ASSISTANCE STANDARD
TERMS AND CONDITIONS**

U.S. Department of Commerce Financial Assistance Standard Terms and Conditions appear on the following pages.

Attachment K

DEPARTMENT OF COMMERCE
FINANCIAL ASSISTANCE
STANDARD TERMS AND CONDITIONS



DEPARTMENT OF COMMERCE
FINANCIAL ASSISTANCE STANDARD TERMS AND CONDITIONS

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PREFACE

This document sets out the standard terms and conditions (ST&Cs) applicable to this U.S. Department of Commerce (DOC or Commerce) financial assistance award (hereinafter referred to as the DOC ST&Cs or Standard Terms). A non-Federal entity¹ receiving a DOC financial assistance award must, in addition to the assurances made as part of the application, comply and require each of its subrecipients, contractors, and subcontractors employed in the completion of the project to comply with all applicable statutes, regulations, executive orders (E.O.s), Office of Management and Budget (OMB) circulars, provisions of the OMB *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (codified at 2 C.F.R. Part 200) (OMB Uniform Guidance), provisions of these Standard Terms, and any other terms and conditions incorporated into this DOC financial assistance award. In addition, unless otherwise provided by the terms and conditions of this DOC financial assistance award, Subparts A through E of 2 C.F.R. Part 200 and the Standard Terms are applicable to for-profit entities, foreign public entities and to foreign organizations that carry out a DOC financial assistance award.²

This award is subject to the laws and regulations of the United States. Any inconsistency or conflict in terms and conditions specified in the award will be resolved according to the following order of precedence: federal laws and regulations, applicable notices published in the *Federal Register*, E.O.s, OMB circulars, DOC ST&Cs, agency standard award conditions (if any), and specific award conditions.³ A specific award condition may amend or take precedence over a Standard Term on a case-by-case basis, when indicated by the specific award condition.

Some of the Standard Terms herein contain, by reference or substance, a summary of the pertinent statutes, regulations published in the *Federal Register* or Code of Federal Regulations (C.F.R.), E.O.s, OMB circulars, or the certifications and assurances provided by applicants through Standard Forms (*e.g.*, SF-424, SF-424B, or SF-424D) or through DOC forms (*e.g.* Form CD-511). To the extent that it is a summary, such Standard Term provision is not in derogation

¹ Please note that the OMB Uniform Guidance uses the term “non-Federal entity” to generally refer to an entity that carries out a Federal award as a recipient or subrecipient. Because some of the provisions of these DOC ST&Cs apply to recipients rather than subrecipients, or vice versa, for clarity, these DOC ST&Cs use the terms “non-Federal entity,” “recipient,” and “subrecipient” consistent with their meanings in the OMB Uniform Guidance. In addition, the OMB Uniform Guidance uses the term “pass-through entity” to refer to a non-Federal entity that makes a subaward.

“Non-Federal entity” is defined at 2 C.F.R. § 200.69 as “a state, local government, Indian tribe, institution of higher education (IHE), or nonprofit organization that carries out a Federal award as a recipient or subrecipient.”

“Recipient” is defined at 2 C.F.R. § 200.86 as “a non-Federal entity that receives a Federal award directly from a Federal awarding agency to carry out an activity under a Federal program. The term recipient does not include subrecipients.”

“Subrecipient” is defined at 2 C.F.R. § 200.93 as “a non-Federal entity that receives a subaward from a pass-through entity to carry out part of a Federal program; but does not include an individual that is a beneficiary of such program. A subrecipient may also be a recipient of other Federal awards directly from a Federal awarding agency.”

“Pass-through entity” is defined at 2 C.F.R. § 200.74 as “a non-Federal entity that provides a subaward to a subrecipient to carry out part of a Federal program.”

² See 2 C.F.R. § 200.46 for the definition of “foreign public entity” and 2 C.F.R. § 200.47 for the definition of “foreign organization.”

³ To match the terminology used in the OMB Uniform Guidance, the DOC now uses the phrase “specific award condition” in lieu of “special award condition.”

of, or an amendment to, any such statute, regulation, E.O., OMB circular, certification, or assurance.

DOC commenced implementation of the Research Terms and Conditions (RT&Cs) for Federal awards effective October 1, 2017; the RT&Cs address and implement the Uniform Guidance issued by OMB. For awards designated on the Form CD-450 (Financial Assistance Award) as Research, both the ST&Cs and the RT&Cs as implemented by the Department apply to the award. The RT&Cs as well as the Department's implementation statement, agency specific requirements, prior approval matrix, and subaward requirements are posted on the National Science Foundation's website – <https://www.nsf.gov/awards/managing/rtc.jsp>. The ST&Cs and the RT&Cs are generally intended to harmonize with each other; however, where the ST&Cs and the RT&Cs differ in a Research award, the RT&Cs prevail, unless otherwise indicated in a specific award condition.

A. PROGRAMMATIC REQUIREMENTS

.01 Reporting Requirements

a. Recipients must submit all reports as required by DOC, electronically or, if unable to submit electronically, in hard copy, as outlined below and as may be supplemented by the terms and conditions of a specific DOC award.

b. Performance (Technical) Reports. Recipients must submit performance (technical) reports to the Program Officer. Performance (technical) reports should be submitted in the same frequency as the Form SF-425 (Federal Financial Report), unless otherwise directed by the Grants Officer.

1. Performance (technical) reports must contain the information prescribed in 2 C.F.R. § 200.328 (Monitoring and reporting program performance), unless otherwise specified in the award conditions.

2. As appropriate and in accordance with the format provided by the Program Officer (or other OMB-approved information collections), recipients are required to relate financial data to the performance accomplishments of this Federal award. When applicable, recipients must also provide cost information to demonstrate cost effective practices (e.g., through unit cost data). The recipient's performance will be measured in a way that will help DOC to improve program outcomes, share lessons learned, and spread the adoption of best or promising practices. As described in 2 C.F.R. § 200.210 (Information contained in a Federal award), DOC will identify the timing and scope of expected performance by the recipient as related to the outcomes intended to be achieved by the Federal program.

c. Financial Reports. In accordance with 2 C.F.R. § 200.327 (Financial reporting), the recipient must submit a Form SF-425 (Federal Financial Report) or any successor form on a semi-annual basis for the periods ending March 31 and September 30, or any portion thereof, unless otherwise specified in a specific award condition. Reports must be submitted to DOC as directed by the Grants Officer, in accordance with the award conditions and are due no later than

30 calendar days following the end of each reporting period. A final Form SF-425 must be submitted within 90 calendar days after the expiration of the period of performance. A recipient may submit a final financial report in lieu of an interim financial report due at the end of the period of performance (e.g., in lieu of submitting a financial report for the last semi-annual or other reporting under an award, a recipient may submit a final (cumulative) financial report covering the entire award period).

d. Real Property, Tangible Personal Property and Intangible Property Reports and Requests for Dispositions. Unless otherwise required by the terms and conditions of a DOC financial assistance award, where real property, tangible personal property or intangible property is acquired or improved (in the case of real property or tangible personal property), or produced or acquired (in the case of intangible property), pursuant to a DOC award, non-Federal entities are required to submit the following real property, tangible personal property and intangible property reports (as appropriate):

1. Real Property Status Reports and Requests for Dispositions: Non-Federal entities must submit reports using Form SF-429 (Real Property Status Report) or any successor form, including appropriate attachments thereto, at least annually disclosing the status of real property that is Federally-owned property or real property in which the Federal Government retains a Federal Interest, unless the Federal Interest in the real property extends 15 years or longer. In cases where the Federal Interest attached is for a period of 15 years or more, the DOC or pass-through entity, at its option, may require the non-Federal entity to report at various multi-year frequencies (e.g., every two years or every three years, not to exceed a five-year reporting period; or, the DOC or pass-through entity may require annual reporting for the first three years of a Federal award and thereafter require reporting every five years). In addition, DOC or a pass-through entity may require a non-Federal entity to submit Form SF-429, with appropriate attachments, relating to a non-Federal entity's request to acquire, improve or contribute real property under a DOC financial assistance award. Non-Federal entities wishing to dispose of real property acquired or improved, in whole or in part, pursuant to a DOC award must request disposition instructions, including the submission of Form SF-429, with appropriate attachments, from the Grants Officer in accordance with the requirements set forth in 2 C.F.R. § 200.311(c). *See also* the real property standards set forth in Section C. of these Standard Terms (Property Standards).

2. Tangible Personal Property Status Reports and Requests for Dispositions: DOC or a pass-through entity may also require a non-Federal entity to submit periodic reports using Form SF-428 (Tangible Personal Property Report) or any successor form, including appropriate attachments thereto, concerning tangible personal property that is Federally-owned or tangible personal property in which the Federal Government retains an interest. In addition, DOC or a pass-through entity may require a non-Federal entity to submit Form SF-428 in connection with a non-Federal entity's request to dispose of, tangible personal property acquired under a DOC financial assistance award. Non-Federal entities wishing to dispose of tangible personal property acquired or improved, in whole or in part, pursuant to a DOC award must request disposition instructions, including the submission of Form SF-428, with appropriate attachments, from the Grants Officer in accordance with the requirements

set forth in 2 C.F.R. § 200.313(e). *See also* the tangible property standards set forth in Section C. of these Standard Terms (Property Standards).

3. Intangible Property Status Reports and Requests for Dispositions: The specific requirements governing the development, reporting, and disposition of rights to intangible property, including inventions and patents resulting from DOC awards, are set forth in 37 C.F.R. Part 401, which is hereby incorporated by reference into this award. Non-Federal entities are required to submit their disclosures, elections, and requests for waiver from any requirement for substantial U.S. manufacture, electronically using the Interagency Edison extramural invention reporting system (iEdison) at www.iedison.gov. Non-Federal entities may obtain a waiver of this electronic submission requirement by providing to the Grants Officer compelling reasons for allowing the submission of paper reports. When no longer needed for the originally authorized purpose, disposition of the intangible property must occur in accordance with the provisions in 2 C.F.R. § 200.313(e). *See also* the intangible property standards set forth in Section C. of these Standard Terms (Property Standards).

e. Subawards and Executive Compensation Reports. For reporting requirements on subawards and Executive Compensation, see paragraph G.05.o of these Standard Terms (The Federal Funding Accountability and Transparency Act (FFATA) (31 U.S.C. § 6101 note)).

f. Recipient Integrity and Performance Matters. For reporting requirements pertaining to integrity and performance matters, see paragraph G.05.p of these Standard Terms (Recipient Integrity and Performance Matters (Appendix XII to 2 C.F.R. Part 200)).

g. Research Performance Progress Reports. All research awards shall submit the Research Performance Progress Report (RPPR) in accordance with instructions set forth in the following link: [RPPR Instructions](#).

.02 Revisions of Program Plans

In accordance with 2 C.F.R. § 200.308 (Revisions of budget and program plans) and 2 C.F.R. § 200.407 (Prior written approval (prior approval)), the recipient must obtain prior written approval from the DOC Grants Officer for certain proposed programmatic change requests, unless otherwise provided by the terms and conditions of a DOC award. Requests for prior approval for changes to program plans must be submitted to the Federal Program Officer (or electronically for awards administered through Grants Online). Requests requiring prior DOC approval are not effective unless and until approved in writing by the DOC Grants Officer.

.03 Other Federal Awards with Similar Programmatic Activities

The recipient must immediately provide written notification to the DOC Program Officer and the DOC Grants Officer if, subsequent to receipt of the DOC award, other financial assistance is received to support or fund any portion of the scope of work incorporated into the DOC award. DOC will not pay for costs that are funded by other sources.

.04 Prohibition against Assignment by a Non-Federal Entity

A non-Federal entity must not transfer, pledge, mortgage, assign, encumber or hypothecate a DOC financial assistance award or subaward, or any rights to, interests therein or claims arising thereunder, to any party or parties, including but not limited to banks, trust companies, other financing or financial institutions, or any other public or private organizations or individuals without the express prior written approval of the DOC Grants Officer or the pass-through entity (which, in turn, may need to obtain prior approval from the DOC Grants Officer).

.05 Disclaimer Provisions

a. The United States expressly disclaims all responsibility or liability to the non-Federal entity or third persons (including but not limited to contractors) for the actions of the non-Federal entity or third persons resulting in death, bodily injury, property damages, or any other losses resulting in any way from the performance of this award or any subaward, contract, or subcontract under this award.

b. The acceptance of this award or any subaward by the non-Federal entity does not in any way constitute an agency relationship between the United States and the non-Federal entity or the non-Federal entity's contractors or subcontractors.

