

**UNITED STATES DEPARTMENT OF THE INTERIOR**

**U.S. GEOLOGICAL SURVEY**

**NATIONAL GEOLOGICAL AND GEOPHYSICAL DATA PRESERVATION  
PROGRAM**

**(NGGDPP)**

**Authorized by The Energy Policy Act of 2005**

**(Public Law 109-58, Sec. 351)**

**GRANT PROGRAM ANNOUNCEMENT**

**No. G12AS20015**

**For Fiscal Year 2012**

**FY 2012 Grant Objectives:**

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

- 1. Inventory collections of geological or geophysical data**
- 2. Create metadata for individual items in those data collections**
- 3. Create or update digital infrastructure**
- 4. Rescue data at risk**

**ISSUE DATE:**

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**CLOSING DATE & TIME:**

**May 21, 2012,**

**6:00 PM Eastern Daylight Time**

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**PAPERWORK REDUCTION ACT STATEMENT:** The Paperwork Reduction Act says that the agency must tell you why we are collecting this information, how we will use it, and whether you have to give it to us. The National Geological and Geophysical Data Preservation Program is collecting this information to evaluate submitted applications to acquire funding for data preservation-related activities. Your response is required to receive funding. A Federal agency cannot 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. The OMB control number for this collection of information is 1028-0087, with an expiration date of July 31, 2012. The average estimated time burden to complete the application process is 36 hours per response, including the time for reviewing instructions and completing the required information. The average estimated time burden for award recipients to complete the final report is 90 minutes. Comments regarding this collection of information should be directed to the Bureau Clearance Officer, U.S. Geological Survey, 12201 Sunrise Valley Drive, MS807, Reston, VA 20192.

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Your application narrative (NOT the required forms) should follow the attached format (see Attachment A). Using the tabular format provided in this program announcement ensures every application contains all information essential for evaluation. When you have finished entering the requested information, save this document and submit it via [Grants.gov](http://Grants.gov) as a Microsoft Word file or as a PDF. All other required forms shall be submitted as PDFs.

**Related to this new narrative format, please note the following:**

1. All text boxes in the required format will expand to fit the text you enter, keeping in mind the 15-page limit for application submission. If you wish to provide additional information not requested by the Program Announcement, you may add it at the end of Attachment A as long as you are within the page limit.
2. You may include graphics and charts in this file by inserting them in the document at the end of Attachment A. Be sure to include figure numbers and reference the numbers within the text as necessary.
3. We have provided a table to compile information normally included in a CV or resume for project personnel.

**PART I: AUTHORIZING LEGISLATION, ELIGIBILITY, FY 2012 GRANT OBJECTIVES, IMPORTANT DATES**

|  |  |
|--|--|
| <b>A. AUTHORIZING LEGISLATION</b>  |  |
|  | <p>The National Geological and Geophysical Data Preservation Program (NNGDPP) was authorized by Section 351 of the Energy Policy Act of 2005 (Public Law 109-58, Sec. 351). Objectives of the Program as outlined in the Act are to:</p> <ol style="list-style-type: none"> <li>1. Archive geologic, geophysical, and engineering data, maps, well logs, and samples;</li> <li>2. Provide a national catalog of such archival material; and</li> <li>3. Provide technical and financial assistance related to the archival material</li> </ol> <p>For details of the <i>Implementation Plan for the National Geological and Geophysical Data Preservation Program</i> visit: <a href="http://datapreservation.usgs.gov">http://datapreservation.usgs.gov</a></p> |
| <b>B. ELIGIBILITY – WHO MAY SUBMIT AN APPLICATION?</b>   |  |
|  | <p>Only State geological surveys are eligible to apply to this Program Announcement 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 an application on behalf of the State geological survey.</p>  |
| <b>C. FY 2012 GRANT OBJECTIVES</b>   |  |
| <p><b>PLEASE NOTE:</b> Applications that do not specifically address NNGDPP FY 2012 grant objectives will <b>NOT</b> be considered for an award.</p> |  |
|  | <p><b>(1) FY 2012 Objective – Inventory collections of geological or geophysical data.</b> A collection</p>  |

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comprises items that share similar characteristics (e.g. core, water samples), collected for a specific purpose (e.g. ground water investigation; oil and gas exploration), or from a common location (e.g. geotechnical investigation prior to construction). A State geological survey may request funds to inventory and assess the condition of their geological and geophysical data collections. If a State received previous support to inventory collections included in this FY 2012 Application, provide justification for requesting additional support. To enter collection inventory information in the National Digital Catalog, go to: <http://ndc.sciencebase.gov/>.

**(2) FY 2012 Objective – Create metadata for individual items in data collections.** The metadata should describe sample-level attributes of items belonging to collections in the [National Digital Catalog](#). 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. Focus on site-specific sample metadata will allow broad national coverage with content that will be useful to a wide variety of users.

Support for metadata creation is available only for items in collection inventories that were previously entered in the USGS database. Visit the website for entering metadata in the National Digital Catalog, go to: <http://ndc.sciencebase.gov/>.

