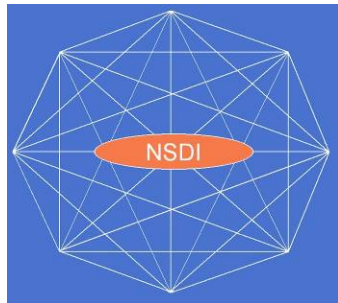


# 2011 National Spatial Data Infrastructure Cooperative Agreement Program



Program Announcement Number **11HQPA0011**  
CFDA Number: 15.809  
OMB Control Number 1028-0084, Expiration Date 1/31/2012

**For Fiscal Year 2011**

**Issue Date: October 26, 2010**

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**CLOSING DATE & TIME:**

**January 6, 2011, 2:00 pm EDT**

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**PAPERWORK REDUCTION ACT STATEMENT:** The Paperwork Reduction Act of 1995 (44 U.S.C. 3501 et. seq.) requires us to inform you that this information is being conducted for the National Spatial Data Infrastructure Cooperative Agreements Program (NSDI CAP) to receive and review proposals to acquire funding for projects to help build the infrastructure necessary for the geospatial data community. The estimated burden for this collection of information is estimated to average 25 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The response to this request is voluntary. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB Control Number. Direct comments regarding the burden estimate or any other aspect of this collection of information should be directed to: Information Collection Clearance Officer, U.S. Geological Survey, 2150-C Centre Avenue, Fort Collins, CO 80525. OMB ICR Reference Number: 200802-1028-002.

## TABLE OF CONTENTS

	<u>Page Number</u>
Introduction and General Information	
I. Description of Award Opportunity .....	3
II. Award Information.....	5
III. Applicant Eligibility. ....	6
IV. Application and Submission Information .....	6
V. Application Review .....	11
VI. Award Administration Information .....	12
VII. Agency Contacts .....	14
Category 1: Metadata Trainer and Outreach Assistance.....	16
Category 2: FGDC-endorsed Standards Implementation Training and Outreach .....	26
Category 3: Fifty States Initiative: Strategic and Business Plan Development .....	34
Category 4: Fifty States Initiative: Business Plan Development and Implementation .....	44
Category 5: Return on Investment (ROI) Methodology and Business Case Development for Multi-agency NSDI Projects .....	50
Category 6: FGDC Standards Development Assistance.....	58
Attachment A - General Provisions	
Attachment B - Special Terms and Conditions for USGS Cooperative Agreements	
Attachment C - Budget Breakdown Template with example	
 <u>Templates for Interim and Final Reports</u>	
Attachment D - Metadata Trainer and Outreach Assistance	
Attachment E - FGDC-endorsed Standards Implementation Training and Outreach	
Attachment F - Fifty States Initiative: Strategic and Business Plan Development	
Attachment G - Fifty States Initiative: Business Plan Development and Implementation	
Attachment H - Return on Investment (ROI) Methodology and Business Case Development for Multi-agency NSDI Projects	
Attachment I - FGDC Standards Development Assistance	

For all technical questions about applying through Grants.gov, call the Grants.gov Help Desk at: 1-800-518-GRANTS

**For questions concerning this Program Announcement, call Ms. Desiree Santa, Grant Specialist, at (703) 648-7382 or via email at [dsanta@usgs.gov](mailto:dsanta@usgs.gov).**

National Spatial Data Infrastructure - Cooperative Agreements Program (NSDI - CAP): OMB Control Number 1028-0084, Expiration Date 1/31/2012.

**2011 National Spatial Data Infrastructure  
Cooperative Agreements Program (NSDI CAP)**

**Program Announcement Number 11HQPA0011**

**Introduction and General Information**

**I. Description of Award Opportunity**

The purpose of the National Spatial Data Infrastructure Cooperative Agreements Program (NSDI CAP) is to fund innovative projects in the geospatial data community to build the infrastructure necessary to effectively discover, access, share, manage, and use digital geospatial data. It authorization is under Executive Order 12906, April 13, 1994; Organic Act of March 3, 1879, 43 U.S.C. 36c, 43 U.S.C. 31f.

The NSDI consists of the technologies, policies, organizations, and people necessary to promote cost-effective production, ready availability, and greater utilization of geospatial data among a variety of sectors, disciplines, and communities. Specific NSDI CAP areas of emphasis include: documenting, implementing, and providing outreach for FGDC geospatial standards including metadata; expanding geographic information coordination and collaboration across and between organizational levels; promoting geospatial best practices; and advancing the implementation and exchange of common geospatial data, services, and applications. The results of the awarded projects benefit multiple Federal agencies as well as the overall geospatial community.

Since 1994, the Federal Geographic Data Committee (FGDC), hosted by the U.S. Geological Survey, has awarded projects that advance the NSDI in partnership with the geospatial community.

**A. Fiscal Year (FY) 2011 NSDI Cooperative Agreements Program**

A total of \$800,000 in funds is available for the fiscal year 2011 assistance award program. The projects will be funded for one year. Award notification will be made February/March 2011. Project work must commence no later than September 30, 2011 (the end of the 2011 Federal fiscal year). Start dates on or after October 1, 2011 are not authorized under this announcement. The Government's obligation under this program is contingent upon the availability of funds.

**B. Summary of 2011 CAP Award Categories**

**Category 1: *Metadata Trainer and Outreach Assistance*** provides support to organizations with NSDI knowledge and experience to assist others in geospatial metadata implementation. Implementation projects may include the development of training materials in coordination with the NSDI Training Program and/or training delivery via workshops, presentation, or online applications with an outreach component which includes but not require a presentation at a local, regional, or national conference. Outreach specific projects include the development/enhancement of informative, collaborative or promotional Web sites, networks, documents, and/or applications. Special consideration will be given those projects that target managers and non-

traditional geospatial communities and those that utilize social bookmarking, wiki's, and other Web 2.0 innovations. This category will award up to 4 cooperative agreements of up to \$25,000 each with the recipient matching 50% of the award with funding or in-kind services.

### ***Category 2: FGDC-endorsed Standards Implementation Training and Outreach***

For FGDC-endorsed standards, there are few, if any, resources or materials that can be used to guide users in implementation. Without materials or resources that provide best practices and provide experienced advice and new techniques, an implementing organization has a steep learning curve. The goal of the category is to facilitate implementation of an FGDC-endorsed standard in user communities. Not included in this category is metadata (see category 1 above) or the Standard for a U.S. National Grid, FGDC-STD-011-2001. The awarded projects will create implementation guides, training materials, and/or outreach materials. This category will award up to 2 cooperative agreements of up to \$25,000 each with the recipient matching 50% of the award with funding or in-kind services.

### ***Category 3: Fifty States Initiative: Strategic and Business Plan Development***

Projects in the category will develop and implement statewide strategic and business plans that will facilitate the coordination of programs, policies, technologies, and resources that enable the coordination, collection, documentation, discovery, distribution, exchange and maintenance of geospatial information in support of the NSDI and the objectives of the Fifty States Initiative Action Plan. This category will award up to 2 cooperative agreements of up to \$50,000 each with the recipient matching 50% of the award with funding or in-kind services.

### ***Category 4: Fifty States Initiative: Business Plan Development and Implementation***

Projects in this category will develop and implement statewide business plans that will facilitate the alignment of Federal agencies with statewide geospatial planning activities that advance the NSDI. This category will award up to 8 cooperative agreements of up to \$40,000 each with the recipient matching 50% of the award with funding or in-kind services.

