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**UNITED STATES DEPARTMENT OF THE INTERIOR**  
**U.S. GEOLOGICAL SURVEY**

**-- STATEMAP --**

**The State Component of the  
National Cooperative Geologic Mapping Program**

**Authorized by The National Geologic Mapping Reauthorization  
Act of 2009  
(Public Law 111-11)**

**PROGRAM ANNOUNCEMENT No.  
G12AS00007**

**For Fiscal Year 2012**

**ISSUE DATE:** September 21, 2011

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**CLOSING DATE & TIME:**

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PAPERWORK REDUCTION ACT STATEMENT: In accordance with the Paperwork Reduction Act (44 U.S.C. 3501), please note the following. This information collection is authorized by The National Geologic Mapping Act (Public Law 102-285) and Public Law 106-148. Your response is required to obtain or retain a benefit in the form of a grant. We estimate that it will take approximately 36 hours to prepare an application and 20 hours to complete the final report. An agency may not conduct or sponsor and a person is not required to respond to a collection of information unless it displays a currently valid Office of Management and Budget control number. OMB has reviewed and approved this information collection and assigned OMB Control Number 1028-0088. You may submit comments on any aspect of this information collection, including the accuracy of the estimated burden hours and suggestions to reduce this burden. Send your comments to: Information Collection Clearance Officer, U.S. Geological Survey, 12201 Sunrise Valley Drive, MS 807, Reston, VA 20192.

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**November 2, 2011 @ 3:00 p.m.**  
**EST**

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**PLEASE READ THE ENTIRE ANNOUNCEMENT CAREFULLY  
TO NOTE ANY CHANGES**

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Proposal Submission Forms and their Instructions

- A. STATEMAP Proposal Summary Sheet
- B. Statement of Outcome
- C. Budgets Sheets (for both entire proposal and individual projects)
- D. Terms and Conditions

Form required at the end of the project period

- E. Standard Form 425 – Federal Financial Report (submitted through FedConnect); form is available at ([http://www.whitehouse.gov/omb/grants\\_forms/](http://www.whitehouse.gov/omb/grants_forms/))

## PART I. Public Law, Program Priorities, and Geologic Map Products

### A. The National Geologic Mapping Act

The 102<sup>nd</sup> Congress recognized that the USGS and the State Geological Surveys needed a coordinated program to prioritize the geologic mapping requirements of the Nation, and to increase production of these geologic maps. The National Geologic Mapping Act (Public Law 102-285) was signed into law in 1992 and created the National Cooperative Geologic Mapping Program. The Act has been reauthorized three times since then, most recently by the 111<sup>th</sup> Congress in 2009 (Public Law 111-11, sec. 11001). The Act recognizes that geologic maps are the primary database for virtually all applied and basic earth-science investigations. To read copies of the original act and the two reauthorizations, visit: <http://ncgmp.usgs.gov/ncgmpabout/>

The objectives of the National Cooperative Geologic Mapping Program (NCGMP) as outlined in the Act are to:

1. Determine the Nation's geologic framework through the systematic development of geologic maps, such maps to be contributed to the National Geologic Map Database.
2. Develop complementary national databases (e.g., geophysical and paleontologic databases) that provide value-added information to the National Geologic Map Database.
3. Apply cost-effective mapping techniques that assemble and disseminate geologic-map information, and that render such information of greater application and benefit to the public.
4. Develop public awareness of the role and application of geologic-map information to the resolution of national issues of land use management.

For a more detailed look at the NCGMP 5-Year Plan visit:

<http://ncgmp.usgs.gov/ncgmpabout/>

### B. STATEMAP Component of the NCGMP

The primary objectives of the STATEMAP component of the NCGMP are to establish the geologic framework of areas determined to be vital to the economic, social, or scientific welfare of individual States. The State Geologist shall determine mapping priorities in consultation with a multi-representational State Mapping Advisory Committee. These priorities shall be based on: a) state requirements for geologic-map information in areas of multiple-issue need or areas of compelling single-issue need, and b) State requirements for geologic-map information in areas where mapping is required to solve critical earth-science problems. Priorities are **not** dependent on past agreements with the USGS.

## C. STATEMAP Proposals

Only one proposal will be accepted from each State for FY 2012. Proposals may contain a number of geologic mapping projects and may include one compilation and/or digitization project. Or, all projects may be for new mapping if the State chooses. It is recommended that you have no more than 4 projects total. Projects may contain one or multiple quadrangles in an area. **Each** project should: a) be clearly defined and justified, b) be organized around a credible issue or area to be mapped, and c) show a 1:1 Federal/State match. A graphic or index map showing the project areas should be included in the proposal. While geologic mapping projects may take more than one year to complete, a completely new proposal subject to full review must be submitted each year. The STATEMAP Review Panel will recommend a funding level for the entire proposal. If full funding is not granted, an applicant should submit to the STATEMAP Program Coordinator a revised work plan and budget limited to the projects recommended for funding. Alternatively, an applicant can decline to participate in the program.

In fiscal year 2012 the National Cooperative Geologic Mapping Program may receive funding for water related studies and mapping. Therefore, the Program Office asks you to begin engaging your State Mapping Advisory Committees, other State agencies involved with water resources, FEDMAP projects, and USGS Water Science Centers to design new projects or augment existing projects that could contribute to water resource assessments. If funds become available, they may be awarded to those STATEMAP and FEDMAP projects that most directly contribute to the goals of the program. We welcome a statement on how future or ongoing projects can contribute to this important national resource. Please add a paragraph discussing how your State could contribute in the Introduction Section of your STATEMAP proposal.

### D. Geologic Map Products

Two types of geologic map products are acceptable to the STATEMAP Program. One is for new geologic mapping and one is for digital map compilation. The result envisioned for the digital compilation project is a 1:100,000 scale digital geologic map that will eventually become part of the State database and the National Geologic Map Database. **Note:** exceptions will be made where base maps of 1:100,000 scale are generally not available, e.g., Alaska, or where the State Mapping Advisory Committee authorizes another scale. New geologic mapping should be done at a scale of 1:24,000, 1:25,000, or at scales deemed appropriate for the geologic problem being solved. In States where base maps are available at smaller scales, 1:50,000 or 1:100,000 may be most appropriate. Map scales should be between 1:24,000 and 1:100,000 scale.

A geologic map is defined as a map that depicts the geographic distribution at the Earth's surface of bedrock and/or surficial geologic materials and structures, on a published base map showing topography, hydrography, culture, cadastral, and other base information. Digital geologic maps may also contain a great variety of point data for specific sites, creating a 3-dimensional database. A geologic map should include a (1) clear and legible base (include base map credit and map projection), (2) scale and contour interval, (3) north arrow and magnetic declination, (4) title, authorship, publisher, and date, (5) location index map, (6) field data or field data stations, (7) description of map units, (8) explanation of map symbols, (9) unit symbols on map. A geologic map may also include correlation or sequence of map units, stratigraphic columns, cross sections, and text.

In order to support mutual goals for the National Geologic Map Database, collaborative development and use of standards and guidelines is essential. For example, please refer to the “Guidelines for digital STATEMAP products”, below. In addition:

1. Use of the FGDC Digital Cartographic Standard for Geologic Map Symbolization is strongly encouraged (see [http://ngmdb.usgs.gov/fgdc\\_gds/](http://ngmdb.usgs.gov/fgdc_gds/)). This Federal standard is available in PDF, paper, EPS, and Arc (v.9.3) format. Additional implementations in Arc and Adobe formats are anticipated.
2. Please compare the stratigraphic nomenclature used on the map product to entries in the U.S. Geologic Names Lexicon (GEOLEX, <http://ngmdb.usgs.gov/Geolex/>). In a document or spreadsheet submitted with your deliverable maps, specify all discrepancies, and provide guidance on corrections or additions to be applied to GEOLEX; include in this guidance any relevant bibliographic citations to be added.
3. Please evaluate NCGMP’s draft standard database design and science terminology (presently referred to as “NCGMP09”; <http://ngmdb.usgs.gov/Info/standards/NCGMP09/>). This evaluation should accompany your deliverable maps. It may be general in nature, focusing on the potential for NCGMP09’s applicability to your future geologic map products, or it may be a detailed evaluation resulting from a test implementation.