**(3) FY 2012 Objective – Create or update digital infrastructure, including data migration to assure data are not lost due to recording media degradation or changing data recording formats or programs**

1. Convert paper records and data to digital formats for preservation and access.
2. Maintain digital data in modern formats and on permanent media.
3. Update digital data to new formats to preserve accessibility as older digital storage technologies become obsolete.
4. Support computer programming, equipment, and staff necessary to create new, or improve existing, databases relevant to collection of digital and physical data.

Collection inventories and metadata for records converted or created shall be entered in the National Digital Catalog as described in Grant Objectives 1 and 2.

**(4) FY 2012 Objective – Rescue data at risk.** This objective is for time-dependent preservation of unique geologic data or collections in imminent danger of loss from deteriorating physical surroundings, threat of disposal, or rapidly deteriorating medium on which they reside (for example, data stored on magnetic tape). Although data rescue is a priority of the NNGDPP, the Program has limited funding. Please provide detailed justification for rescuing data at risk.

Collection inventories and metadata for rescued data or collections shall be entered in the National Digital Catalog as described in Grant Objectives 1 and 2.

### D. IMPORTANT DATES

The deadline for filing applications is: 6:00 pm, May 21, 2012, Eastern Daylight Time. Applications received after this time will **NOT** be considered for an award.

The earliest start date for new grants is July 1, 2012. The Government's obligation for this assistance program is subject to availability of appropriated funds from which to award grants.

The latest start date is **September 15, 2012**. Awards are for a 12-month period only. No awards will be issued for less than or more than 12 months.

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| <b>E. FUNDING</b>   |   |
|   | <p>One application from each State geological survey will be accepted that addresses one or more of the FY 2012 grant objectives.</p> <p>In FY 2012, the NGGDPP expects to fund about 20 to 35 applications and to award about \$600,000. Statute (Public Law 109-58) requires NGGDPP Grant funds be matched 1:1 with non-Federal dollars (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 1:1 ratio, however, does not prevent states from securing additional funds from other non-Federal tax-supported entities to increase the total amount of data preserved. The Program encourages multiple partnerships as they leverage resources available for preservation of geological and geophysical data. Federal regulations prohibit matching Federal funds with other Federal funds. The value 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 the value of their collections or data as part of the cost-sharing requirement must pay for the appraisal of the holdings.</p> <p><b>NOTE:</b> Notification of a successful application does <b>not</b> constitute authority to incur costs. Costs may be incurred only after the receipt of a <b>grant award</b> signed by a Contracting Officer of the USGS.</p> |
| <b>F. IMPORTANT POINTS TO REMEMBER WHEN PREPARING AND SUBMITTING AN APPLICATION</b> |   |
|   | <p>The <b>FORMAT</b> of the Program Announcement and for application submittal is the same as last year. The information requested remains the same; both are structured again as tables. <b>PLEASE</b> use the provided format for your application.</p>   |
|   | <p><b>READ</b> this Program Announcement carefully and address each point explicitly, the application review panel cannot make assumptions about or interpret what is or is not included in the application.</p> <p><b>PROVIDE</b> rationale for choosing which data to inventory, create metadata for, create digital infrastructure for, or for which you propose data rescue.</p> <p>If there is a possibility the data for which you are requesting funding might logically be available from another source (e.g. state oil and gas commission), <b>MAKE THE CASE</b> for why your State geological survey is the only source.</p> <p><b>EXPLAIN</b> roles and responsibilities of all staff on proposed project, especially if any staff function as managers or supervisors. We have provided a table for this information so you need not submit separate CVs.</p> <p><b>DOCUMENT</b> prior work, the panel will not necessarily know anything about your prior work. We have also provided a table for this information which will show work completed in prior years and work proposed in FY 2012.</p> <p><b>HAVE</b> a Long-Range Data-Preservation Plan in place and show how the work you propose relates to it.</p> <p><b>ALWAYS</b> contact us if you have questions, we're here to help.</p> <p><b>START</b> submitting your application to Grants.gov well in advance of due date, <b>do not wait</b>.</p>   |

## G. QUESTIONS

For Grants.gov questions, contact Laura Mahoney, (703) 648-7344, [lmahoney@usgs.gov](mailto:lmahoney@usgs.gov) or

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

For NGGDPP Grants Program questions, contact Betty Adrian, (303) 202-4828, [badrian@usgs.gov](mailto:badrian@usgs.gov).

## PART II: APPLICANT GUIDELINES

### A. ELECTRONIC APPLICATION SUBMISSION REQUIREMENT

**All applications 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 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 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 (not the narrative), **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.).

There are several steps of the submission process that require careful attention by applicants to assure their application has been fully accepted. It is suggested applicants read the document available at <http://www.grants.gov/assets/TrackingYourApplicationPackage.pdf>.

