

**UNITED STATES DEPARTMENT OF THE INTERIOR**

**U.S. GEOLOGICAL SURVEY**

**NATIONAL GEOLOGICAL AND GEOPHYSICAL DATA  
PRESERVATION PROGRAM**

**Authorized by The Energy Policy Act of 2005  
(Public Law 109-58, Sec. 351)**

**GRANT PROGRAM ANNOUNCEMENT  
No. 09HQPA0009**

**For Fiscal Year 2009**

**FY 2009 Grant Objectives:**

**Provide funding to State geological surveys, on a 1:1  
matching basis to:**

- 1. Inventory their collections of geological and  
geophysical data**
- 2. Create metadata for individual items in those data  
collections**

**ISSUE DATE: December 11, 2008**

---

---

**CLOSING DATE & TIME:**

**January 26, 2009, 4:30pm,  
Eastern Standard Time**

---

---

## Table of Contents

	Page
<b>Part I: Public Law, Eligibility, FY 2009 Program Priorities, Important Dates</b>	
A. National Geological and Geophysical Data Preservation Program (NGGDPP) – Public Law 109-58, Sec. 351.....	3
B. Eligibility – Who May Submit a Proposal .....	3
C. FY 2009 Program Priorities.....	3
D. Important Dates.....	4
E. Funding.....	4
F. Questions?.....	5

### Part II: Applicant Guidelines

A. Electronic Proposal Submission Requirement.....	6
B. Rejection of Proposals after Initial Review.....	10
C. Involvement of Federal Employees.....	10
D. NGGDPP Products/Reports.....	10
E. Long-Range Data-Preservation Plans.....	11
F. Proposal Evaluation.....	11
G. Notification.....	12
H. Award Terms and Conditions.....	12
I. Paperwork Reduction Act Statement.....	12

### List of Attachments

- Attachment A – Proposal Information Summary
- Attachment B – Proposal Budget
- Attachment C – Special Terms and Conditions
- Attachment D – Cost Principles, Audit, and Administrative Requirements
- Attachment E – Sample Long-Range Data-Preservation Plan

## **Part I: Public Law, Eligibility, FY 2009 Program Priorities, Important Dates**

### **A. The National Geological and Geophysical Data Preservation Program**

The National Geological and Geophysical Data Preservation Program (NGGDPP) was authorized in Section 351 of the Energy Policy Act of 2005 (Public Law 109-58, Sec. 351). The objectives of the Program as outlined in the Act are to:

- (1) Archive geologic, geophysical, and engineering data, maps, well logs, and samples;
- (2) Provide a national catalog of such archival material; and
- (3) Provide technical and financial assistance related to the archival material.

For a more detailed look at the **Implementation Plan for the National Geological and Geophysical Data Preservation Program** visit:

<http://datapreservation.usgs.gov/>

### **B. Eligibility – Who May Submit a Proposal**

Only State geological surveys are eligible to apply to this Program Announcement under the National Geological and Geophysical Data Preservation Program pursuant to the Energy Policy Act of 2005 (Public Law 105-58, Sec. 351). Since many State geological surveys are organized under a State university system, such universities may submit a proposal on behalf of the State geological survey.

### **C. FY 2009 Program Priorities**

**PLEASE NOTE: Proposals that do not specifically address NGGDPP FY 2009 priorities will NOT be considered for an award.**

The NGGDPP FY 2009 Program Priorities are the same as in FY 2008, to create and populate the National Digital Catalog of archived materials. Components of this National Digital Catalog include: (1) an inventory of geological and geophysical data collections, and (2) metadata on individual items in those collections.

#### **(1) FY 2009 Priority – Collection Inventories**

In FY 2009, State geological surveys may request funds to inventory and assess the condition of their geological and geophysical collections if they have not previously received funding for this work or if there are additional collections remaining to be inventoried. States may not request funds to inventory collections for which they received previous support. Inventory results will be entered in an on-line survey.

#### **(2) FY 2009 Priority – Metadata Component of the National Digital Catalog**

Building on the foundation established by state collection inventories, the FY 2009 Program Announcement will again offer support to create metadata that describe, at the individual sample level, contents of collections included in the on-line survey. The metadata component of the NGGDPP National Digital Catalog will describe sample sites for which State geological surveys have related site-specific data resources. “Site” is used as a general term to mean a location on the Earth’s surface specified by some type of geospatial coordinates. Examples include stations at which a sample was collected, borehole collars, mine collars, prospect pits, and soil pits. Site-

specific data resources are targeted because most agencies dealing with geological and geophysical data have one or more kinds of site data in their purview and such data are commonly tabulated with some sort of location information. Focus on sample collection site-specific data will allow broad national coverage with content that will be useful to a wide variety of users. Precisely what kinds of sites are cataloged will be determined by the nature of the holdings of participating states.

Funding for metadata should only be requested for items in collections already entered in the on-line survey and metadata should first be created for those collections that have the most readily available, appropriate information needed for metadata.

#### **D. Important Dates**

The deadline for submitting proposals is: **January 26, 2009, at 4:30pm, Eastern Standard Time. Proposals received after midnight will be considered late and will NOT be considered for an award.**

The earliest start date for new grants will be after the USGS receives its final FY 2009 appropriation, notice of full-year continuing resolution, or **May 1, 2009**, whichever is later.

The latest start date is **September 15, 2009**. Awards will be made for a 12-month period only. No awards will be issued for less than 12 months or more than 12 months.

#### **E. Funding**

One proposal from each State geological survey will be accepted that addresses one or both of the FY 2009 program priorities for the National Digital Catalog. In addition, the USGS NCGDPP and the Association of American State Geologists are sponsoring a Data Preservation Techniques Workshop hosted by the Indiana Geological Survey, July 14 and 15, 2009. The workshop will bring together data preservation specialists from state and federal geological surveys and agencies with geoscience data preservation responsibilities to share archiving techniques and best management practices to avoid costly mistakes in sample and data preservation, cataloging, and accessibility. States may include funding for up to two people to attend this workshop in their 2009 proposals. Additional information will be posted on the Program website at <http://datapreservation.usgs.gov/> as it becomes available.

The total amount of NCGDPP FY 2009 funding available for state efforts is expected to be approximately \$550,000.00. The NCGDPP anticipates making awards in FY 2009 for 25 to 35 proposals submitted under this Program Announcement.

The NCGDPP is required by statute (Public Law 109-58) to be carried out on a 1:1 matching basis; each recipient must match each Federal dollar they receive with a non-Federal dollar (direct and indirect costs). The non-Federal share may be contributions of services or cash provided to contractors to perform services directly applicable to proposed work on the project. The specific source(s) of the state contribution, such as state legislative appropriation, must be provided in the proposal. The 1:1 ratio, however, does not prevent states from securing additional funds from other non-Federal tax-supported entities to increase the level of data preservation accomplished. The Program encourages multiple partnerships as they leverage resources available for preservation of geological and geophysical data. A letter or item of evidence should be included with the proposal to support other non-state-survey funds. Federal regulations prohibit matching Federal funds with other Federal funds. The valuation of collections and data, and its acceptability when applied to meet the

cost-sharing (matching) requirement, must be appraised by an independent third party certified in the state in which the organization is registered. The organization using collections or data valuation in the cost-sharing requirement must pay for the appraisal of the holdings.

Availability of Funds: Funds are not presently available for this assistance program. The Government's obligation for this assistance program is contingent upon the availability of appropriated funds from which funding for assistance purposes can be made.

**NOTE:** Notification of a successful proposal does **not** constitute authority to incur costs. Costs may be incurred only after the receipt of a **grant award** signed by a Contracting Officer of the USGS.