### ***Category 5: Return on Investment (ROI) Methodology and Business Case Development for Multi-agency NSDI Projects***

Statewide geospatial initiatives generally require the planning and participation of multiple agencies in order to reap the desired benefits, yet representatives of disparate agencies will have varied understanding of financial analysis for projects. This cooperative effort would provide training in ROI methodology to participating agencies, through a series of webinars, a two-day kick-off workshop and follow-up evaluations of project progress, designed to facilitate project decision making based on the development of a detailed business case comprised of costs and benefits to the individual agencies. Ongoing support would be provided to agencies as they develop their financial analysis, with the business case for the multi-agency project provided as a final report in text and spreadsheet format. The methodology presented would leverage multi-agency financial analysis methodology previously developed by FGDC in cooperation with Geospatial

Information Technology Association (GITA). The deliverables are an ROI case study describing the project, including the details of collecting metrics to support the financial analysis; completed ROI spreadsheets for individual participating agencies; financial analyses summary, and a multi-agency business case for the project comprised of the rollup from all individual spreadsheets as well as analysis of tangible and strategic benefits of the project. This category will award up to 3 cooperative agreements of up to \$60,000 each with the recipient matching 50% of the award with funding or in-kind services.

**Category 6: FGDC Standards Development Assistance**

This category provides funding to organizations to assist in the development of standards registered in the FGDC standards program of work (refer to <http://www.fgdc.gov/standards/projects/FGDC-standards-projects/FGDC-standards-in-development>). The project outcome should result in the advancement of a standard project to a milestone in the FGDC standards process: committee draft, public review draft, final draft, or FGDC-endorsed standard. This category will award up to 2 cooperative agreements of up to \$25,000 each with the recipient matching 50% of the award with funding or in-kind services.

**II. Award Information**

Under the 2011 CAP program, a total of not to exceed \$800,000 is available for funding. Approximately 21 awards are anticipated.

CAP Award Categories	Award Amount	In-kind Match	Approximate Number of Awards
1. Metadata Trainer and Outreach Assistance	Up to \$25,000	50%	4
2. FGDC-endorsed Standards Implementation Training and Outreach	Up to \$25,000	50%	2
3. Fifty States Initiative: Strategic and Business Plan Development	Up to \$50,000	50%	2
4. Fifty States Initiative: Business Plan Development and Implementation	Up to \$40,000	50%	8
5. Return on Investment (ROI) Methodology and Business Case Development for Multi-agency NSDI Projects	Up to \$60,000	50%	3
6. FGDC Standards Development Assistance	Up to \$25,000	50%	2

This assistance is provided through a *cooperative agreement*, which is neither a contract nor a grant. As a cooperative agreement, there will be *substantial involvement* on the part

of the FGDC with the recipient's organization to promote the objectives of the program, monitor progress, and agree on milestones and accomplishments for work performed as part of this agreement. The FGDC will manage all queries, technical resources, and assistance requests.

Note on Method of Payment: The U. S. Geological Survey (USGS) is using the Department of the Treasury Automated Standard Application for Payments (ASAP) to provide electronic invoicing and payment for assistance award recipients. If it does not exist already the Recipient will establish an account with ASAP. With the award of each cooperative agreement, a sub-account will be set up from which the Recipient can draw down funds.

The FGDC provides, through its Web site (<http://www.fgdc.gov>), a wide range of information on Geospatial One-Stop, metadata, clearinghouse, and standards, as well as contact information for the FGDC and its participating organizations at the national, State, and local level. Also included is information on metadata trainers, training opportunities, and NSDI news. The FGDC will attempt to address all queries and assistance requests, including referral to suitable software solutions and subject matter experts.

### **III. Applicant Eligibility**

1. State or local government, academia, private sector, non-profit and Tribal organizations, as well as a consortia of organizations, may apply. Only entities from the United States of America can receive NSDI CAP awards.
2. To demonstrate the long-term sustainability of project outcomes, an in-kind resource match on the part of the applicant is required for all projects.
3. Organizations may submit proposals for more than one category if the applicant meets eligibility requirements. However, a complete and separate application package is required for each category submission.
4. There are restrictions on institutions that have received a NSDI CAP award within the past three years. Please see award category for specific eligibility information.

### **IV. Application and Submission Information**

#### **A. Proposal Submission Requirements**

All applicants are **required** to submit the proposals using the Federal Government's <http://www.grants.gov> Web site for electronic submission.

Applications must be submitted no later than **TBD at 2:00 p.m. EDT**. A proposal received after the closing date and time will not be considered for award. If it is determined that an application will not be considered because it was late, the applicant will be so notified immediately.

Please be aware that the electronic submission system is relatively complex for first-time users and involves several preliminary steps to be taken before the proposal information can actually be submitted (go to <http://www.grants.gov/> and click on the “Get Registered” tab in the red Applicants section on the left side of the page for the steps). Be advised that it is nearly 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 since they may already have completed the registration process and should work with you to submit the application. Instructions for the registering on Grants.gov are available at <http://www.usgs.gov/contracts/grants/grantsgov.html>.

Documents and Forms to submit:

- 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 organization to the terms of the assistance award.
- Standard Form 424A Budget Information Non-Construction Programs
  - Mandatory form provided in grants.gov
- Standard Form 424B Assurances Non-Construction Programs
  - Mandatory form provided in grants.gov
- Proposal narrative - Mandatory
- Detailed budget breakdown - Mandatory
  - Attach to proposal narrative. See attachment C for an example and a format guide. You may create your own budget sheet with the similar format that has more lines for needed itemization. Please read **Section IV. D.** “Budget Breakdown Attachment” for more information. The information provided in this document expands on the information provided in the SF-424A and is required if the proposal is awarded.
- Negotiated Rate Agreement
  - Most States and universities have an indirect cost 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. It is basically the documentation that is used that determines the indirect cost rate that is listed in project budget. Some may have an individual audit agency review and provide an agreement. This should be included as an attachment at the end of the proposal narrative.
- Mandatory or other optional documents such as letters of support or maintenance authority – See the category description for more details. It is preferred that these are merged together and submitted as a single file.

All documents should be converted to PDF format.

Please arrange your proposal narrative and attachments according to the format provided in the category descriptions below. It is preferred that the narrative, budget breakdown, and other supporting documents be submitted in a single file. Following the requested

format will ensure that every proposal contains all essential information and can be evaluated equitably.

Letters with signatures should be scanned. If this is not possible letters should be mailed or faxed to the NSDI CAP Coordinator, MS 590 National Center, Reston, VA 20192, Fax number: 703-648-5755.

## **B. Completing Proposal Forms**

The electronic submission process is accomplished using software that is downloaded to your computer free of charge. Information and download links are available at [http://www.grants.gov/help/download\\_software.jsp](http://www.grants.gov/help/download_software.jsp)

### **1. SF-424 Application for Federal Assistance**

Follow instructions provided with SF-424. All blocks in yellow must be filled out or the application submission will be rejected by grants.gov. In addition please note the below:

Item 2. Type of Application - **New**

Item 11. Catalog of Federal Domestic Assistance Number - **15.809. Title - National Spatial Data Infrastructure Cooperative Agreements Program**

Item 15. Descriptive Title of Applicant's Proposal - Please preface your proposal's unique title (e.g. Missouri metadata outreach) with "**2011 CAP - Category N**" where N is the specific award category 1, 2, 3, 4, 5, or 6.