Briefly, when you submit a grant application package to Grants.gov, you will receive a confirmation screen as well as three additional emails over two business days from Grants.gov informing you of your application processing status:

1. **CONFIRMATION: Submission Confirmation Screen**

After you submit your grant application package, a confirmation message will appear on your computer screen. This screen confirms that you have submitted an application to Grants.gov. This

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page contains a tracking number to check the status of the submission as well as a "Track My Application" link, to see the progress of your submission.

### 2. **NOTIFICATION 1: Submission Receipt Email**

Within two business days after your application package has been received by the Grants.gov system, you will receive a submission receipt email that indicates your submission has entered the Grants.gov system and is ready for validation. This email also contains a tracking number for use while tracking the status of the submission as well as a "Track My Application" link, to use to see the progress of your submission.

### 3. **NOTIFICATION 2: Submission Validation Receipt Email – This is the important one!**

After you receive the submission receipt email, the next email you will receive will be a message validating or rejecting your submitted application package with errors. The Grants.gov system is designed to check for technical errors within the submitted application package. Grants.gov does not review application content for award determination.

### 4. **NOTIFICATION 3: Grantor Agency Retrieval Email**

Once your application package has passed validation, it is delivered to the grantor for award determination and further approval. After the grantor has confirmed receipt of your application, you will be sent a **third and final email from Grants.gov**. The grantor may also assign your application package an agency-specific tracking number for use within their internal system. **IF YOU HAVE NOT RECEIVED THIS E-MAIL WITHIN FOUR DAYS OF THE CLOSING DATE, PLEASE CONTACT THE CONTRACTING OFFICER.**

If you need help entering your application, you can reach the **Grants.gov Contact Center** at: 1-800-518-4726. Their hours of operation are 24 hours a day, 7 days a week; they are closed on [Federal Holidays](#).

When you contact the Grants.gov Contact Center, have the following information available to help expedite your inquiry:

- Funding Opportunity Number (FON)
- Name of Agency You Are Applying To
- Specific Area of Concern

Your electronic submission will consist of required 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.*

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

## B. APPLICATION PREPARATION INSTRUCTIONS

|             |   |
|-------------|---|
| Page limit  | The application shall not exceed <b>15</b> 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, Project personnel justification and expertise table in the application format, letters from stakeholders, negotiated rate and cost agreements, and equipment quotes do <b>not</b> count toward the 15-page limit. |
| File format | Your application narrative shall be submitted in MS Word or PDF using Attachment A –  |

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|  | <p>Application Format. Following this format ensures every application contains all essential information and is evaluated equitably. All forms shall be submitted through <a href="http://Grants.gov">Grants.gov</a> .</p>  |
| <b>C. REJECTION OF APPLICATIONS AFTER INITIAL REVIEW</b> |  |
|  | <p>If an application does not meet all requirements specified in the Announcement, as determined by the Contracting Officer in consultation with the NNGDPP Program Coordinator and NNGDPP Grants Program Manager, the applicant will be promptly notified in writing of the rejection along with the reason for the rejection.</p> <p>If the application does not address at least one of the FY 2012 <a href="#">grant objectives</a>, it will be rejected.</p> <p>If the application is not in the format specified, it will be rejected.</p>   |
| <b>D. INVOLVEMENT OF FEDERAL EMPLOYEES</b>               |  |
|  | <p>Federal employees, including USGS employees, are prohibited from assisting in any capacity (paid or unpaid) with preparation of any application submitted under this Announcement. Applications 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.</p>  |
| <b>E. NNGDPP PRODUCTS AND REPORTS</b>                    |  |
| <b><i>If your proposed work involves...</i></b>          | <b><i>...then you shall:</i></b>   |
| Inventorying collections                                 | submit records for collections via <a href="http://ndc.sciencebase.gov/">http://ndc.sciencebase.gov/</a> . This is a new site for entering collection inventory information.   |
| Creating metadata  | provide metadata for individual samples in collections already inventoried and entered in the National Digital Catalog through one of the supported methods documented at <a href="http://ndc.sciencebase.gov/">http://ndc.sciencebase.gov/</a> .  |
| Creating or updating digital infrastructure              |  |
| Rescuing data at risk                                    |  |
| Final technical report                                   | <p>All awards made under the NNGDPP will require submittal of a final technical report that shall document and summarize the results of the work. Such reports shall contain:</p> <ul style="list-style-type: none"> <li>• Cover page with the following information: <ul style="list-style-type: none"> <li>o Award Number</li> <li>o Title</li> <li>o Author and Affiliation with Address and zip code</li> <li>o Author's Telephone numbers, fax numbers and E-mail addresses</li> <li>o Term covered by the award (start and end dates)</li> <li>o Submittal Date of Final Technical Report</li> </ul> </li> </ul> |

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|  | <ul style="list-style-type: none"> <li>o Abstract</li> <li>• Main body of the report with the following information:             <ul style="list-style-type: none"> <li>o Comparison of actual accomplishments to the goals established for the period;</li> <li>o If established goals were not met, explanation of circumstances and impediments.</li> </ul> </li> </ul> <p>Final technical reports shall be submitted electronically to Betty Adrian at <a href="mailto:badrian@usgs.gov">badrian@usgs.gov</a>.</p> <p>A copy of the transmittal letter shall be submitted to Margaret Eastman at <a href="mailto:mrussell@usgs.gov">mrussell@usgs.gov</a>.</p> |
|--|--|

