

1Supporting Statement A

National Spatial Data Infrastructure – Cooperative Agreements Program (NSDI CAP)

OMB Control Number 1028-NEW

Terms of Clearance: None

Justification

- 1. Explain the circumstances that make the collection of information necessary. Identify any legal or administrative requirements that necessitate the collection.**

The Office of Management and Budget (OMB) established the Federal Geographic Data Committee (FGDC) in 1990 and rechartered the committee in its August 2002 revision of Circular A-16, “Coordination of Geographic Information and Related Spatial Data Activities.” The FGDC is a 19 member interagency committee composed of representatives from the Executive Office of the President, and Cabinet level and independent Federal agencies. The Assistant Secretary for Water and Science at the Department of the Interior chairs the FGDC, with the Deputy Director for the Office of E-Government and Information Technology at the Office of Management and Budget (OMB) as Vice-Chair. Numerous stakeholder organizations participate in FGDC activities representing the interests of state and local government, industry, and professional organizations.

The National Spatial Data Infrastructure Cooperative Agreements Program (NSDI CAP) is an annual program sponsored by the FGDC via the U.S. Geological Survey (USGS) to assist the geospatial data community through funding and other resources in implementing the components of the NSDI. The program is open to State, local and Tribal governments, academia, commercial, and non-profit organizations and provides small seed grants via cooperative agreements to initiate sustainable on-going NSDI implementations. The grants are considered cooperative agreements since they emphasizes partnerships, collaboration and the leveraging of geospatial resources in achieving its goals. Since the funding level is limited, organizations must compete to be awarded funds. The objective is to develop a model incentives program that will encourage other Federal programs to take advantage of partnerships, leverage resources and provide a more efficient process for applicants.

The authority for the program is listed in Section 6 of Executive Order 12906 of April 11, 1994.

Sec. 6. Partnerships for Data Acquisition. The Secretary, under the auspices of the FGDC, and within 9 months of the date of this order, shall develop ,to the extent permitted by law, strategies for maximizing cooperative participatory efforts with State, local, and tribal governments, the private sector, and other nonfederal organizations to share costs and improve efficiencies of acquiring geospatial data consistent with this order.

Circular A-16 - http://www.whitehouse.gov/omb/circulars/a016/a016_rev.html

Executive Order 12906 - <http://govinfo.library.unt.edu/npr/library/direct/orders/20fa.html>

2. Indicate how, by whom, and for what purpose the information is to be used. Except for a new collection, indicate the actual use the agency has made of the information received from the current collection. Be specific. If this collection is a form or a questionnaire, every question needs to be justified.

From 1994 to 2013 CAP grants played a substantial role in promoting and disseminating the tenets of the NSDI to thousands of SDI advocates and practitioners. The program was cancelled and the collection ended in 2013 due to sequestration budget impacts when the Federal funding portion of this cost-share program was no longer available. The NSDI CAP awards created collaborations at all levels of government, developed an understanding of geospatial information in organizations and disciplines new to the NSDI, provided seed money to enable geospatial organizations to participate in the national effort to implement the NSDI, promoted the development of standardized metadata and importance of geospatial data standards in hundreds of organizations, and greatly expanded implementation of geospatial services on the Internet.

The NSDI CAP will use Standard Forms: 424 Application for Federal Assistance; 424A Budget Information Non-Construction Programs; and 424B Assurances Non-Construction Programs. Applicants will submit proposals for funding in response to Notices of Funding Availability (NOFA) that we publish on Grants.gov and our program web pages. Applicants submit a proposal through Grants.gov. We collect the following information under each (NOFA):

(1) The project narrative including the primary investigator's contact information, applicant organization, collaborating organizations, a short description of the project, the project scope, the technical approach, the skills and capabilities of the applicant, the commitment to the effort, and the organizational and managerial capacity.

(2) Proposed budget breakdown that provides detailed information about how the funds will be utilized.

(3) Letters of support and/or commitment that are used to demonstrate the project's viability.

(4) Complete Standard Forms 424, 424a, and 424b

The information collected above ensures that sufficient and relevant information is available to

evaluate and select proposals for funding. A panel of technical experts will review each proposal to assess how well the proposed project addresses the requirements and priorities identified in the program's authorizing legislation. The technical experts include the members from the FGDC, USGS geospatial liaisons, previous NSDI CAP recipients, and experts from the geospatial community.

All awards granted under this program have a maximum reporting requirement of a final technical report (performance report and copies of all deliverables) and final financial statements due at the end of the performance period which is one year in length.

- 3. Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological collection techniques or other forms of information technology, e.g., permitting electronic submission of responses, and the basis for the decision for adopting this means of collection. Also describe any consideration of using information technology to reduce burden and specifically how this collection meets GPEA requirements.**

All application instructions and forms are available on the Internet for completion and printing of forms by the public. Applicants submit a proposal electronically through Grants.gov. Recipients of the awards will submit via email an interim and final report that describes the results of their work.