### **Questions?**

For Grants.gov issues, see:

[http://www.grants.gov/applicants/app\\_help\\_reso.jsp](http://www.grants.gov/applicants/app_help_reso.jsp)

<http://www.usgs.gov/contracts/grants/grantsgov.html>

For Contract issues, contact Maggie Eastman, (703) 648-7366, [mrussell@usgs.gov](mailto:mrussell@usgs.gov)

For NGGDP Program Coordinator, contact Tamara Dickinson, (703) 648-6603, [tdickinson@usgs.gov](mailto:tdickinson@usgs.gov).

For NGGDPP Grant Program Manager, contact Frances Pierce, (703) 648-6636, [fpierce@usgs.gov](mailto:fpierce@usgs.gov).

## Part II: Applicant Guidelines

### A. Electronic Proposal Submission Requirement

All proposals shall be submitted electronically using Grants.gov: <http://www.grants.gov> . Be sure to **read the instructions carefully**. Paper copies will NOT be accepted.

**Please be aware that the electronic submission process requires first time users to register using an e-Authentication process. This registration process can be somewhat complex and can take up to 3 weeks to complete. Be advised that it is virtually impossible to begin the process of electronic submission for the first time if you start just a few days before the due date. If you are from a university, contact your Office of Sponsored Programs. They may already have completed the registration process and should work with you to submit the application.**

Once at the website, click “Get Registered” under the “For Applications” heading and follow the instructions provided. In order to complete the SF 424 forms, **everyone** must use the Adobe Reader version which is available for download from the grants.gov site at: [http://www.grants.gov/help/download\\_software.jsp#adobe811](http://www.grants.gov/help/download_software.jsp#adobe811). To ensure that you have the correct version of Adobe Reader, you can use the versioning test located at: <http://www.grants.gov/applicants/AdobeVersioningTestOnly.jsp>. Any and all edits made to the application package must be made with the Adobe Reader version specified on Grants.gov. Grants.gov does not guarantee to support other versions of Adobe Reader released prior to version 8.1.1. For more information on Adobe Reader, please see: [http://www.grants.gov/applicants/applicant\\_faqs.jsp#adobe-reader-error](http://www.grants.gov/applicants/applicant_faqs.jsp#adobe-reader-error). Please note that there is an underscore between “applicant” and “faqs” in the URL. If you have any questions regarding the registration process, please contact the Grants.gov help desk at 1-800-518-4726.

In the Grants.gov forms, floating your mouse over a field will provide instructions for completing that field. You can also click on the Check Package for Errors button to check the entire application for validation errors (incomplete fields, etc.)

For more information on the Grants.gov registration and submission process, please see <http://www.usgs.gov/contracts/grants/grantsgov.html>

Your electronic submission will consist of forms SF-424, SF-424a, and SF-424b, plus the items described below. To obtain hard copies of the required forms, or to view complete forms instructions, please visit the Grants.gov Forms Repository at [http://www.grants.gov/agencies/aapproved\\_standard\\_forms.jsp#1](http://www.grants.gov/agencies/aapproved_standard_forms.jsp#1) Please note there are underscores between “approved” and “standard” and “standard” and “forms” in the URL.

The application shall not exceed 15 single-spaced pages (including figures, tables, appendices, etc.) and the type size shall not be smaller than 11 point. All pages of the application shall be numbered. All text, figures, and tables shall be sized to fit on 8½" by 11" paper. The SF forms and vitae do **not** count toward the 15-page limit.

The application shall be submitted in MS Word or PDF format through Grants.gov and shall be **assembled in the following order**. Following this format ensures every proposal contains all essential information and is evaluated equitably.

- (1) Proposal Information Summary Sheet (**Attachment A**). Summary sheet shall clearly list which Program priorities (inventory collections, metadata for collections already in the catalog, or both) are addressed by the proposal and a brief budget summary.
- (2) Abstract. The abstract shall be no longer than one single-spaced page. It shall include identification of the project goal (collection inventory, metadata, or both), a summary of the approach, project objectives, and anticipated results. Please note that abstracts from successful proposals may be posted on the Data Preservation website: <http://datapreservation.usgs.gov/> .
- (3) Table of Contents
- (4) Proposal Technical Text. This text should include the following:
  - (a) *Introduction*: The introduction should include a brief overview of the project objectives and timelines. Keep this section short and clear.
  - (b) *Purpose and Justification*: This section should answer a few simple, but important questions. Describe the proposed project. What is the justification for the proposed preservation project? Who are the state's customers? What benefits will society receive from this project? Also include information on who uses the collections and how often they are accessed. A statement of use or a letter of support from a stakeholder may be included.
  - (c) *Strategy for Data Preservation*: This section should explain in detail how the proposed project addresses the state's long-range data-preservation plan. This year, the Program will not provide funds to create a state long-range data-preservation plan.
  - (d) *Preliminary Results and Prior Work*: If previously funded by NNGDPP, a brief summary of findings or outcomes shall be provided. Describe any previous data preservation work and ongoing preservation activities.
  - (e) *Products/Reports*: The types of products/reports to be provided (other than the Final Technical Report) should be specified in the proposal (i.e., completion of on-line survey, metadata for specific collections, etc.).
  - (f) *Project Personnel*: Identify the Principal Investigator (PI) first. Then list other support positions (such as geologist, information technologist, or database developer). **You shall** define the roles and responsibilities of each project member.

For **each** position provide a brief vita (no more than 2 pages) that includes expertise relevant to their proposed tasks. Vitae **do not** count against the proposal page limit.
  - (g) *For proposals to inventory collections*, indicate whether you received NNGDPP funds in prior years to inventory collections and if so, which collections were inventoried. If a collection was only partially inventoried in a prior year, explain the impediments to completing that inventory and whether it will be completed in this grant cycle. List all collections you propose to inventory in FY 2009. Explain how this proposed activity relates to the state's long-range data-preservation plan.

- (h) *For proposals to create metadata*, the following shall also be included in the technical proposal:
- (i) The proposal shall indicate the collections for which metadata will be created, the number and type of sampling sites reported, the process by which metadata will be generated and submitted to the catalog, and any quality assurance processes that will be used to check the data. Explain how this proposed activity relates to the state's long-range data-preservation plan.
  - (ii) The plan for producing a file format that will import into the National Digital Catalog portal shall be documented in the proposal.
  - (iii) For states that do not have technical resources to produce the requested files, proposals should include provisions to obtain technical assistance. This may take the form of partnerships with other State geological surveys, other agencies in the same state, or with DOI Bureaus.
  - (iv) Proposals shall include a plan for long-term maintenance and updating of catalog records. This should include a plan for integrating catalog updates into the business process of the agency, the planned update period, an update process, and a technical plan for how new or modified records in the catalog will be identified and updated. For file-based data uploads the upload mechanism will help in the versioning process. Service-provided data should include attribution to establish the currency of the data.
- (5) Detailed Budget. The detailed proposed budget (**Attachment B**) shall be keyed to the Budget Summary on the Proposal Information Summary Sheet (**Attachment A**). The sum of contributions from a State geological survey shall be equal to or greater than the amount requested from the U.S. Geological Survey (USGS) and shall be derived from non-Federal sources.