**F. PROPOSAL EVALUATION CRITERIA**

|                                 |  |
|---------------------------------|--|
| Peer Panel                      | <p>NNGDPP applications will be reviewed by a peer panel of approximately ten (10) members. <b>Approximately five (5) members will be representatives of State geological surveys and five (5) members will be Federal agency representatives.</b></p>  |
| Application Evaluation Criteria | <p><b><i>All applications submitted will be evaluated in accordance with the criteria listed below. Each reviewer will complete an evaluation form for each application 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 an application 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 application.</i></b></p>                      |
| <i>Points</i>                   | <i>All applications will be evaluated according to the following criteria weighted as follows:</i>   |
| 30                              | <p><b>Merit of the application.</b> This factor considers the data preservation merit and technical viability of the proposed approach and the probability of achieving positive results within the designated period.</p>   |
| 30                              | <p><b>Relevance.</b> We will consider the proposed data preservation activities as they relate to the USGS NNGDPP Program goals and the state's long-range data-preservation plan.</p>   |
| 20                              | <p><b>Competence (10 points) and recent performance (10 points). Total = 20 points.</b> This factor considers experience and competence of the PI and coworkers and the promptness with which the results from previous funding were submitted as described in the application. 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.</p> |
| 20                              | <p><b>Appropriateness and reasonableness of the budget.</b> We will consider 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.</p>  |

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**G. NOTIFICATION**

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|  | <p>Following the peer panel reviews, the USGS will make funding decisions and will notify applicants of one of three possible decisions:</p> <ol style="list-style-type: none"> <li>1. The application has been recommended for funding in FY 2012, subject to appropriations;</li> <li>2. The application is being declined and will not be funded in FY 2012; or</li> <li>3. The application will be funded at a reduced amount in which case the applicant will be notified and requested to submit an amended application and budget.</li> </ol> |
|--|--|

**H. AWARD TERMS AND CONDITIONS**

|  |  |
|--|--|
|  | <p>Award Recipients must comply with grant award Special Terms and Conditions (Attachment B) and Cost Principles, Audit, and Administrative Requirements (Attachment C). Submittal of an application constitutes the applicant's acceptance of these terms and conditions for inclusion in any award resulting from their application. Any concerns with the requirements of the Special Terms and Conditions shall be presented to the Contracting Officer at least three (3) days prior to the closing date of the Announcement.</p>   |
|  | <p>Pre-award costs are not authorized.</p>   |
|  | <p>Requests for no-cost extensions to the project period are discouraged and will be considered on a case-by-case basis. The timely conduct of funded projects is important to achieving program goals. Applicants should consider time commitments prior to applying for a grant. 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 B.</p> |
|  | <p>Requests for increases in funds beyond the amount awarded are also discouraged. Funding is given according to the reviewers' judgment of the merit of an application and their expert knowledge of the expenses likely to be incurred during the project.</p>   |
|  | <p>A final technical report must be submitted within 90 days after the end of the grant performance period.</p>  |

**I. QUESTIONS**

|  | <i>for...</i>          | <i>contact</i>        | <i>phone</i>   | <i>Email</i>   |
|--|------------------------|-----------------------|----------------|--|
|  | Grants.gov issues      | <b>Laura Mahoney</b>  | (703) 648-7344 | <a href="mailto:lmahoney@usgs.gov">lmahoney@usgs.gov</a> |
|  | contract issues        | <b>Maggie Eastman</b> | (703) 648-7366 | <a href="mailto:mrussell@usgs.gov">mrussell@usgs.gov</a> |
|  | Grants Program Manager | <b>Betty Adrian</b>   | (303) 202-4828 | <a href="mailto:badrian@usgs.gov">badrian@usgs.gov</a>   |
|  |                        |                       |                |  |

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**ATTACHMENT A – APPLICATION FORMAT**

| Application summary sheet               |   |
|---|---|
| Name of the State Geological Survey     |   |
| Project Title                           |   |
| Principal Investigator(s)               | (Name)<br>(Institute/Organization Name)<br>(Street Address/P.O. Box)<br>(City, State, Zip Code)<br>(Telephone Number), (FAX Number), (E-mail Address) |
| Authorized Institutional Representative | (Name)<br>(Institute/Organization Name)<br>(Street Address/P.O. Box)<br>(City, State, Zip Code)<br>(Telephone Number), (FAX Number), (E-mail Address) |