At the end of the one-year grant period, one color copy of each deliverable geologic map (or black and white copy if that is the way you intend to publish the map) should be mailed to the STATEMAP Program Coordinator. ***To make filing easier, we would appreciate it if you folded the maps so they will fit in a standard size (10”x13”) manila envelope.*** It is understood that these maps may be in review and not final products. The final published map (as an open file or formal series) should be mailed to the STATEMAP Program Coordinator as soon as it is released.

Guidelines for digital STATEMAP products:

STATEMAP digital products should, to the extent feasible, adhere to the following Guidelines. Please note that the Guidelines (formally adopted by the Association of American State Geologists in 2002) address the general format of digital maps submitted to STATEMAP, and are not strict requirements. However, STATEMAP participants are encouraged to use them, for the following reasons:

- The Guidelines will help provide to the public more compatible, better documented, and hence more useable map products. Also, this rudimentary level of standardization should facilitate data sharing and integration among agencies.
- In the long-term, these Guidelines can be more readily adapted to an online, distributed map database of the National Geologic Map Database (NGMDB).

1. CONFORMANCE TO EXISTING REQUIREMENTS—Digital STATEMAP products (referred to as "products" below) will conform to the respective agency's policies and guidelines for approval and publication of products. For example, USGS map products contributed to the NGMDB will conform to Discipline and Bureau policies, including the requirements of Executive

Order 12906, USGS Manual chapter 504.1, and Geologic Discipline Policy Manual chapter 6.1.3.

2. **SCOPE AND RESPONSIBILITIES**—These requirements apply to products intended for release to the public in both formal and open-file series. Each agency is responsible for promoting conformance of their products to these guidelines.

3. **DATA FORMATS**—A specific data format is not required, because of the variety of data systems employed by all cooperators in the National Cooperative Geologic Mapping Program. Agencies are, however, urged to provide their map products in one or more commonly used data formats (for example, Arc/Info export and Shape format [or Shape format alone], AutoCAD Map export and DXF format [or DXF format alone]). If the map data are expressed in a non-proprietary format that is not supported by published documentation, the format should be fully and clearly documented in the product.

4. **ASSOCIATED FILES**—All associated files critical to the understanding of the map product should accompany the map data files. These may include tabular and text files containing attribute data, and lookup tables and color-and-line palettes (e.g., Arc/Info symbol sets and shade sets) to permit users to display the map data interactively to a monitor.

5. **FILE NAMING CONVENTION**—For the widest possible usage, agencies may choose to use file names that conform to the "8.3" convention. This convention specifies that file names be limited to 8 characters or less, followed, if needed, by a period and a 3-character extension. Although this is becoming an outdated convention, it is a conservative approach to file naming that may help minimize user problems with the map files. An example would be the file name "readme" or "readme.txt." The name and extension should be composed entirely of lower-case (not mixed-case) letters, numerals, underscore, and hyphen. The name should begin with a letter.

6. **COORDINATE SYSTEMS**—Map data provided in geographic coordinates (latitude and longitude) is most generally useable. The author may choose to provide the map data in geographic coordinates and/or in coordinates in the map projection and ground units typically used for maps of that scale and location (e.g., the UTM projection for 30-minute by 60-minute, 1:100,000-scale quadrangle maps, with ground units in meters). In the metadata and readme files, the horizontal geodetic datum (e.g., NAD27) should be specified. To avoid loss of data quality due to re-sampling during projection, raster thematic (e.g., maps showing spatial variation of a single phenomenon, such as geophysical data) should at least be provided in the original, unprojected form. If the GIS software does not create a file containing essential information about the projection, the author should create a file.

7. **BASE MAP**—Wherever possible, map products should be georeferenced to a digital base, preferably the one on which the map was compiled. As a service to users, the author(s) may elect to include the base map with the product. This is highly recommended if the base is not published or is not commonly available. If a digital base was used, and was revised to correct for spatial or attribution errors, it should be supplied (in vector or raster format) with the product or made publicly available at a specified web site. Revisions to published base maps should be supported with metadata that describes the data processing. However, not all geologic maps are compiled on

a digital base, generally because one is not available. In such cases, it is suggested that: a) the base be scanned and georeferenced, b) the geologic map be georeferenced to the base, and c) the base be provided, in vector or raster format, with the product.

8. METADATA—All geologic- and base-map data should be documented with metadata. If possible, this metadata should conform to the *Content Standard for Digital Geospatial Metadata* (CSDGM) of the Federal Geographic Data Committee (FGDC). Conformance of the metadata to the structure defined in the CSDGM can be determined using the USGS metadata parser "mp." This parser verifies the specific indented-text format compatible with the Geospatial Data Clearinghouse. This specification should not, however, preclude each agency from exploring other options for managing metadata, including relational databases.

9. README FILE—A brief, overall introduction and guide to the product should be included in a plain-text file named "readme" or "readme.txt." This file should include, but is not limited to, the identity of the product, a brief product description, introductory instructions on how to extract information from the product file(s), a table of contents describing how the product's directories and files are organized, and the location of the detailed metadata.

10. BROWSE GRAPHIC—A low-resolution "browse" graphics file that represents the finished map product should be provided in GIF, JPEG, TIFF, EPS or PDF format. This file is intended to be a relatively simple depiction of the data that enables the user to quickly visualize the map from the author's perspective. Typically, this graphics file is not a fully detailed depiction of the map data; in such cases the graphic should contain, next to the map image, the following disclaimer: "NOTE: This image is not an authoritative representation of the data."

11. PLOT FILE—The author also is encouraged to include a "plot file" (preferably PDF or EPS), intended to provide the user with the author's full interpretation of the map data. Commonly, these plot files are as detailed as published geologic maps. The decision to include a plot file might be based on the map content and complexity, and the size of the file (Will it, with the map product, fit on the intended media?). If a plot file is included, the author should note, in the metadata or readme file, the plotter and the RIP (raster-image processor) software with which the map has been plotted successfully, and the dimensions of the plot image.

12. PRODUCT FILE—The product should be packaged in one or more files, and the file(s) should be compressed using one of the commonly used data-compression formats (e.g. zip, gzip, tar). The decision whether to use one product file or more should be based on the content and size of the product. Generally, one product file is preferred because product integrity is more easily maintained. However, if the product is relatively large and contains an extensive base map and/or a large plot file, the author may choose to package the plot file or base map in a product file separate from the geologic data. In that case, both product files would contain the readme file. The author should provide in the readme file the information needed to unpack the product file. This may include providing URLs where the file-decompression software may be obtained. The product file is intended to provide users with a simple means for copying the product to a local disk, which is especially helpful for products with many data files.



13. SUPPORTING DOCUMENTATION—Potential users of the data may want a brief overview of the product before deciding whether to acquire it. Therefore, authors should provide the following separate files to accompany the single-archive file containing the product (these are duplicates of files contained in the product): the readme file, the browse graphic, and the metadata file in plain-text and, optionally, in HTML and/or XML format.

## PART II. Timetables, Eligibility, Format Instructions, and Proposal Evaluation

### A. Timetables

Proposal Announcement Date: September 21, 2011

Closing Date and Time for Proposal Submission: November 2, 2011 @ 3:00 p.m. (Eastern Standard Time)

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

Only State Geological Surveys are eligible to apply to the STATEMAP component of the National Cooperative Geologic Mapping Program pursuant to the National Geologic Mapping Act (Public Law 111-11). Since many State Geological Surveys are organized under a State university system, such universities may submit a proposal on behalf of the State Geological Survey. State Geological Surveys must have a State Mapping Advisory Committee (or equivalent) meet annually to qualify for funding.

This committee should advise the State Geological Survey on geologic mapping priorities within their State. A letter of support from the Chair of the State Mapping Advisory Committee must accompany the proposal. This letter should briefly describe the process used.

State Geological Surveys that have been funded previously under STATEMAP must be in compliance with requirements specified in previous STATEMAP awards and must have no outstanding deliverables (geologic maps) due. Failure to meet previous award requirements will be grounds for ineligibility.

### C. Proposal Format Instructions

Please arrange your proposal according to the format provided below. Following this format ensures that every proposal contains all essential information, and is evaluated equitably. It is recommended that the proposal narrative, letters of support, and budget sheets be placed in one pdf document.