The detailed budget **shall** include the amount proposed for each of the following items in this order:

- (a) *Salaries and wages*: Names, positions, number of hours individuals will spend on various tasks, their rate of compensation, and the role they will play in the project shall be listed. Salaries or wages for student assistants (both undergraduates and graduate students) are an acceptable cost to the program. If a position is vacant, please indicate the position title. Please include **only** personnel actively involved in preservation projects. Under most circumstances, senior management salary/time is covered by the overhead (indirect cost) portion of the budget. The portion of staff time involved in inventorying, creating metadata, and transferring information to the National Digital Catalog can be charged here. If senior management personnel do some of this work, include an explanation of their roles. Non-state survey staff working on the project should also be included, if they are being supported by other state funding.
- (b) *Fringe benefits*: Indicate the rates/amounts in conformance with normal accounting procedures. Explain what costs are covered in this category and the basis of the rate computations. Indicate whether rates are used for proposal purposes only or whether they are also fixed or provisional rates for billing purposes. Include a copy of the Negotiated Rate Agreement or internal memo supporting the proposed rates.



- (c) *Travel expenses:* State the purpose of the trip(s) and itemize estimated travel costs (i.e., number of people, number of travel days, per diem rate, mileage rate, airfare, or other travel costs) necessary to inventory collections or create metadata. States may also request funding for travel to the Data Preservation Techniques Workshop in Bloomington, Indiana July 14 and 15 (see Part I, Section E). The Indiana Geological Survey has arranged meeting space, lodging, and most meals through Indiana University in Bloomington. Approximate cost of the workshop for each person, excluding airfare, and per diem, is \$210. The dormitory, meeting hall, and Indiana Geological Survey are all within easy walking distance of each other, so rental cars will not be necessary. States may request funding to send one or two persons with data preservation or metadata responsibilities to the workshop. These funding requests are also subject to the 1:1 Federal State funding match.
- (d) *Other direct-cost line items to list:*
- (i) *Supplies:* List costs for office and laboratory/facility supplies. **Please itemize.**
- (ii) *Equipment:* Federal NCGDPP funds may be used to purchase computer hardware, GPS, vehicles, or other nonexpendable property. If necessary, Federal NCGDPP funds may be used to purchase software site licenses needed to complete data preservation projects. Show the cost of all proposed equipment/software site licenses necessary for achieving objectives of the project. Each item should be itemized and include a full justification and a dealer or manufacturer quote, if available.
- General-purpose equipment must be purchased from the applicant's operating funds. Title to non-expendable personal property shall be vested solely with the Recipient. Non-expendable equipment means equipment having a useful life of more than one (1) year and having an acquisition cost of \$5,000 or more per item. Under **no** circumstances shall property title be vested in a sub-tier recipient.
- (iii) *Contractual services:* Identify the tasks or problems for which such services would be used. Identify proposed contractors (individual or corporate) and provide criteria by which contractors will be, or have been, selected. Include their total time, rate of compensation, and job titles.
- (iv) *Routine computer maintenance contracts and charges for computer time are **NOT** acceptable costs (these should be covered by indirect costs). Explain and justify any extraordinary items.*
- (e) *Total direct costs:* Total items (a) through (d).
- (f) *Indirect Charges:* Show the proposed rate, cost base, and proposed amount for allowable indirect costs based on the cost principles applicable to the Applicant's organization. If the Applicant has separate rates for recovery of labor overhead and General and Administrative costs, each charge should be shown. Explain the distinction between items included in the two cost pools. The Applicant should propose rates for evaluation purposes, which they are also willing to establish as fixed or ceiling rates in any resulting award. **A copy of the indirect negotiated cost agreement with the Federal Government must be included.** If one is not established, a letter from a Certified Public Accountant must be included to support the cost.

(g) *Total charges*: Total items (a) to (f). The total budget proposed must show a **1:1 Federal/State match of direct and indirect charges**.

**B. Rejection of Proposals after Initial Review**

If a proposal does not meet all requirements, including length, specified in the Announcement, as determined by the Contracting Officer in consultation with the NGGDP Program Coordinator, the applicant will be promptly notified in writing of the rejection along with the reason for the rejection.

- (1) Applicants shall submit a proposal that addresses NGGDP Program priorities. If the proposal does not address an FY 2009 program priority, it will be rejected. **For FY 2009, program priorities are: Collection inventories (as discussed in I.C (1) above) and Metadata (as discussed in I.C (2) above) and according to the formats provided on the program website at: <http://datapreservation.usgs.gov/>).** These two priority tasks form the basis of the **National Digital Catalog**.
- (2) Page limit and type size limits **SHALL** be enforced. These limits must be adhered to or the proposal will be rejected.

**C. Involvement of Federal Employees**

Federal employees, including USGS employees, are prohibited from assisting in any capacity (paid or unpaid) with preparation of any proposal submitted under this Announcement. Proposals that have a real, or the appearance of, conflict of interest related to Federal employees will not be processed for evaluation. This does not prohibit cooperation or collaboration between USGS and non-USGS scientists once a grant is in place.

**D. NGGDPP Products/Reports**

Data preservation products/reports acceptable to the Program in Fiscal Year 2009 are listed below:

- (1) Collections inventory

States that request and are granted funding to cover part of the anticipated costs of inventorying state-held collections will be required to complete the on-line survey at [http://geology.usgs.gov/datapreservation/state\\_survey.htm](http://geology.usgs.gov/datapreservation/state_survey.htm) (Please note there is an underscore between "state" and "survey" in the URL).

- (2) Metadata for the National Digital Catalog

States requesting funding to create metadata records for individual samples within collections, shall do so for collections previously entered into the on-line survey.

For inclusion in the National Digital Catalog, metadata shall include certain minimal data describing the sites from which data and samples were collected. Each metadata record must have all required fields populated.

Description of metadata fields, the template for a metadata record, an example of a metadata record, and instructions on submitting metadata files can be found on the program website at: <http://datapreservation.usgs.gov/> .

(3) Final Technical Reports

**All awards** made under the NGGDPP will require submittal of a Final Technical Report that shall document and summarize the results of the work. Such reports shall contain a comparison of actual accomplishments to the goals established for the period; reasons why established goals were not met, if applicable; and other pertinent information. Final technical reports shall be submitted electronically to the Grants Program Manager, Frances Pierce ([fpierce@usgs.gov](mailto:fpierce@usgs.gov)), with a copy of the transmittal letter to the Contracting Officer, Margaret Eastman ([mrussell@usgs.gov](mailto:mrussell@usgs.gov)).

**E. Long-Range Data-Preservation Plans**

Part IV.G of the Implementation Plan for the National Geological and Geophysical Data Preservation Program states that proposals will be evaluated on the basis of a comprehensive proposal and Long-Range Data-Preservation Plan. States are not required to submit their Long-Range Data-Preservation Plans to the USGS, but they must explain how their proposed activities address their long-range plans. A suggested format for such plans is included as **Attachment E** to this announcement.

**F. Proposal Evaluation**

(1) Peer Panel

NGGDPP proposals will be reviewed by a peer panel of approximately ten (10) members. Approximately four (4) members will be representatives of State geological surveys; four (4) members will be Department of the Interior representatives; and two (2) members will be external representatives.

(2) Proposal Evaluation Criteria

- (a) All proposals submitted will be evaluated in accordance with the criteria listed below. Each reviewer will complete an evaluation form for each proposal and evaluation forms will become part of the official proceedings record at the conclusion of the Review Panel meeting. NOTE: To avoid any conflict of interest, no panelist may vote on a proposal from his or her State geological survey or state agency nor may any panelist take part in any discussion with other panel members about his or her state's proposal.
- (b) Evaluation criteria will be weighted as follows:
  - (i) Relevance and timeliness: This factor considers the relevance, urgency, and timeliness of the proposed data preservation activities as they relate to the USGS NGGDP Program goals and the state's long-range data-preservation plan (30 points).
  - (ii) Merit of the proposal: This factor considers the scientific and technical viability of the proposed approach and the probability of achieving positive results within the designated period (30 points).
  - (iii) Competence and recent performance of Principal Investigator (PI) and team members: This factor considers experience and competence of the PI and coworkers and the promptness with which the results from previous funding were submitted. This factor includes performance records and capability to provide necessary facilities and support to ensure satisfactory completion of the proposed work. The

recent performance element is primarily concerned with whether reporting requirements from previous USGS awards have been satisfied (20 points).