**To which Grant Objectives does your proposed work relate? (Please check all that apply)**

|                                    |  |  |                                      |
|------------------------------------|--|--|--------------------------------------|
| <input type="checkbox"/> Inventory | <input type="checkbox"/> Create metadata | <input type="checkbox"/> Create or update digital infrastructure | <input type="checkbox"/> Rescue data |
|------------------------------------|--|--|--------------------------------------|

| Amount of Federal Financial Assistance Requested |                             |                             |                                |                            |                   |
|--|-----------------------------|-----------------------------|--------------------------------|----------------------------|-------------------|
| <i>salaries (\$)</i>                             | <i>fringe benefits (\$)</i> | <i>travel expenses (\$)</i> | <i>other direct costs (\$)</i> | <i>indirect costs (\$)</i> | <i>total (\$)</i> |
|  |                             |                             |                                |                            |                   |

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| Proposed Start Date:   | <i>The earliest start date for new grants will be after final FY 2012 appropriation; notice of full-year continuing resolution; or <b>May 1, 2012</b>, whichever is later. The latest start date will be September 15, 2012.</i> |  |
| Duration   | 12 months. No awards are issued for less than or more than 12 months   |  |
| Has this application been submitted to another agency for funding? | <i>(List the name of the agency and program or division to which this application has been submitted)</i>  |  |
| Active NGGDPP-related grants (please                               | <i>Year of Grant</i>   | <i>Project title / brief description of work</i> |
|  |  |  |

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| list information for any active grants/awards) |  |  |
|--|--|--|

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| <b>Introduction</b>   |  |
|---|--|
| Abstract: Project description and summary of approach   | <i>Please note, abstracts from successful applications may be posted on the Data Preservation website: <a href="http://www.datapreservation.gov">www.datapreservation.gov</a>.</i> |
| Project goals   |  |
| Project objectives  |  |
| How does this project address your state's long range data preservation plan?                   | <i>NGGDPP does not provide funds to create a long-range data-preservation plan and you are not required to submit your plan to us. See Attachment D for sample format.</i>         |
| Anticipated results and products  |  |
| Estimated total number of metadata records you plan to submit under this project, if applicable |  |

| <b>Project justification</b>   |  |
|--|--|
| Justification for proposed project   |  |
| Justification for cases where your state proposes to catalog or rescue data that might reasonably be held or cataloged by another agency (e.g. oil and gas commission) |  |
| Who are your state's primary customers?  |  |
| How often are your collections being accessed by those customers?  |  |

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|   |  |
|---|--|
| <p>What are the societal benefits derived from your preserved data. Please be specific and include type of data and how it is used, cost savings, lives saved, etc.</p> |  |
|---|--|

**Preliminary results and prior work** – This will help panel members understand how your current proposal relates to previous work. Do not assume review panel is familiar with prior work and accomplishments.

| <i>NGGDPP Collection ID</i> | <i>Brief Collection Name</i> | <i>Number of collection inventories or metadata records uploaded to the National Digital Catalog in previous years</i> | <i>Year uploaded</i> | <i>Progress Summary<br/>Did work include digital infrastructure or rescuing data at risk? Describe briefly.</i> |
|-----------------------------|------------------------------|--|----------------------|---|
|                             |                              |  |                      |   |
|                             |                              |  |                      |   |
|                             |                              |  |                      |   |

**Grant Objective 1 – Inventory collections of geological or geophysical data**

| <i>Name of Collection</i> | <i>Brief description of collection contents and estimated number of items</i> |
|---------------------------|---|
|                           |   |
|                           |   |
|                           |   |

**Grant Objective 2 – Create metadata for individual items in inventoried data collections**

| <i>NGGDPP collection ID</i> | <i>Brief collection name</i> | <i>Total # of items in collection</i> | <i>Number of data elements uploaded to the National Digital Catalog in previous years</i> | <i>Number of data elements being prepared for uploaded to National Digital Catalog in FY 2012</i> | <i>% of total items that are in the Catalog</i> |
|-----------------------------|------------------------------|---------------------------------------|---|---|---|
| <b>EXAMPLE P999</b>         | rocks                        | 300                                   | 100   | 100   | 66%   |
|                             |                              |                                       |   |   |   |
|                             |                              |                                       |   |   |   |
|                             |                              |                                       |   |   |   |
|                             |                              |                                       |   |   |   |

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**For applications to create metadata, please provide the following:**

|   |  |
|---|--|
| Summary of process by which your metadata will be submitted to the catalog                              |  |
| Quality assurance processes used to check the data before submission to the catalog                     |  |
| Summary of your state's plan for integrating periodic catalog updates into your business processes      |  |
| Summary of technical plan for how new or modified records in the catalog will be identified and updated |  |
| How often do you plan to submit updates to the catalog?   |  |
| Describe any anticipated technical resource challenges and how you propose to respond                   |  |

**Grant Objective 3 – Create or update digital infrastructure**

|                              |   |               |
|------------------------------|---|---------------|
| Paper → Digital conversion   | List the type and amount of <u>paper</u> records you plan to scan/digitize: |               |
|                              | <i>type</i>   | <i>amount</i> |
|                              |   |               |
|                              |   |               |
| Digital → new Digital format | List the type and amount of <u>digital</u> records you plan to convert:     |               |
|                              | <i>type</i>   | <i>amount</i> |
|                              |   |               |
|                              |   |               |