All proposals shall include the following documents.

1. Standard Form 424, Application for Federal Assistance (**mandatory form provided in grants.gov**). The person who electronically submits the SF-424 must have the authority to bind the State to the terms of the assistance award.

2. Standard Form 424A, Budget Information – Non-Construction Programs (**mandatory form provided in grants.gov**).
3. Standard Form 424B, Assurances—Non-construction Programs (**mandatory form provided in grants.gov**).
4. Negotiated Rate Agreement/Indirect Cost Rate Agreement. (Most States and Universities have a rate agreement. They are usually titled “State and Local Rate Agreement” or “Colleges and Universities Rate Agreement”. The document provides the rates approved for use on grants, contracts and other agreements with the Federal Government. Some may have an individual audit agency review and provide an agreement. It is basically the documentation that is used that determines the indirect cost rate that is listed on your budget). You can include this as an attachment at the end of your proposal. **If you request fringe benefits or indirect costs this agreements is required in order to verify rates requested.**
5. Letter from Chair of State Mapping Advisory Committee. Please include a list of committee member names, affiliations, and expertise with the letter. The letter should discuss the long-range plan, prioritization process, date of the committee meeting, and list of members who attended the meeting. Voting SMAC members should not be listed on any projects as personnel.
6. STATEMAP Proposal Summary Sheet (**Attachment A**).
7. Statement of Outcome. This should be one paragraph and a bibliographic citation showing how a recent published STATEMAP product was used by another organization or person. It is helpful to include a letter from the organization stating that the geologic map was a critical component of their decision-making process (**Attachment B**).
8. Table of Contents.
9. Proposal Technical Text. This text should be no longer than 30 pages, no smaller than font size 11, and have 1-inch margins. Remember that a graphic is worth a thousand words, and the Review Panel has many proposals to read. Exceeding the 30-page limit for this part of the proposal will **not** be to your benefit. The figures must be easy to read and clearly explained. This text should include the following:

Introduction. The introduction should include the State’s long-range geologic mapping plan, and how the proposal fits into this plan. It should give a very brief overview of the project objectives and scientific problems to be addressed. A graphic showing how your long-range plan may relate to population growth, transportation corridors, or some other societal need can be very helpful. Keep this section short and clear.

  - a. Location and Geologic Setting. A clear, readable map (with scale) showing the location of each project area should accompany the text. Remember that the Review Panel does not

know your State's geography as well as you do. A separate generalized geologic map of your State is also helpful.

- b. Purpose and Justification. This section should answer a few simple, but important questions. Why are you doing this mapping? Who are your customers? What benefits will society receive from the mapping? If geologic maps already produced nearby have been used by local or state agencies in making decisions, reporting on these outcomes is encouraged. It is helpful to include basic science benefits as well as the applied science.
  - c. Strategy for Performing the Geologic Mapping. This brief section should emphasize aspects of your long-range mapping plan that may influence this work, or aspects of work that appear expensive, such as drilling or helicopter support. If a project is part of a multiyear effort, explain what will be completed for each year.
  - d. Preliminary Results and Prior Work. If you have done any work in the area, especially funded by STATEMAP, a brief summary of findings or outcomes is useful.
  - e. Deliverable Geologic Maps. You should provide an explicit list of geologic maps that will be delivered at the end of the one-year grant period. If a project requires more than one year to complete, interim maps are still required at the end of the grant year that document significant progress. When maps are submitted at the end of the grant year, it is recognized that they may be in review, and not in final form. However, all necessary parts should be included (see Part I, section D).
  - f. Project Personnel. Identify the Principal Investigator first. Then list the other support positions (such as geologist, field assistant, or cartographer). Briefly discuss their role on the project so that it links to the budget and strategy section. For each person give a brief statement of their background or vita, and state whether the person works for your Survey or elsewhere. Unnamed personnel or unfilled positions should not be listed as match. NCGMP strongly encourages geologic mapping projects to be a team approach to promote safe field practices.
10. Budget sheets (one budget sheet for whole proposal, and one budget sheet for each project) (**Attachment C**). These attachments are only a format guide. You may create your own budget sheet with the same format, but which has more lines for needed itemization. For each project the amount of contributions from a State Geological Survey must be equal to or greater than the amount requested from the U.S. Geological Survey (USGS), and must be derived from non-Federal sources. Use your common sense when determining how much to itemize. If it is a big-ticket item, or a significant proportion of your proposal request, the Review Panel will want to know some details.

**Please read each category description below and provide the detailed breakdown that is required for each. This will help avoid possible delays in processing a funded proposal, as an award will not be issued until all required information is provided.** The budgets should contain the following:

- a. **NOTICE:** For FY 2012 Statemap cycle proposals, proposed budget NTE \$300,000 (**total requested budget**).
- b. Salaries and Wages. List names, positions, and rate of compensation for each person. Salaries or wages for student assistants (both undergraduates and graduate students) are an acceptable cost to the program. This should **only** include personnel actively involved in the mapping projects. Under most circumstances senior management salary/time is covered by the overhead (indirect cost) portion of the budget. The portion of staff time involved in digitizing, reviewing and map production (to open-file status) can be charged here. If senior management personnel do some of this actual work, include an explanation of their roles. Non-state survey staff working on the project should also be included, if they are being supported by other state funding (see below under cost share). **The budget sheet should include the total time, rate of compensation, and job title or role for each person. If contract employees are hired under a different category in the budget, their total time, rate of compensation, job titles, and roles should also be explained.** Unnamed personnel or unfilled positions should not be listed as match.
- c. Fringe Benefits. Propose your rates/amounts. If rates are audit approved, include a copy of the audit agreement and/or the name of the audit agency. If you request fringe benefits and not indirect costs you still have to provide an indirect cost rate agreement or show how the fringe benefit rate(s) is calculated.
- d. Field Expenses. Briefly itemize the estimated travel costs (**i.e., number of people, number of travel days, per diem rate, mileage rate, airfare, transportation, and any other travel costs**). **Note:** Travel to meetings of professional societies is **not** an acceptable expense. Also, travel expenses for state mapping advisory committee meetings is **not** an acceptable expense.
- e. Other Direct Cost Line Items To List.
- Supplies. List costs for office and laboratory supplies, including base maps, aerial photographs, petrographic thin sections, and other office and laboratory supplies. **Please itemize (include number and cost for each item).**
  - Equipment. Federal STATEMAP funds are **not** intended for the purchase of computer hardware, software, GPS, vehicles, or other nonexpendable property, but can, if necessary, be used for the purchase of software site licenses related to completion of STATEMAP products.
  - Drilling. **(Describe drilling costs and rates).**
  - Map digitization costs. **(Provide breakdown of costs)**
  - Contractual services. Identify proposed contractors (individual or corporate) and provide

the criteria by which contractors will be, or have been selected. **(Provide breakdown of all costs)**

--Printing. Federal STATEMAP funds are **NOT** intended for State printing of multicolored or quality black-and-white versions of geologic maps produced in the program, nor can the cost to a State for such printing be used as a matching cost for Federal funds.

--Routine computer maintenance contracts, and charges for computer time are **NOT** acceptable costs (these should be covered by the indirect costs). If map digitization is to be contracted out, then it should be identified here. Explain and justify any extraordinary items.

-- Tuition and course fees. STATEMAP funds are **not** intended to pay tuition or course fees.

-- If utilizing datasets like Lidar or areomagnetics, you must show how this information will be used to enhance the mapping or map product. If these datasets are used as a match, make sure no Federal funds were used to collect the data and pro rate for the area covered by the proposed map.

- f. Total direct charges. Totals for items a - e. **Each individual project and the total of the proposal (all projects combined) MUST show a 1:1 Federal/State match of direct charges.**
- g. Indirect Charges. Show proposed rate and amount. **Proposals must include a copy of the negotiated indirect cost rate agreement.** Be sure that indirect charges apply only to those direct cost items allowable under the negotiated cost rate agreement. Usually sub-contract direct costs are either excluded from indirect charges, or there is a cap on the amount of subcontract costs eligible for indirect charges.