Item 17. Proposed Project Start and End Dates – The start date can be anytime prior to September 30, 2011. If a date is listed below for the CAP orientation workshop it should be considered when selecting the start date. The end date needs to one year after the start date.

Item 19. Is Application Subject to Review By State Under Executive Order 12372 Process? **Select C.** Program is not covered by E.O. 12372.

### **2. SF-424A Budget Information**

Follow instructions provided with SF-424A. In addition please note the below:

Fill out Section B - Budget Categories

In Column 1 indicate cost category allocation of Federal funds.

In Column 2 indicate cost category allocation of applicant in-kind match.

Please note that detailed budget information is mandatory and goes in the Budget Breakdown Attachment that can be found in attachment C of this document. Instructions to complete and an example of this document are in **Section IV. D.** "Budget Breakdown Attachment."



### 3. SF-424B Assurances – Non-Construction Programs

Please read the form which will be pre-populated with the authorized representative information from Grants.gov at the point of submission.

#### C. Proposal Narrative

The applicant's proposal narrative is the primary evaluation document that is scored. For more information, see specific category for narrative content requirements below. Please follow the format detailed in the specific category since this will allow for equitable scoring of proposals.

#### D. Budget Breakdown Attachment

As an attachment to the proposal narrative, please provide more budget details than are required under the SF 424A form. The budget format guide included in **Attachment C** can be used to include the following information, separating the CAP funds and the in-kind match. Attachment C includes an example of a budget breakdown.

1. Salaries and Wages. List names, positions, and rate of compensation. This should only include personnel actively involved in the project. If contract employees are to be hired, include their total time, rate of compensation, job titles, and roles.
2. Fringe Benefits. Propose your rates/amounts. If rates are audit approved, include copy of the audit agreement and/or the name of the audit agency.
3. Field Expenses. Briefly itemize the estimated travel costs (i.e., destination, number of people, number of travel days, transportation costs, and other travel costs such as mileage rate and per diem).
4. Other Direct Cost Line Items. Categories may include training, labor costs, software licenses, supplies, equipment, required travel, project logistics, and fees for consultants, publications, and project presentations. This is not an inclusive list; add other categories as appropriate and see the category description for additional details. Please itemize the costs to the greatest extent possible. If including contractual services, identify proposed contractors (individual or corporate) and provide the criteria by which contractors will be, or have been selected. If purchasing equipment or supplies these need to be dedicated to the project.
5. Total Direct Charges. Totals for items 1, 2, 3, and 4. The proposal must show the in-kind match.
6. Indirect Charges (Overhead). Show proposed rate and amount. Proposals from States or universities 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.

Please note that this budget breakdown is required. An award will not be issued until all required budget information and details have been provided.

Completeness of the budget information will be considered in review, but it is understood that this information is best guess estimation; therefore, prior approval of the 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 percent (10%) of the total USGS cash award. Prior written approval is required from the Contracting Officer for transfers of funds in excess of the ten percent limitation.

### **In-Kind Resource Match**

1. Please separate this out from the Federal funding.
2. All categories require an in-kind resource match on the part of the applicant for the long-term sustainability of project outcomes. Examples of in-kind resource match are: salaries, contract support, student assistance fees, travel expenses, venue costs, software purchase, equipment dedicated to the project, computer servers hosting data, production of outreach materials, and indirect costs or overhead charges. All contributions, including cash and third party in-kind, will be accepted as part of the applicants' in-kind match when such contributions meet all of the following criteria:
  - a. Verifiable from the applicants' records,
  - b. not included as contributions for any other federally-assisted project or program,
  - c. Necessary and reasonable for proper and efficient accomplishment of project or program objectives,
  - d. Allowable under the applicable cost principles,
  - e. Not paid by the Federal Government under another award, except where authorized by Federal statute to be used for cost matching,
  - f. Provided for in the approved budget when required by the Federal awarding agency, and
  - g. Conform to the provision of the appropriate OMB Circular, as applicable.
3. Unrecovered indirect costs may be included as part of the in-kind match.
4. Volunteer services furnished by professional and technical personnel, consultants, and other skilled and unskilled labor may be counted as in-kind match if the service is an integral and necessary part of an approved NSDI Program. Rates for volunteer services shall be consistent with those paid for similar work in the applicant's organization. In those instances in which the required skills are not found in the applicant organization, rates shall be consistent with those paid for similar work in the labor market in which the applicant competes for the kind of services involved. In either case, paid fringe benefits that are reasonable, allowable, and allocable may be included in the valuation.
5. The value of geospatial data holdings is not considered appropriate for in-kind matches for any of the award categories.

6. Match calculation: For example, with a request for an award of \$5,000 of Federal assistance, a 50% in-kind match contribution by the applicant would be \$2,500 in value for a total of \$7,500 value committed to the project (\$5,000 and \$2,500 Federal and applicant, respectively).
7. The applicant must document the amount and type of in-kind resource that will be contributed to the fulfillment of the project and include this information in the detail budget breakdown.
8. See award category for specific in-kind match information.

**E. Additional Mandatory Documents**

Please read the category description for information about required and optional documents. Letters of support or commitment are greatly encouraged. Letters with signatures should be scanned and attached to the proposal narrative. If this is not possible, letters should be mailed or faxed to the NSDI CAP Coordinator, MS 590 National Center, Reston, VA 20192, Fax number: 703-648-5755.

**F. Additional Help**

Additional information for completing the proposal submittal is available via the FGDC Training site, <http://www.fgdc.gov/training/training-materials>.

**V. Application Review**

**A. Review and Selection Process**

Applications are considered based on the completeness of documentation, meeting of stated basic eligibility, and in-kind match and other category requirements. Specific evaluation factors are identified in the category descriptions below. Budget information is evaluated for reasonableness and appropriateness to the CAP program as well as to applicant project goals.

In addition to the above criteria, the factors of geographic and organizational diversity, as well as reaching new organizations and new geographic regions, may be taken into consideration in selecting awards. Please see the award category descriptions below for more details.

Proposals are reviewed by a peer group of professionals that are knowledgeable in the geospatial and information technology disciplines in the context of the NSDI. Individual proposals are evaluated and scored using the narrative evaluation factors. Through peer consensus process, proposals are ranked according to merit. The slate of selected proposals will be submitted to the senior leadership of FGDC Secretariat for final approval. The senior leadership will consult with the FGDC Coordination Group, as appropriate, in approving and advertising final selections.

**VI. Award Administration Information**

**A. Notice of Selection and Award**

The contact person listed on the first page of the SF-424 will be notified via postal mail whether or not a proposal was selected for award. The letter will come from the NSDI CAP Coordinator. If the proposal was not selected, the letter will include an explanation. The category lead may follow up with a phone call and/or email. The formal authorizing notice of award will come from the USGS Grants Specialists in the form of the Assistance Award document. This document contains the project start and end dates, the award amount, and all the administrative details for the project. When this is received the project can commence.

Project summaries for each awarded proposal will be posted on the FGDC Web site, <http://www.fgdc.gov/grants>.

