



# Appendix 2

# Compliance Obligations (As Per Federal Statute or Regulation)

The following pages list those areas where formal compliance to federal statutes and regulations is required to participate in federal funding. The full list is included to illustrate the range of possible certification or other compliance. Specific grants and contracts may involve only a subset of these compliance obligations.

## ***Regulatory Framework***

- Office of Management and Budget

  - Circular No. A-21

  - Circular No. A-110

  - Circular No. A-133

- Federal Acquisition Regulations

- Defense Federal Acquisition Regulations

- The Coordinated Review Process-Executive Order 12372

- Rights to Inventions Made by Nonprofit Organizations and Small Business Firms

- Compliance Information for Specific Circumstances

  - Facilities Management

  - Historic Preservation

  - Paperwork Reduction Act

## ***Individual Rights***

- Antidiscrimination

  - Civil Rights Act of 1964—Title VI

  - Employment of the Handicapped-Rehabilitation Act of 1973

  - Americans with Disabilities Act

  - Title IX—Sex Discrimination

  - Age Discrimination

  - Equal Employment Opportunity

  - Affirmative Action for Special Disabled and Vietnam Era Veterans

  - Utilization of Women-Owned Small Business

  - Utilization of Labor Surplus Area Concerns

  - Utilization of Small and Small Disadvantaged Business Concerns

- Privacy

  - Privacy Act of 1974

  - Freedom of Information Act

  - Confidentiality of Patient Records

## ***Protection Issues***

- Environmental Protection

  - Clean Air Act and Clean Water Act

- Hazardous Materials
- Protection of Living Organisms
- Human Subjects Compliance
- Use of Animals in Research
- Marine Mammal Act
- Research Involving Recombinant DNA Molecules

### ***Employee Directives***

- Drug-free Workplace
- Drug-free Work Force
- Drug-free Schools and Campuses Act
- Lobbying
- Occupation Safety and Health
- David Bacon Act
- Walsh-Healey Public Contracts Act
- Service Contract Act
- Contract Work Hours and Safety Standards Act of 1962

### ***Fraud, Waste, and Abuse***

- Misconduct in Science
- Procurement Integrity
- Debarment and Suspension
- Covenant Against Contingent Fees
- Anti-Kickback Act of 1986
- Officials Not to Benefit

### ***Specific Administrative Requirements***

- General Requirements
  - Buy American Act
  - Fly American Act
  - Competition in Contracting
  - Export Administration Act and Arms Export Control Act
  - Insurance-Immunity from Tort Liability
  - Prompt Payment
  - Non-delinquency of Federal Debt
  - Certificate of Current Cost and Pricing Data
  - Acknowledgment of Federal Grant Support (Stevens Amendment)
- Agency Specific Requirements
  - Certificate of Technical Data Conformity
  - Certification of Accuracy of Indirect Costs
  - Student Unrest
  - NEA Clause on Obscenity