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|  |  |               |
|--|--|---------------|
| Description of any other kinds of data conversion  | List the type and amount of records you plan to convert: |               |
|  | <i>type</i>  | <i>amount</i> |
|  |  |               |
|  |  |               |
| Justification for equipment and staff needed to create new databases or improve existing ones          |  |               |
| Summary of plan for producing metadata, for each item converted to add to the National Digital Catalog |  |               |

**Grant Objective 4 – Rescue data at risk**

|  |  |               |
|--|--|---------------|
| What is in need of rescue?   | List the type and amount of items to be rescued: |               |
|  | <i>type</i>                                      | <i>amount</i> |
|  |  |               |
|  |  |               |
| What is the unique and significant value of the data or collections at risk?           |  |               |
| What are the physical conditions which threaten the data or collections?               |  |               |
| How would the rescue of these data or collections be appropriate for NGGDPP support?   |  |               |
| Summary of plan for producing metadata, for each item rescued, to put into the catalog |  |               |



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| <b>Budget justification</b>  |  |
|--|--|
| <b>Salaries and wages</b>  |  |
| If salary for senior management is included, please provide justification as they are normally covered by agency overhead. |  |

| <b>Travel</b>  |  |
|--|--|
| Purpose of the trip(s)   |  |
| Number of travelers  |  |
| Number of travel days  |  |
| Per diem rate  |  |
| Mileage rate   |  |
| Cost of airfare or other travel costs necessary to the proposed work and justification for that cost |  |

| <b>Supplies</b> |             |
|-----------------|-------------|
| <i>Item</i>     | <i>Cost</i> |
|                 |             |
|                 |             |
|                 |             |

| <b>Equipment</b> |             |   |
|------------------|-------------|---|
| <i>Item</i>      | <i>Cost</i> | <i>Justification (you must attach vendor quotes for equipment; vendor quotes do not count against page limit)</i> |
|                  |             |   |
|                  |             |   |

| <b>Contractual services</b>                            |                                |   |                                    |
|--|--------------------------------|---|------------------------------------|
| <i>Task or problem for which services will be used</i> | <i>Estimated billable time</i> | <i>Rate of compensation to contractor</i> | <i>Job title(s) of contractors</i> |
|  |                                |   |                                    |
|  |                                |   |                                    |
|  |                                |   |                                    |

| <b>Project personnel justification and expertise</b> <i>(This section replaces the need for resumes or CVs and will not be counted against page limit)</i> |                                |  |
|--|--------------------------------|--|
| <i>Name</i>  | <i>Role and Responsibility</i> | <i>Description of expertise relevant to their proposed role and responsibility listed on the subsequent budget worksheet</i> |
|  |                                |  |
|  |                                |  |

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|                          |  |
|--------------------------|--|
| <b>Other information</b> |  |
|--------------------------|--|

|  |  |
|--|--|
|  |  |
|  |  |

|                       |  |
|-----------------------|--|
| <b>Indirect costs</b> |  |
|-----------------------|--|

|  |   |
|--|---|
|  | Please include a copy of the indirect negotiated cost agreement with the Federal Government. This document does not count against page limit. |
|--|---|

|                        |  |
|------------------------|--|
| <b>Fringe Benefits</b> |  |
|------------------------|--|

|  |   |
|--|---|
|  | Please include a copy of the negotiated rate agreement or internal memo supporting the proposed rates. This document does not count against page limit. |
|--|---|

FY 2012 NGGDPP Grant Program Announcement  
**ATTACHMENT B – SPECIAL TERMS AND CONDITIONS**

**1. Method of Payment**

Payments under financial assistance awards must be made using the Department of the Treasury Automated Standard Application for Payments (ASAP) system ([www.asap.gov](http://www.asap.gov)).

a. The Recipient agrees that it has established or will establish an account with ASAP. USGS will initiate enrollment in ASAP using information specific to that organization from the SF 424 form. If the Recipient does not currently have an ASAP account, they must designate an individual (name, title, address, phone and e-mail) who will serve as the Point of Contact (POC).

b. With the award of each grant/cooperative agreement, a sub-account will be set up from which the Recipient can draw down funds.

c. Inquiries regarding payment should be directed to:

| <b>Regional Finance Center</b> | <b>Time Zone</b>    | <b>Phone Number</b> | <b>Business Hours</b> | <b>Mailing Address</b>                            |
|--------------------------------|---------------------|---------------------|-----------------------|---|
| Philadelphia                   | Eastern             | (215) 516-8021      | 7:30 a.m - 4:00 p.m.  | P.O. Box 51317<br>Philadelphia, PA 19115-6317     |
| Kansas City                    | Central             | (816) 414-2100      | 7:30 a.m - 4:00 p.m.  | P.O. Box 12599-0599<br>Kansas City, MO 64116-0599 |
| San Francisco                  | Mountain or Pacific | (510) 594-7182      | 7:30 a.m - 4:00 p.m.  | P.O. Box 24700<br>Oakland, CA 94623-1700          |

d. 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**

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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. Grants Program Manager