.06 Unsatisfactory Performance or Non-Compliance with Award Provisions

a. Failure to perform the work in accordance with the terms of the award and maintain satisfactory performance as determined by DOC may result in the imposition of additional award conditions pursuant to 2 C.F.R. § 200.207 (Specific conditions) or other appropriate enforcement action as specified in 2 C.F.R. § 200.338 (Remedies for noncompliance).

b. Failure to comply with the provisions of an award will be considered grounds for appropriate enforcement action pursuant to 2 C.F.R. § 200.338 (Remedies for noncompliance), including but not limited to: the imposition of additional award conditions in accordance with 2 C.F.R. § 200.207 (Specific conditions); temporarily withholding award payments pending the correction of the deficiency; changing the payment method to reimbursement only; the disallowance of award costs and the establishment of an accounts receivable; wholly or partially suspending or terminating an award; initiating suspension or debarment proceedings in accordance with 2 C.F.R. Parts 180 and 1326; and such other remedies as may be legally available.

c. 2 C.F.R. §§ 200.339 (Termination) through 200.342 (Effects of suspension and termination) apply to an award that is terminated prior to the end of the period of performance due to the non-federal entity's material failure to comply with the award terms and conditions. In addition, the failure to comply with the provisions of a DOC award may adversely impact the availability of funding under other active DOC or Federal awards and may also have a negative impact on a non-Federal entity's eligibility for future DOC or Federal awards.

B. FINANCIAL REQUIREMENTS

.01 Financial Management

a. In accordance with 2 C.F.R. § 200.302(a) (Financial Management), each State must expend and account for the Federal award in accordance with State laws and procedures for expending and accounting for the State's own funds. In addition, the State's and any other non-Federal entity's financial management systems, including records documenting compliance with Federal statutes, regulations, and the terms and conditions of the Federal award, must be sufficient to permit the preparation of reports required by general and program-specific terms and conditions; and the tracing of funds to a level of expenditures adequate to establish that such funds have been used in accordance with Federal statutes, regulations, and the terms and conditions applicable to the Federal award. *See also* 2 C.F.R. § 200.450 (Lobbying) for additional management requirements to verify that Federal funds are not used for unallowable lobbying costs.

b. The financial management system of each non-Federal entity must provide all information required by 2 C.F.R. § 200.302(b). *See also* 2 C.F.R. §§ 200.333 (Retention requirements for records); 200.334 (Requests for transfer of records); 200.335 (Methods for collection, transmission and storage of information); 200.336 (Access to records); and 200.337 (Restrictions on public access to records).

.02 Award Payments

a. Consistent with 2 C.F.R. § 200.305(a) (Payment), for States, payments are governed by Treasury-State Cash Management Improvement Act (CMIA) agreements and default procedures codified at 31 C.F.R. Part 205 (Rules and Procedures for Efficient Federal-State Funds Transfers) and Treasury Financial Manual Volume I, 4A-2000 (Overall Disbursing Rules for All Federal Agencies).

b. Consistent with 2 C.F.R. § 200.305(b), for non-Federal entities other than States, payment methods must minimize the amount of time elapsing between the transfer of funds from the U.S. Treasury or the pass-through entity and the disbursement by the non-Federal entity.

1. The Grants Officer determines the appropriate method of payment and, unless otherwise stated in a specific award condition, the advance method of payment must be authorized. Advances must be limited to the minimum amounts needed and be timed to be in accordance with the actual, immediate cash requirements of the non-Federal entity in carrying out the purpose of the approved program or project. Unless otherwise provided by the terms and conditions of a DOC award, non-Federal entities must time advance payment requests so that Federal funds are on hand for a maximum of 30 calendar days before being disbursed by the non-Federal entity for allowable award costs.

2. If a non-Federal entity demonstrates an unwillingness or inability to establish procedures that will minimize the time elapsing between the transfer of funds and disbursement by the non-Federal entity or if a non-Federal entity otherwise fails to continue to qualify for the advance method of payment, the Grants Officer or the pass-through entity may change the

method of payment to reimbursement only.

c. Unless otherwise provided for in the award terms, payments from DOC to recipients under this award will be made using the Department of Treasury's Automated Standard Application for Payment (ASAP) system. Under the ASAP system, payments are made through preauthorized electronic funds transfers directly to the recipient's bank account, in accordance with the requirements of the Debt Collection Improvement Act of 1996. To receive payments under ASAP, recipients are required to enroll with the Department of Treasury, Financial Management Service, Regional Financial Centers, which allows them to use the on-line and Voice Response System (VRS) method of withdrawing funds from their ASAP established accounts. The following information will be required to make withdrawals under ASAP:

1. ASAP account number – the Federal award identification number found on the cover sheet of the award;
2. Agency Location Code (ALC); and
3. Region Code.

d. Recipients enrolled in the ASAP system do not need to submit a Form SF-270 (Request for Advance or Reimbursement), for payments relating to their award. Awards paid under the ASAP system will contain a specific award condition, clause, or provision describing enrollment requirements and any controls or withdrawal limits set in the ASAP system.

e. When the Form SF-270 (Request for Advance or Reimbursement) or successor form is used to request payment, the recipient must submit the request no more frequently than monthly, and advances must be approved for periods to cover only expenses reasonably anticipated over the next 30 calendar days. Prior to receiving payments via the Form SF-270, the recipient must complete and submit to the Grants Officer, the Form SF-3881 (ACH Vendor Miscellaneous Payment Enrollment Form) or successor form along with the initial Form SF-270. Form SF-3881 enrollment must be completed before the first award payment can be made via a Form SF-270 request.

f. The Federal award identification number must be included on all payment-related correspondence, information, and forms.

g. Non-Federal entities receiving advance award payments must adhere to the depository requirements set forth in 2 C.F.R. §§ 200.305(b)(7) through (b)(9). Interest amounts up to \$500 per non-Federal entity's fiscal year may be retained by the non-Federal entity for administrative expenses.

.03 Federal and Non-Federal Sharing

a. Awards that include Federal and non-Federal sharing incorporate a budget consisting of shared allowable costs. If actual allowable costs are less than the total approved budget, the Federal and non-Federal cost shares must be calculated by applying the approved Federal and non-Federal cost share ratios to actual allowable costs. If actual allowable costs exceed the total

approved budget, the Federal share must not exceed the total Federal dollar amount authorized by the award.

b. The non-Federal share, whether in cash or third party in-kind contributions, is to be paid out at the same general rate as the Federal share. Exceptions to this requirement may be granted by the Grants Officer based on sufficient documentation demonstrating previously determined plans for, or later commitment of, cash or third party in-kind contributions. In any case, the recipient must meet its cost share commitment as set forth in the terms and conditions of the award; failure to do so may result in the assignment of specific award conditions or other further action as specified in Standard Term A.06 (Unsatisfactory Performance or Non-Compliance with Award Provisions). The non-Federal entity must create and maintain sufficient records justifying all non-Federal sharing requirements to facilitate questions and audits; see Section D of these Standard Terms (Audits), for audit requirements. See 2 C.F.R. § 200.306 for additional requirements regarding cost sharing.

.04 Budget Changes and Transfer of Funds among Categories

a. Recipients are required to report deviations from the approved project budget and request prior written approval from DOC in accordance with 2 C.F.R. § 200.308 (Revision of budget and program plans) and 2 C.F.R. § 200.407 (Prior written approval (prior approval)). Requests for such budget changes must be submitted to the Grants Officer (or electronically for awards serviced through Grants Online) who will notify the recipient of the final determination in writing. Requests requiring prior DOC approval do not become effective unless and until approved in writing by the DOC Grants Officer.

b. In accordance with 2 C.F.R. § 200.308(e), transfers of funds by the recipient among direct cost categories are permitted for awards in which the Federal share of the project is \$250,000 or less. For awards in which the Federal share of the project exceeds \$250,000, transfers of funds among direct cost categories must be approved in writing by the Grants Officer when the cumulative amount of such direct costs transfers exceeds 10 percent of the total budget as last approved by the Grants Officer. The 10 percent threshold applies to the total Federal and non-Federal funds authorized by the Grants Officer at the time of the transfer request. This is the accumulated amount of Federal funding obligated to date by the Grants Officer along with any non-Federal share. The same requirements apply to the cumulative amount of transfer of funds among programs, functions, and activities. This transfer authority does not authorize the recipient to create new budget categories within an approved budget without Grants Officer approval. Any transfer that causes any Federal appropriation, or part thereof, to be used for an unauthorized purpose is not and will not be permitted. In addition, this provision does not prohibit the recipient from requesting Grants Officer approval for revisions to the budget. See 2 C.F.R. § 200.308 (Revision of budget and program plans) (as applicable) for specific requirements concerning budget revisions and transfer of funds between budget categories.

.05 Program Income

Unless otherwise indicated in the award terms, program income may be used for any required cost sharing or added to the project budget, consistent with 2 C.F.R. § 200.307 (Program income).

.06 Indirect or Facilities and Administrative Costs

a. Indirect costs (or facilities and administration costs (F&A)) for major institutions of higher education and major nonprofit organizations can generally be defined as costs incurred for a common or joint purpose benefitting more than one cost objective, and not readily assignable to the cost objectives specifically benefitted, without effort disproportionate to the results achieved. Indirect (F&A) costs will not be allowable charges against an award unless permitted under the award and specifically included as a line item in the award's approved budget.

b. Unrecovered indirect costs, including unrecovered indirect costs on cost sharing or matching, may be included as part of cost sharing or matching as allowed under 2 C.F.R. § 200.306(c) (Cost sharing or matching) or the terms and conditions of a DOC award.

c. Cognizant Agency for Indirect (F&A) Costs. OMB established the cognizant agency concept, under which a single agency represents all others in dealing with non-Federal entities in common areas. The cognizant agency for indirect costs reviews and approves non-Federal entities' indirect cost rates. In accordance with Appendices III – VII to 2 C.F.R. Part 200 the cognizant agency for indirect costs reviews and approves non-Federal entities' indirect cost rates. With respect to for-profit organizations, the term cognizant Federal agency generally is defined as the agency that provides the largest dollar amount of negotiated contracts, including options. *See* 48 C.F.R. § 42.003. If the only Federal funds received by a commercial organization are DOC award funds, then DOC becomes the cognizant Federal agency for indirect cost negotiations.

1. General Review Procedures Where DOC is the Cognizant Agency.

i. Within 90 calendar days of the award start date the recipient must submit to the Grants Officer any documentation (indirect cost proposal, cost allocation plan, etc.) necessary to allow DOC to perform the indirect cost rate proposal review. Below are two sources available for guidance on how to put an indirect cost plan together:

(A) Department of Labor: <https://www.dol.gov/oasam/boc/dcd/np-comm-guide.htm>

or

(B) Department of the Interior: <https://www.doi.gov/ibc/services/finance/indirect-Cost-Services/>.

ii. The recipient may use the rate proposed in the indirect cost plan as a provisional rate until the DOC provides a response to the submitted plan.

iii. The recipient is required to annually submit indirect cost proposals – no later than six months after the recipient's fiscal year end, except as otherwise provided by 2 C.F.R. § 200.414(g).

2. When DOC is not the oversight or cognizant Federal agency, the recipient must provide the Grants Officer with a copy of a negotiated rate agreement or a copy of the transmittal letter submitted to the cognizant or oversight Federal agency requesting a negotiated rate

agreement within 30 calendar days of receipt of a negotiated rate agreement or submission of a negotiated rate proposal.