- 4. Describe efforts to identify duplication. Show specifically why any similar information already available cannot be used or modified for use for the purposes described in Item 2 above.**

Due to the unique nature of this program and authorizing legislation no other Federal agency collects this information. No duplication will occur.

- 5. If the collection of information impacts small businesses or other small entities, describe any methods used to minimize burden.**

We have made efforts to keep the amount of information requested to a minimum for all of our applicants. The information has to be sufficient to fulfill the requirements of the authorizing statutes, as well as sufficient to make a competitive funding decision. We do not believe the amount of information requested will have a significant impact on small entities, as they will be providing the minimum amount of information needed to compete for financial assistance under these programs.

- 6. Describe the consequence to Federal program or policy activities if the collection is not conducted or is conducted less frequently, as well as any technical or legal obstacles to reducing burden.**

Failure to collect the information or collecting it or less frequently would prevent the Federal Geographic Data Committee (FGDC) from fulfilling responsibilities of this program as required by Section 6 of Executive Order 12906.

- 7. Explain any special circumstances that would cause an information collection to be conducted in a manner:**
- * requiring respondents to report information to the agency more often than quarterly;**
 - * requiring respondents to prepare a written response to a collection of information in fewer than 30 days after receipt of it;**
 - * requiring respondents to submit more than an original and two copies of any document;**
 - * requiring respondents to retain records, other than health, medical, government contract, grant-in-aid, or tax records, for more than three years;**
 - * in connection with a statistical survey that is not designed to produce valid and reliable results that can be generalized to the universe of study;**
 - * requiring the use of a statistical data classification that has not been reviewed and approved by OMB;**
 - * that includes a pledge of confidentiality that is not supported by authority established in statute or regulation, that is not supported by disclosure and data security policies that are consistent with the pledge, or which unnecessarily impedes sharing of data with other agencies for compatible confidential use; or**
 - * requiring respondents to submit proprietary trade secrets, or other confidential information, unless the agency can demonstrate that it has instituted procedures to protect the information's confidentiality to the extent permitted by law.**

There are no circumstances that require us to collect the information in a manner inconsistent with OMB guidelines.

- 8. If applicable, provide a copy and identify the date and page number of publication in the Federal Register of the agency's notice, required by 5 CFR 1320.8(d), soliciting comments on the information collection prior to submission to OMB. Summarize public comments received in response to that notice and in response to the PRA statement associated with the collection over the past three years, and describe actions taken by the agency in response to these comments. Specifically address comments received on cost and hour burden.**

Describe efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported.

Consultation with representatives of those from whom information is to be obtained or

those who must compile records should occur at least once every three years — even if the collection of information activity is the same as in prior periods. There may be circumstances that may preclude consultation in a specific situation. These circumstances should be explained.

We solicited comments from several potential applicants about the clarity of instruction, the annual hour burden for the application materials and the interim and final reports. The respondents said that the application was clearly written, well organized, that the instructions were useful, and help was readily available. One respondent noted that the process was cumbersome but concluded that help will be available to applicants. The respondents estimated the hour burden for the application to be about 35-37 hours. We believe that this variance results from the time it took them to gather the information they need to prepare the narrative, write the narrative, and the time that it takes to receive supporting feedback (i.e., peer-reviews and letters of support). Based on these results we adjusted our estimated burden time by averaging the times reported by the reviewers. The estimated burden to complete the proposal process is now approximately 35 hours and 10 hours to complete the interim and final reports. The names and address of the people we contacted are listed in Table 1 below.

The 60-day FRN was published 8/7/2015 at Volume 80 FR 47512. No comments were received.

Table 1. Individuals Contacted Outside the Agency

<p>Dr. Diana Long Director of Workforce Development Rahall Transportation Institute P.O. Box 5425 Huntington, WV 25703-0425 Phone: 304.542.3303 Email dlong@njrati.org</p>	<p>Mr. Keith T. Weber GIS Center Idaho State University 921 South 8th Ave., Stop 8104 Pocatello ID 83209-8104 Phone: 208-282-2757 Email: webekeit@isu.edu</p>
<p>Ms Amy Esnard GIS Manager - Multnomah County IT 501 SE Hawthorne, suite 400 Portland, Oregon 97214 Phone: 503-752-5601 Email: amy.esnard@multco.us</p>	

9. Explain any decision to provide any payment or gift to respondents, other than remuneration of contractors or grantees.

We will not provide any payments or gifts other than the remuneration of grantees. The grantees will receive on average \$38,000 per award.

10. Describe any assurance of confidentiality provided to respondents and the basis for the assurance in statute, regulation, or agency policy.