- (iv) Appropriateness and reasonableness of the budget: This factor considers whether the proposed budget describes how Federal funds will be matched 1:1 by state funds, is commensurate with the level of effort needed to accomplish the project objectives and whether the cost of the project is reasonable relative to the value of the anticipated results (20 points).

NOTE: The peer review panel makes recommendations and provides advice by ranking proposals into priority groupings based on the scores related to the criteria described above. The results of the peer review will assist the USGS in making final award determinations under this Announcement.

### **G. Notification**

Following the peer panel reviews, the USGS will make funding decisions and will notify applicants of one of three possible decisions: the proposal has been recommended for funding in FY 2009, subject to appropriations; the proposal is being declined and will not be funded in FY 2009; or a portion of the proposal is declined for funding and the applicant will be notified and requested to submit an amended proposal and budget.

### **H. Award Terms and Conditions**

Award Recipients shall comply with grant award Special Terms and Conditions (see **Attachment C**) and Cost Principles, Audit, and Administrative Requirements (see **Attachment D**).

- (1) No pre-award costs are authorized.
- (2) No-Cost Extensions to the Project Period. No-cost extensions are discouraged. The timely conduct of funded projects is important to achieving program goals. Applicants should consider time commitments prior to applying for a grant. Requests for no-cost extensions will be considered on a case-by-case basis. The USGS reserves the right to limit the length of time and number of no-cost extensions. Please note that no-cost extensions are not intended to be used merely for the purpose of expending unobligated balances. Applicants should supply documentation supporting their request for an extension, as described in Attachment C, Section 4.
- (3) Supplemental Funds. Increases in funds beyond the amount awarded are also discouraged. The peer review panel recommends funding at a rate according to their judgment of the merit of a proposal and their expert knowledge of the expenses likely to be incurred in the conduct of the project.
- (4) Technical Report Requirement. When award recipients have completed their projects, a final Technical report must be submitted within 90 days after the end of the grant performance period.

### **I. Paperwork Reduction Act Statement**

The Paperwork Reduction Act of 1995 (44 U.S.C. 3501 et. seq.) requires us to inform you that this information collection is being conducted for the National Geological and Geophysical Data Preservation Program (NGGDPP) to receive and review proposals to acquire funding for projects to help build an archive of geoscience information as outlined in Section 351 of the Energy Policy Act of 2005 (Public Law 109-58, Sec. 351). We estimate the public reporting burden averages 36.5 hours per response. This

includes time (1) to write and review the proposal and submit it through Grants.gov, and (2) prepare and submit the final technical report. The response to this request is voluntary. We understand an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB Control Number. Comments regarding the burden estimate or any other aspect of this collection of information should be directed to: The NGGDPP Program Coordinator is Tamara Dickinson, U.S. Geological Survey, 911 National Center, 12201 Sunrise Valley Drive, Reston, VA 20192.

FY 2009 NNGDPP Proposal Information Summary

Use the format below for the required Proposal Information Summary

Name of the State Geological Survey:

Project Title:

**Principal Investigator(s):** (Name)  
(Institute/Organization Name)  
(Street Address/P.O. Box)  
(City, State, Zip Code)  
(Telephone Number), (FAX Number), (E-mail Address)

**Authorized Institutional Representative:** (Name)  
(Institute/Organization Name)  
(Organizational Unit)  
(Street Address/P.O. Box)  
(City, State, Zip Code)  
(Telephone Number), (FAX Number), (E-mail Address\*)

**Component of Program Priority**  Collection inventory,  Metadata, or  
 Collection inventory and Metadata

**Amount Requested:** (This is a summary of budget information from **Attachment B**)  
Salaries  
Fringe Benefits  
Travel Expenses  
Other Direct Costs  
Indirect Costs  
Grand Total

**Proposed Start Date:** (The date you would like to start work; between **XXXX XX**, 2009, and **XXXXXX XX**, 2009)  
Keep in mind the earliest start date for new grants will be after the USGS receives its final FY 2009 appropriation, notice of full-year continuing resolution, or **May 1, 2009**, whichever is later.

**Proposed Duration:** (12 months - No awards are issued for less than or more than 12months)

**Has this proposal been submitted any other agency for funding:** (List name of agency, and program or division to which has this proposal been submitted)

**Active NNGDPP-related grants:** (List project title and funding source for all active awards)

\* Please provide an email address for an individual (not for an office)



**USE THE FOLLOWING FORMAT  
Attachment B**

**NATIONAL GEOLOGICAL AND GEOPHYSICAL DATA PRESERVATION PROGRAM  
FY 2009 DETAILED BUDGET**

**State:** \_\_\_\_\_

**Proposal Short Title:** \_\_\_\_\_

Budget Category	Federal Funding "Requested"	Matching Funds "Proposed"
<b>TRAVEL EXPENSES:</b>		
Per Diem	\$	\$
Lodging Cost	\$	\$
Vehicle Cost	\$	\$
Mileage	\$	\$
<b>WORKSHOP TRAVEL EXPENSES</b>		
Person's name and role		
Per Diem	\$	\$
Lodging Cost (dormitory x 2 nights, incl. taxes) = \$104	\$	\$
Transportation Cost (shuttle to/from Indianapolis Airport) = \$50	\$	\$
Airfare		
Registration (\$120)		
<b>OTHER DIRECT COSTS:</b>		
Supplies (itemize)	\$	\$
Equipment	\$	\$
Contractual Staff	\$	\$
Other	\$	\$
	\$	\$
	\$	\$
	\$	\$
Total Direct Costs:	\$	\$
Indirect Cost (___%)	\$	\$
Uncollected Indirect Cost	\$ -----	\$
<b>GRAND TOTAL:</b>	<b>\$</b>	<b>\$</b>



## Special Terms and Conditions

### 1. Method of Payment

The U.S. Geological Survey (USGS) is using the Health and Human Services (HHS) Payment Management System (PMS) to provide electronic invoicing and payment for assistance award recipients. The Recipient has established or will establish an account with PMS. With the award of each grant/cooperative agreement, a sub-account will be set up from which the Recipient can draw down funds. The sub-account number will be shown in block 4 of the face page of each award or modification. Payments will be made available through PMS. The PMS is administered by the Department of Health and Human Services (DHHS), Division of Payment Management of the Financial Management Service, Program Support Center. The DHHS will forward instructions for obtaining payments to the recipients. Inquiries regarding payment should be directed to:

Division of Payment Management  
Department of Health and Human Services  
P.O. Box 6021  
Rockville, MD 20852

The Division of Payment Management web address is [www.dpm.psc.gov](http://www.dpm.psc.gov). Problems or questions with electronic drawdown procedures should be directed to Raynette Robinson at (301) 443-9180. Payments may be drawn in advance only as needed to meet immediate cash disbursement needs.

### 2. Definitions

#### A. Grant Agreement

A grant agreement is the legal instrument reflecting a relationship between the Federal Government and a state or local government or other recipient whenever:

- (1) the principal purpose of the relationship is the transfer of money, property, services, or anything of value to the state or local government or other recipient in order to accomplish a public purpose of support or stimulation authorized by Federal statute, rather than acquisition, by purchase, lease, or barter, of property or services for the direct benefit or use of the Federal Government; and
- (2) no substantial involvement is anticipated between the executive agency, acting for the Federal Government, and the state or local government or other recipient during performance of the contemplated activity.