3. If the recipient is proposing indirect costs as part of a project budget, but is not required to have a negotiated rate agreement pursuant to 2 C.F.R. Part 200, Appendix VII, Paragraph D.1.b (*i.e.*, a governmental department or agency that receives \$35 million or less in direct Federal funding), the recipient may be required to provide the Grants Officer with a copy of its Certificate of Indirect Costs as referenced in 2 C.F.R. Part 200, Appendix VII, Paragraph D.3. or such other documentation, acceptable in form and substance to the Grants Officer, sufficient to confirm that proposed indirect costs are calculated and supported by documentation in accordance with 2 C.F.R. Part 200, Appendix VII. In cases where the DOC is the recipient's cognizant Federal agency, the DOC reserves the right, pursuant to 2 C.F.R. Part 200, Appendix VII, Paragraph D.1.b, to require the recipient to submit its indirect cost rate proposal for review by DOC.

d. If the recipient fails to submit required documentation to DOC within 90 calendar days of the award start date, the Grants Officer may amend the award to preclude the recovery of any indirect costs under the award. If the DOC, oversight, or cognizant Federal agency determines there is a finding of good and sufficient cause to excuse the recipient's delay in submitting the documentation, an extension of the 90-day due date may be approved by the Grants Officer.

e. The maximum dollar amount of allocable indirect costs for which DOC will reimburse the recipient is the lesser of:

1. The line item amount for the Federal share of indirect costs contained in the approved award budget, including all budget revisions approved in writing by the Grants Officer; or
2. The Federal share of the total indirect costs allocable to the award based on the indirect cost rate approved by the cognizant agency for indirect costs and applicable to the period in which the cost was incurred, provided that the rate is approved on or before the award end date.

f. In accordance with 2 CFR § 200.414(c)(3), DOC set forth policies, procedures, and general decision-making criteria for deviations from negotiated indirect cost rates. These policies and procedures are applicable to all Federal financial assistance programs awarded and administered by DOC bureaus as Federal awarding agencies and may be found at http://www.osec.doc.gov/oam/grants_management/policy/documents/FAM%202015-02.pdf.

g. In accordance with 2 CFR § 200.414(g), any non-Federal entity that has a negotiated indirect cost rate may apply to the entity's cognizant agency for indirect costs for a one-time extension of a currently negotiated indirect cost rate for a period of up to four years, reducing the frequency of rate calculations and negotiations between an institution and its cognizant agency.

h. In accordance with 2 CFR § 200.414(f), any non-Federal entity that has never received a negotiated indirect cost rate, except for those non-Federal entities described in Paragraph D.1.b

of Appendix VII to 2 CFR Part 200, may elect to charge a de minimis rate of 10 percent of modified total direct costs.

.07 Incurring Costs or Obligating Federal Funds Before and After the Period of Performance

a. In accordance with 2 C.F.R. § 200.309 (Period of performance) and the terms and conditions of a DOC award, a non-Federal entity may charge to the Federal award only allowable costs incurred during the period of performance, which is established in the award document. As defined at 2 C.F.R. § 200.77, the “period of performance” is “the time during which the non-Federal entity may incur new obligations to carry out the work authorized under the Federal award.” The period of performance may sometimes be referred to as the project period or award period. This Standard Term is subject to exceptions for allowable costs pertaining to: (i) pre-award costs (*see* 2 C.F.R. § 200.458); (ii) publication and printing costs (*see* 2 C.F.R. § 200.461); and administrative costs incurred relating to the close-out of an award (*see* 2 C.F.R. § 200.343).

b. Reasonable, necessary, allowable and allocable administrative award closeout costs are authorized for a period of up to 90 calendar days following the end of the period of performance. For this purpose, award closeout costs are those strictly associated with close-out activities and are typically limited to the preparation of final progress, financial, and required project audit reports, unless otherwise approved in writing by the Grants Officer. A non-Federal entity may request an extension of the 90-day closeout period, as provided in 2 C.F.R. § 200.343 (Closeout).

c. Unless authorized by a specific award condition, any extension of the period of performance may only be authorized by the Grants Officer in writing. This is not a delegable authority. Verbal or written assurances of funding from anyone other than the Grants Officer does not constitute authority to obligate funds for programmatic activities beyond the end of the period of performance.

d. The DOC has no obligation to provide any additional prospective funding. Any amendment of the award to increase funding and to extend the period of performance is at the sole discretion of DOC.

.08 Tax Refunds

The non-Federal entity shall contact the Grants Officer immediately upon receipt of the refund of any taxes, including but not limited to Federal Insurance Contributions Act (FICA) taxes, Federal Unemployment Tax Act (FUTA) taxes, or Value Added Taxes (VAT) that were allowed as charges to a DOC award, regardless of whether such refunds are received by the non-Federal entity during or after the period of performance. The Grants Officer will provide written disposition instructions to the non-Federal entity, which may include the refunded taxes being credited to the award as either a cost reduction or a cash refund, or may allow the non-Federal entity to use such refunds for approved activities and costs under a DOC award. *See* 2 C.F.R. § 200.470 (Taxes (including Value Added Tax)).

.09 Internal Controls

Each recipient must comply with standards for internal controls described at 2 C.F.R. § 200.303 (Internal controls). The “Standards for Internal Control in the Federal Government” issued by the Comptroller General of the United States referenced in § 200.303 are available online at <http://www.gao.gov/assets/80/76455.pdf> and the “Internal Control Integrated Framework” issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO) is available online at <http://www.coso.org/documents/Internal%20Control-Integrated%20Framework.pdf>.

C. PROPERTY STANDARDS

.01 Standards

Each non-Federal entity must comply with the Property Standards set forth in 2 C.F.R. §§ 200.310 (Insurance coverage) through 200.316 (Property trust relationship).

.02 Real and Personal Property

a. In accordance with 2 C.F.R. § 200.316 (Property trust relationship), real property, equipment, and other personal property acquired or improved with a Federal award must be held in trust by the non-Federal entity as trustee for the beneficiaries of the project or program under which the property was acquired or improved. This trust relationship exists throughout the duration of the property’s estimated useful life, as determined by the Grants Officer in consultation with the Program Office, during which time the Federal Government retains an undivided, equitable reversionary interest in the property (Federal Interest). During the duration of the Federal Interest, the non-Federal entity must comply with all use and disposition requirements and restrictions as set forth in 2 C.F.R. §§ 200.310 (Insurance coverage) through 200.316 (Property trust relationship), as applicable, and in the terms and conditions of the Federal award.

b. The Grants Officer may require a non-Federal entity to execute and to record (as applicable) a statement of interest, financing statement (form UCC-1), lien, mortgage or other public notice of record to indicate that real or personal property acquired or improved in whole or in part with Federal funds is subject to the Federal Interest, and that certain use and disposition requirements apply to the property. The statement of interest, financing statement (form UCC-1), lien, mortgage or other public notice must be acceptable in form and substance to the DOC and must be placed of record in accordance with applicable State and local law, with continuances re-filed as appropriate. In such cases, the Grants Officer may further require the non-Federal entity to provide the DOC with a written statement from a licensed attorney in the jurisdiction where the property is located certifying that the Federal Interest has been protected, as required under the award and in accordance with applicable State and local law. The attorney’s statement, along with a copy of the instrument reflecting the recordation of the Federal Interest, must be returned to the Grants Officer. Without releasing or excusing the non-Federal entity from these obligations, the non-Federal entity, by execution of the financial assistance award or by expending Federal financial assistance funds (in the case of a subrecipient),

authorizes the Grants Officer and/or program office to file such notices and continuations as it determines to be necessary or convenient to disclose and protect the Federal Interest in the property. The Grants Officer may elect not to release any or a portion of the Federal award funds until the non-Federal entity has complied with this provision and any other applicable award terms or conditions, unless other arrangements satisfactory to the Grants Officer are made.

.03 Intellectual Property Rights

a. General. The rights to any work or other intangible property, produced or acquired under a Federal award are determined by 2 C.F.R. § 200.315 (Intangible property). The non-Federal entity owns any work produced or purchased under a Federal award subject to the DOC's royalty-free, nonexclusive, and irrevocable right to obtain, reproduce, publish, or otherwise use the work or authorize others to receive, reproduce, publish, or otherwise use the work for Government purposes.

b. Inventions. Unless otherwise provided by law, the rights to any invention made by a non-Federal entity under a DOC financial assistance award are determined by the Bayh-Dole Act, Pub. L. No. 96-517, as amended, and as codified in 35 U.S.C. § 200 *et seq.*, and modified by E.O. 12591 (52 FR 13414), as amended by E.O. 12618 (52 FR 48661). 35 U.S.C. § 201(h) defines "small business firm" as "a small business concern as defined at section 2 of Public Law 85-536 (15 U.S.C. 632) and implementing regulations of the Administrator of the Small Business Administration." Section 1(b)(4) of E.O. 12591 extended the Bayh-Dole Act to non-Federal entities "regardless of size" to the extent permitted by law. The specific requirements governing the development, reporting, and disposition of rights to inventions and patents resulting from Federal awards are described in more detail in 37 C.F.R. Part 401, which implements 35 U.S.C. 202 through 204 and includes standard patent rights clauses in 37 C.F.R. § 401.14, which is hereby incorporated by reference into this award.

The Bayh-Dole regulations set forth in 37 C.F.R. part 401 and 404 were amended by 83 FR 15954, with an effective date of May 14, 2018 (Amended Bayh-Dole Regulations). The Amended Bayh-Dole Regulations apply to all new financial assistance awards issued on or after May 14, 2018. The Amended Bayh-Dole Regulations do not apply to financial assistance awards issued prior to May 14, 2018, including amendments made to such awards, unless an award amendment includes a specific condition incorporating the Amended Bayh-Dole Regulations into the terms and conditions of the subject award.

1. Ownership. A non-Federal entity may have rights to inventions in accordance with 37 C.F.R. Part 401. These requirements are technical in nature and non-Federal entities are encouraged to consult with their Intellectual Property counsel to ensure the proper interpretation of and adherence to the ownership rules. Unresolved questions pertaining to a non-Federal entities' ownership rights may further be addressed to the Grants Officer.
2. Responsibilities - iEdison. The non-Federal entity must comply with all the requirements of the standard patent rights clause and 37 C.F.R. Part 401, including the standard patent rights clause in 37 C.F.R. § 401.14. Non-Federal entities are required to submit their disclosures, elections, and requests for waiver from any requirement for substantial U.S. manufacture, electronically using the Interagency Edison extramural invention reporting

system (iEdison) at www.iedison.gov. Non-Federal entities may obtain a waiver of this electronic submission requirement by providing the Grants Officer with compelling reasons for allowing the submission of paper reports.

c. Patent Notification Procedures. Pursuant to E.O. 12889 (58 FR 69681), the DOC is required to notify the owner of any valid patent covering technology whenever the DOC or a non-Federal entity, without making a patent search, knows (or has demonstrable reasonable grounds to know) that technology covered by a valid United States patent has been or will be used without a license from the owner. To ensure proper notification, if the non-Federal entity uses or has used patented technology under this award without a license or permission from the owner, the non-Federal entity must notify the Grants Officer.

This notice does not constitute authorization or consent by the Government to any copyright or patent infringement occurring under the award.

d. A non-Federal entity may copyright any work produced under a Federal award, subject to the DOC's royalty-free, nonexclusive, and irrevocable right to obtain, reproduce, publish, or otherwise use the work, or authorize others to do so for Government purposes. Works jointly authored by DOC and non-Federal entity employees may be copyrighted, but only the part of such works authored by the non-Federal entity is protectable in the United States because, under 17 U.S.C. § 105, copyright protection is not available within the United States for any work of the United States Government. On occasion and as permitted under 17 U.S.C. § 105, DOC may require the non-Federal entity to transfer to DOC a copyright in a particular work for Government purposes or when DOC is undertaking primary dissemination of the work.

e. Freedom of Information Act (FOIA). In response to a FOIA request for research data relating to published research findings (as defined by 2 C.F.R. § 200.315(e)(2)) produced under a Federal award that were used by the Federal government in developing an agency action that has the force and effect of law, the DOC will request, and the non-Federal entity must provide, within a reasonable time, the research data so that they can be made available to the public through the procedures established under the FOIA.

D. AUDITS

Under the Inspector General Act of 1978, as amended, 5 U.S.C. App. 3, §§ 1 *et seq.*, an audit of the award may be conducted at any time. The Inspector General of the DOC, or any of his or her duly authorized representatives, must have the right to access any pertinent books, documents, papers, and records of the non-Federal entity, whether written, printed, recorded, produced, or reproduced by any electronic, mechanical, magnetic, or other process or medium, to make audits, inspections, excerpts, transcripts, or other examinations as authorized by law. This right also includes timely and reasonable access to the non-Federal entity's personnel for interview and discussion related to such documents. *See* 2 C.F.R. § 200.336 (Access to records). When the DOC Office of Inspector General (OIG) requires a program audit on a DOC award, the OIG will usually make the arrangements to audit the award, whether the audit is performed by OIG personnel, an independent accountant under contract with DOC, or any other Federal, State, or local audit entity.