**B. Administrative Project Requirements**

**1. Reporting and Presentations**

a. The following reports will be required from all award recipients:

<b>Report</b>	<b>Due Dates</b>
Interim Project Report	6 months after the start of the project
Final Project Report	On or before 90 working days after the expiration of the agreement
Quarterly Federal Financial Report	On or before 30 working days after the end of each three-month performance period
Final Federal Financial Report	On or before 90 working days after the expiration of the agreement

b. The specific content for the technical reports can be found in the Report Format attachments:

- Attachment D - Category 1: Metadata Trainer and Outreach Report Format
- Attachment E - Category 2: FGDC-endorsed Standards Implementation Training and Outreach
- Attachment F - Category 3: Fifty States Initiative: Strategic and Business Plan Development
- Attachment G - Category 4: Fifty States Initiative: Business Plan Development and Implementation
- Attachment H – Category 5: Return on Investment (ROI) Methodology and Business Case Development for Multi-agency NSDI Projects
- Attachment I – Category 6: FGDC Standards Development Assistance

Interim and final project reports will be posted on the FGDC Web site, <http://www.fgdc.gov/grants>.

c. Details about the required financial reports for awarded projects can be found in Attachment B.

d. Project Presentation and Outreach

To spread and promote knowledge of the NSDI, CAP participants are requested to make formal presentation of their activities. Presentation can be at a local, State, regional, national conference or meeting. The applicant is requested, if necessary, to budget sufficient funds to travel to the meeting or conference. An alternative is to publish a paper or article in a professional journal or newsletter. Other outreach activities could include coordination with other NSDI Stakeholders.

**2. Participation in CAP Orientation**

Orientation, also known as kick-off, is an opportunity for project leaders, CAP category leads and others to plan and share information. See specific category for information on the orientation meeting. Be sure to budget travel funds and plan for attendance.

Category	Location	Date
1. Metadata Trainer and Outreach Assistance	Denver Federal Center or Web conference	Spring 2011
2. FGDC-endorsed Standards Implementation Training and Outreach	Web conference	Spring 2011
3. Fifty States Initiative: Strategic and Business Plan Development	NSGIC Mid-Year Meeting Annapolis, Maryland	February 27, 2011
4. Fifty States Initiative: Business Plan Development and Implementation	NSGIC Mid-Year Meeting Annapolis, Maryland	February 27, 2011
5. Return on Investment (ROI) Methodology and Business Case Development for Multi-agency NSDI Projects	Possible locations are Reston, Virginia; or Denver, Colorado. (exact date and location to be determined after the awards are made)	Two Day Workshop, Spring 2011
6. FGDC Standards Development Assistance	Web conference	Spring 2011

**3. General Provisions and Terms and Conditions for USGS Awarded Cooperative Agreements**

Please refer to Attachment A for general provisions and Attachment B for the detailed terms and conditions for awarded cooperative agreements. Attachment A includes the OMB circulars/regulations that apply to this cooperative agreement program.

**4. Additional Information**

Award recipients are responsible for managing the day-to-day operations of the cooperative agreements and sub-award supported activities to assure compliance with applicable Federal requirements and that performance goals are being achieved. Recipient monitoring must cover each program, function, or activity.

The cooperative agreement is awarded to the institution and not the principal investigator (project leader). If the primary investigator leaves the awarded institution the new investigator must come from the same institution.

## **VII. Agency Contacts**

### **A. Grants.gov**

For technical questions concerning the application process at Grants.gov, please contact:

Grants.gov Help Desk at:  
Phone: 1-800-518-GRANTS  
Email: [support@grants.gov](mailto:support@grants.gov)

USGS Grants.gov contact:  
Laura Mahoney  
(703) 648-7344 Phone  
(703) 648-7901 Fax  
Email: [lmahoney@usgs.gov](mailto:lmahoney@usgs.gov)

### **B. Program Announcement**

Applicants are strongly urged to submit program announcement related questions via email to:

Ms. Desiree Santa, Grant Specialist  
U.S. Geological Survey, Office Acquisitions and Grants  
12201 Sunrise Valley Drive, MS 205  
Reston, VA 20192  
Phone: 703-648-7382  
Email: [dsanta@usgs.gov](mailto:dsanta@usgs.gov)

### **C. NSDI CAP Program**

For technical questions concerning the content, goals, and objectives of the CAP program categories, please contact:

Ms. Gita Urban-Mathieux, NSDI CAP Coordinator  
Federal Geographic Data Committee (FGDC), U.S. Geological Survey  
12201 Sunrise Valley Drive, MS 590  
Reston, Virginia 20192  
Phone: 703-648-5175  
Fax: 703-648-5755  
Email: [burbanma@fgdc.gov](mailto:burbanma@fgdc.gov)

### **D. Category Leads**

For technical questions concerning the content, goals, and objectives particular categories, please contact via email:

## Introduction and General Information

Category 1: Metadata Trainer and Outreach Assistance

Ms. Sharon Shin, [sshin@usgs.gov](mailto:sshin@usgs.gov)

Category 2: FGDC-endorsed Standards Implementation Training and Outreach

Ms. Julie Binder Maitra, [jmaitra@fgdc.gov](mailto:jmaitra@fgdc.gov)

Category 3: Fifty States Initiative: Strategic and Business Plan Development

Mr. Milo Robinson, [mrobinson@fgdc.gov](mailto:mrobinson@fgdc.gov)

Category 4: Fifty States Initiative: Business Plan Development and Implementation

Mr. Milo Robinson, [mrobinson@fgdc.gov](mailto:mrobinson@fgdc.gov)

Category 5: Return on Investment (ROI) Methodology and Business Case Development  
for Multi-agency NSDI Projects

Mr. Milo Robinson, [mrobinson@fgdc.gov](mailto:mrobinson@fgdc.gov)

Category 6: FGDC Standards Development Assistance

Ms. Julie Binder Maitra, [jmaitra@fgdc.gov](mailto:jmaitra@fgdc.gov)

## **2011 NSDI CAP Category 1: Metadata Trainer and Outreach Assistance**

### **A. Background**

Geospatial information applications have become commonplace in the management, planning, and use of land resources. Good data management practices allow datasets created for one project to be used by another through documentation of critical information of a dataset. Documentation of this information allows one to confidently reuse existing data. However, due to unawareness or other limitations, many organizations often do not record the dataset characteristics, developmental processes, or simply the data's repository. Dataset characteristics, documented in a structured form to allow effective information search and discovery, is called metadata. Implementing metadata as a program enables organizations to effectively manage data resources and to experience cost savings by eliminating repetitive data creation.

The FGDC calls upon the metadata community, through this CAP, to assist other organizations or administrative units in implementing metadata as an internal data resource management instrument and sharing data resources in support of the NSDI. This category recruits proposals to assist rural, local, regional, and State organizations to obtain metadata training, metadata publishing assistance, and the implementation of metadata programs.

### **B. Project Goals**

This category provides funding to organizations skilled in metadata implementation and willing to assist other organizations or administrative units. Two avenues are sought in this category. First, by providing metadata training, metadata creation assistance, and metadata program implementation and support. Metadata support may include Web 2.0 applications social networks such as a wiki and social bookmarking or mash-ups to make resources on FGDC.gov more available to the community. Secondly, this category endeavors to enhance metadata training in academia through instructional developments based on the University Consortium for Geographic Information and Technology's "Body of Knowledge."

Outcomes from this category also focus on establishing a sustained resource as metadata advocates: to inventory and document data (metadata), support data sharing and ultimately participate in the NSDI, provide better access to resources on the metadata sections of the FGDC.gov Web site, and to implement metadata programs in their respective organizations or agencies. Recipients in the training specific portion of this category are asked to extend their training services outside of proposal partners at the recipient's regularly scheduled and located workshops.