**Important Notes:** The 2009 Reauthorization of the National Geologic Mapping Act (Public Law 111-11) states that the USGS *and* recipients of STATEMAP grants shall not use more than 15.25 percent of the Federal funds to pay indirect, servicing, or program management charges (which is equivalent to **18%** of total direct costs). \_

Regardless of the State's federally negotiated indirect cost rate, a State must show a 1:1 match of the total direct costs and no more than 18% on the Federal indirect cost line. Up to 18% of a State's total direct costs may be used as a State match on the State's indirect cost line. If a State chooses (or is required) to show a higher than 18% rate on the State's indirect cost line it can be listed under "uncollected indirect costs" on the State's side, the result will be a higher State budget total than the Federal budget total. If the State's approved rate is less than 18%, the approved rate must be used. **Please read the statement on the following page carefully to fully understand the matching requirements.**

**PLEASE NOTE THAT THE ABOVE COST CATEGORIES MUST BE BROKEN DOWN AS DESCRIBED ABOVE ON THE BUDGET SHEETS.**

**NOTE: The following is a summary of what is required in regards to the 1:1 match.**

- **A 1:1 Federal/State match is required for TOTAL DIRECT CHARGES for each individual project**
- **A 1:1 Federal/State match is required for TOTAL DIRECT CHARGES on the entire proposal budget**
- **A 1:1 Federal/State match is required for each individual project TOTAL (this includes direct costs and indirect cost)**
- **A 1:1 Federal/State match is required for the GRAND TOTAL (this includes direct costs and indirect cost)**

**11.** Published Map(s). If your State Geological Survey has received prior STATEMAP support, please provide one paper copy of a recently published STATEMAP geologic map to the attention of Douglas Howard at the address shown in Part III, page 13. **Please provide an electronic or digital (pdf) as an attachment within your proposal submission.** This will enable the Review Panel to better appreciate the quality and scope of products supported by STATEMAP. Also, please indicate whether published geologic maps have been entered into the National Geologic Map Databases' Map Catalog. Metadata for these products should be up to date. For further information, see <http://ngmdb.usgs.gov/Info/partners.html> or contact Dave Soller ([drsoller@usgs.gov](mailto:drsoller@usgs.gov)).

**12.** Collaborative support for the National Geologic Map Database (NGMDB). For all published maps and reports for which STATEMAP funding was received in previous years, contribute specified bibliographic information to the Map Catalog. See <http://ngmdb.usgs.gov/Info/partners.html> or contact Dave Soller ([drsoller@usgs.gov](mailto:drsoller@usgs.gov)) for details. In your proposal, indicate that this has been accomplished.

#### D. Proposal Evaluation

STATEMAP proposals will be reviewed by an eight (8) member peer panel. Five (5) members will be State Geologists selected by the Association of American State Geologists (one from each region, one at large, and the past president of AASG). Three (3) members will be USGS geologists representing each region, including the STATEMAP Program Coordinator, who will act as Chair and who will choose the other two USGS members. The State Geologists will act as lead reviewers, and the USGS geologists will provide regional expertise about USGS programs to avoid any duplication of geologic mapping effort.

Evaluation Criteria. All proposals will be considered in accordance with the criteria listed below. Each reviewer will complete an evaluation form for each proposal reviewed, and the evaluation forms will become part of the official proceedings record at the conclusion of the Review Panel meeting.

NOTE: To avoid any conflict of interest, no panelist may vote on a proposal from his or her State

Geological Survey or State agency; nor may any panelist take part in any discussion with other panel members about his or her State's proposal.

1. State Mapping Advisory Committee (10 points).
  - a. Is the committee broad based and balanced?
  - b. Is a letter from the committee chair included?
  - c. Does the letter explain both the State's mapping priorities and the process by which priorities were reached?
  - d. Are the names and affiliations of each committee member listed?
2. Purpose of geologic mapping (15 points).
  - a. How well does the proposal relate to the State Geological Survey intermediate to long-range plan?
  - b. How well does the proposed mapping respond to societal or customer needs?
  - c. How well does the proposed mapping address the goals of the National Geologic Mapping Act?
3. Technical Quality of the Proposal (30 points).
  - a. How well does the proposal demonstrate the scientific and technical viability of the proposed objectives?
  - b. Do the deliverables for each project adequately relate to the proposed project?
  - c. Does the proposal stress what is scientifically important and new?
4. Budget Clarity and Justification (15 points)
  - a. Does each project direct cost and overall cost have a 1:1 match of Federal and State funds?
  - b. Does the budget clearly show each employee name, salary rate, and length of time employed on each project?
  - c. Are staff sufficient to accomplish the proposed goals?
  - d. Are all field expenses, supplies, and other expenses adequately itemized?
  - e. Are all items included as direct cost appropriate?
  - f. Are contract employees clearly distinguished from those already on the State Geological Survey payroll?
5. Products from previous USGS Statemap cooperative agreements (30 points).
  - a. Have all deliverables been submitted in a timely fashion?
  - b. What is the quality of the deliverables?
  - c. Do geologic maps have all necessary parts?
  - d. Are published maps of good quality and useful to various end users.
  - e. How up to date is the National Geologic Map Database?

### PART III. Proposal Delivery and Submission Instructions

**Hard copies of the proposals are no longer required.** However, one copy of a recently published STATEMAP geologic map is required as referenced below and must be submitted to the Project

Officer at the address provided below no later than November 2, 2011 @ 3:00 p.m. (Eastern Standard Time).

Applicants are held responsible for the proposal to be electronically submitted into grants.gov ([www.grants.gov](http://www.grants.gov)) by November 2, 2011 @ 3:00 p.m. (Eastern Standard Time). To obtain step by step instructions for grants.gov please visit the following website:

<http://www.usgs.gov/contracts/grants/grantsgov.html>. Please be aware that the electronic submission system is relatively complex for first-time users and involves several preliminary registration steps to be taken before the proposal can be submitted (go to [www.grants.gov](http://www.grants.gov), and click on the “Get Registered” link in the red Applicants section on the left side of the page). Be advised that it is virtually impossible to begin the process of electronic submission for the first time if you start just a few days before the due date. If you are from a university, contact your Office of Sponsored Programs. They may already have completed the registration process and should work with you to submit the application.

Please allow sufficient time for the proposal to be submitted electronically and allow time for possible computer delays. It is strongly advised not to wait until the last minute for submission. **A proposal received after the closing date and time will not be considered for award.** If it is determined that a proposal will not be considered due to lateness, the applicant will be so notified immediately.

All grant programs are required to use grants.gov to advertise announcements. Any form that is not available online may be submitted as attachments at the end of the proposal.

As noted above, if your State Geological Survey has received prior STATEMAP support, please provide one copy of a recently published STATEMAP geologic map. Please submit the copy to the following no later than November 2, 2011 @ 3:00 p.m. EST.

U.S. Geological Survey  
Attn: Douglas Howard, MS 908  
12201 Sunrise Valley Drive  
Reston, Virginia 20192

#### PART IV. General Provisions

##### A. General Provisions of the National Cooperative Geologic Mapping Program

By accepting Federal assistance, your organization agrees to abide by the provisions of the National Cooperative Geologic Mapping Program, namely the National Geologic Mapping Reauthorization Act of 2009, Public Law 111-11 (visit: <http://ncgmp.usgs.gov/>), and OMB Circular A-16 “Coordination of Surveying, Mapping and Related Spatial Data Activities” ([http://www.whitehouse.gov/omb/circulars/a016/a016\\_rev.html](http://www.whitehouse.gov/omb/circulars/a016/a016_rev.html)).



## B. Office of Management and Budget (OMB) Circulars

By accepting Federal assistance, your organization agrees to abide by the applicable OMB Circulars in the expenditure of Federal funds and performance under this program. However, a State can propose other circulars in their proposal if these circulars are not applicable. Copies of these Circulars can be obtained from the Internet at: <http://www.whitehouse.gov/omb/circulars/index.html>.

1. 2 CFR 225 “Cost Principles for State, Local and Indian Tribal Governments (OMB Circular A-87)
2. OMB Circular A-102 “Uniform Administrative Requirements for Grants-in-Aid to State and Local Governments.”
3. OMB Circular A-133 “Audits of States, Local Governments, and on-Profit Organizations.”