#### B. Cooperative Agreement

A cooperative agreement is the legal instrument reflecting a relationship between the Federal Government and a state or local government or other recipient whenever:

- (1) the principal purpose of the relationship is the transfer of money, property, services, or anything of value to the state or local government or other recipient to accomplish a public purpose of support, or stimulation authorized by Federal statute, rather than acquisition, by purchase, lease, or barter, of property or services for the direct benefit or use of the Federal Government; and

- (2) substantial involvement is anticipated between the executive agency, acting for the Federal Government, and state or local government or other recipient during performance of the activity.

C. Grantee/Cooperator

Grantee or cooperator means the nonprofit corporation or other legal entity to which a grant or cooperative agreement is awarded and which is accountable to the Federal Government for the use of the funds provided. The grantee or cooperator is the entire legal entity even if only a particular component of the entity is designated in the award document. For example, a grant or cooperative agreement award document may name as the grantee one school or campus of a university. In this case, the granting agency usually intends, or actually requires, that the named component assume primary or sole responsibility for administering the grant-assisted project or program. Nevertheless, the naming of a component of a legal entity as the grantee or cooperator in a grant or cooperative agreement award document shall not be construed as relieving the whole legal entity from accountability to the Federal Government for the use of the funds provided.

The term “grantee” or “cooperator” does not include secondary recipients such as sub grantees, contractors, etc., who may receive funds from a grantee pursuant to a grant.

D. Recipient

Recipient means grantee or cooperator.

E. Principal Investigator

The Principal Investigator is the individual designated by the Recipient (and approved by the USGS) who is responsible for the technical direction of the research project. The Principal Investigator cannot be changed or become substantially less involved than was indicated in the Recipient's proposal, without the prior written approval of the Contracting Officer.

F. Grant Program Manager

- (1) The Grant Program Manager will work closely with the Principal Investigator to ensure that all technical requirements are being met. The Grant Manager's responsibilities include, but are not limited to, providing technical advice on the accomplishment of the proposal's objectives; reviewing the technical content of reports and the other information delivered to the USGS; determining the adequacy of technical reports; and conducting site visits, in coordination with the Contracting Officer, as frequently as practicable.
- (2) The NGGDPP Program Coordinator is Tamara Dickinson, U.S. Geological Survey, 911 National Center, 12201 Sunrise Valley Drive, Reston, VA 20192. The NGGDPP Grant Manager is Frances Pierce, U.S. Geological Survey, 912 National Center, 12201 Sunrise Valley Drive, Reston, VA 20192. Neither the Program Coordinator or the Grant Manager have the authority to issue any technical direction which constitutes an assignment of additional work outside the scope of the award; in any manner cause a change in the total cost or the time required for performance of the award; or change any of the terms, conditions, or general provisions of the award.

### G. Contracting Officer (CO)

Contracting officers are individuals who have been delegated in writing by the USGS Office of Acquisition and Grants as the sole authority designated to obligate Federal funds and create terms and conditions of awards. They are the only individuals who have authority to negotiate, enter into, and administer awards resulting for this program. Contracting officers have responsibility to ensure the effective use of Federal funds.

Functions of the contracting officer include but are not limited to:

- (1) Issuing the grant program announcement in coordination with the grants program manager.
- (2) Receiving grant proposals and related documents in response to a grant program announcement. The contracting officer as receiving official shall mark all proposals with a control number and the date officially received. She shall notify each applicant of the receipt of its proposal.
- (3) Approving the grant program manager's Technical Evaluation Plan, which describes in detail the evaluation process for a competitive grant/cooperative agreement program. The contracting officer shall ensure the openness and fairness of the evaluation and selection process.
- (4) Serving in an advisory capacity at peer review panel meetings. She shall interpret grant management policies to panel members.
- (5) Notifying grant program applicants whether or not they were selected for funding or of any other disposition of their application.
- (6) Negotiating, as necessary, the final grant/cooperative agreement budget.
- (7) Issuing grant/cooperative agreement awards and revisions to awards.
- (8) Approving invoice payments.
- (9) Receiving all requests for changes to an award. The contracting officer shall serve as the mandatory control point for all official communications with the grantee which may result in changing the amount of the grant/cooperative agreement, the grant/cooperative agreement budget, or any other terms and conditions of the grant.
- (10) Receiving financial reports required by the terms and conditions of the award.
- (11) Closing out grant/cooperative agreement awards when all applicable award requirements have been complied with.

### 3. Reporting Requirements

#### A. Required reports/documents

The Principal Investigator or Director, Sponsored Programs Office is required to submit the following reports or documents:

<b>Report/ Document</b>	<b>No. of Copies and Method of Transmittal</b>	<b>Submit To</b>	<b>When Due</b>
(1) For Collection Inventory: On-line inventory form	Completion of on-line inventory form at <a href="http://geology.usgs.gov/datapreservation/state_survey.htm">http://geology.usgs.gov/datapreservation/state_survey.htm</a> (Please note there is an underscore between "state" and "survey" in the URL).	<b>See Section 3.B(1) below</b>	Within 90 calendar days after the end of the performance period. <b>See Section 3.B(1) below.</b>
(2) For Metadata: Digital Metadata files	Instructions at: <a href="http://datapreservation.usgs.gov/">http://datapreservation.usgs.gov/</a>	<b>See Section 3.B(2) below</b>	Within 90 calendar days after the end of the performance period. <b>See Section 3.B(2) below.</b>
(3) Final Technical Report	Send Adobe Acrobat PDF file as an email attachment.	<b>See Section 3.B(3) below.</b>	Within 90 calendar days after the end of each 12-month budget period. See Section <b>3.B(3) below.</b>
SF 272 Federal Cash Transactions Report	Electronic Submission	USGS via PMS Electronic 272 system. <b>See Section 3.B(4) below</b>	<b>See Section 3.B(4) below.</b>
SF-269 Financial Status Report	See Section 3.B(5)	<b>See Section 3.B(5) below</b>	<b>See Section 3.B(5) below</b>
Final SF-269 Financial Status Report	See Section 3.B(6)	<b>See Section 3.B(6) below</b>	<b>See Section 3.B(6) below</b>

#### B. Report preparation instructions

The Recipient shall prepare the reports/documents in accordance with the following instructions:

- (1) *For Collection Inventory.* The recipient shall complete the on-line survey for collection inventories at:  
[http://geology.usgs.gov/datapreservation/state\\_survey.htm](http://geology.usgs.gov/datapreservation/state_survey.htm)

Please note that there is an underscore between “state” and “survey” in the URL. The survey shall be completed within 90 calendar days after the end of the project period.

(2) *For Metadata for the National Catalog.* Files of digital metadata for individual samples in collections identified in the on-line survey component of the catalog will be required. Description of metadata fields, the template for a metadata record, an example of a metadata record, and instructions on submitting metadata files can be found on the program website at: <http://datapreservation.usgs.gov/> .

- (a) Some level of consulting help to convert existing database formats to one of the required formats may be provided by arrangement with the Program Coordinator for NGGDPP. File-based data on sample collection sites will be uploaded to a special Intranet site provided by the NGGDPP that will also facilitate updates to the National Catalog via a versioning system.

The National Catalog portal (or any other catalog service hosting data provided by state agencies) will implement a mechanism for data providers to obtain reports on data usage in order to provide feedback on usage and guide future development and provide motivation to maintain catalog records.

- (b) Conformance to state’s metadata requirements: Digital metadata products (referred to as "products" below) will conform to the respective state agency's policies and guidelines for approval and publication of products. These requirements apply to products intended for release to the public.

(3) *For All Awards.* The final technical report shall document and summarize the results of the work. Such reports shall contain a comparison of actual accomplishments to the goals established for the period; reasons why established goals were not met, if applicable; and other pertinent information. The final report shall be submitted within 90 calendar days of the end of the project period.