.01 Organization-Wide, Program-Specific, and Project Audits

a. A recipient must, within 90 days of the end of its fiscal year, notify the Grants Officer of the amount of Federal awards, including all DOC and non-DOC awards, that the recipient expended during its fiscal year.

b. Recipients that are subject to the provisions of Subpart F of 2 C.F.R. Part 200 and that expend \$750,000 or more in a year in Federal awards during their fiscal year must have an audit conducted for that year in accordance with the requirements contained in Subpart F of 2 C.F.R. Part 200. Within the earlier of 30 calendar days after receipt of the auditor's report(s), or nine months after the end of the audit period, unless a different period is specified in a program-specific audit guide, a copy of the audit must be submitted electronically to the Federal Audit Clearinghouse (FAC) through the FAC's Internet Data Entry System (IDES) (<https://harvester.census.gov/facides/>). In accordance with 2 C.F.R. § 200.425, the recipient may include a line item in the budget for the allowable costs associated with the audit, which is subject to the approval of the Grants Officer.

c. Unless otherwise specified in the terms and conditions of the award, entities that are not subject to Subpart F of 2 C.F.R. Part 200 (e.g., for-profit entities, foreign public entities and foreign organizations) and that expend \$750,000 or more in DOC funds during their fiscal year (including both as a recipient and a subrecipient) must submit to the Grants Officer either: (i) a financial related audit of each DOC award or subaward in accordance with Generally Accepted Government Auditing Standards (GAGAS); or (ii) a project specific audit for each award or subaward in accordance with the requirements contained in 2 C.F.R. § 200.507. Within the earlier of 30 calendar days after receipt of the auditor's report(s), or nine months after the end of the audit period, unless a different period is specified in a program-specific audit guide, a copy of the audit must be submitted to the Grants Officer. In accordance with 2 C.F.R. § 200.425, the recipient may include a line item in the budget for the allowable costs associated with the audit, which is subject to the approval of the Grants Officer. Entities that are not subject to Subpart F of 2 C.F.R. Part 200 and that expend less than \$750,000 in DOC funds in a given fiscal year are not required to submit an audit(s) for that year, but must make their award-related records available to DOC or other designated officials for review and audit.

d. Recipients are responsible for compliance with the above audit requirements and for informing the Grants Officer of the status of their audit, including when the relevant audit has been completed and submitted in accordance with the requirements of this section. Failure to provide audit reports within the timeframes specified above may result in appropriate enforcement action, up to and including termination of the award, and may jeopardize eligibility for receiving future DOC awards.

e. In accordance with 2 C.F.R. § 200.331(d)(3), pass-through entities are responsible for issuing a management decision for any audit findings pertaining to the Federal award provided by the pass-through entity to a subrecipient.

.02 Audit Resolution Process

a. An audit of the award may result in the disallowance of costs incurred by the recipient and the establishment of a debt (account receivable) due to DOC. For this reason, the recipient should take seriously its responsibility to respond to all audit findings and recommendations with adequate explanations and supporting evidence whenever audit results are disputed.

b. A recipient whose award is audited has the following opportunities to dispute the proposed disallowance of costs and the establishment of a debt:

1. The recipient has 30 calendar days from the date of the transmittal of the draft audit report to submit written comments and documentary evidence.
2. The recipient has 30 calendar days from the date of the transmittal of the final audit report to submit written comments and documentary evidence.
3. The DOC will review the documentary evidence submitted by the recipient and will notify the recipient of the results in an *Audit Resolution Determination Letter*. The recipient has 30 calendar days from the date of receipt of the *Audit Resolution Determination Letter* to submit a written appeal, unless this deadline is extended in writing by the DOC. The appeal is the last opportunity for the recipient to submit written comments and documentary evidence to the DOC to dispute the validity of the audit resolution determination.
4. An appeal of the Audit Resolution Determination does not prevent the establishment of the audit-related debt nor does it prevent the accrual of applicable interest, penalties and administrative fees on the debt in accordance with 15 C.F.R. Part 19. If the Audit Resolution Determination is overruled or modified on appeal, appropriate corrective action will be taken retroactively.
5. The DOC will review the recipient's appeal and notify the recipient of the results in an *Appeal Determination Letter*. After the opportunity to appeal has expired or after the appeal determination has been rendered, DOC will not accept any further documentary evidence from the recipient. No other administrative appeals are available in DOC.

E. DEBTS

.01 Payment of Debts Owed to the Federal Government

a. The non-Federal entity must promptly pay any debts determined to be owed to the Federal Government. Any funds paid to a non-Federal entity in excess of the amount to which the non-Federal entity is finally determined to be entitled under the terms of the Federal award constitute a debt to the Federal government. In accordance with 2 C.F.R. § 200.345 (Collection of amounts due), if not paid within 90 calendar days after demand, DOC may reduce a debt owed to the Federal Government by:

1. Making an administrative offset against other requests for reimbursement;

2. Withholding advance payments otherwise due to the non-Federal entity; or
3. Taking any other action permitted by Federal statute.

The foregoing does not waive any claim on a debt that DOC may have against another entity, and all rights and remedies to pursue other parties are preserved.

b. DOC debt collection procedures are set out in 15 C.F.R. Part 19. In accordance with 2 C.F.R. § 200.345 (Collection of amounts due) and 31 U.S.C. § 3717, failure to pay a debt owed to the Federal Government must result in the assessment of interest, penalties and administrative costs in accordance with the provisions of 31 U.S.C. § 3717 and 31 C.F.R. § 901.9. Commerce entities will transfer any Commerce debt that is delinquent for more than 120 calendar days to the U.S. Department of the Treasury's Financial Management Service for debt collection services, a process known as cross-servicing, pursuant to 31 U.S.C. § 3711(g), 31 C.F.R. § 285.12, and 15 C.F.R. § 19.9. DOC may also take further action as specified in DOC ST&C A.06 (Unsatisfactory Performance or Non-Compliance with Award Provisions). Funds for payment of a debt must not come from other Federally-sponsored programs, and the DOC may conduct on-site visits, audits, and other reviews to verify that other Federal funds have not been used to pay a debt.

.02 Late Payment Charges

a. Interest will be assessed on the delinquent debt in accordance with section 11 of the Debt Collection Act of 1982, as amended (31 U.S.C. § 3717(a)). The minimum annual interest rate to be assessed is the U.S. Department of the Treasury's Current Value of Funds Rate (CVFR). The CVFR is available online at https://www.fiscal.treasury.gov/fsreports/rpt/cvfr/cvfr_home.htm and also published by the Department of the Treasury in the *Federal Register* (<http://www.gpo.gov/fdsys/browse/collection.action?collectionCode=FR>) and in the *Treasury Financial Manual Bulletin*. The assessed rate must remain fixed for the duration of the indebtedness.

b. Penalties will accrue at a rate of not more than six percent per year or such other higher rate as authorized by law.

c. Administrative charges, i.e., the costs of processing and handling a delinquent debt, will be determined by the Commerce entity collecting the debt, as directed by the Office of the Chief Financial Officer and Assistant Secretary for Administration.

.03 Barring Delinquent Federal Debtors from Obtaining Federal Loans or Loan Insurance Guarantees

Pursuant to 31 U.S.C. § 3720B and 31 C.F.R. § 901.6, unless waived by DOC, the DOC is not permitted to extend financial assistance in the form of a loan, loan guarantee, or loan insurance to any person delinquent on a nontax debt owed to a Federal agency. This prohibition does not apply to disaster loans.

.04 Effect of Judgment Lien on Eligibility for Federal Grants, Loans, or Programs

Pursuant to 28 U.S.C. § 3201(e), unless waived by the DOC, a debtor who has a judgment lien against the debtor's property for a debt to the United States is not eligible to receive any grant or loan that is made, insured, guaranteed, or financed directly or indirectly by the United States or to receive funds directly from the Federal Government in any program, except funds to which the debtor is entitled as beneficiary, until the judgment is paid in full or otherwise satisfied.

F. CONFLICT OF INTEREST, CODE OF CONDUCT AND OTHER REQUIREMENTS PERTAINING TO DOC FINANCIAL ASSISTANCE AWARDS, INCLUDING SUBAWARDS AND PROCUREMENTS ACTIONS

.01 Conflict of Interest and Code of Conduct

a. **DOC Conflict of Interest Policy.** In accordance with 2 C.F.R. § 200.112 (Conflict of interest), the non-Federal entity must disclose in writing any potential conflict of interest to the DOC or pass-through entity. In addition, a non-Federal entity will establish and maintain written standards of conduct that include safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain in the administration of an award. It is the DOC's policy to maintain the highest standards of conduct and to prevent real or apparent conflicts of interest in connection with DOC financial assistance awards.

b. A conflict of interest generally exists when an interested party participates in a matter that has a direct and predictable effect on the interested party's personal or financial interests. A financial interest may include employment, stock ownership, a creditor or debtor relationship, or prospective employment with the organization selected or to be selected for a subaward. A conflict also may exist where there is an appearance that an interested party's objectivity in performing his or her responsibilities under the project is impaired. For example, an appearance of impairment of objectivity may result from an organizational conflict where, because of other activities or relationships with other persons or entities, an interested party is unable to render impartial assistance, services or advice to the recipient, a participant in the project or to the Federal Government. Additionally, a conflict of interest may result from non-financial gain to an interested party, such as benefit to reputation or prestige in a professional field. For purposes of the DOC Conflict of Interest Policy, an interested party includes, but is not necessarily limited to, any officer, employee or member of the board of directors or other governing board of a non-Federal entity, including any other parties that advise, approve, recommend, or otherwise participate in the business decisions of the recipient, such as agents, advisors, consultants, attorneys, accountants or shareholders. This also includes immediate family and other persons directly connected to the interested party by law or through a business arrangement.

c. **Procurement-related conflict of interest.** In accordance with 2 C.F.R. § 200.318 (General procurement standards), non-Federal entities must maintain written standards of conduct

covering conflicts of interest and governing the performance of their employees engaged in the selection, award and administration of contracts. *See* paragraph F.04 of these Standard Terms (Requirements for Procurements).

.02 Nonprocurement Debarment and Suspension

Non-Federal entities must comply with the provisions of 2 C.F.R. Part 1326 (Nonprocurement Debarment and Suspension), which generally prohibit entities that have been debarred, suspended, or voluntarily excluded from participating in Federal nonprocurement transactions either through primary or lower tier covered transactions, and which set forth the responsibilities of recipients of Federal financial assistance regarding transactions with other persons, including subrecipients and contractors.

.03 Requirements for Subawards

The recipient or pass-through entity must require all subrecipients, including lower tier subrecipients, to comply with the terms and conditions of a DOC financial assistance award, including applicable provisions of the OMB Uniform Guidance (2 C.F.R. Part 200), and all associated Terms and Conditions set forth herein. *See* 2 C.F.R. § 200.101(b)(1) (Applicability), which describes the applicability of 2 C.F.R. Part 200 to various types of Federal awards and §§ 200.330-332 (Subrecipient monitoring and management).

.04 Requirements for Procurements

a. States. Pursuant to 2 C.F.R. § 200.317 (Procurements by states), when procuring property and services under this Federal award, a State must follow the same policies and procedures it uses for procurements from its non-Federal funds. The State must comply with 2 C.F.R. § 200.322 (Procurement of recovered materials), and ensure that every purchase order or other contract includes any clauses required by 2 C.F.R. § 200.326 (Contract provisions).

b. Other Non-Federal Entities. All other non-Federal entities, including subrecipients of a State, must follow the requirements of 2 C.F.R. §§ 200.318 (General procurement standards) through 200.326 (Contract provisions) which includes the requirement that non-Federal entities maintain written standards of conduct covering conflicts of interest and governing the performance of their employees engaged in the selection, award, and administration of contracts. No employee, officer, or agent may participate in the selection, award, or administration of a contract supported by a Federal award if he or she has a real or apparent conflict of interest.

.05 Whistleblower Protections

This award is subject to the whistleblower protections afforded by 41 U.S.C. § 4712 (Enhancement of contractor protection from reprisal for disclosure of certain information), which generally provide that an employee or contractor (including subcontractors and personal services contractors) of a non-Federal entity may not be discharged, demoted, or otherwise discriminated against as a reprisal for disclosing to a person or body information that the employee reasonably believes is evidence of gross mismanagement of a Federal award, subaward, or a contract under a Federal award or subaward, a gross waste of Federal funds, an abuse of authority relating to a

Federal award or subaward or contract under a Federal award or subaward, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a Federal award, subaward, or contract under a Federal award or subaward. These persons or bodies include:

- a. A Member of Congress or a representative of a committee of Congress.
- b. An Inspector General.
- c. The Government Accountability Office.
- d. A Federal employee responsible for contract or grant oversight or management at the relevant agency.
- e. An authorized official of the Department of Justice or other law enforcement agency.
- f. A court or grand jury.
- g. A management official or other employee of the contractor, subcontractor, or grantee who has the responsibility to investigate, discover, or address misconduct.