(1) The Grants Program Manager will work closely with the Principal Investigator to ensure that all technical requirements are being met. Grants Manager 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 acting NNGDPP Program Coordinator and acting NNGDPP Grants Program Manager is Betty Adrian, U.S. Geological Survey, Box 25046, Mail Stop 975, Denver, CO 80225. The Program Coordinator or the Grants Program Manager do not 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)

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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. He 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. He 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:

| Report/Document    | No. of Copies and Method of Transmittal | Submit To                  | When Due                |
|--------------------|---|----------------------------|-------------------------|
| (1) For Collection | Submit records for                      | <b>See Section 3.B (1)</b> | Within 90 calendar days |

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|  |  |  |  |
|--|--|--|--|
| Inventory:<br>On-line inventory form                                   | collections using forms available from:<br><a href="http://ndc.sciencebase.gov/">http://ndc.sciencebase.gov/</a> .   | <b>below</b>   | after the end of the performance period. <b>See Section 3.B (1) below.</b>                                 |
| (2) For Metadata:<br>Digital Metadata files                            | Provide metadata records to the National Digital Catalog through one of the supported methods documented at<br><a href="http://ndc.sciencebase.gov/">http://ndc.sciencebase.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) For digital infrastructure and data rescue: Digital Metadata files | Provide metadata records to the National Digital Catalog through one of the supported methods documented at<br><a href="http://ndc.sciencebase.gov/">http://ndc.sciencebase.gov/</a> | <b>See Section 3.B (3) below</b> Optional: if you choose to provide scanned geoscience maps to the NGMDB, see Section 3.B(3) | Within 30 calendar days after the end of the performance period. <b>See Section 3.B (3) below.</b>         |
| (4) Final Technical Report   | Send Adobe Acrobat PDF file as an email attachment to Grants Program Manager.  | <b>See Section 3.B (4) below.</b>  | Within 90 calendar days after the end of each 12-month budget period. <b>See Section 3.B (4)(b) below.</b> |
| SF 425<br>Interim Federal Financial Report                             | See Section 3.B(5)   | <b>See Section 3.B (6) below</b>   | <b>See Section 3.B (5) below</b>   |
| Final SF 425<br>Financial Status Report                                | See Section 3.B(6)   | <b>See Section 3.B (7) below</b>   | <b>See Section 3.B (6) below</b>   |

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### B. Report preparation instructions

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

(1) *For Collection Inventory.* The recipient shall submit records for collections via forms available from <http://ndc.sciencebase.gov/>. Record entry 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 entered in the catalog will be required. Provide metadata records to the National Digital Catalog through one of the supported methods documented at <http://ndc.sciencebase.gov/>.

(3) For all data converted to digital format or migrated to updated digital format and any records or data rescued under the special needs objective shall have appropriate metadata created and entered in the National Digital Catalog.

*Optional:* If you choose to provide scanned geoscience maps to the National Geologic Map Data Base, consult with your agency's NGMDB contact person or send inquiries to [ngmdb@flagmail.wr.usgs.gov](mailto:ngmdb@flagmail.wr.usgs.gov). If you propose to scan maps but do not already own or have access to a scanner, the NGMDB project may offer to assist you with the scanning. Please contact Dave Soller ([drsoller@usgs.gov](mailto:drsoller@usgs.gov)) to discuss what services are available.

(4) *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: Betty Adrian at [badrian@usgs.gov](mailto:badrian@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:

- Cover page with the following information:
  - a. Award Number
  - b. Title
  - c. Author and Affiliation with Address and zip code
  - d. Author's Telephone numbers, fax numbers and E-mail addresses
  - e. Term covered by the award (start and end dates)
  - f. Submittal Date of Final Technical Report
  - g. Abstract
  
- Main body of the report with the following information:
  - a) Comparison of actual accomplishments to the goals established for the period;
  - b) If established goals were not met, explanation of circumstances and impediments.

(5) *Interim Financial Reports.* The recipient will submit annual STANDARD FORM 425, FEDERAL FINANCIAL REPORT(S) for each individual USGS award. The SF-425 will be due ninety (90) calendar days after the grant year (i.e., 12 months after the approved effective date of the grant agreement and every 12 months thereafter until the expiration date of the grant agreement). USGS acknowledges that this annual reporting schedule may not always correspond with a specific budget period. The SF 425 must be submitted

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electronically through FedConnect ([www.fedconnect.net](http://www.fedconnect.net)). If after 90 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.

#### (6) *Final Federal Financial Report*

(a) The recipient will liquidate all obligations incurred under the award and submit a final STANDARD FORM 425, FEDERAL FINANCIAL REPORT through FedConnect ([www.fedconnect.net](http://www.fedconnect.net)) 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 ASAP to obtain any remaining amounts due. Once 120 days has passed since the grant completion date, the ASAP subaccount for this award may be closed by USGS at any time.

(b) Subsequent revision to the final SF 425 will be considered only as follows -

(1) When the revision results in a balance due to the Government, the recipient must submit a revised final Federal Financial Report (SF 425) 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.