- (a) Submit the Final Technical Report electronically as an Adobe Acrobat PDF file e-mail attachment to: Frances Pierce at [fpierce@usgs.gov](mailto:fpierce@usgs.gov), with a copy of the transmittal sent to Margaret Eastman at [mrussell@usgs.gov](mailto:mrussell@usgs.gov).

- (b) Final Technical reports shall consist of the following sections:

- (i) Cover page with the following information:
  - Award Number
  - Title
  - Author and Affiliation with Address and zip code
  - Author's Telephone numbers, fax numbers and E-mail addresses
  - Term covered by the award (start and end dates)
  - Submittal Date of Final Technical Report
- (ii) Abstract
- (iii) Main body of the report shall be single-spaced in 8 ½" x 11" format. The main body of the report shall be formatted double-sided, including figures and bibliography. Oversized pages should be used only if they are critical to convey data or conclusions. Electronic versions of oversized illustrations are also required to be sent with the electronic version of reports.

- (4) Standard Form 272, Federal Cash Transactions Report, is required quarterly for each PMS subaccount. Quarterly reports are due 45 working days after the end of each fiscal quarter until Financial Status Report is submitted. Instructions for submitting a SF 272 can be found at the following website:

[http://www.dpm.psc.gov/grant\\_recipient/psc\\_272\\_reports/psc\\_272\\_reports.aspx?explorer.event=true](http://www.dpm.psc.gov/grant_recipient/psc_272_reports/psc_272_reports.aspx?explorer.event=true)

If after 45 days, recipient has not submitted a report, the account will be placed in a manual review status. Funds may be withheld for accounts with delinquent reports.

- (5) Standard Form 269, Financial Status Report (original and 1 copy) is required annually and is due 90 calendar days after the end of the annual budget period. Reports will be submitted to the Contracting Officer at the address shown in Block 5 of the award form.
- (6) Final Financial Status Report (SF-269)
- (a) The recipient will liquidate all obligations incurred under the award and submit a final SF 269 Financial Status Report no later than 90 calendar days after the grant completion date. Recipient will promptly return any unexpended federal cash advances or will complete a final draw from PMS to obtain any remaining amounts due. Once 120 days has passed since the grant completion date, the PMS subaccount for this award may be closed by USGS at any time.
  - (b) Subsequent revision to the final SF 269, Financial Status Report, will be considered only as follows:
    - (i) When the revision results in a balance due to the Government, the recipient must submit a revised SF 269 and refund the excess payment whenever the overcharge is discovered, no matter how long the lapse of time since the original due date of the report.
    - (ii) When the revision represents additional reimbursable costs claimed by the recipient, a revised SF 269 may be submitted to the Contracting Officer with an explanation. If approved, the USGS will either request and pay a final invoice or reestablish the PMS subaccount to permit the recipient to make a revised final draw. Any revised final report representing additional reimbursable amounts must be submitted no later than 1 year from the due date of the original report, i.e., 15 months following the agreement completion date. USGS will not accept any revised SF 269 report covering additional expenditures after that date and will return any late request for additional payment to the recipient.

C. Adherence to reporting requirements

**A Recipient's failure to submit the required reports/documents, in a timely manner, may result in with-holding of payment, termination of the award, or delay or non-issuance of new awards.**

**4. Adherence to Original Research Objective and Budget Estimate**

- A. Any commitments or expenditures incurred by the Recipient in excess of the funds provided by this award shall be the responsibility of the Recipient. Expenditures incurred prior to the effective date of this award cannot be charged against award funds.
- B. The following requests for change **require advance written approval by the Contracting Officer shown on your award. Your request must be submitted to the Contracting Officer at least 45 calendar days prior to the requested effective date of the change:**
- (1) Changes in the scope, objective, or key personnel referenced in the Recipient's proposal.
  - (2) Request for supplemental funds.
  - (3) Transfer of funds between direct cost categories when the cumulative amount of transfers during the project period exceeds 10 percent of the total award.
  - (4) Foreign travel not approved at time of award.
  - (5) Acquisition of nonexpendable personal property (equipment) not approved at time of award.
  - (6) Creation of any direct cost line item not approved at time of award.
  - (7) Any other significant change to the award.
  - (8) **No-cost extensions to the project period are discouraged.** The timely conduct of funded projects is of great importance to the achievement of the goals of the program. Applicants should consider their time commitments at the time of applying for a grant. Requests for no-cost extensions will be considered on a case-by-case basis. The USGS reserves the right to limit the length of time and number of no-cost extensions. Please note that no-cost extensions are not intended to be used merely for the purpose of expending unobligated balances. Applicants should supply documentation supporting their request for an extension.
- Requests for no-cost extensions shall be forwarded to the Contracting Officer for consideration not later than 30 days prior to the requested end date. The Recipient **shall include** in the request the cause of the needed extension, a description of the remaining work to be completed, the proposed date of completion, the amount of funds remaining, and a revised budget for the remaining funds. If all funds have been disbursed to the Recipient, this must be indicated in the request.
- After discussion with NGGDP Program Coordinator, the Contracting Officer will make a final decision on a case-by-case basis and notify the Recipient in writing. Asking for a no-cost extension in no way jeopardizes the success of a future proposal. A request for an extension that is received by the Contracting Officer after the expiration date shall **not** be honored.
- C. The Contracting Officer will notify the Recipient in writing within 30 calendar days after receipt of the request for revision or adjustment whether the request has been approved.

**5. Nonexpendable Personal Property**

The recipient shall comply with 2 CFR Part 215, Section 215.34. Title to nonexpendable personal property acquired wholly or in part with Federal funds shall be vested in the Recipient unless otherwise specified in the award document. The Recipient shall retain control and maintain a property inventory of such property as long as there is a need for such property to accomplish the purpose of the project, whether or not the project continues to be supported by Federal funds. When there is no longer a need for such property to accomplish the purpose of the project, the Recipient shall use the property in connection with other Federal awards the Recipient has received. Under no circumstances shall title to such property be vested in a sub-tier recipient. Disposal of nonexpendable personal property shall be in accordance with the applicable OMB Circular.

The following equipment shall be vested: To be determined upon award

**6. Record Retention Period**

Unless a longer period is requested by the award, a Recipient shall retain all records for 3 years after the end of the project period for which it uses USGS award funds.

**7. Pre-agreement Costs**

Pre-agreement costs are not authorized under this program. Costs must be obligated during the project period.

**8. Site Visits**

Site visits may be made by USGS representatives to review program accomplishments and management control systems and to provide technical assistance, as required.

**9. Metric Conversion (43 CFR Sec 12.915)**

All progress and final reports, other reports, or publications produced under this award shall employ the metric system of measurements to the maximum extent practicable. Both metric and inch-pound units (dual units) may be used if necessary during any transition period(s). However, the recipient may use non-metric measurements to the extent the recipient has supporting documentation that the use of metric measurements is impracticable or is likely to cause significant inefficiencies or loss of markets to the recipient, such as when foreign competitors are producing competing products in non-metric units.

**10. Violation of Award Terms**

If a Recipient materially fails to comply with the terms of the award, the Contracting Officer may suspend, terminate, or take such other remedies as may be legally available and appropriate in the circumstances.

**11. Award Closeout**

Awards will be closed out once all requirements have been met. Technical and financial reports must be submitted on time as specified in section 3, above. Failure to adhere to the reporting requirements may result in no future awards.



## **12. Partnership with Grantees/Cooperators**

The USGS, through its federal grant/cooperative agreement awards, will collaborate with universities, federal state, local and tribal governments, and private organizations and businesses to provide relevant, timely, objective knowledge and information on natural resources, hazards, and the environment.