Non-Federal entities and contractors under Federal awards and subawards must inform their employees in writing of the rights and remedies provided under 41 U.S.C. § 4712, in the predominant native language of the workforce.

.06 Small Businesses, Minority Business Enterprises and Women’s Business Enterprises

In accordance with 2 C.F.R. § 200.321 (Contracting with small and minority businesses, women’s business enterprises, and labor surplus area firms), the recipient must take all necessary affirmative steps to assure that minority businesses, women’s business enterprises, and labor surplus areas firms are used when possible. DOC encourages non-Federal entities to use small businesses, minority business enterprises and women’s business enterprises in contracts under financial assistance awards. The Minority Business Development Agency within the DOC will assist non-Federal entities in matching qualified minority business enterprises with contract opportunities. For further information visit MBDA’s website at <http://www.mbda.gov>. If you do not have access to the Internet, you may contact MBDA via telephone or mail:

U.S. Department of Commerce
Minority Business Development Agency
Herbert C. Hoover Building
14th Street and Constitution Avenue, N.W.
Washington, D.C. 20230
(202) 482-0101

G. NATIONAL POLICY REQUIREMENTS

.01 United States Laws and Regulations

This award is subject to the laws and regulations of the United States. The recipient must comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

.02 Non-Discrimination Requirements

No person in the United States must, on the ground of race, color, national origin, handicap, age, religion, or sex, be excluded from participation in, be denied the benefits of, or be subject to discrimination under, any program or activity receiving Federal financial assistance. The recipient agrees to comply with the non-discrimination requirements below:

a. Statutory Provisions

1. Title VI of the Civil Rights Act of 1964 (42 U.S.C. §§ 2000d *et seq.*) and DOC implementing regulations published at 15 C.F.R. Part 8 prohibiting discrimination on the grounds of race, color, or national origin under programs or activities receiving Federal financial assistance;
2. Title IX of the Education Amendments of 1972 (20 U.S.C. §§ 1681 *et seq.*) prohibiting discrimination on the basis of sex under Federally assisted education programs or activities;
3. The Americans with Disabilities Act of 1990 (42 U.S.C. §§ 12101 *et seq.*) prohibiting discrimination on the basis of disability under programs, activities, and services provided or made available by State and local governments or instrumentalities or agencies thereto, as well as public or private entities that provide public transportation;
4. Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), and DOC implementing regulations published at 15 C.F.R. Part 8b prohibiting discrimination on the basis of handicap under any program or activity receiving or benefiting from Federal assistance.

For purposes of complying with the accessibility standards set forth in 15 C.F.R. § 8b.18(c), non-federal entities must adhere to the regulations, published by the U.S. Department of Justice, implementing Title II of the Americans with Disabilities Act (ADA) (28 C.F.R. part 35; 75 FR 56164, as amended by 76 FR 13285) and Title III of the ADA (28 C.F.R. part 36; 75 FR 56164, as amended by 76 FR 13286). The revised regulations adopted new enforceable accessibility standards called the “2010 ADA Standards for Accessible Design” (2010 Standards), which replace and supersede the former Uniform Federal Accessibility Standards for new construction and alteration projects;

5. The Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101 *et seq.*), and DOC implementing regulations published at 15 C.F.R. Part 20 prohibiting discrimination on the basis of age in programs or activities receiving Federal financial assistance; and
6. Any other applicable non-discrimination law(s).

b. Other Provisions

1. Parts II and III of E.O. 11246 (Equal Employment Opportunity, 30 FR 12319),⁴ which requires Federally assisted construction contracts to include the nondiscrimination provisions of §§ 202 and 203 of E.O. 11246 and Department of Labor regulations implementing E.O. 11246 (41 C.F.R. § 60-1.4(b)).
2. E.O. 13166 (65 FR 50121, Improving Access to Services for Persons with Limited English Proficiency), requiring Federal agencies to examine the services provided, identify any need for services to those with limited English proficiency (LEP), and develop and implement a system to provide those services so LEP persons can have meaningful access to them. The DOC issued policy guidance on March 24, 2003 (68 FR 14180) to articulate the Title VI prohibition against national origin discrimination affecting LEP persons and to help ensure that non-Federal entities provide meaningful access to their LEP applicants and beneficiaries.

c. Title VII Exemption for Religious Organizations

Generally, Title VII of the Civil Rights Act of 1964, 42 U.S.C. §§ 2000e *et seq.*, provides that it is an unlawful employment practice for an employer to discharge any individual or otherwise to discriminate against an individual with respect to compensation, terms, conditions, or privileges of employment because of such individual's race, color, religion, sex, or national origin. However, Title VII, 42 U.S.C. § 2000e-1(a), expressly exempts from the prohibition against discrimination based on religion, "a religious corporation, association, educational institution, or society with respect to the employment of individuals of a particular religion to perform work connected with the carrying on by such corporation, association, educational institution, or society of its activities."

.03 LOBBYING RESTRICTIONS

a. Statutory Provisions

Non-Federal entities must comply with 2 C.F.R. § 200.450 (Lobbying), which incorporates the provisions of 31 U.S.C. § 1352; and OMB guidance and notices on lobbying restrictions. In addition, non-Federal entities must comply with the DOC regulations published at 15 C.F.R. Part 28, which implement the New Restrictions on Lobbying. These provisions prohibit the use of Federal funds for lobbying the executive or legislative branches of the Federal Government in connection with the award and require the disclosure of the use of non-Federal funds for lobbying. Lobbying includes attempting to improperly influence, meaning any influence that induces or tends to induce a Federal employee or officer to give consideration or to act regarding a Federal award or regulatory matter on any basis other than the merits of the matter, either directly or indirectly. Costs incurred to improperly influence are unallowable. *See* 2 C.F.R. § 200.450(b) and (c).

⁴ As amended by E.O. 11375(32 FR 14303), E.O. 11478 (34 FR 12985), E.O. 12086 (43 FR 46501), E.O. 12107 (44 FR 1055), E.O. 13279 (F67 FR 77141), E.O. 13665 (79 FR 20749), and E.O. 13672 (79 FR 42971).

b. Disclosure of Lobbying Activities

Any recipient that receives more than \$100,000 in Federal funding and conducts lobbying with non-federal funds relating to a covered Federal action must submit a completed Form SF-LLL (Disclosure of Lobbying Activities). The Form SF-LLL must be submitted within 30 calendar days following the end of the calendar quarter in which there occurs any event that requires disclosure or that materially affects the accuracy of the information contained in any disclosure form previously filed. The recipient must submit any required Forms SF-LLL, including those received from subrecipients, contractors, and subcontractors, to the Grants Officer.

.04 Environmental Requirements

Environmental impacts must be considered by Federal decision makers in their decisions whether or not to approve: (1) a proposal for Federal assistance; (2) the proposal with mitigation; or (3) a different proposal having less adverse environmental impacts. Federal environmental laws require that the funding agency initiate an early planning process that considers potential impacts that projects funded with Federal assistance may have on the environment. Each non-Federal entity must comply with all environmental standards, to include those prescribed under the following statutes and E.O.s, and must identify to the awarding agency any impact the award may have on the environment. In some cases, award funds can be withheld by the Grants Officer under a specific award condition requiring the non-Federal entity to submit additional environmental compliance information sufficient to enable the DOC to make an assessment on any impacts that a project may have on the environment.

a. The National Environmental Policy Act (42 U.S.C. §§ 4321 *et seq.*)

The National Environmental Policy Act (NEPA) and the Council on Environmental Quality (CEQ) implementing regulations (40 C.F.R. Parts 1500 through 1508) require that an environmental analysis be completed for all major Federal actions to determine whether they have significant impacts on the environment. NEPA applies to the actions of Federal agencies and may include a Federal agency's decision to fund non-Federal projects under grants and cooperative agreements when the award activities remain subject to Federal authority and control. Non-Federal entities are required to identify to the awarding agency any direct, indirect or cumulative impact an award will have on the quality of the human environment, and assist the agency in complying with NEPA. Non-Federal entities may also be requested to assist DOC in drafting an environmental assessment or environmental impact statement if DOC determines such documentation is required, but DOC remains responsible for the sufficiency and approval of the final documentation. Until the appropriate NEPA documentation is complete and in the event that any additional information is required during the period of performance to assess project environmental impacts, funds can be withheld by the Grants Officer under a specific award condition requiring the non-Federal entity to submit the appropriate environmental information and NEPA documentation sufficient to enable DOC to make an assessment on any impacts that a project may have on the environment.

b. The National Historic Preservation Act (16 U.S.C. §§ 470 *et seq.*)

Section 106 of the National Historic Preservation Act (NHPA) (16 U.S.C. § 470f) and the Advisory Council on Historic Preservation (ACHP) implementing regulations (36 C.F.R. Part 800) require that Federal agencies take into account the effects of their undertakings on historic properties and, when appropriate, provide the ACHP with a reasonable opportunity to comment. Historic properties include but are not necessarily limited to districts, buildings, structures, sites and objects. In this connection, archeological resources and sites that may be of traditional religious and cultural importance to Federally-recognized Indian Tribes, Alaskan Native Villages and Native Hawaiian Organizations may be considered historic properties. Non-Federal entities are required to identify to the awarding agency any effects the award may have on properties included on or eligible for inclusion on the National Register of Historic Places. Non-Federal entities may also be requested to assist DOC in consulting with State or Tribal Historic Preservation Officers, ACHPs or other applicable interested parties necessary to identify, assess, and resolve adverse effects to historic properties. Until such time as the appropriate NHPA consultations and documentation are complete and in the event that any additional information is required during the period of performance in order to assess project impacts on historic properties, funds can be withheld by the Grants Officer under a specific award condition requiring the non-Federal entity to submit any information sufficient to enable DOC to make the requisite assessment under the NHPA.

Additionally, non-Federal entities are required to assist the DOC in assuring compliance with the Archeological and Historic Preservation Act of 1974 (54 U.S.C. § 312502 *et seq.*, formerly 16 U.S.C. § 469a-1 *et seq.*); Executive Order 11593 (Protection and Enhancement of the Cultural Environment, May 13, 1971); Executive Order 13006 (Locating Federal Facilities on Historic Properties in Our Nation's Central Cities, May 21, 1996); and Executive Order 13007 (Indian Sacred Sites, May 24, 1996).

c. Executive Order 11988 (Floodplain Management) and Executive Order 11990 (Protection of Wetlands)

Non-Federal entities must identify proposed actions in Federally defined floodplains and wetlands to enable DOC to decide whether there is an alternative to minimize any potential harm.

d. Clean Air Act (42 U.S.C. §§ 7401 *et seq.*), Federal Water Pollution Control Act (33 U.S.C. §§ 1251 *et seq.*) (Clean Water Act), and Executive Order 11738 ("Providing for administration of the Clean Air Act and the Federal Water Pollution Control Act with respect to Federal contracts, grants or loans")

Non-Federal entities must comply with the provisions of the Clean Air Act (42 U.S.C. §§ 7401 *et seq.*), Clean Water Act (33 U.S.C. §§ 1251 *et seq.*), and E.O. 11738 (38 FR 25161), and must not use a facility on the Excluded Parties List (EPL) (located on the System for Award Management (SAM) website, SAM.gov) in performing any award that is nonexempt under 2 C.F.R. § 1532, and must notify the Program Officer in writing if it intends to use a

facility that is on the EPL or knows that the facility has been recommended to be placed on the EPL.

e. The Flood Disaster Protection Act (42 U.S.C. §§ 4002 *et seq.*)

Flood insurance, when available, is required for Federally assisted construction or acquisition in flood-prone areas. Per 2 C.F.R. § 200.447(a), the cost of required flood insurance is an allowable expense, if it is reflected in the approved project budget.

f. The Endangered Species Act (16 U.S.C. §§ 1531 *et seq.*)

Non-Federal entities must identify any impact or activities that may involve a threatened or endangered species. Federal agencies have the responsibility to ensure that no adverse effects to a protected species or habitat occur from actions under Federal assistance awards and conduct the reviews required under the Endangered Species Act, as applicable.

g. The Coastal Zone Management Act (16 U.S.C. §§ 1451 *et seq.*)

Funded projects must be consistent with a coastal State's approved management program for the coastal zone.