## C. Publication

1. Publication or open-file release of the results of any project carried out under this assistance award is authorized in map or publication “series” of State Geological Surveys. Publication includes conventional format in paper copy, reproducible mylar or similar material, and electronic format as digital files on computer readable disk, CD-ROM, or similar medium. Maps submitted to journals, professional organizations, or commercial firms, for publication shall be accompanied by the following notation:  
*“This map and explanatory information is submitted for publication with the understanding that the United States Government is authorized to reproduce and distribute reprints for governmental use.”*
2. Program Credit. All geologic maps resulting from any project carried out under this assistance award resulting wholly or in part from the cooperative agreement shall bear a cooperative statement in the map header, on the title page of an accompanying explanatory text, and in the acknowledgments that accompany the map or any resulting report. This credit shall read:  
*“This geologic map was funded in part by the USGS National Cooperative Geologic Mapping Program.”* [please include award number and year funded]
3. Disclaimer. All maps and explanatory text submitted for publication by professional societies or commercial firms shall carry the following notation:  
*“The views and conclusions contained in this document are those of the authors and should not be interpreted as necessarily representing the official policies, either expressed or implied, of the U.S. Government.”*
4. Publication information should be entered into the National Geologic Map Database (<http://ngmdb.usgs.gov/Info/partners.html>).

#### D. Funding

1. The STATEMAP program is required by statute (Public Law 111-11) to be carried out on a 1:1 matching basis; each recipient must match each Federal dollar with a non-Federal dollar (direct and indirect costs). The non-Federal share may be contributions of services or cash provided to contractors to perform geologic mapping or other services directly applicable to proposed work on the project. The specific source(s) of the State contribution, such as State legislative appropriation, must be provided in the proposal. The 1:1 ratio, however, does not prevent States from securing additional funds from other tax-supported entities to increase the level of work that is accomplished in a region. The Program encourages multiple partnerships, as they enhance the production of geologic maps. A letter or item of evidence should be included with the proposal to support other non-state-survey funds. Federal regulations prohibit the matching of Federal funds with other Federal funds. Consequently, third-party funding arrangements, though encouraged, should be viewed as adding additional activities that are accounted for separately from the USGS-State-matching funds agreement.
2. Performance of projects funded by this program will conform to OMB Circular A-16 (revised). As noted in that circular, use of USGS funds for the purchase of equipment will not be authorized.
3. Funds for the 2012 National Cooperative Geologic Mapping Program and in turn, STATEMAP awards, will not be available until enactment of the Department of the Interior Appropriations. Since it is anticipated that awards will not be announced until January 15, 2012, proposed project start dates should not begin prior to March 15, 2012. Also, projects must start no later than September 15, 2012. **NOTE:** An award grant issued by the USGS Office of Acquisition and Grants is required for the State agency to obligate USGS funds. Notification of a successful proposal does not constitute authority to incur costs funded by USGS money. Costs may be incurred only after the receipt of an award signed by the Contracting Officer of the USGS.
4. Requests for no-cost extensions shall be forwarded to the Grant Specialist/Contracting Officer for consideration not later than 30 days prior to the requested end date. After discussion with STATEMAP Program Coordinator, the Grant Specialist/Contracting Officer will make a final decision on a case-by-case basis and notify the Recipient in writing. Asking for a no-cost extension in no way jeopardizes the success of a future proposal. However, if a State asks for a no-cost extension, it cannot extend past a date 30 days in advance of the STATEMAP Review Panel meeting for the *next* funding cycle.
5. Non-state-survey "appropriate" state cost share requires at least three basic pieces of documentation: (1) a letter or other official piece of paper from the proposed source of the non-state-survey cost share clearly committing to the cost share and, as specifically as possible, identifying the exact nature of the share (i.e., timing, dollars, equipment, services, personnel, etc.); (2) specific information in the Strategy for Performing the Geologic Mapping section that links the non-state-survey cost share directly and convincingly to the proposed geologic mapping activities; (3) specific information in the budget materials that shows how the non-state-survey cost share will

match Federal dollars, category-by-category, and in sufficient detail to corroborate the descriptive material in the Strategy section. Actual or apparent costs caused by the required indirect (overhead) rate (18% total costs) being less than the State Survey's negotiated cost agreement are **NOT** a permissible cost share contribution.

-- END OF PROGRAM ANNOUNCEMENT--

**USE THE FOLLOWING FORMAT**

Attachment A

**STATEMAP PROPOSAL SUMMARY SHEET**

**Name of State Geological Survey:**

Principal Investigator (person we can call to ask questions if needed):

Name:

Address:

Phone:

Email:

Project Titles:

Project 1 Title:

Amount:

Project 2 Title:

Amount:

Project 3

Title:

Amount::

Project 4 Title:

Amount::

Start date:

End date:

**Project Deliverables (please include list of quadrangles and partial quadrangles):**

Project 1

Deliverables:

Project 2

Deliverables:

Project 3

Deliverables:

Project 4

Deliverables:

**Total Federal Funds Requested:**

\$ \_\_\_\_\_

## USE THE FOLLOWING FORMAT

Attachment B

### STATEMAP STATEMENT OF OUTCOME

Include a bibliographic citation and a paragraph showing how a recent published STATEMAP product was used by another organization or person. It is helpful to include a letter from the organization stating that the geologic map was a critical component of their decision-making process.

Bibliographic citation:

Paragraph:

**USE THE FOLLOWING FORMAT**

Attachment C

**National Cooperative Geologic Mapping Program  
STATEMAP Element  
BUDGET ESTIMATES FOR ENTIRE PROPOSAL**

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

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

Budget Category	Federal Funding "Requested"	Matching Funds "Proposed"
<b>SALARIES:</b>		
Survey Staff	\$	\$
	\$	\$
	\$	\$
	\$	\$
	\$	\$
Contract Staff	\$	\$
	\$	\$
	\$	\$
<b>(provide salary rate &amp; time for each)</b>	\$	\$
	\$	\$
<b>Total Salaries:</b>	\$	\$
<b>FRINGE BENEFITS:</b>		
Survey Staff	\$	\$
	\$	\$
	\$	\$
	\$	\$
	\$	\$
Contract Staff	\$	\$
	\$	\$
	\$	\$
	\$	\$
	\$	\$
<b>Total Fringe Benefits:</b>	\$	\$

**USE THE FOLLOWING FORMAT**

Attachment C

**National Cooperative Geologic Mapping Program  
STATEMAP Element  
BUDGET ESTIMATES FOR ENTIRE PROPOSAL**

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

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

Budget Category	Federal Funding "Requested"	Matching Funds "Proposed"
<b>FIELD EXPENSES:</b>		
Per Diem	\$	\$
Lodging Cost	\$	\$
Vehicle Cost	\$	\$
Mileage	\$	\$
	\$	\$
<b>(provide number &amp; rate for each)</b>	\$	\$
	\$	\$
<b>MISCELLANEOUS SUPPLIES:</b>		
Office and Laboratory Supplies (itemize)	\$	\$
Drilling	\$	\$
Map Digitizing Costs	\$	\$
	\$	\$
	\$	\$
	\$	\$
<b>(breakdown the above costs)</b>	\$	\$
	\$	\$
	\$	\$
	\$	\$
Total Direct Costs:	\$	\$
Indirect Cost ( __% ) *	\$	\$
Uncollected Indirect Cost	\$ -----	\$
<b>GRAND TOTAL:</b>	\$	\$

\* Not to exceed 18%

**USE THE FOLLOWING FORMAT**  
**National Cooperative Geologic Mapping Program**  
**STATEMAP Element**  
**BUDGET ESTIMATES FOR INDIVIDUAL PROJECT BUDGET**

Attachment C

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

**PROPOSAL SHORT TITLE:** \_\_\_\_\_

**INDIVIDUAL PROJECT TITLE:** \_\_\_\_\_

Budget Category	Federal Funding "Requested"	Matching Funds "Proposed"
<b>SALARIES:</b>		
Survey Staff	\$	\$
	\$	\$
	\$	\$
	\$	\$
	\$	\$
Contract Staff	\$	\$
	\$	\$
	\$	\$
<b>(provide salary rate &amp; time for each)</b>	\$	\$
	\$	\$
<b>Total Salaries:</b>	<b>\$</b>	<b>\$</b>
<b>FRINGE BENEFITS:</b>		
Survey Staff	\$	\$
	\$	\$
	\$	\$
	\$	\$
	\$	\$
Contract Staff	\$	\$
	\$	\$
	\$	\$
	\$	\$
	\$	\$
<b>Total Fringe Benefits:</b>	<b>\$</b>	<b>\$</b>