No assurance of confidentiality is given to respondents.

11. Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private. This justification should include the reasons why the agency considers the questions necessary, the specific uses to be made of the information, the explanation to be given to persons from whom the information is requested, and any steps to be taken to obtain their consent.

NSDI CAP proposal does not ask information of a sensitive nature.

12. Provide estimates of the hour burden of the collection of information. The statement should:

- * **Indicate the number of respondents, frequency of response, annual hour burden, and an explanation of how the burden was estimated. Unless directed to do so, agencies should not conduct special surveys to obtain information on which to base**

hour burden estimates. Consultation with a sample (fewer than 10) of potential respondents is desirable. If the hour burden on respondents is expected to vary widely because of differences in activity, size, or complexity, show the range of estimated hour burden, and explain the reasons for the variance. Generally, estimates should not include burden hours for customary and usual business practices.

- * If this request for approval covers more than one form, provide separate hour burden estimates for each form and aggregate the hour burdens.
- * Provide estimates of annualized cost to respondents for the hour burdens for collections of information, identifying and using appropriate wage rate categories. The cost of contracting out or paying outside parties for information collection activities should not be included here.

Our estimates are based on our own knowledge plus the outreach described in item 8. We expect to receive approximately 60 applications, taking each applicant approximately 35 hours to complete, totaling 2,100 annual burden hours. We anticipate awarding an average of 25 grants per year. The 25 award recipients are required to submit 2 reports: an interim 6 months after the start of the project and a final report on or before 90 working days after the expiration of the agreement. We estimate that it will take approximately 5 hours to complete a report. Therefore, the annual burden for report preparation is 250 hours. We estimate that the total annual burden for this collection will be 2,350 hours.

Table 2. Estimated annual hour burden of the collection of information

Activity	Number of Annual Applications/Reports	Estimated Completion Time per Applicant	Total Annual Burden Hours
Narrative Preparation	60	35 hours	2,100
Interim Reports	25	5 hours	125
Final Reports	25	5 hours	125
TOTAL	110		2,350

We estimate the dollar value of the annual burden hours to be \$94,554 (see Table 3) based on the Employer Costs for Employee Compensation – March 2015 published by the Bureau of Labor (<http://www.bls.gov/news.release/pdf/ecec.pdf>).

Table 3. Estimated Dollar Value of Annual Burden Hours

Activity	Annual Number of Applicants	Estimated Completion Time per	Total Annual Burden	Dollar Value of Burden Hour	Total Dollar Value of Annual
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		Applicant	Hours	Including Benefits	Burden Hours
Narrative Preparation					
Colleges, Universities, Professional Schools, Management, Scientific, and Technical Consulting Services	18	35 hours	630	\$31.39	\$19,776
State/Local Gov.	42	35 hours	1,470	\$44.22	\$65,004
SUBTOTAL	60		2,100		\$84,780
Interim and Final Reports					
Colleges, Universities, and Professional Schools, Management, Scientific, and Technical Consulting Services	20	5 hours	100	\$31.39	\$3,139
State/Local Gov.	30	5 hours	150	\$44.22	\$6,634
SUBTOTAL	0		0		\$9,773
TOTAL	110		2,350		\$94,554

13. Provide an estimate of the total annual non-hour cost burden to respondents or recordkeepers resulting from the collection of information. (Do not include the cost of any hour burden already reflected in item 12.)

* The cost estimate should be split into two components: (a) a total capital and start-up cost component (annualized over its expected useful life) and (b) a total operation and maintenance and purchase of services component. The estimates should take into account costs associated with generating, maintaining, and disclosing or providing the information (including filing fees paid for form processing). Include

descriptions of methods used to estimate major cost factors including system and technology acquisition, expected useful life of capital equipment, the discount rate(s), and the time period over which costs will be incurred. Capital and start-up costs include, among other items, preparations for collecting information such as purchasing computers and software; monitoring, sampling, drilling and testing equipment; and record storage facilities.

- * If cost estimates are expected to vary widely, agencies should present ranges of cost burdens and explain the reasons for the variance. The cost of purchasing or contracting out information collection services should be a part of this cost burden estimate. In developing cost burden estimates, agencies may consult with a sample of respondents (fewer than 10), utilize the 60-day pre-OMB submission public comment process and use existing economic or regulatory impact analysis associated with the rulemaking containing the information collection, as appropriate.
- * Generally, estimates should not include purchases of equipment or services, or portions thereof, made: (1) prior to October 1, 1995, (2) to achieve regulatory compliance with requirements not associated with the information collection, (3) for reasons other than to provide information or keep records for the government, or (4) as part of customary and usual business or private practices.

There is no non-hour cost burden to applicants under this collection. There is no fee for application, nor any fees associated with application requirements.