h. The Coastal Barriers Resources Act (16 U.S.C. §§ 3501 *et seq.*)

Only in certain circumstances can Federal funding be provided for actions within a Coastal Barrier System.

i. The Wild and Scenic Rivers Act (16 U.S.C. §§ 1271 *et seq.*)

This Act applies to awards that may affect existing or proposed components of the National Wild and Scenic Rivers system.

j. The Safe Drinking Water Act of 1974, as amended, (42 U.S.C. §§ 300f *et seq.*)

This Act precludes Federal assistance for any project that the EPA determines may contaminate a sole source aquifer so as to threaten public health.

k. The Resource Conservation and Recovery Act (42 U.S.C. §§ 6901 *et seq.*)

This Act regulates the generation, transportation, treatment, and disposal of hazardous wastes, and provides that non-Federal entities give preference in their procurement programs to the purchase of recycled products pursuant to EPA guidelines.

l. The Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA, commonly known as Superfund) (42 U.S.C. §§ 9601 *et seq.*) and the Community Environmental Response Facilitation Act (42 U.S.C. § 9601 note *et seq.*)

These requirements address responsibilities related to hazardous substance releases, threatened releases and environmental cleanup. There are also reporting and community

involvement requirements designed to ensure disclosure of the release or disposal of regulated substances and cleanup of hazards to state and local emergency responders.

m. Executive Order 12898 (“Federal Actions to Address Environmental Justice in Minority Populations and Low Income Populations”)

Federal agencies are required to identify and address the disproportionately high and adverse human health or environmental effects of Federal programs, policies, and activities on low income and minority populations.

n. The Magnuson-Stevens Fishery Conservation and Management Act (16 U.S.C. § 1801 *et seq.*)

Non-Federal entities must identify to DOC any effects the award may have on essential fish habitat (EFH). Federal agencies which fund, permit, or carry out activities that may adversely impact EFH are required to consult with the National Marine Fisheries Service (NMFS) regarding the potential effects of their actions, and respond in writing to NMFS recommendations. These recommendations may include measures to avoid, minimize, mitigate, or otherwise offset adverse effects on EFH. In addition, NMFS is required to comment on any state agency activities that would impact EFH. Provided the specifications outlined in the regulations are met, EFH consultations will be incorporated into interagency procedures previously established under NEPA, the ESA, Clean Water Act, Fish and Wildlife Coordination Act, or other applicable statutes.

o. Clean Water Act (CWA) Section 404 (33 U.S.C. § 1344)

CWA Section 404 regulates the discharge of dredged or fill material into waters of the United States, including wetlands. Activities in waters of the United States regulated under this program include fill for development, water resource projects (such as levees and some coastal restoration activities), and infrastructure development (such as highways and airports). CWA Section 404 requires a permit from the U.S. Army Corps of Engineers before dredged or fill material may be discharged into waters of the United States, unless the activity is exempt from Section 404 regulation (e.g., certain farming and forestry activities).

p. Rivers and Harbors Act (33 U.S.C. § 407)

A permit may be required from the U.S. Army Corps of Engineers if the proposed activity involves any work in, over or under navigable waters of the United States. Recipients must identify any work (including structures) that will occur in, over or under navigable waters of the United States and obtain the appropriate permit, if applicable.

q. The Migratory Bird Treaty Act (16 U.S.C. §§ 703-712), Bald and Golden Eagle Protection Act (16 U.S.C. § 668 *et seq.*), and Executive Order 13186 (Responsibilities of Federal Agencies to Protect Migratory Birds, January 10, 2001)

Many prohibitions and limitations apply to projects that adversely impact migratory birds and bald and golden eagles. Executive Order 13186 directs Federal agencies to enter a Memorandum of Understanding with the U.S. Fish and Wildlife Service to promote

conservation of migratory bird populations when a Federal action will have a measurable negative impact on migratory birds.

r. Executive Order 13112 (Invasive Species, February 3, 1999)

Federal agencies must identify actions that may affect the status of invasive species and use relevant programs and authorities to: (i) prevent the introduction of invasive species; (ii) detect and respond rapidly to and control populations of such species in a cost-effective and environmentally sound manner; (iii) monitor invasive species populations accurately and reliably; (iv) provide for restoration of native species and habitat conditions in ecosystems that have been invaded; (v) conduct research on invasive species and develop technologies to prevent introduction and provide for environmentally sound control of invasive species; and (vi) promote public education on invasive species and the means to address them. In addition, an agency may not authorize, fund, or carry out actions that it believes are likely to cause or promote the introduction or spread of invasive species in the United States or elsewhere.

s. Fish and Wildlife Coordination Act (16 U.S.C. § 661 *et seq.*)

During the planning of water resource development projects, agencies are required to give fish and wildlife resources equal consideration with other values. Additionally, the U.S. Fish and Wildlife Service and fish and wildlife agencies of states must be consulted whenever waters of any stream or other body of water are “proposed or authorized, permitted or licensed to be impounded, diverted... or otherwise controlled or modified” by any agency under a Federal permit or license.

.05 OTHER NATIONAL POLICY REQUIREMENTS

a. Buy-American Preferences

Strengthening Buy-American Preferences for Infrastructure Projects. Recipients of covered programs (as defined in Executive Order 13858, 31 January 2019) are hereby notified that they are encouraged to use, to the greatest extent practicable, iron and aluminum as well as steel, cement, and other manufactured products produced in the United States in every contract, subcontract, purchase order, or sub-award that is chargeable under this Award.

b. Criminal and Prohibited Activities

1. The Program Fraud Civil Remedies Act (31 U.S.C. § 3801 *et seq.*), provides for the imposition of civil penalties against persons who make false, fictitious, or fraudulent claims to the Federal Government for money (including money representing grants, loans, or other benefits).
2. The False Claims Amendments Act of 1986 and the False Statements Accountability Act of 1996 (18 U.S.C. §§ 287 and 1001, respectively), provide that whoever makes or presents any false, fictitious, or fraudulent statement, representation, or claim against the United

States must be subject to imprisonment of not more than five years and must be subject to a fine in the amount provided by 18 U.S.C. § 287.

3. The Civil False Claims Act (31 U.S.C. §§ 3729 - 3733), provides that suits can be brought by the government, or a person on behalf of the government, for false claims made under Federal assistance programs.

4. The Copeland Anti-Kickback Act (18 U.S.C. § 874), prohibits a person or organization engaged in a Federally supported project from enticing an employee working on the project from giving up a part of his compensation under an employment contract. The Copeland Anti-Kickback Act also applies to contractors and subcontractors pursuant to 40 U.S.C. § 3145.

5. The Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (42 U.S.C. § 4601 et seq.) and implementing regulations issued at 15 C.F.R. Part 11, which provides for fair and equitable treatment of displaced persons or of persons whose property is acquired as a result of Federal or Federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

6. The Hatch Act (5 U.S.C. §§ 1501-1508 and 7321-7326), which limits the political activities of employees or officers of state or local governments whose principal employment activities are funded in whole or in part with Federal funds.

7. To ensure compliance with Federal law pertaining to financial assistance awards, an authorized representative of a non-Federal entity may be required to periodically provide certain certifications to the DOC regarding Federal felony and Federal criminal tax convictions, unpaid federal tax assessments, delinquent Federal tax returns and such other certifications that may be required by Federal law.

c. Drug-Free Workplace

The non-Federal entity must comply with the provisions of the Drug-Free Workplace Act of 1988 (41 U.S.C. § 8102) and DOC implementing regulations published at 2 C.F.R. Part 1329 (Government wide Requirements for Drug-Free Workplace – Financial Assistance), which require that the non-Federal entity take certain actions to provide a drug-free workplace.

d. Foreign Travel

1. Each non-Federal entity must comply with the provisions of the Fly America Act (49 U.S.C. § 40118). The implementing regulations of the Fly America Act are found at 41 C.F.R. §§ 301-10.131 through 301-10.143.

2. The Fly America Act requires that Federal travelers and others performing U.S. Government-financed air travel must use U.S. flag air carriers, to the extent that service by such carriers is available. Foreign air carriers may be used only in specific instances, such as

when a U.S. flag air carrier is unavailable or use of U.S. flag air carrier service will not accomplish the agency's mission.

3. One exception to the requirement to fly U.S. flag carriers is transportation provided under a bilateral or multilateral air transport agreement, to which the United States Government and the government of a foreign country are parties, and which the Department of Transportation has determined meets the requirements of the Fly America Act pursuant to 49 U.S.C. § 40118(b). The United States Government has entered into bilateral/multilateral "Open Skies Agreements" (U.S. Government Procured Transportation) that allow federal funded transportation services for travel and cargo movements to use foreign air carriers under certain circumstances. There are multiple "Open Skies Agreements" currently in effect. For more information about the current bilateral and multilateral agreements, visit the GSA website <http://www.gsa.gov/portal/content/103191>. Information on the Open Skies agreements (U.S. Government Procured Transportation) and other specific country agreements may be accessed via the Department of State's website <http://www.state.gov/e/eeb/tra/>.

4. If a foreign air carrier is anticipated to be used for any portion of travel under a DOC financial assistance award the non-Federal entity must receive prior approval from the Grants Officer. When requesting such approval, the non-Federal entity must provide a justification in accordance with guidance provided by 41 C.F.R. § 301-10.142, which requires the non-Federal entity to provide the Grants Officer with the following: name; dates of travel; origin and destination of travel; detailed itinerary of travel; name of the air carrier and flight number for each leg of the trip; and a statement explaining why the non-Federal entity meets one of the exceptions to the regulations. If the use of a foreign air carrier is pursuant to a bilateral agreement, the non-Federal entity must provide the Grants Officer with a copy of the agreement or a citation to the official agreement available on the GSA website. The Grants Officer must make the final determination and notify the non-Federal entity in writing (which may be done through the recipient in the case of subrecipient travel). Failure to adhere to the provisions of the Fly America Act will result in the non-Federal entity not being reimbursed for any transportation costs for which any non-Federal entity improperly used a foreign air carrier.

Note: When using code-sharing flights (two or more airlines having flight numbers assigned to the same flight) involving U.S. flag carriers and non-U.S. flag carriers, the airline symbol and flight number of the U.S. flag carrier must be used on the ticket to qualify as a U.S. flag carrier (e.g. "*Delta Airlines Flight XXXX, operated by KLM*"). Conversely, if the ticket shows "*[Foreign Air Carrier] XXX, operated by Delta*," that travel is using a foreign air carrier and is subject to the Fly America Act and must receive prior approval from the Grants Officer as outlined in paragraph G.05.d.4.

e. Increasing Seat Belt Use in the United States

Pursuant to E.O. 13043 (62 FR 19217), non-Federal entities should encourage employees and contractors to enforce on-the-job seat belt policies and programs when operating company-owned, rented, or personally owned vehicles.

f. Federal Employee Expenses and Subawards or Contracts Issued to Federal Employees or Agencies

1. Use of award funds (Federal or non-Federal) or the non-Federal entity's provision of in-kind goods or services for the purposes of transportation, travel, or any other expenses for any Federal employee may raise appropriation augmentation issues. In addition, DOC policy may prohibit the acceptance of gifts, including travel payments for federal employees, from non-Federal entities regardless of the source. Therefore, before award funds may be used by Federal employees, non-Federal entities must submit requests for approval of such action to the Federal Program Officer who must review and make a recommendation to the Grants Officer. The Grants Officer will notify the non-Federal entity in writing (generally through the recipient) of the final determination.
2. A non-Federal entity or its contractor may not issue a subaward, contract or subcontract of any part of a DOC award to any agency or employee of DOC or to other Federal employee, department, agency, or instrumentality, without the advance prior written approval of the DOC Grants Officer.

g. Minority Serving Institutions Initiative

Pursuant to E.O.s 13555 (White House Initiative on Educational Excellence for Hispanics) (75 FR 65417), 13592 (Improving American Indian and Alaska Native Educational Opportunities and Strengthening Tribal Colleges and Universities) (76 FR 76603), and 13779 (White House Initiative to Promote Excellence and Innovation at Historically Black Colleges and Universities) (82 FR 12499), DOC is strongly committed to broadening the participation of minority serving institutions (MSIs) in its financial assistance programs. DOC's goals include achieving full participation of MSIs to advance the development of human potential, strengthen the Nation's capacity to provide high-quality education, and increase opportunities for MSIs to participate in and benefit from Federal financial assistance programs. DOC encourages all applicants and non-Federal entities to include meaningful participation of MSIs. Institutions eligible to be considered MSIs are listed on the Department of Education website.