The 2011 NSDI CAP Category 1 program, in addition to State, local, Tribal, academia training, targets training for managerial organizations such as the National League of Cities, National Association of Counties, and other such audiences for metadata outreach and training. Additionally, trainers in this category shall register on the NSDI Trainer Registry and contribute to the FGDC's distributed training network. The trainer may limit their geographic and administrative scope to meet restrictions of their employer.



Training under this program must contain the FGDC Metadata Core Curriculum found at: <http://www.fgdc.gov/training/metadata-curriculum>. The Core Curriculum provides general topic areas for specific durations for training. The learning objectives for the core content are requirements for metadata creator and manager workshops with managers receiving shorter overarching content while metadata creators more content detail. The curriculum is the foundation of metadata training and may be augmented by subjects proposed by the proposer. The awardee will submit a workshop outline and workshop learning objectives in the workshop planning phase for category technical lead approval. Learning objectives are found on the Core FGDC Metadata Curriculum Web page.

Training modules developed under this agreement shall be made available via the internet. For those who choose to serve their modules through [www.fgdc.gov](http://www.fgdc.gov), the modules shall be supplied, to the coordinator, in Microsoft PowerPoint and include learning goals and objectives and be 508 Compliant. Modules on [www.fgdc.gov](http://www.fgdc.gov) may be selected for conversion to be delivered via the FGDC's E-learning server. Guidance is provided in 'NSDI-related Training Materials Development: Recommendations and Resources for Stakeholder Subject Matter Experts' document located at: (<http://www.fgdc.gov/training/training-materials>). Modules served through the applicant's Web site will provide the URLs to linking to the FGDC.gov.

These sites are recommended for help in developing learning goal and objectives:  
[http://www.aacsb.edu/resource\\_centers/assessment/ov-process-define.asp](http://www.aacsb.edu/resource_centers/assessment/ov-process-define.asp)  
<http://ets.tlt.psu.edu/learningdesign/objectives>  
[http://tilt.colostate.edu/guides/tilt\\_coursedevelopment/printable\\_guide.pdf](http://tilt.colostate.edu/guides/tilt_coursedevelopment/printable_guide.pdf)

For 508 Compliance see:

<http://www.section508.gov/index.cfm?FuseAction=Content&ID=12>

Click on: Subpart B. 1194.22 Web-based intranet and internet information and applications: 16 rules (or see

<http://www.section508.gov/docs/Section%20508%20Standards%20Guide.pdf>).

### **C. Project Results**

Projects results or outcomes sought under this category include:

1. Individuals and organizations trained and competent in creating FGDC compliant metadata.
2. If training metadata creators, training content must have content at the half-day to two or more day content, see <http://www.fgdc.gov/training/metadata-curriculum>.
3. If training metadata creators, resultant completed metadata must have passed the parser and must be posted to a NSDI clearinghouse or otherwise made available to geodata.gov
4. All FGDC Web hosted Web 2.0 applications will be developed in open-source and approved by the FGDC Web Administrator.
3. Managerial audience metadata training content must have content at the one hour duration, see <http://www.fgdc.gov/training/metadata-curriculum>,

4. When dealing with organizations for metadata training delivery, memorandums of understanding, and the like, must be entered to sustain metadata relationships beyond the performance period.
5. Registration of trainers in the NSDI Trainer Registry to provide for greater metadata training opportunities.

Reporting requirements are listed below.

#### **D. Applicant Eligibility**

State or local government, academia, private sector, non-profit, and Tribal organizations, as well as consortia of organizations, may apply. Institutions that have received NSDI CAP Metadata Trainer and Outreach Assistance awards within the past three years are **not** eligible to receive a 2011 NSDI CAP award in this category.

Proposals sought under this category are by organizations skilled and resourceful in implementing applicable standards.

#### **E. Funding Amount and In-Kind Match**

##### 1. Federal Assistance

Up to \$25,000 will be obligated to individual projects under this category.

##### 2. Applicant In-Kind Resource Match

A minimum 50% match is required. Contribution of matching personnel hours or funding, supplied development hardware and software are considered in-kind match. The value of data will not be considered as in-kind match. Other Federal grant funds cannot be used for matching. Applicant shall document the amount and type of in-kind resource that will be contributed to the fulfillment of the project goals. See **Section IV.D.** more details and for in-kind match calculation.

#### **F. Funded Activities**

1. Funded tasks and items providing training and outreach to the proposer's and other organizations or administrative units may include the only the following:
  - a) Workshop preplanning including development of outline, learning objectives, modifying or developing new lessons, and workshop logistics, etc.
  - b) Training sessions and workshops (travel, facilities, reproduction costs, equipment, supplies, etc.),
  - c) Web 2.0 application development costs,
  - d) Clearinghouse service for resulting metadata,
  - e) Reasonable expenses for hardware and software that are dedicated to the project and its sustainability,
  - f) Labor costs to create and serve metadata for other organizations or administrative units,
  - g) Travel and associated costs (i.e. supplies used to perform the training) to provide metadata training and outreach,
  - h) Development of Kick-off presentation,

- i) Project Results reported in the interim and final reports, FGDC Calendar postings, and training evaluation survey,
- j) Participation in CAP Kick-off Workshop (up to \$1,000) as specified in item 2 below, and
- k) Travel expenses and registration at conference or meeting as specified in 3.

2. Participation in CAP Kick-off Workshop. Consensus among the recipients will determine if a kick-off meeting is convened in Denver, Colorado or alternately the recipients can meet electronically. If a kick-off meeting is desired a portion of the award can be used to travel to Denver. The workshop, whether in person or electronically, will review the agreement process and new developments in metadata. Each awardee will give a brief presentation on the project and the presentation will be posted to the FGDC.gov Web site. If web conferencing is selected by the awardees as the method for the Kick-off Workshop then the costs designated for travel is rolled into others area(s) of the proposal, with the approval of the NSDI CAP Coordinator.

3. Project Presentations. Project presentations extend and promote knowledge of the NSDI and the valuable work of the awardee. Participants are requested to make formal presentations of their activities at a local, State, regional, national conference or meeting. The applicant is requested to budget sufficient funds to travel to the meeting or conference. An alternative is to publish a paper or article in a professional journal or newsletter.

#### **G. Partnership and Collaboration Requirements**

Partnerships with other organizations or other administrative units to leverage resources are encouraged but not required under this category. Partnerships, both formal and informal, among organizations are seen as primary building blocks for the NSDI.

Those proposals demonstrating support and/or collaboration with State or regional spatial data strategic plans or councils are evaluated accordingly in this category.

#### **H. Applicable Standards**

Projects shall be in compliance, as applicable, with geographic information standards developed and endorsed by standard-setting bodies including the FGDC, ISO, and the Open GIS Consortium. These standards include:

- 1) FGDC Content Standard for Digital Geospatial Metadata, Version 2 (CSDGM), FGDC-STD-001-1998 or the North American Profile of ISO 19115:2003, Geospatial Information Metadata (available at: <http://webstore.ansi.org/RecordDetail.aspx?sku=INCITS+453-2009>) or using the ISO/TS 19139:2008, Geographic information -- Metadata -- XML schema implementation (available at <http://webstore.ansi.org/RecordDetail.aspx?sku=AS%2fNZS+ISO+19139%3a2008>).
- 2) Metadata Service Guidelines. Metadata shall be posted to one of the following options:

- a) Registered Z39.50 Clearinghouse server,
  - b) Open Archives Initiative Protocol for Metadata Harvesting (OAI-PMH) provider software,
  - c) FGDC Browse-enabled Web Directory, where metadata is in XML and harvested through the Geospatial One-Stop Portal at <http://www.geodata.gov>.
- 3) GI S&T Body of Knowledge – GD 12 Metadata  
<http://www.ucgis.org/priorities/education/modelcurriculumproject.asp>

**I. Category Lead technical contact**

Ms. Sharon Shin, Metadata Coordinator, email: [sshin@usgs.gov](mailto:sshin@usgs.gov).