## **13. Buy American Act Requirements**

Pursuant to Section 307(b) of the Department of the Interior (DOI) and Related Agencies Appropriations Act, FY 2000, Public Law 106-113, please be advised on the following:

In case of any equipment or product that may be authorized to be purchased with financial assistance provided using funds made available in this Act, it is the sense of the Congress that entities receiving the assistance should, in expending the assistance, purchase only American-made equipment and products.

## **14. Anti-Lobbying (43 CFR Part 18)**

The Recipient shall not use any part of the appropriated funds from the Department of the Interior for any activity or the publication or distribution of literature that in any way tends to promote public support or opposition to any legislative proposal on which Congressional action is not complete.

## **15. The Seat Belt Provision (43 CFR Sec. 12.2(e))**

Recipients of grants/cooperative agreements and/or sub-awards are encouraged to adopt and enforce on-the-job seat belt use policies and programs for their employees when operating company owned, rented, or personally owned vehicles. These measures include, but are not limited to, conducting education, awareness, and other appropriate programs for their employees about the importance of wearing seatbelts and the consequences of not wearing them.

## **16. No Endorsement Provision (43 CFR 12.2(d))**

*[Paragraph (B) applies to all awards. The remainder of this provision applies only when:*

- *the principal purpose of the agreement is a partnership where the recipient/partner contributes resources to promote agency programs or publicize agency activities, assists in fundraising, or provides assistance to the agency; and*
- *the agreement authorizes joint dissemination of information and promotion of activities being supported; and*
- *the recipient is not a state government, a local government, or a Federally-recognized Indian tribal government.*

A. Recipient shall not publicize or otherwise circulate, promotional material (such as advertisements, sales brochures, press releases, speeches, still and motion pictures, articles, manuscripts or other publications) which states or implies Governmental, Departmental, bureau, or Government employee endorsement of a product, service, or position which the recipient represents. No release of information relating to this award may state or imply that the Government approves of

the recipient's work products, or considers the recipient's work product to be superior to other products or services.

- B. All information submitted for publication or other public releases of information regarding this project shall carry the following disclaimer:

The views and conclusions contained in this document are those of the authors and should not be interpreted as representing the opinions or policies of the U.S. Government. Mention of trade names or commercial products does not constitute their endorsement by the U.S. Government.

- C. Recipient must obtain prior Government approval for any public information releases concerning this award which refer to the Department of the Interior or any bureau or employee (by name or title). The specific text, layout photographs, etc. of the proposed release must be submitted with the request for approval.
- D. A recipient further agrees to include this provision in a subaward to any subrecipient, except for a subaward to a state government, a local government, or to a Federally-recognized Indian tribal government.

#### **17. Use of U.S. Flag Air Carriers**

Any air transportation to, from, between or within a country other than the U.S. of persons or property, the expense of which will be paid in whole or in part by U.S. Government funding, must be performed by, or under a code-sharing arrangement with, a U.S. flag air carrier if service provided by such a carrier is "available" (49 U.S.C. 40118, commonly referred to as the Fly America Act). Tickets (or documentation for electronic tickets) must identify the U.S. flag air carrier's designator code and flight number. See the Federal Travel Regulation §301-10.131 - §301-10.143 for definitions, exceptions, and documentation requirements. (See also Comp. Gen. Decision B-240956, dated September 25, 1991.)

#### **18. Activities on Private and Other Non-Federal Lands**

The recipient shall comply with applicable state, local, and Tribal government laws, including laws relating to private property rights.

#### **19. Access to Research Data**

- A. By regulation (43 CFR 12.936), recipients that are institutions of higher education, hospitals, or non-profit organizations are required to release research data first produced in a project supported in whole or in part with Federal funds that are cited publicly and officially by a Federal agency in support of an action that has the force and effect of law (e.g., regulations and administrative orders). "Research data" is defined as the recorded factual material commonly accepted in the scientific community as necessary to validate research findings. It does not include preliminary analyses; drafts of scientific papers; plans for future research; peer reviews; communications with colleagues; physical objects (e.g., laboratory samples, audio or video tapes); trade secrets; commercial information; materials necessary to be held confidential by a researcher until publication in a peer-reviewed journal; information that is protected under the law (e.g., intellectual property); personnel and medical files and similar files, the disclosure of which would constitute an unwarranted invasion of personal privacy; or information that could be used to identify a particular person in a research study.

- B. These requirements do not apply to commercial organizations or to research data produced by state or local governments. However, if a state or local governmental grantee contracts with an educational institution, hospital, or non-profit organization, and the contract results in covered research data, those data are subject to these disclosure requirements.
- C. Requests for the release of research data subject to this policy are required to be made to USGS, which will handle them as FOIA requests under 43 CFR 2.25. If the data are publicly available, the requestor will be directed to the public source. Otherwise, the USGS Contracting Officer/Grants Officer, in consultation with the affected recipient and the PI, will handle the request. This policy also provides for assessment of a reasonable fee to cover recipient costs as well as (separately) the USGS costs of responding.

**20. Trafficking in Persons (22 U.S.C. § 7104(g))**

**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:
  - (a) Engage in severe forms of trafficking in persons during the period of time that the award is in effect;
  - (b) Procure a commercial sex act during the period of time that the award is in effect; or
  - (c) 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:
  - (a) Is determined to have violated a prohibition in paragraph A (1) of this award term; or
  - (b) 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:
    - (i) Associated with performance under this award; or
    - (ii) 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 at 2 CFR part 180, "OMB Guidelines to Agencies on Government-wide Debarment and Suspension (Nonprocurement)," as implemented by our agency at 43 CFR Part 42.

**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

- (a) Associated with performance under this award; or
- (b) Imputed to the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, “OMB Guidelines to Agencies on Government-wide Debarment and Suspension (Nonprocurement),” as implemented by our agency at 43 CFR Part 42.

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:
  - (a) Implements section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA), as amended (22 U.S.C. 7104(g)), and
  - (b) 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:
  - (a) An individual employed by you or a subrecipient who is engaged in the performance of the project or program under this award; or
  - (b) 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”:
  - (a) Means any entity other than a state, local government, Indian tribe, or foreign public entity, as those terms are defined at 2 CFR 175.25.
  - (b) Includes:
    - (i) A nonprofit organization, including any nonprofit institution of higher education, hospital, or tribal organization other than one included in the definition of Indian tribe at 2 CFR 175.25(b).

(ii) 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).

**21. Research Integrity**

- A. USGS requires that all grant or cooperative agreement recipient organizations adhere to the Federal Policy on Research Misconduct, Office of Science and Technology Policy, December 6, 2001, 65 Federal Register (FR) 76260, [http://www.ostp.gov/html/001207\\_3.html](http://www.ostp.gov/html/001207_3.html). Please note that there is an underscore between “001207” and “3.html”.) The Federal Policy on Research Misconduct outlines requirements for addressing allegations of research misconduct, including the investigation, adjudication, and appeal of allegations of research misconduct and the implementation of appropriate administrative actions.
- B. The recipient must promptly notify the USGS Project Office when research misconduct that warrants an investigation pursuant to the Federal Policy on Research Misconduct is alleged.

**22. Fiscal Integrity**

The recipient will notify the USGS Contracting Officer/Grants officer of any significant problems relating to the administrative or financial aspects of the award, such as misappropriation of Federal funds.