h. Research Misconduct

The DOC adopts, and applies to financial assistance awards for research, the Federal Policy on Research Misconduct (Federal Policy) issued by the Executive Office of the President's Office of Science and Technology Policy on December 6, 2000 (65 FR 76260). As provided for in the Federal Policy, research misconduct refers to the fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results. Research misconduct does not include honest errors or differences of opinion. Non-Federal entities that conduct extramural research funded by DOC must foster an atmosphere conducive to the responsible conduct of sponsored research by safeguarding against and resolving allegations of research misconduct. Non-Federal entities also have the primary responsibility to prevent, detect, and investigate allegations of research misconduct and, for this purpose, may rely on their internal policies and procedures, as appropriate, to do so. Non-Federal entities must notify the Grants Officer of any allegation that meets the

definition of research misconduct and detail the entity's inquiry to determine whether there is sufficient evidence to proceed with an investigation, as well as the results of any investigation. The DOC may take appropriate administrative or enforcement action at any time under the award, up to and including award termination and possible suspension or debarment, and referral to the Commerce OIG, the U.S. Department of Justice, or other appropriate investigative body.

i. Research Involving Human Subjects

1. All proposed research involving human subjects must be conducted in accordance with 15 C.F.R. Part 27 (Protection of Human Subjects). No research involving human subjects is permitted under this award unless expressly authorized by specific award condition, or otherwise in writing by the Grants Officer.
2. Federal policy defines a human subject as a living individual about whom an investigator (whether professional or student) conducting research (1) Obtains information or biospecimens through intervention or interaction with the individual, and uses, studies, or analyzes the information or biospecimens; or (2) Obtains, uses, studies, analyzes, or generates identifiable private information or identifiable biospecimens. Research means a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.
3. DOC regulations at 15 C.F.R. Part 27 require that non-Federal entities maintain appropriate policies and procedures for the protection of human subjects. In the event it becomes evident that human subjects may be involved in this project, the non-Federal entity (generally through the recipient) must submit appropriate documentation to the Federal Program Officer for approval by the appropriate DOC officials. As applicable, this documentation must include:
 - i. Documentation establishing approval of an activity in the project by an Institutional Review Board (IRB) under a Federal wide Assurance issued by Department of Health and Human Services or other Federal agency guidelines (*see also* 15 C.F.R. § 27.103);
 - ii. Documentation to support an exemption for an activity in the project under 15 C.F.R. § 27.104(d);
 - iii. Documentation of IRB approval of any modification to a prior approved protocol or to an informed consent form;
 - iv. Documentation of an IRB approval of continuing review approved prior to the expiration date of the previous IRB determination; and
 - v. Documentation of any reportable events, such as serious adverse events, unanticipated problems resulting in risk to subjects or others, and instances of noncompliance.
4. No work involving human subjects may be undertaken, conducted, or costs incurred and/or charged for human subjects research, until the appropriate documentation is approved

in writing by the Grants Officer. In accordance with 15 C.F.R. § 27.118, if research involving human subjects is proposed after an award is made, the non-Federal entity must contact the Federal Program Officer and provide required documentation. Notwithstanding this prohibition, work may be initiated or costs incurred and/or charged to the project for protocol or instrument development related to human subjects research.

j. Care and Use of Live Vertebrate Animals

Non-Federal entities must comply with the Laboratory Animal Welfare Act of 1966, as amended, (Pub. L. No. 89-544, 7 U.S.C. §§ 2131 *et seq.*) (animal acquisition, transport, care, handling, and use in projects), and implementing regulations (9 C.F.R. Parts 1, 2, and 3); the Endangered Species Act (16 U.S.C. §§ 1531 *et seq.*); Marine Mammal Protection Act (16 U.S.C. §§ 1361 *et seq.*) (taking possession, transport, purchase, sale, export or import of wildlife and plants); the Nonindigenous Aquatic Nuisance Prevention and Control Act (16 U.S.C. §§ 4701 *et seq.*) (ensure preventive measures are taken or that probable harm of using species is minimal if there is an escape or release); and all other applicable statutes pertaining to the care, handling, and treatment of warm-blooded animals held for research, teaching, or other activities supported by Federal financial assistance. No research involving vertebrate animals is permitted under any DOC financial assistance award unless authorized by the Grants Officer.

k. Management and Access to Data and Publications

1. In General. The recipient acknowledges and understands that information and data contained in applications for financial assistance, as well as information and data contained in financial, performance and other reports submitted by recipients, may be used by the DOC in conducting reviews and evaluations of its financial assistance programs. For this purpose, recipient information and data may be accessed, reviewed and evaluated by DOC employees, other Federal employees, Federal agents and contractors, and/or by non-Federal personnel, all of who enter into appropriate or are otherwise subject to confidentiality and nondisclosure agreements covering the use of such information. Recipients are expected to support program reviews and evaluations by submitting required financial and performance information and data in an accurate and timely manner, and by cooperating with DOC and external program evaluators. In accordance with 2 C.F.R. § 200.303(e), recipients are reminded that they must take reasonable measures to safeguard protected personally identifiable information and other confidential or sensitive personal or business information created or obtained relating to a DOC financial assistance award.

2. Scientific Data. Non-Federal entities must comply with the data management and access to data requirements established by the DOC funding agency as set forth in the applicable Notice of Funding Opportunity and/or in Specific Award Conditions.

3. Publications, Videos, and Acknowledgment of Sponsorship.

i. Publication of results or findings in appropriate professional journals and production of video or other media is encouraged as an important method of recording, reporting and otherwise disseminating information and expanding public access to federally-funded

projects (e.g., scientific research). Non-Federal entities must comply with the data management and access to data requirements established by the DOC funding agency as set forth in the applicable Notice of Funding Opportunity and/or in Specific Award Conditions.

- ii. Non-Federal entities may be required to submit a copy of any publication materials, including but not limited to print, recorded, or Internet materials, to the funding agency.
- iii. When releasing information related to a funded project, non-Federal entities must include a statement that the project or effort undertaken was or is sponsored by DOC and must also include the applicable financial assistance award number.
- iv. Non-Federal entities are responsible for assuring that every publication of material based on, developed under, or otherwise produced pursuant to a DOC financial assistance award contains the following disclaimer or other disclaimer approved by the Grants Officer:

This [report/video/etc.] was prepared by [recipient name] using Federal funds under award [number] from [name of operating unit], U.S. Department of Commerce. The statements, findings, conclusions, and recommendations are those of the author(s) and do not necessarily reflect the views of the [name of operating unit] or the U.S. Department of Commerce.

I. Homeland Security Presidential Directive

If the performance of this DOC financial assistance award requires non-Federal entity personnel to have routine access to Federally-controlled facilities and/or Federally-controlled information systems (for purpose of this term “routine access” is defined as more than 180 calendar days), such personnel must undergo the personal identity verification credential process. In the case of foreign nationals, the DOC will conduct a check with U.S. Citizenship and Immigration Services’ (USCIS) Verification Division, a component of the Department of Homeland Security (DHS), to ensure the individual is in a lawful immigration status and that he or she is eligible for employment within the United States. Any items or services delivered under a financial assistance award must comply with DOC personal identity verification procedures that implement Homeland Security Presidential Directive 12 (Policy for a Common Identification Standard for Federal Employees and Contractors), Federal Information Processing Standard (FIPS) PUB 201, and OMB Memorandum M-05-24. The recipient must ensure that its subrecipients and contractors (at all tiers) performing work under this award comply with the requirements contained in this term. The Grants Officer may delay final payment under an award if the subrecipient or contractor fails to comply with the requirements listed in the term below. The recipient must insert the following term in all subawards and contracts when the subaward recipient or contractor is required to have routine physical access to a Federally-controlled facility or routine access to a Federally-controlled information system:

The subrecipient or contractor must comply with DOC personal identity verification procedures identified in the subaward or contract that implement Homeland Security

Presidential Directive 12 (HSPD-12), Office of Management and Budget (OMB) Guidance M-05-24, as amended, and Federal Information Processing Standards Publication (FIPS PUB) Number 201, as amended, for all employees under this subaward or contract who require routine physical access to a Federally-controlled facility or routine access to a Federally-controlled information system.

The subrecipient or contractor must account for all forms of Government-provided identification issued to the subrecipient or contractor employees in connection with performance under this subaward or contract. The subrecipient or contractor must return such identification to the issuing agency at the earliest of any of the following, unless otherwise determined by DOC: (1) When no longer needed for subaward or contract performance; (2) Upon completion of the subrecipient or contractor employee's employment; (3) Upon subaward or contract completion or termination.

m. Compliance with Department of Commerce Bureau of Industry and Security Export Administration Regulations

1. This clause applies to the extent that this financial assistance award encompasses activities that involve export-controlled items.
2. In performing this financial assistance award, a non-Federal entity may participate in activities involving items subject to export control (export-controlled items) under the Export Administration Regulations (EAR). The non-Federal entity is responsible for compliance with all applicable laws and regulations regarding export-controlled items, including the EAR's deemed exports and re-exports provisions. The non-Federal entity must establish and maintain effective export compliance procedures at DOC and non-DOC facilities, including facilities located abroad, throughout performance of the financial assistance award. At a minimum, these export compliance procedures must include adequate restrictions on export-controlled items, to guard against any unauthorized exports, including in the form of releases or transfers to foreign nationals. Such releases or transfers may occur through visual inspection, including of technology transmitted electronically, and oral or written communications.
3. Definitions
 - i. Export-controlled items. Items (commodities, software, or technology), that are subject to the EAR (15 C.F.R. §§ 730-774), implemented by the DOC's Bureau of Industry and Security. These are generally known as "dual-use" items, items with a military and commercial application. The export (shipment, transmission, or release/transfer) of export-controlled items may require a license from DOC.
 - ii. Deemed Export/Re-export. The EAR defines a deemed export as a release or transfer of export-controlled items (specifically, technology or source code) to a foreign person (foreign national) in the U.S. Such release is "deemed" to be an export to the foreign person's most recent country of citizenship or permanent residency (*see* 15 C.F.R. § 734.13(a)(2) & (b)). A release may take the form of visual inspection or

oral or written exchange of information. See 15 C.F.R. § 734.15(a). If such a release or transfer is made abroad to a foreign person of a country other than the country where the release occurs, it is considered a deemed re-export to the foreign person's most recent country of citizenship or permanent residency. See 15 C.F.R. § 734.14(a)(2). Licenses from DOC may be required for deemed exports or re-exports. An act causing the release of export-controlled items to a foreign person (e.g., providing or using an access key or code) may require authorization from DOC to the same extent that an export or re-export of such items to the foreign person would. See 15 C.F.R. § 734.15(b).

4. The non-Federal entity must secure all export-controlled items that it possesses or that comes into its possession in performance of this financial assistance award, to ensure that the export of such items, including in the form of release or transfer to foreign persons, is prevented, or licensed, as required by applicable Federal laws, E.O.s, and/or regulations, including the EAR.

5. As applicable, non-Federal entity personnel and associates at DOC sites will be informed of any procedures to identify and protect export-controlled items from unauthorized export.

6. To the extent the non-Federal entity wishes to release or transfer export-controlled items to foreign persons, the non-Federal entity will be responsible for obtaining any necessary licenses, including licenses required under the EAR for deemed exports or deemed re-exports. Failure to obtain any export licenses required under the EAR may subject the non-Federal entity to administrative or criminal enforcement. See 15 C.F.R. part 764.

7. Nothing in the terms of this financial assistance award is intended to change, supersede, or waive the requirements of applicable Federal laws, E.O.s or regulations.

8. Compliance with this term will not satisfy any legal obligations the non-Federal entity may have regarding items that may be subject to export controls administered by other agencies such as the Department of State, which has jurisdiction over exports and re-exports of defense articles and services subject to the International Traffic in Arms Regulations (ITAR) (22 C.F.R. §§ 120-130), including the release of defense articles to foreign persons in the United States and abroad.

9. The non-Federal entity must include the provisions contained in this term in all lower tier transactions (subawards, contracts, and subcontracts) under this financial assistance award that may involve research or other activities that implicate export-controlled items.

n. The Trafficking Victims Protection Act of 2000 (22 U.S.C. § 7104(g)), as amended, and the implementing regulations at 2 C.F.R. Part 175

The Trafficking Victims Protection Act of 2000 authorizes termination of financial assistance provided to a private entity, without penalty to the Federal Government, if any non-Federal entity engages in certain activities related to trafficking in persons. The DOC hereby incorporates the following award term required by 2 C.F.R. § 175.15(b):

Trafficking in persons.

a. Provisions applicable to a recipient that is a private entity.