**USE THE FOLLOWING FORMAT**  
**National Cooperative Geologic Mapping Program**  
**STATEMAP Element**  
**BUDGET ESTIMATES FOR INDIVIDUAL PROJECT BUDGET**

Attachment C

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

**PROPOSAL SHORT TITLE:** \_\_\_\_\_

**INDIVIDUAL PROJECT TITLE:** \_\_\_\_\_

Budget Category	Federal Funding "Requested"	Matching Funds "Proposed"
<b>FIELD EXPENSES:</b>		
Per Diem	\$	\$
Lodging Cost	\$	\$
Vehicle Cost	\$	\$
Mileage	\$	\$
	\$	\$
<b>(provide number &amp; rate for each)</b>	\$	\$
	\$	\$
<b>MISCELLANEOUS SUPPLIES:</b>		
Office and Laboratory Supplies (itemize)	\$	\$
Drilling	\$	\$
Map Digitizing Costs	\$	\$
	\$	\$
	\$	\$
	\$	\$
<b>(breakdown the above costs)</b>	\$	\$
	\$	\$
	\$	\$
	\$	\$
<b>Total Direct Costs:</b>	\$	\$
Indirect Cost ( __% ) *	\$	\$
Uncollected Indirect Cost	\$ -----	\$
<b>INDIVIDUAL PROJECT TOTAL:</b>	\$	\$

\* Not to exceed 18%

## I. SPECIAL TERMS AND CONDITIONS

### 1. Cooperative Agreement Administration

This cooperative agreement will be administered by:

U.S. Geological Survey  
Office of Acquisition and Grants  
Kimberly L. Dove, Grants Specialist  
12201 Sunrise Valley Drive, MS 205  
Reston, VA 20192  
Telephone (703) 648-7487

Written communication shall make reference to the Cooperative Agreement number and shall be mailed to the address above or email to [kdove@usgs.gov](mailto:kdove@usgs.gov).

### 2. Consideration

(a) The recipient's proposal as identified on Page 1, Block 10 is incorporated by reference. The total estimated cost of the USGS share for the performance of this cooperative agreement is the total amount indicated in Block 13. Costs hereunder shall in no event exceed that amount without prior written approval of the CO.

(b) Prior approval of the Grant Specialist/Contracting Officer is not required for transfer of funds between direct cost categories when the cumulative amount of the transfers during the performance period does not exceed ten (10) percent of the total USGS cash award. Prior written approval is required from the Grant Specialist/Contracting Officer for transfers in excess of the ten (10) percent limitation.

### 3. 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. 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. After recipients complete enrollment in ASAP and link their banking information to the USGS ALC (14080001), it may take up to 10 days for sub-accounts to be activated and for funds to be authorized for drawdown in ASAP.
- 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 Philadelphia, PA 19115-6317
Kansas City	Central	(816) 414-2100	7:30 a.m - 4:00 p.m.	P.O. Box 12599-0599 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 Oakland, CA 94623-1700

- d. Payments may be drawn in advance only as needed to meet immediate cash disbursement needs.

A waiver has been granted by the Associate Director for Administrative Policy and Services because this award involves payments to a foreign recipient.

- a. Payment will be made by Treasury Check upon receipt of a properly prepared SF 270 REQUEST FOR ADVANCE OR REIMBURSEMENT. Submit the SF 270 form to the address specified in E.1. Requests should be submitted on a quarterly basis. Request for the entire award amount will be denied.
- b. Payments may be drawn in advance only as needed to meet immediate cash disbursement needs.

#### 4. Definitions

##### A. Grant Agreement

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

- (1) the principal purpose of the relationship is the transfer of money, property, services, or

anything of value to the state or local government or other recipient in order to accomplish a public purpose of support or stimulation authorized by Federal statute, rather than acquisition, by purchase, lease, or barter, of property or services for the direct benefit or use of the Federal Government; and

- (2) no substantial involvement is anticipated between the executive agency, acting for the Federal Government, and the state or local government or other recipient during performance of the contemplated activity.

#### B. Cooperative Agreement

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

- (1) the principal purpose of the relationship is the transfer of money, property, services, or anything of value to the state or local government or other recipient to accomplish a public purpose of support, or stimulation authorized by Federal statute, rather than acquisition, by purchase, lease, or barter, of property or services for the direct benefit or use of the Federal Government; and
- (2) substantial involvement is anticipated between the executive agency, acting for the Federal Government, and state or local government or other recipient during performance of the activity.

#### C. Grantee/Cooperator

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

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

#### D. Recipient

Recipient means grantee or cooperator.

#### E. Principal Investigator

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

F. Program Officer

- (1) The Program Officer will work closely with the Principal Investigator to ensure that all technical requirements are being met. The Program Officer's responsibilities include, but are not limited to, providing technical advice on the accomplishment of the proposal's objectives; reviewing the technical content of reports and the other information delivered to the USGS; determining the adequacy of technical reports; and conducting site visits, in coordination with the Regional Coordinator, Deputy Chief for External Research, and the Contracting Officer, as frequently as practicable.
- (2) The Program Officer is **Douglas Howard, U.S. Geological Survey, 908 National Center, 12201 Sunrise Valley Drive, Reston, VA 20192**. The Program Officer does 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)

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 Grant Specialist as receiving official shall mark all proposals with a control number.
- (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/Grant Specialist shall ensure the openness and fairness of the

evaluation and selection process.

- (4) Serving in an advisory capacity at peer review panel meetings. She shall interpret grant management policies to panel members.
- (5) Negotiating, as necessary, the final grant/cooperative agreement budget.
- (6) Issuing grant/cooperative agreement awards and revisions to awards.
- (7) Receiving all requests for changes to an award. The Grant Specialist/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 award.
- (8) Receiving financial reports required by the terms and conditions of the award.
- (9) Closing out grant/cooperative agreement awards when all applicable award requirements have been complied with.

## 5. **Reporting Requirements**

A. **Required reports/documents.** The Recipient shall submit the following reports/documents:

<b>Report/Document</b>	<b># of Copies</b>	<b>Submit To</b>	<b>Due Date</b>
1. Transmittal Letter, Maps, plus accompanying explanatory information	1 Original	Program Officer (see page 2 of Award document)	On or before the last day of the 12-month project period.
2. Transmittal Letter	1 Copy	CO, see Section 1, Item 1	On or before the last day of the 12-month project period.
3. SF 425 – Federal Financial Report	Original + 1 Copy	Electronically thru FedConnect	SEE SECTION 5(B) BELOW
4. *Publications	1 Copy	Program Officer	Immediately following publication.

\* Publication means any book, report, photograph, map, chart, or recording published or disseminated to the scientific community.

## B. **Cash Management and Financial Reporting Requirements**

### 1. **Annual Financial Reports.**

The recipient will submit annual STANDARD FORM 425, FEDERAL FINANCIAL REPORT(S) for each individual USGS award. The SF 425 is available at -

[http://www.whitehouse.gov/omb/grants\\_forms](http://www.whitehouse.gov/omb/grants_forms). 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 electronically through the FedConnect Message Center ([www.fedconnect.net](http://www.fedconnect.net)). If after 90 days, recipient has not submitted a report, the recipient's account in ASAP will be placed in a manual review status until the report is submitted.

## 2. Final 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/cooperative agreement completion date. The SF 425 is available at - [http://www.whitehouse.gov/omb/grants\\_forms](http://www.whitehouse.gov/omb/grants_forms). 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/agreement 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 -

- (i) 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.
- (ii) 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 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. Publication of the results of any project carried out under this assistance award is authorized in professional journals, trade magazines, or may be made by the USGS. The following notation shall accompany manuscripts submitted to journals or professional publications for publication:

*"This manuscript is submitted for publication with the understanding that the United States Government is authorized to reproduce and distribute reprints for governmental use."*

*"Supported by the U. S. Geological Survey, National Cooperative Geologic Mapping Program, under assistance Award No. [Insert the award number from Block 1 of page one]."*

(i) One copy of each article planned for publication shall be submitted to the Program Officer simultaneously with its submission for publication. One reprint of each published article shall be submitted to the Program Officer immediately following publication.