14. Provide estimates of annualized cost to the Federal government. Also, provide a description of the method used to estimate cost, which should include quantification of hours, operational expenses (such as equipment, overhead, printing, and support staff), and any other expense that would not have been incurred without this collection of information.

The total estimated cost to the Federal Government for processing and reviewing proposals and reviewing reports as a result of this collection of information is \$33,270. This includes hourly wages and benefits. Table 4 below shows Federal staff and grade levels performing various tasks associated with this information collection. We used the Office of Personnel Management Salary Table 2015-GS (http://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/pdf/2015/GS_h.pdf) to determine the hourly wages. We multiplied the hourly wage by 1.5 to account for benefits.

Grants Specialist will provide assistance applicants when help is requested, download the applications, and provide the applications to the NSDI CAP Coordinator. The NSDI CAP Coordinator will complete the application initial review process to consider the completeness of documentation, basic eligibility. Six subject matter specialists will evaluate the remaining proposals. Each proposal is evaluated and scored using narrative evaluation factors. Finally, the slate of selected proposals will be submitted to the senior leadership for final approval. Each of the 25 award recipients are required to submit an interim report and a final report which are

reviewed by the six subject matter specialist.

Table 4. Annual Cost to the Federal Government

Action: Review Proposals					
Title Position	Grade/Step	Hourly Rate	Hourly Rate incl. benefits (1.5 x hourly pay rate)	Hours on Project	Annual Cost
Grants Specialist	GS-12/9	\$37.32	\$55.98	23	\$1,288
NSDI CAP Coordinator	GS-13/10	\$45.54	\$68.31	184	\$12,570
Subject Matter Specialist #1	GS-13/10	\$45.54	\$68.31	21	\$1,435
Subject Matter Specialist #2	GS-14/7	\$49.68	\$74.52	18	\$1,342
Subject Matter Specialist #3	GS-13/10	\$45.54	\$68.31	18	\$1,230
Subject Matter Specialist #4	GS-13/10	\$45.54	\$68.31	48	\$3,279
				Subtotal	\$21,144

Action: Review Interim Reports

Position	Grade/Step	Hourly Rate	Hourly Rate incl. benefits (1.5 x hourly pay rate)	Hours on Project	Annual Cost
NSDI CAP Coordinator	GS-13/10	\$45.54	\$68.31	50	\$3,416
Subject Matter Specialist #1	GS-13/10	\$45.54	\$68.31	6	\$410
Subject Matter Specialist #2	GS-14/7	\$49.68	\$74.52	8	\$597
Subject Matter Specialist #3	GS-13/10	\$45.54	\$68.31	8	\$547
Subject Matter Specialist #4	GS-13/10	\$45.54	\$68.31	16	\$1,093
				Subtotal	\$6,063

Action: Review Final Reports

Position	Grade/Step	Hourly Rate	Hourly Rate incl. benefits (1.5 x hourly pay rate)	Hours on Project	Annual Cost
NSDI CAP Coordinator	GS-13/10	\$45.54	\$68.31	50	\$3,416
Subject Matter Specialist #1	GS-13/10	\$45.54	\$68.31	6	\$410
Subject Matter Specialist #2	GS-14/7	\$49.68	\$74.52	8	\$597
Subject Matter Specialist #3	GS-13/10	\$45.54	\$68.31	8	\$547
Subject Matter Specialist #4	GS-13/10	\$45.54	\$68.31	16	\$1,093
Subtotal					\$6,063
Total Annual Estimated Cost to the Federal Government					\$33,270

15. Explain the reasons for any program changes or adjustments in hour or cost burden.

This is a new program with new funding that encourages partnership and collaboration between State and Local governments, universities and non-profit organizations, and FGDC. This is will be an annual program sponsored by FGDC to assist the geospatial data community in implementing the components of NSDI.

16. For collections of information whose results will be published, outline plans for tabulation and publication. Address any complex analytical techniques that will be used. Provide the time schedule for the entire project, including beginning and ending dates of the collection of information, completion of report, publication dates, and other actions.

We will maintain data on proposals and resulting grant awards in a database. We will publish a list of selected projects, the amount of funding, and a description of each project on the FGDC website at <http://www.fgdc.gov/grants>. The expected timeline is:

- Announcement posted on-line at Grants.gov – October 15
- Announcement closes – mid January
- Proposal reviews and award selections – February to March
- Award recipients are notified - March
- Award paperwork is processed by USGS Grants Office – April
- Interim technical report due date for each award – Six months after the award
- Final technical and financial report due for each award – One year after the award

17. If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons that display would be inappropriate.

Not applicable. We will display the expiration date.

18. Explain each exception to the topics of the certification statement identified in "Certification for Paperwork Reduction Act Submissions."

There are no exceptions to the certification statement.