1. You as the recipient, your employees, subrecipients under this award, and subrecipients' employees may not—

- i. Engage in severe forms of trafficking in persons during the period of time that the award is in effect;*
- ii. Procure a commercial sex act during the period of time that the award is in effect; or*
- iii. Use forced labor in the performance of the award or subawards under the award.*

2. We as the Federal awarding agency may unilaterally terminate this award, without penalty, if you or a subrecipient that is a private entity —

- i. Is determined to have violated a prohibition in paragraph a.1 of this award term; or*
- ii. Has an employee who is determined by the agency official authorized to terminate the award to have violated a prohibition in paragraph a.1 of this award term through conduct that is either— (A) Associated with performance under this award; or (B) Imputed to you or the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 C.F.R. Part 180 (OMB Guidelines to Agencies on Governmentwide Debarment and Suspension – Nonprocurement), as implemented by DOC at 2 C.F.R. Part 1326 (Nonprocurement Debarment and Suspension).*

b. Provision applicable to a recipient other than a private entity. We as the Federal awarding agency may unilaterally terminate this award, without penalty, if a subrecipient that is a private entity—

1. Is determined to have violated an applicable prohibition in paragraph a.1 of this award term; or

2. Has an employee who is determined by the agency official authorized to terminate the award to have violated an applicable prohibition in paragraph a.1 of this award term through conduct that is either—

- i. *Associated with performance under this award; or*
- ii. *Imputed to the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 C.F.R. Part 180 (OMB Guidelines to Agencies on Governmentwide Debarment and Suspension – Nonprocurement), as implemented by DOC at 2 C.F.R. Part 1326, (Nonprocurement Debarment and Suspension).*

c. Provisions applicable to any recipient.

- 1. *You must inform us immediately of any information you receive from any source alleging a violation of a prohibition in paragraph a.1 of this award term.*
- 2. *Our right to terminate unilaterally that is described in paragraph a.2 or b of this section:*
 - i. *Implements section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA), as amended (22 U.S.C. 7104(g)), and*
 - ii. *Is in addition to all other remedies for noncompliance that are available to us under this award.*
- 3. *You must include the requirements of paragraph a.1 of this award term in any subaward you make to a private entity.*

d. Definitions. For purposes of this award term:

- 1. *“Employee” means either:*
 - i. *An individual employed by you or a subrecipient who is engaged in the performance of the project or program under this award; or*
 - ii. *Another person engaged in the performance of the project or program under this award and not compensated by you including, but not limited to, a volunteer or individual whose services are contributed by a third party as an in-kind contribution toward cost sharing or matching requirements.*
- 2. *“Forced labor” means labor obtained by any of the following methods: the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.*

3. “Private entity”:

i. Means any entity other than a State, local government, Indian tribe, or foreign public entity, as those terms are defined in 2 C.F.R. § 175.25;

ii. Includes: (A) A nonprofit organization, including any nonprofit institution of higher education, hospital, or tribal organization other than one included in the definition of Indian tribe at 2 C.F.R. § 175.25(b); and (B) A for-profit organization.

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

o. The Federal Funding Accountability and Transparency Act (FFATA) (31 U.S.C. § 6101 note)

1. **Reporting Subawards and Executive Compensation.** Under FFATA, recipients of financial assistance awards of \$25,000 or more are required to report periodically on executive compensation and subawards, as described in the following term from 2 C.F.R. Part 170, Appendix A, which is incorporated into this award:

Reporting Subawards and Executive Compensation

a. Reporting of first-tier subawards.

1. **Applicability.** Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. No. 111–5) for a subaward to an entity (see definitions in paragraph e. of this award term).

2. **Where and when to report.**

i. You must report each obligating action described in paragraph a.1. of this award term to <http://www.fsrs.gov>.

ii. For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)

3. **What to report.** You must report the information about each obligating action that the submission instructions posted at <http://www.fsrs.gov> specify.

b. Reporting Total Compensation of Recipient Executives.

1. **Applicability and what to report.** You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if—

- i. *the total Federal funding authorized to date under this award is \$25,000 or more;*
- ii. *in the preceding fiscal year, you received—*
 - (A) *80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 C.F.R. § 170.320 (and subawards); and*
 - (B) *\$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 C.F.R. § 170.320 (and subawards); and*
- iii. *The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. § 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)*

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

- i. *As part of your registration profile found at the System for Award Management (SAM) website located at SAM.gov.*
- ii. *By the end of the month following the month in which this award is made, and annually thereafter.*

c. Reporting of Total Compensation of Subrecipient Executives.

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

- i. *in the subrecipient's preceding fiscal year, the subrecipient received—*
 - (A) *80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 C.F.R. § 170.320 (and subawards); and*
 - (B) *\$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and*

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

See also 2 C.F.R. § 200.300(b).

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

i. *To the recipient.*

ii. *By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.*

d. **Exemptions.** *If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report: i. Subawards, and ii. The total compensation of the five most highly compensated executives of any subrecipient.*

e. **Definitions.** *For purposes of this award term:*

1. *Entity means all of the following, as defined in 2 C.F.R. Part 25:*

i. *A Governmental organization, which is a State, local government, or Indian tribe;*

ii. *A foreign public entity;*

iii. *A domestic or foreign nonprofit organization;*

iv. *A domestic or foreign for-profit organization; and*

v. *A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.*

2. *Executive means officers, managing partners, or any other employees in management positions.*

3. *Subaward:*

i. *This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.*

ii. *The term does not include your procurement of property and services needed to carry out the project or program. For further explanation, see Sec. __.210 of the attachment to OMB Circular A-133 (Audits of States, Local Governments, and Non-Profit Organizations).*

iii. *A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.*

4. *Subrecipient means an entity that:*

i. *Receives a subaward from you (the recipient) under this award; and*

ii. *Is accountable to you for the use of the Federal funds provided by the subaward.*

5. *Total compensation means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 C.F.R. § 229.402(c)(2)):*

i. *Salary and bonus.*

ii. *Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.*

iii. *Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.*

iv. *Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.*

v. *Above-market earnings on deferred compensation which is not tax-qualified.*

vi. *Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.*

2. System for Award Management (SAM) and Unique Entity Identifier Requirements.

Under FFATA, recipients must obtain a unique entity identifier, currently known as the Data Universal Numbering System (DUNS) number, maintain an active registration in the SAM database, and notify potential first-tier subrecipients that no entity may receive a first-tier subaward unless the entity has provided its DUNS number to the recipient, as described in 2 C.F.R. Part 25, Appendix A, which is incorporated into this award:

System for Award Management (SAM) and Unique Entity Identifier Requirements

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

b. Requirement for Unique Entity Identifier. *If you are authorized to make subawards under this award, you:*

- 1. Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward from you unless the entity has provided its Unique Entity Identifier, currently known as the DUNS number, to you.*
- 2. May not make a subaward to an entity unless the entity has provided its Unique Entity Identifier, currently known as the DUNS number, to you.*

c. Definitions for purposes of this award term:

1. SAM is the comprehensive system into which the Central Contractor Registration (CCR) system was migrated and is part of the overall Integrated Award Environment (IAE). The information previously maintained in CCR is now contained within the Entity Management area in SAM.gov.

2. DUNS number means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at <http://fedgov.dnb.com/webform>).

3. Entity, as it is used in this award term, means all of the following, as defined at 2 C.F.R. part 25, subpart C:

- i. A Governmental organization, which is a State, local government, or Indian Tribe;*
- ii. A foreign public entity;*
- iii. A domestic or foreign nonprofit organization;*
- iv. A domestic or foreign for-profit organization; and*
- v. A Federal agency, but only as a subrecipient under an award or subaward to a recipient.*

4. *Subaward:*

- i. *This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.*
- ii. *The term does not include your procurement of property and services needed to carry out the project or program. For further explanation, see Sec. __.210 of the attachment to OMB Circular A-133 (Audits of States, Local Governments, and Non-Profit Organizations).*
- iii. *A subaward may be provided through any legal agreement, including an agreement that you consider a contract.*

5. *Subrecipient means an entity that:*

- i. *Receives a subaward from you under this award; and*
- ii. *Is accountable to you for the use of the Federal funds provided by the subaward.*

See also 2 C.F.R. § 200.300(b).

p. Recipient Integrity and Performance Matters (Appendix XII to 2 C.F.R. Part 200)

Reporting of Matters Related to Recipient Integrity and Performance

1. **General Reporting Requirement.** If the total value of your currently active grants, cooperative agreements, and procurement contracts from all Federal awarding agencies exceeds \$10,000,000 for any period of time during the period of performance of this Federal award, then you as the recipient during that period of time must maintain the currency of information reported to the System for Award Management (SAM) that is made available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)) about civil, criminal, or administrative proceedings described in paragraph 2 of this award term and condition. This is a statutory requirement under section 872 of Public Law 110-417, as amended (41 U.S.C. 2313). As required by section 3010 of Public Law 111-212, all information posted in the designated integrity and performance system on or after April 15, 2011, except past performance reviews required for Federal procurement contracts, will be publicly available.
2. **Proceedings About Which You Must Report** Submit the information required about each proceeding that:
 - i. **Is relating to the award or performance of a grant, cooperative agreement, or procurement contract from the Federal Government;**
 - ii. **Reached its final disposition during the most recent five-year period; and**

iii. Is one of the following:

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

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

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

5. Definitions. For purposes of this award term and condition:

- i. Administrative proceeding means a non-judicial process that is adjudicatory in nature to make a determination of fault or liability (e.g., Securities and Exchange Commission Administrative proceedings, Civilian Board of Contract Appeals proceedings, and Armed Services Board of Contract Appeals proceedings). This includes proceedings at the Federal and State level but only in connection with performance of a Federal contract or grant. It does not include audits, site visits, corrective plans, or inspection of deliverables.

ii. Conviction, for purposes of this award term and condition, means a judgment or conviction of a criminal offense by any court of competent jurisdiction, whether entered upon a verdict or a plea, and includes a conviction entered upon a plea of nolo contendere.

iii. Total value of currently active grants, cooperative agreements, and procurement contracts includes:

(A) Only the Federal share of the funding under any Federal award with a recipient cost share or match; and

(B) The value of all expected funding increments under a Federal award and options, even if not yet exercised.

q. Federal Financial Assistance Planning During a Funding Hiatus or Government Shutdown

This term sets forth initial guidance that will be implemented for Federal assistance awards in the event of a lapse in appropriations, or a government shutdown. The Grants Officer may issue further guidance prior to an anticipated shutdown.

1. Unless there is an actual rescission of funds for specific grant or cooperative agreement obligations, non-Federal entities under Federal financial assistance awards for which funds have been obligated generally will be able to continue to perform and incur allowable expenses under the award during a funding hiatus. Non-Federal entities are advised that ongoing activities by Federal employees involved in grant or cooperative agreement administration (including payment processing) or similar operational and administrative work cannot continue when there is a funding lapse. Therefore, there may be delays, including payment processing delays, in the event of a shutdown.

2. All award actions will be delayed during a government shutdown; if it appears that a non-Federal entity's performance under a grant or cooperative agreement will require agency involvement, direction, or clearance during the period of a possible government shutdown, the Program Officer or Grants Officer, as appropriate, may attempt to provide such involvement, direction, or clearance prior to the shutdown or advise non-Federal entities that such involvement, direction, or clearance will not be forthcoming during the shutdown. Accordingly, non-Federal entities whose ability to withdraw funds is subject to prior agency approval, which in general are non-Federal entities that have been designated high risk, non-Federal entities under construction awards, or are otherwise limited to reimbursements or subject to agency review, will be able to draw funds down from the relevant Automatic Standard Application for Payment (ASAP) account only if agency approval is given and coded into ASAP prior to any government shutdown or closure. This limitation may not be lifted during a government shutdown. Non-Federal entities should plan to work with the Grants Officer to request prior approvals in advance of a shutdown wherever possible. Non-Federal entities whose authority to draw down award funds is restricted may decide to suspend work until the government reopens.

3. The ASAP system should remain operational during a government shutdown. Non-Federal entities that do not require any Grants Officer or agency approval to draw down advance funds from their ASAP accounts should be able to do so during a shutdown. The 30-day limitation on the drawdown of advance funds will still apply notwithstanding a government shutdown (see section B.02.b.1 of these terms).