**23. Program Income**

- A. The recipient will have no obligation to the Federal Government for program income earned from license fees and royalties for copyrighted material, in accordance with 43 CFR 12.924(h) (for A-110 recipients) or 43 CFR 12.65(e) (for A-102 recipients).
- B. If a purpose of this award is to support a conference, symposium, or similar event, income related to that event will be deducted from total allowable costs to determine the net allowable costs before calculating the Government's share of reimbursable costs, as provided at 3 CFR 12.65(g)(1) (for A-102 recipients) or 43 CFR 12.924(b)(3) (for A-110 recipients).
- C. If the recipient is an educational institution or nonprofit research organization, any other program income will be added to funds committed to the project by the Federal awarding agency and recipient and be used to further eligible project or program objectives, as described at 43 CFR 12.924(b)(1).
- D. For all other types of recipients, any other program income will be deducted from total allowable costs to determine the net allowable costs before calculating the Government's share of reimbursable costs, as provided at 3 CFR 12.65(g)(1) (for A-102 recipients) or 43 CFR 12.924(b)(3) (for A-110 recipients).

**End of Special Terms and Conditions**

## COST PRINCIPLES, AUDIT, AND ADMINISTRATIVE REQUIREMENTS

The Recipient shall be subject to the following OMB circulars and regulations, which are incorporated herein by reference. Copies of these Circulars can be obtained from the Internet at:

<http://www.whitehouse.gov/omb/circulars/index.html>.

### I. OMB Circulars and Regulations

#### A. Educational Institutions

- 2 CFR 220, Cost Principles for Educational Institutions (OMB Circular No. A-21)
- OMB Circular No. A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, hospitals, and Other Non-profit Organizations, as implemented in 2 CFR 215 and 43 CFR Part 12, Subpart F.
- OMB Circular No. A-133, Audits of States, Local Governments and Non-Profit Organizations, as implemented in 43 CFR Part 12, Subpart A: Administrative and Audit Requirements and Cost Principles for Assistance Programs

#### B. State and Local Governments

- 2 CFR 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87)
- OMB Circular A-102, Grants and Cooperative Agreements with State and Local Governments; as implemented in 43 CFR Part 12, Subpart C
- OMB Circular No. A-133, Audits of States, Local Governments and Non-Profit Organizations, as implemented in 43 CFR Part 12, Subpart A: Administrative and Audit Requirements and Cost Principles for Assistance Programs

### II. ADDITIONAL REGULATIONS

This award is subject to the following additional Government-wide regulations:

- (1) 2 CFR 180, Government Debarment and Suspension (Nonprocurement)
- (2) 2 CFR 1400, Department of the Interior Nonprocurement Debarment and Suspension

This award is subject to the following additional regulations of the U.S. Department of the Interior:

- (3) 43 CFR Part 12, Subpart E: Buy American Requirements for Assistance Programs
- (4) 43 CFR Part 17, Subpart A: Nondiscrimination on the Basis of Race, Color, or National Origin
- (5) 43 CFR Part 17, Subpart B: Nondiscrimination on the Basis of Handicap
- (6) 43 CFR Part 17, Subpart C: Nondiscrimination on the Basis of Age
- (7) 43 CFR Part 17, Subpart E: Enforcement of Nondiscrimination on the Basis of Handicap in Programs or Activities Conducted by the Department of the Interior
- (8) 43 CFR Part 18, New Restrictions on Lobbying
- (9) 43 CFR Part 41, Nondiscrimination on the basis of sex in education programs or activities receiving Federal financial assistance [*Applies only if this award provides assistance to an education program or student(s).*]
- (10) 43 CFR Part 43, Governmentwide Requirements for Drug Free Workplace

### Suggested format and elements of a Long-Range Data-Preservation Plan

#### A Overview

- (1) Brief description of activities and repository
- (2) Purpose and justification for repository
- (3) Goals for repository
- (a) Goals
- (b) Milestones (timeline) and measurable results (depends on funding)
- (c) Strategy to meet goals
- (4) Timeframe – looking out 5 years

#### B Physical Data

- (1) Purpose/justification
- (2) Goals for preserving physical collections
- (a) Milestones and measurable results
- (b) Strategy to meet goals
- (3) Priority setting
- (a) How will priorities be set for preserving physical data?
- (b) What are the priorities?
- (4) Acquisition and disposal
- (a) How will decisions be made on what to accept, keep or dispose of?
- (b) How will collection data be updated?
- (c) What is the plan to find collections and determine which need rescuing?
- (5) Documentation/metadata
- (a) What are the metadata requirements?
- (b) How do those requirements map into the National Digital Catalog requirements?
- (6) Preservation
- (a) Infrastructure
  - (i) Describe the current infrastructure.
  - (ii) What issues exist with the current infrastructure?
  - (iii) What are the infrastructure needs?
- (b) Collections needs
  - (i) Storage (e.g., cabinetry, specimen containers)
  - (ii) Describe the current storage situation.
  - (iii) What issues exist with the current storage situation?
  - (iv) What are the storage needs?
- (7) Access and use
  - (a) Define user community
  - (b) Describe outreach plan; how will you encourage awareness of geologic data and collections and their availability and potential application (from the Implementation Plan for the National Geological and Geophysical Data Preservation Program)
    - (i) Example: Training sessions and workshops to foster use and application of geologic data and collections
    - (ii) Example: Hands-on seminars on stratigraphy and rock characteristics of cores, well logs, etc.
- (c) Demonstrate accessibility

- (d) Advisory or user committee (Each repository will establish an advisory committee to develop procedures and protocols appropriate for that facility that are consistent with the national standards).
  - (i) Describe advisory committee structure or plans to create an advisory committee.
- (8) Funding model
  - (a) Requirements and constraints
  - (b) User fees
  - (c) Investment plans
  - (d) Endowments
  - (e) Base funding
  - (f) Cost sharing
- (9) Partnerships

### C. Digital Data

- (1) Purpose/justification
- (2) Goals for preserving digital data/collections
  - (a) Milestones and measurable results
  - (b) Strategy to meet goals
- (3) Priority setting
  - (a) How will priorities be set for preserving digital data?
  - (b) What are the priorities?
- (4) Acquisition and disposal
  - (a) How will decisions be made on what to accept, keep or dispose of?
  - (b) How will collection inventory and metadata be updated?
  - (c) What is the plan to find collections and determine which need rescuing?
- (5) Documentation/metadata
  - (a) What are your metadata requirements?
  - (b) How do those requirements map into the National Digital Catalog requirements?
- (6) Preservation
  - (a) Infrastructure
    - (i) Describe the current digital data infrastructure.
    - (ii) What issues exist with the current infrastructure?
    - (iii) What are the infrastructure needs?
    - (iv) What are the disaster recovery and backup plans?
    - (v) What are the technology migration plans?
  - (b) Database/digital collections needs
    - (i) Storage requirements
    - (ii) Data conversion and data capture
    - (iii) Scanning and digitization of paper records
    - (iv) Data formats (e.g., open source, proprietary)
- (7) Access and use (may be the same as for physical collections)
  - (a) Define user community
  - (b) Describe outreach plan; how will you encourage awareness of geologic data and collections and their availability and potential application (from the Implementation Plan for the National Geological and Geophysical Data Preservation Program)
    - (i) Examples: Coordinating activities between this program and other preservation activities to minimize duplication and maximize interoperability.
  - (c) Demonstrate accessibility
    - (i) How will proprietary data be dealt with (if applicable)?



- (d) Advisory or user committee (Each repository will establish an advisory committee to develop procedures and protocols appropriate for that facility that are consistent with the national standards. There does not need to be a separate advisory committee for digital and physical collections.)
  - (i) Describe advisory committee structure or plans to create an advisory committee.
- (8) Funding model (may be the same as for physical collections)
  - (a) Requirements and constraints
  - (b) User fees
  - (c) Investment plans
  - (d) Endowments
  - (e) Base funding
  - (f) Cost sharing
- (9) Partnerships