**J. Project Resources and FGDC Involvement Statement**

The FGDC Metadata Web site (<http://www.fgdc.gov/metadata>) provides links to resources assisting workshop development at various content levels and durations. Using the FGDC Metadata Core Curriculum enables course development that meets FGDC training standards, <http://www.fgdc.gov/training/metadata-curriculum>

Lessons prepared for this agreement will include learning goals and objectives and will be 508 Compliant.

These sites are recommended for help in developing learning goal and objectives:  
<http://www.aacsb.edu/publications/papers/accreditation/assurance-of-learning.pdf>  
<http://ets.tlt.psu.edu/learningdesign/objectives>  
[http://tilt.colostate.edu/guides/tilt\\_coursedevelopment/printable\\_guide.pdf](http://tilt.colostate.edu/guides/tilt_coursedevelopment/printable_guide.pdf)

For 508 Compliance see:

<http://www.section508.gov/index.cfm?FuseAction=Content&ID=12>

Subpart B. 1194.22 Web-based intranet and internet information and applications:  
16 rules (or see

<http://www.section508.gov/docs/Section%20508%20Standards%20Guide.pdf>).

The University Consortium for Geographic Information Science’s Geographic Information Science and Technology Body of Knowledge is found through:

<http://www.ucgis.org/priorities/education/modelcurriculumproject.asp>

If the project is local, regional, or State centric, then the appropriate USGS State Geospatial Liaison should to be informed of the prospect of NSDI supported training in their State. This requirement is two pronged, first is to keep the Liaison informed and second is use the Liaison as a marketing tool for the workshops. A list of Liaisons can be found at <http://liaisons.usgs.gov/geospatial/#nogo>.

If the project is national in nature, the proposal will address how the project will be marketed.

Other metadata resources may be found at:

<http://www.fgdc.gov/metadata>  
<http://www.fgdc.gov/training/training-materials>

The FGDC will collaborate closely with the recipients to enable them to meet the goals stated in their respective proposals. The FGDC provides logistical and programmatic support to the extent FGDC resources allow. The FGDC provides, if needed, guidance and assistance enabling the recipients to provide electronic access, clearinghouse or access to Geodata.gov or similar resources, to the metadata resulting for this category's activities. The FGDC will conduct a needs assessment to determine the best available date and content for the 2011 CAP Kick-off Workshop at an agreed site and time. If possible a person from the FGDC will attend the first workshop carried out through this agreement. The purpose of this trip is to share training expertise with the recipient. The FGDC will conduct progress calls, intermediate to the interim and final reports, with the recipients. The FGDC will promote the outcomes of the awards through communication channels including the FGDC Web site.

### **K. Reporting**

1. The category technical lead will confer with CAP awardees to discuss project progress and other issues related to Category 1 projects. The awardee will participate in the FGDC Metadata Work Group meetings and teleconferences and provide a brief update on project status. The awardee will submit a workshop outline and workshop learning objectives during the workshop planning phase.
2. An interim project report and a final project report are required and will be posted on the FGDC Web site, <http://www.fgdc.gov/grants>.
  - a) For content and format see Attachment D - Category 1: Metadata Training and Outreach Project Report Format.
  - b) For the submission schedule see **Section VI.B. Administrative Project Requirements** in the Introduction.
3. Financial reports are required, see **Section VI.B. Administrative Project Requirements** in the Introduction for more details.
4. Information about workshops prior to their occurrence should be posted to the FGDC Calendar, <http://www.fgdc.gov/calendar>.
5. Reports on workshop events are required as part of the interim or final report. The following information should be included in the report:
  - a) Date of the workshop
  - b) Event – name of the venue hosting the workshop (e.g. Conference name),
  - c) Location of the workshop
  - d) Title of the workshop
  - e) Names of the customers by: Federal bureau name, State agency name, university/college and department name, etc.
  - f) Number of attendees

- g) The NSDI training evaluation form is available at <http://www.fgdc.gov/training>. The first four questions are required.
- h) Letters of recognition for the workshop to the awardee, publication articles regarding the workshop, external endorsement for the workshop

### **L. Proposal Narrative**

The proposal narrative is the document that will be evaluated and scored by the review panel. Total point value of 100 points possible. All proposals should be no more than 3000 words (about 5 pages using Times New Roman 12 point) not including letters of support, tables, maps, and diagrams. See below for required supporting documents.

The submitted proposal, proposal narrative and supporting documents, will be reviewed and evaluated for this category. No additional information will be asked of the proposal authors.

#### (0) Proposal Summary—Mandatory (0) points

Please provide information on the following items, as appropriate. Proposals without a complete summary may be disqualified.

- a) Project title
- b) Applicant organization (name, office/branch, street address, city, State, zip)
- c) Collaborating organizations (organization, address)
- d) Name of trainer or trainer's organization
- e) Organization Internet address
- f) Registered Clearinghouse node or Web folder IP address
- g) Primary investigator (name, telephone, fax, email)
- h) Other contact personnel (name, telephone, fax, email)
- i) Geographic scope or area
- j) Previous CAP participation (awarded or submitted but not awarded)
- k) A short stand alone description of the project (limit to 250 words). Note this stand alone description for each awarded proposal will be posted on the FGDC Web site.

#### (1) Project Scope – Project Description (25 points)

Describe project, its steps, and partners/participants. To demonstrate how well the proposal authors understand the premises of the NSDI, describe how the project contributes to the NSDI, and conforms to the metadata standard. The project must be well thought out in regards to process, method, and approach. If the applicant chooses to focus on the Body of Knowledge, BOK, the applicant must demonstrate detailed knowledge of the BOK.

Because of the “outreach” nature of this project, the project must support the metadata needs of a broad audience and directly help organizations other than the applicant's. The proposal must state why metadata training is a need for the community served. List organizations, administrative units or target organizations/communities served in the project. The proposal's training manager shall have an existing relationship to more than one of these organizations as a means to establish a target audience. Describe how the project supports and/or collaborates with State or regional spatial data strategic plans or

councils. If this proposal serves an underserved community, identify the community served and why it is underserved.

Partnerships are a key component of the NSDI, so the applicant must state the partnership nature of the proposal.

The project scope, with existing partners, must be completed in 12 months and with the funding allocated. The applicant must state standard implementation challenges and describe how the project will overcome the stated barriers. An analysis of the scope of work against the requested funding will be evaluated.

An overall statement to the commitment of standards and the use of the FGDC Metadata curriculum is required.

As a final requirement of scope, the materials or implementation support resulting from the project must be posted to the applicant's Web site or linkable to the FGDC Metadata Web site.

(2) Technical approach (25 points)

Outline the steps, methodologies and resources to be utilized in implementing the project. This includes facility type, equipment and supplies supporting the training. Indicate the training approach: lecture, lecture with exercises, or lecture with metadata creation tool. When in classroom or electronic training, indicate all pre and post-workshop activities performed to measure learning, if any. Describe how course and instructor evaluations will be conducted. Include statement on the adoption of FGDC Metadata Core Curriculum for training content. All FGDC.gov hosted materials will contain learning goals and objectives and be 508 Compliant, see Section J.