(ii) Disclaimer. All manuscripts submitted for publication in magazines, journals or trade papers shall carry the following notation:

*"The views and conclusions contained in this document are those of the authors and should not be interpreted as necessarily representing the official policies, either expressed or implied, of the U.S. Government."*

D. Report preparation instructions. The Recipient shall prepare the reports/documents in accordance with the following instructions:

(1). Technical Report. This report is due within the 12-month performance period. Submit this report directly to the Project Office at the address shown on page 4, Section 4.F.(2) of your award. A copy of the cover letter should be mailed to the Grant Specialist at the address shown on page 2, Section 1 of your award.

(a) The cover page of the technical report shall contain the award number, Recipient's name, Principal Investigator's name and title of the Recipient's application.

(b) The main body of the report shall be single-spaced on 8 ½ -inch by 11-inch paper and shall describe the work performed during each 12-month period and at the conclusion of the project. The main body of the report shall be printed double-sided, including figures and bibliography. Oversized paper, i.e. pages greater than 8 ½ -inch by 11-inch shall be placed in a pocket at the end of the report; not collated or bound with the report. Oversized pages should be used only if they are critical to convey data or conclusions.

(c) The report shall also contain a bibliography of all publications resulting from the work performed during each 12-month period and at the conclusion of the project. Copies of the publications are required if the Recipient has not previously submitted them to the Program Officer.

(d) The original and one copy of the report shall be bound or stapled. All copies shall be submitted to the Program Officer specified in Block 10 of the award.

(2). The technical report shall contain an abstract that summarizes the observations and conclusions of the report and shall be part of the report as well as being submitted as a second separate document.

E. Maps. One copy of each map with all accompanying explanatory information shall be submitted to the Program Officer simultaneously with its submission for publication. If a map has been prepared as an electronic digital data file (or files), one copy of that file or files shall be submitted to the Program Officer in computer readable disk or CD- ROM version and one paper copy for review. A document or electronic "README" file, prepared in the latest version of a major standard word processing program (such as Microsoft Word or Word Perfect) and instructions or



codes needed to access the electronic digital file, shall accompany each file stating the program(s) used.

(1) The Publication of the results of any project carried out under this assistance award is authorized in map or publication "series" of State geological surveys. Emphasis is on the prompt release of the geologic map and explanatory information, so that publication includes release of maps or segments of maps with explanatory information in open-file format. Publication includes conventional format in paper copy, reproducible Mylar or similar material, and electronic format as digital files on computer readable disk, CD-ROM, or similar medium. The following notation shall accompany maps with explanatory information submitted to journals, professional organizations, or commercial firms for publication:

*"This map and explanatory information is submitted for publication with the understanding that the United States Government is authorized to reproduce and distribute reprints for governmental use."*

All publications that contain work performed during the project period shall include the following statements:

"Research supported by the U. S. Geological Survey, National Cooperative Geologic Mapping Program, under USGS award number [Insert the award number from Block 1 of page one]. The views and conclusions contained in this document are those of the authors and should not be interpreted as necessarily representing the official policies, either expressed or implied, of the U. S. Government."

(2) Adherence to reporting requirements. A Recipient's failure to submit the required reports/documents, in a timely manner, may result in the withholding of payment, in termination of the award, or in delay or non-issuance of a new award.

(3) A transmittal letter shall also accompany the maps that are forwarded to the Program Officer. The letter should identify the award number, Recipient's name, Principal Investigator's name, title of the Recipient's application, and a description of the map being submitted. A **copy** of the transmittal letter shall be sent to the Grant Specialist identified in Section 1 on page 1 of the terms and conditions.

#### F. Adherence to reporting requirements

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

### 6. Adherence to Original Research Objectives and Budget Estimates

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 unless provided for in this award.

B. The following requests for change require advance written approval by the issuing office at the address on page two of your award. Your request must be submitted directly to the Grant Specialist **at least 30 calendar days** prior to the requested effective date of the

change or prior to the expiration date of the award:

1. Changes in the scope, objective, or key personnel referenced in the Recipient's proposal.
2. Transfer of funds between direct cost categories when the cumulative amount of transfers during the project period exceeds 10 percent of the total award.
3. Acquisition of nonexpendable personal property (equipment) not approved at time of award.
4. Change in the project period. The Recipient shall include in the request the cause of the needed extension, a description of the remaining work to be completed, the proposed date of completion, the amount of funds remaining, and a revised budget for the remaining funds. If all funds have been disbursed to the Recipient, this must be indicated in the request. A request for an extension that is received by the Grant Specialist after the expiration date shall not be honored.

For continuing work, an extension shall delay the award of a follow-on agreement until such time that the first agreement has been completed. An extension for any time period beyond the original expiration may, in unusual circumstances, result in the cancellation of intended subsequent agreement awards.

5. Creation of any direct cost line item not approved at time of award.
6. Any other significant change to the award.

C. The Grant Specialist 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.

#### **7. Nonexpendable Personal Property**

The recipient shall comply with 2CFR 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 will be vested: N/A

#### **8. Record Retention Period**

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

## **9. Pre-agreement Costs**

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

## **10. Site Visits**

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

## **11. Metric Conversion (43 CFR Sec 12.915)**

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

## **12. 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.

## **13. Award Closeout**

Awards will be closed out once all requirements have been met. Maps, Technical and financial reports must be submitted on time as specified in Section 4 of these Special Terms and Conditions. Failure to adhere to the reporting requirements may result in the delay or denial of further awards.

## **14. 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.

## **15. Buy American Act Requirements**

Notice: 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 FY 2000 and thereafter, it is the sense of the Congress that entities receiving the assistance should, in expending the assistance, purchase only American-made equipment and products.

**16. Anti-lobbying (43 CFR Part 18)**

Recipient shall not use any part of the Department of the Interior funds provided hereunder 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.

**17. Seat Belt Provision (43 CFR Sec. 12.2(e))**

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

**18. Covenant Against Contingent Fee**

The Recipient warrants that no person or agency has been employed or retained to solicit or secure this cooperative agreement or understanding for a commission, percentage, brokerage, or contingent fee, except bona fide employees or bona fide agreements or business. For breach or violation of this warranty, the Government shall have the right to annul this cooperative agreement award, or otherwise recover the full amount of such commission, percentage, brokerage, or contingent fee.

**19. Officials Not To Benefit**

No member of Congress, or resident commissioner, shall be admitted to any share or part of this agreement, or to any benefit that may arise there from; but this provision shall not be construed to extend to this agreement if made with a corporation for its general benefit.

**20. Rights To Technical Data**

The U.S. Government may publish, reproduce, and use all technical data developed as a result of this assistance award in any manner and for any purpose, without limitation, and may authorize others to do the same. However, the STATEMAP Program Coordinator agrees that full review by the State Geologist will occur prior to any use or release of any geologic materials and full credit will be given to the State Geological Survey.

## 21. Government Involvement Statement

- (a) Substantial involvement is anticipated through the term of the cooperative agreement between the USGS and the Recipient.
- (b) The USGS and the Recipient will collaborate and participate in program planning for each phase of the project.

## 22. No Endorsement Provision (43 CFR 12.2(d))

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

- *the principal purpose of the agreement is a partnership where the recipient/partner contributes resources to promote agency programs or publicize agency activities, assists in fundraising, or provides assistance to the agency; and*
  - *the agreement authorizes joint dissemination of information and promotion of activities being supported; and*
  - *the recipient is not a state government, a local government, or a Federally-recognized Indian tribal government.*
- A. Recipient shall not publicize or otherwise circulate, promotional material (such as advertisements, sales brochures, press releases, speeches, still and motion pictures, articles, manuscripts or other publications) which states or implies Governmental, Departmental, bureau, or Government employee endorsement of a product, service, or position which the recipient represents. No release of information relating to this award may state or imply that the Government approves of the recipient's work products, or considers the recipient's work product to be superior to other products or services.
  - B. All information submitted for publication or other public releases of information regarding this project shall carry the following disclaimer:

The views and conclusions contained in this document are those of the authors and should not be interpreted as representing the opinions or policies of the U.S. Government. Mention of trade names or commercial products does not constitute their endorsement by the U.S. Government.
  - C. Recipient must obtain prior Government approval for any public information releases concerning this award which refer to the Department of the Interior or any bureau or employee (by name or title). The specific text, layout photographs, etc. of the proposed release must be submitted with the request for approval.