(2) When the revision represents additional reimbursable costs claimed by the recipient, a revised final SF 425 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/ASAP 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 425 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 Final Technical Report and final financial report, generally within 6 months of the end date of the award, will likely result in delay or non-issuance of new awards. Failure to submit a Progress Report for multi-year awards will likely result in delayed renewal of funds.**

#### **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.

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(7) Any other significant change to the award.

(8) No-cost Extensions to the Project Period. **No cost extensions are discouraged**. Requests for no-cost extensions to the project period are discouraged and will be considered on a case-by-case basis. The timely conduct of funded projects is important to achieving program goals. Applicants should consider time commitments prior to applying for a grant. 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 below.

The Recipient **shall include** in the request:

- the cause of the needed extension,
- a description of the remaining work to be completed,
- the proposed new end date, and
- the amount of funds remaining.

A request for an extension that is received by the Contracting Officer after the expiration date shall **not** be honored. Requests for no-cost extensions shall be submitted to the Contracting Officer **at least 45 days** before the grant end date.

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: N/A

### **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**

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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 (43CFR 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 unit (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 Notice (43 CFR Sec. 12.710(c))**

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 the 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. 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 appropriated programs for their employees about the importance of wearing seat belts and the consequences of not wearing them.

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

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

*(1) 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*

*(2) the agreement authorizes joint dissemination of information and promotion of activities being supported; and*

*(3) 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**

*[Paragraph B applies to all awards. The remainder of this provision applies only when the award involves funds appropriated to the biological research activity of the USGS.]*

A. Funds provided for the biological research activity in USGS annual appropriations may not be used to conduct surveys on private property, unless specifically authorized in writing by the property owner.

(i) Accordingly, the recipient shall not enter non-Federal real property for the purpose of collecting information regarding the property, unless the owner of the property has –

- consented in writing to the entry;

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- been provided notice of that entry; and
  - been notified that any raw data collected from the property must be made available at no costs, if requested by the land owner.
- (ii) In this provision, the term "recipient" includes any person that is an officer, employee, or agent of the recipient, including a person acting pursuant to a contract or sub-agreement.

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

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 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.

(i) 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.

(ii) 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.1of this award term; or

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(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—

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

B. Provisions 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 --

(i) Is determined to have violated a prohibition in paragraph a.1 of this award term; or

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

(a) Associated with performance under this award; or

(b) Imputed to you or the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, “OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),” as implemented by our agency at 43 CFR Part 42.

C. Provisions applicable to any recipient.

(i) 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.

(ii) 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.

(iii) 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:

(i) “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.

(ii) “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.

(iii) “Private entity”:

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

(b) Includes:

1. 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).
2. A for-profit organization.

(iv) 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). 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 in 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 in 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 in 3 CFR 12.65(g)(1) (for A-102 recipients) or 43 CFR 12.924(b)(3) (for A-110 recipients).

### **24. Prohibition on Text Messaging and Using Electronic Equipment Supplied by the Government while Driving**

Executive Order 13513, Federal Leadership On Reducing Text Messaging While Driving, was signed by President Barack Obama on October 1, 2009 (ref.:<http://edocket.access.gpo.gov/2009/pdf/E9-24203.pdf>). This executive order introduces a Federal Government-wide prohibition on the use of text messaging while driving on official business or while using Government-supplied equipment. Additional guidance enforcing the ban will be issued at a later date. In the meantime, please adopt and enforce policies that immediately ban text

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messaging while driving company-owned or rented vehicles or GOV, or while driving POV when on official Government business or when performing any work for or on behalf of the Government.

### **25. Transparency Act Subaward and Executive Compensation Reporting (2 CFR Part 170).**

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

1. Applicability. Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph e. of this award term).

#### 2. Where and when to report.

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

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

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

(i) the total Federal funding authorized to date under this award is \$25,000 or more;

(ii) in the preceding fiscal year, you received—

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

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

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

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

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

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

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

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

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

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

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

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

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

(i) To the recipient.

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

d. Exemptions

If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:

(i) Subawards,

(ii) and

(iii) The total compensation of the five most highly compensated executives of any subrecipient.

e. Definitions. For purposes of this award term:

1. Entity means all of the following, as defined in 2 CFR part 25:

(i) A Governmental organization, which is a State, local government, or Indian tribe;

(ii) A foreign public entity;

(iii) A domestic or foreign nonprofit organization;

(iv) A domestic or foreign for-profit organization;

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

### End of Special Terms and Conditions

## ATTACHMENT C – 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

## ATTACHMENT D– SAMPLE FORMAT AND ELEMENTS OF A LONG-RANGE DATA-PRESERVATION PLAN

### LONG-RANGE DATA-PRESERVATION PLANS

Part IV.G of the Implementation Plan for the National Geological and Geophysical Data Preservation Program states that applications will be evaluated on the basis of a comprehensive application 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 here.

#### 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?
  - (v)

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- (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)
    - (v)
- (7) Access and use (may be the same as for physical collections)

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- (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