Proposals will be evaluated on the degree to which applicants comprehend the tasks and procedures necessary to accomplish project objectives. The proposal will be evaluated on the training plan: logistics, scheduling, and established contacts to market to populate workshops. A metadata repository, NSDI Clearinghouse, GeoData.gov (GOS), or partnered access to a repository must be stated in the proposal. Hands-on training must specify metadata training application/tool. Training must be appropriate, see FGDC Metadata Core Curriculum, to role (suggestions follow: Managers= lecture or lecture with exercises with a minimum duration of one hour, Creator= lecture with exercises at minimum/ metadata application/tool optimal with a recommended duration of one-half to more than two days. The logistical arrangements for equipment must be stated (computers and software are generally excluded as allowable expenses). Innovative or special techniques allow the proposal to be viewed as exceptional.

(3) Project Experience (25 points)

Describe metadata experience, whether metadata creation, metadata training, or metadata administrator which would lead to a successful proposal. Identify metadata trainer or training organization resource. The metadata trainer or trainer's organization must be identified with explanation of the trainer's special metadata qualifications and skills.

ESRI Certified Trainer does not qualify for competence as a metadata trainer. Please specify if the applicant is prior CAP Category 1 awardee and award year.

Evaluation will be based on how completely and fully the narrative addresses experience, and special metadata qualifications and skills possessed for successful completion of the proposed project by the end of the performance period. Note that institutions that have received NSDI CAP Metadata Training and Outreach Assistance awards within the past three years are not eligible to receive a 2011 NSDI CAP award in this category.

(4) Commitment to Effort (20 points) (Please refer to **Section IV.E.** in the Introduction for further information.)

For nationally focused classroom or electronic training: memoranda of Understanding and/or letters of commitment from partners should be attached. When training national associations, a letter recognizing the project and establishing a working relationship with the associations is required.

For classroom or electronic training for State or local applicants: Evaluation will be based on the ability to demonstrate that the project is participating in or supporting State or regional geospatial infrastructure strategies and plans. Applicants are sought who demonstrate the project is participating in or supporting State or regional geospatial infrastructure strategies and plans. The proposal should demonstrate the support of State or regional GIS infrastructure objectives in coordination with State or regional GIS coordination groups or plans. A letter of support from the State, regional, or local geographic information council or GIS coordinator is required. If the proposal is not from a State or local government then a letter of support from the data or metadata coordinator is required. Letter notifying the USGS State Geospatial Liaison of the proposal is required for less than national projects

For Body of Knowledge training material development: Letter from the applicant to the University Consortium for Geographic Information Science announcing the proposal and the proposal's intent is required. Describe the extent to which the instructional materials will be distributed and announced.

For all applicants: Describe the extent to which project results will continue or be sustained after the performance period, e.g. metadata creation resource established, metadata policy implementation, internal training implementation, establishment of a help desk/ FAQ/post-workshop/ identified metadata support or training support, Web presence or other sustainable measures.

(5) Budget Breakdown (maximum 5 points)

Please provide a detailed budget breakdown for the project as an attachment to the proposal narrative. Include the following categories of information, separating the CAP funds from the in-kind match, which includes:

- Salaries and Wages
- Fringe Benefits



- Field Expenses
- Other Direct Cost Line Items
- Total Direct Charges
- Indirect Charges (Overhead)

Please refer to **Section IV.D.** in the Introduction and **Attachment C** for complete information. Please note that this budget breakdown is needed in addition to the SF-424A Budget Information Non-Construction Programs that is part of the Grants.gov application.

## **2011 NSDI CAP Category 2: FGDC-endorsed Standards Implementation Training and Outreach**

### **A. Background**

Office of Management and Budget (OMB) Circular A-16 Revised, August 19, 2002 (hereafter called OMB Circular A-16) provides direction for Federal agencies that produce, maintain or use spatial data. OMB Circular A-16 establishes a coordinated approach to develop the National Spatial Data Infrastructure (NSDI) and establishes the Federal Geographic Data Committee (FGDC). The components of the NSDI are data themes, metadata, the National Spatial Data Clearinghouse, standards, and partnerships.

Standards facilitate the development, sharing, and use of geospatial data. According to OMB Circular A-16,

A coordinated approach for developing spatial data standards that apply to collecting, maintaining, distributing, using, and preservation of data will improve the quality of Federal spatial data and reduce the cost of derivative products created by Federal and non-federal users. Applications using spatial data that adhere to FGDC standards enable cost effective public and private policy development, management, and operations.

The FGDC develops geospatial data standards for implementing the National Spatial Data Infrastructure (NSDI), in consultation and cooperation with State, local, and Tribal governments, the private sector and academic community, and, to the extent feasible, the international community.

Federal agencies are to ensure that all expenditures for spatial data, financed directly or indirectly, in whole or in part, by Federal funds comply with FGDC standards.

### **B. Project Goals**

For FGDC-endorsed standards, there are few, if any, resources or materials that can be used to guide users in implementation. Without materials or resources that provide best practices and provide experienced advice and new techniques, an implementing organization has a steep learning curve. The goal of the category is to facilitate implementation of an FGDC-endorsed standard in user communities.

This category will provide funding to organizations to assist in the implementation of FGDC-endorsed standards (see <http://www.fgdc.gov/standards/projects/FGDC-standards-projects/fgdc-endorsed-standards>) *other* than those for metadata (see Category 1 above) or the Standard for a U.S. National Grid, FGDC-STD-011-2001. In recent years, the FGDC has funded several CAP projects on implementing the Standard for a U.S. National Grid.

Outcomes from this category focus on establishing a sustained resource of standards advocates who support data sharing and ultimately participate in the NSDI and implement standards programs in their respective organizations or agencies.

### **C. Project Results**

The projects in this category should result with individuals and/or organizations that are trained and competent in an FGDC-endorsed standard.

The deliverables might include, but are not limited to, one or more of the following:

- Implementation guides for an FGDC-endorsed standard
- Implementation strategies and/or components (e.g., Web sites, databases, and operating procedures) that facilitate implementation of an FGDC-endorsed standard
- Training and/or outreach materials to promote use of the FGDC-endorsed standard (hardcopy and Web based) that may be presented at workshops and training sessions

Training materials developed under this agreement shall be freely available, without restriction, over the Internet. For those who choose to serve their modules through [www.fgdc.gov](http://www.fgdc.gov), the modules shall be supplied, to the NSDI CAP coordinator, in Microsoft PowerPoint and include learning goals and objectives and be 508 Compliant. Modules on [www.fgdc.gov](http://www.fgdc.gov) may be selected for conversion to be delivered via the FGDC's E-learning server. Refer to Section J. Project Resources and FGDC Involvement Statement for more information for resources for learning objectives and 508 compliance.

If workshops will be delivered as part of the project, the awardee will submit a workshop outline and workshop learning objectives in the planning phase for the approval by the category technical lead. Trainers should be registered in the NSDI Trainer Registry to provide for greater training opportunities.

All FGDC Web hosted Web 2.0 applications will be developed in open-source and approved by the FGDC Web Administrator.

### **D. Applicant Eligibility**

State or local government, academia, private sector, non-profit, and Tribal organizations, as well as consortia of organizations, may apply. Institutions that have received NSDI CAP Category 6: FGDC Standards Development and Implementation Assistance and Outreach assistance awards within the past three years are not eligible to receive a 2011 NSDI CAP award in this category.