- D. A recipient further agrees to include this provision in a subaward to any subrecipient, except for a subaward to a state government, a local government, or to a Federally-recognized Indian tribal government.

### **23. 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.)

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

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

### **25. Access to Research Data**

- A. By regulation (43 CFR 12.936), recipients that are institutions of higher education, hospitals, or non-profit organizations are required to release research data first produced in a project supported in whole or in part with Federal funds that are cited publicly and officially by a Federal agency in support of an action that has the force and effect of law (e.g., regulations and administrative orders). "Research data" is defined as the recorded factual material commonly accepted in the scientific community as necessary to validate research findings. It does not include preliminary analyses; drafts of scientific papers; plans for future research; peer reviews; communications with colleagues; physical objects (e.g., laboratory samples, audio or video tapes); trade secrets; commercial information; materials necessary to be held confidential by a researcher until publication in a peer-reviewed journal; information that is protected under the law (e.g., intellectual property); personnel and medical files and similar files, the disclosure of which would constitute an unwarranted invasion of personal privacy; or information that could be used to identify a particular person in a research study.
- B. These requirements do not apply to commercial organizations or to research data produced by state or local governments. However, if a state or local governmental grantee contracts with an educational institution, hospital, or non-profit organization, and the contract results in covered research data, those data are subject to these disclosure requirements.
- C. Requests for the release of research data subject to this policy are required to be made to USGS, which will handle them as FOIA requests under 43 CFR 2.25. If the data are publicly

available, the requestor will be directed to the public source. Otherwise, the USGS Contracting Officer/Grants Officer, in consultation with the affected recipient and the PI, will handle the request. This policy also provides for assessment of a reasonable fee to cover recipient costs as well as (separately) the USGS costs of responding.

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

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

(1) You as the recipient, your employees, subrecipients under this award, and subrecipients' employees may not:

(a) Engage in severe forms of trafficking in persons during the period of time that the award is in effect;

(b) Procure a commercial sex act during the period of time that the award is in effect; or

a. Use forced labor in the performance of the award or subawards under the award.

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

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

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

(i) Associated with performance under this award; or

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

**B. Provision applicable to a recipient other than a private entity.**

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

(1) Is determined to have violated an applicable prohibition in paragraph A(1) of this award term; or

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

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

C. Provisions applicable to any recipient

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

D. Definitions

For purposes of this award term:

- (1) “Employee” means either:
  - (a) An individual employed by you or a subrecipient who is engaged in the performance of the project or program under this award; or
  - (b) Another person engaged in the performance of the project or program under this award and not compensated by you including, but not limited to, a volunteer or individual whose services are contributed by a third party as an in-kind contribution toward cost sharing or matching requirements.
- (2) “Forced labor” means labor obtained by any of the following methods: the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.
- (3) “Private entity”:
  - (a) Means any entity other than a state, local government, Indian tribe, or foreign public entity, as those terms are defined at 2 CFR 175.25.



(b) Includes:

- (i) A nonprofit organization, including any nonprofit institution of higher education, hospital, or tribal organization other than one included in the definition of Indian tribe at 2 CFR 175.25(b).
  - (ii) A for-profit organization.
- (4) Severe forms of trafficking in persons,” “commercial sex act,” and “coercion” have the meanings given at section 103 of the TVPA, as amended (22 U.S.C. 7102).

## **27. Research Integrity**

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

## **28. 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.

## **29. Program Income**

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

at 43 CFR 12.924(b)(1).

- D. For all other types of recipients, any other program income will be deducted from total allowable costs to determine the net allowable costs before calculating the Government's share of reimbursable costs, as provided at 3 CFR 12.65(g)(1) (for A-102 recipients) or 43 CFR 12.924(b)(3) (for A-110 recipients).

**30. Prohibition on Text Messaging and Using Electronic Equipment Supplied by the Government while Driving (Executive Order 13513)**

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 messaging while driving company-owned or rented vehicles, government-owned or leased vehicles, or while driving privately owned vehicles when on official government business or when performing any work for on behalf of the government.

**31. Central Contractor Registration and Universal Identifier Requirements (2 CFR Part 25)**

A. Requirement for Central Contractor Registration (CCR)

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

B. Requirement for Data Universal Numbering System (DUNS) Numbers

If you are authorized to make subawards under this award, you:

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

C. Definitions

For purposes of this award term:

1. Central Contractor Registration (CCR) means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the CCR Internet site (currently at <http://www.ccr.gov>).
2. Data Universal Numbering System (DUNS) number means the nine-digit number

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

3. Entity, as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:
  - a. A Governmental organization, which is State, local government, or Indian Tribe;
  - b. A foreign public entity;
  - c. A domestic or foreign nonprofit organization;
  - d. A domestic or foreign for-profit organization; and
  - e. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
4. Subaward:
  - a. 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.
  - b. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. ll.210 of the attachment to OMB Circular A-133, “Audits of States, Local Governments, and Non-Profit Organizations”).
  - c. A subaward may be provided through any legal agreement, including an agreement that you consider a contract.
5. Subrecipient means an entity that:
  - a. Receives a subaward from you under this award; and
  - b. Is accountable to you for the use of the Federal funds provided by the subaward.

## II. GENERAL PROVISIONS

The Recipient shall be subject to the following OMB circulars/regulations, as amended, which are incorporated herein by reference:

### 1. Educational Institutions

- A. 2 CFR 220, Cost Principles for Educational Institutions (OMB Circular No. A-21)
- B. OMB Circular 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.
- C. OMB Circular 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.

### 2. State and Local Governments

- A. 2 CFR 225, Cost Principles for State, Local and Indian Tribal Governments (OMB Circular A-87)

B. OMB Circular A-102, Grants and Cooperative Agreements with State and Local Governments; as implemented in 43 CFR Part 12, Subpart C.

C. OMB Circular 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.

**3. Nonprofit Organizations**

A. 2 CFR Part 230, Cost Principles for Non-Profit Organizations (OMB Circular A-122), except recipients listed in Appendix C to Part 230 are subject to Federal Acquisition Regulation (FAR) Subpart 31.2, Contracts with Commercial Organizations (Contract Cost Principles and Procedures)

B. OMB Circular 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.

C. OMB Circular 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.

**4. Organizations for Profit, Individuals, and Other Not Covered Above**

A. Federal Acquisition Regulation (FAR) Subpart 31.2, Contracts with Commercial Organizations (Contract Cost Principles and Procedures)

B. OMB Circular 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.

C. FAR Subpart 42.1, Contract Audit Services; FAR Subpart 42.7, Indirect Cost Rates; FAR Subpart 42.8, Disallowance of Costs.

**5. Patents-Small Business and Nonprofit Organizations**

Subject to the provisions set forth in 37 CFR 401 and 35 U.S.C. 203, a Recipient may retain the entire right, title, and interest throughout the world to each subject invention. With respect to any subject invention in which the Recipient retains title, the Federal Government will have a nonexclusive, nontransferable, irrevocable, paid-up license to practice or have practices for or on behalf of the United States the subject invention through out the world.

**6. Additional Regulations**

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

- 2 CFR 180, Government Debarment and Suspension (Non-procurement)

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

- 43 CFR Part 12, Subpart E: Buy American Requirements for Assistance Programs
- 43 CFR Part 17, Subpart A: Nondiscrimination of the Basis of Race, Color, or National Origin.
- 43 CFR Part 17, Subpart B: Nondiscrimination of the Basis of Handicap.
- 43 CFR Part 17, Subpart C: Nondiscrimination of the Basis of Age.
- 43 CFR Part 18, New Restrictions on Lobbying
- 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).]*
- 43 CFR Part 42, Government Debarment and Suspension (Non-procurement)
- 43 CFR Part 43, Government-wide Requirements for Drug Free Workplace

**-- End of Agreement --**