Proposals sought under this category are by organizations skilled and resourceful in implementing applicable standards.

### **E. Funding Amount and In-Kind Match**

(1) Federal assistance

Up to \$25,000 will be obligated to individual projects under this category.

(2) In-Kind Resource Match

A minimum 50% match is required. Contribution of matching personnel hours or funding, supplied development hardware and software, or other in-kind resources will be

considered. The value of data will not be considered as in-kind match. Other Federal grant funds cannot be used for matching. The applicant shall document the amount and type of in-kind resource that will be contributed to the fulfillment of the project goals. See **Section IV.D.** in the Introduction for more details and for in-kind match calculation.

### **F. Funded Activities**

1. Funded tasks and items providing training and outreach to proposer's and other organizations or administrative units may include the following:
  - a) Workshop preplanning including development of outline, learning objectives, modifying or developing new lessons, and workshop logistics, etc.
  - b) Training sessions and workshops (travel, facilities, reproduction costs, equipment, supplies, etc.)
  - c) Development of Web sites that facilitate implementation of a standard,
  - d) Development of training materials, implementation guides, or other materials that support implementation of a standard,
  - e) Reasonable expenses for hardware and software that are dedicated to the project and its sustainability (Data collection will NOT be funded through this announcement),
  - f) Travel and associated costs (i.e. supplies used to perform the training) to provide training and outreach,
  - g) Development of Kick-off meeting presentation,
  - h) Project Results reported in Reports: interim and final reports (Attachment I), FGDC Calendar postings, and training evaluation survey, and
  - i) Travel expenses and registration at conference or meeting as specified in 2.
  
2. Project Presentations. Project presentations extend and promote knowledge of the NSDI and the valuable work of the awardee. Participants are requested to make formal presentations of their activities at a local, State, Tribal, regional, national conference or meeting. The applicant is requested to budget sufficient funds to travel to the meeting or conference. An alternative is to publish a paper or article in a professional journal or newsletter.

### **G. Partnership and Collaboration Requirement**

Partnerships with the subject matter experts within a maintenance authority for an FGDC-endorsed standard are required for this category. **Evidence of partnership with shall be provided by a letter of commitment from the subject matter experts.** The FGDC Secretariat will assist the applicant in locating subject matter experts.

Partnerships with other organizations to leverage resources are encouraged under this category. Partnerships, both formal and informal, among organizations are seen as primary building blocks for the NSDI.

If the geographic scope of this project is at the State, Tribal, regional, or local level, applicants shall obtain a letter of support from the State GIS Coordinator or similar authority. Notification of application with the USGS State Geospatial Liaison for your State (also known as State Liaison) is required: to identify your USGS State Geospatial

Liaison, visit <http://liaisons.usgs.gov/geospatial/#nogo>. This requirement is two pronged, first to keep the Liaison informed and second to use the Liaison as a marketing tool for the workshops, if providing training.

If the focus of the project is national, it is recommended that the applicant inform the USGS State Geospatial Liaison, State GIS Coordinator, or other authority in his/her State about the project proposal.

#### **H. Applicable Standards**

Projects shall be in compliance with the selected FGDC-endorsed standard – refer to <http://www.fgdc.gov/standards/projects/FGDC-standards-projects/fgdc-endorsed-standards>.

Applicants should have a working knowledge of standards developed through FGDC and geographic information standards developed through voluntary consensus standards bodies including, but not limited to, ISO Technical Committee 211, Geographic information/Geomatics, InterNational Committee for Information Technology Standard (INCITS) Technical Committee L1, Geographic information systems, and the Open Geospatial Consortium (OGC). If the standard references or is related to other standards, the project shall be in compliance with the referenced or related standards.

#### **I. Category Lead technical contact**

Ms. Julie Binder Maitra, Standards Coordinator, [jmaitra@fdgc.gov](mailto:jmaitra@fdgc.gov).

#### **J. Project Resources and FGDC Involvement Statement**

The FGDC Standards Web site provides links to FGDC-endorsed standards.

Refer to <http://www.fgdc.gov/standards/projects/FGDC-standards-projects/fgdc-endorsed-standards>.

Applicants are advised to visit the FGDC training pages <http://www.fgdc.gov/training/training-materials> to confirm that they are not developing materials very similar to those that have already been developed and published.

For those who choose to serve training modules through [www.fgdc.gov](http://www.fgdc.gov), the modules shall be supplied in Microsoft PowerPoint and include learning goals and objectives and be 508 Compliant. Modules on [www.fgdc.gov](http://www.fgdc.gov) may be selected for conversion to be delivered via the FGDC's E-learning server. Guidance is provided in 'NSDI-related Training Materials Development: Recommendations and Resources for Stakeholder Subject Matter Experts' document located at: (<http://www.fgdc.gov/training/training-materials>). Modules served through the applicant's Web site will provide the URLs for linking to the FGDC.gov Web site.

These sites are recommended for help in developing learning goals and objectives:

<http://www.aacsb.edu/publications/papers/accreditation/assurance-of-learning.pdf>

<http://ets.tlt.psu.edu/learningdesign/objectives>

[http://tilt.colostate.edu/guides/tilt\\_coursedevelopment/vision.cfm](http://tilt.colostate.edu/guides/tilt_coursedevelopment/vision.cfm)

For 508 Compliance see:

<http://www.section508.gov/index.cfm?FuseAction=Content&ID=12>

Select the link for Subpart B. 1194.22 Web-based intranet and internet information and applications: 16 rules (or see

<http://www.section508.gov/docs/Section%20508%20Standards%20Guide.pdf>).

The FGDC will collaborate closely with the recipients to enable them to meet the goals stated in their respective proposals. The FGDC will provide logistical and programmatic support to the extent FGDC resources allow. The FGDC will conduct progress calls, intermediate to the interim and final reports, with the recipients. The FGDC will promote the outcomes of the awards through communication channels including the FGDC Web site.

### **K. Reporting**

1. The category technical lead will confer with CAP awardees to discuss project progress and other issues related to Category 2 projects. The awardee will participate in the FGDC Standards Work Group meetings and teleconferences and provide a brief update on project status. The awardee will submit a workshop outline and workshop learning objectives during the workshop planning phase.
2. Interim and final project reports are required and will be posted on the FGDC Web site, <http://www.fgdc.gov/grants>.
  - a. For the submission schedule see **Section VI.B. Administrative Project Requirements** in the Introduction.
  - b. For content and format see Attachment E - Category 2: FGDC Standards Development and Implementation Assistance and Outreach Project Interim and Final Report Format
3. Financial reports are required; see **Section VI.B. Administrative Project Requirements** in the Introduction for further details.
4. Information about workshops prior to occurrence should be posted to the FGDC Calendar, <http://www.fgdc.gov/calendar>.
5. Reports on workshop events are required as part of the interim or final report, if the project will involve workshops. The following information that should be included in the report:
  - a) Date of the workshop
  - b) Event – name of the venue hosting the workshop (e.g. conference name)
  - c) Location of the workshop
  - d) Title of the workshop
  - e) Names of the customers by: Federal bureau name, State agency name, university/college and department name, etc.
  - f) Number of attendees

- g) The NSDI training evaluation form is available at <http://www.fgdc.gov/training>. The first four questions are required.
- h) Letters of recognition for the workshop to the awardee, publication articles regarding the workshop, external endorsement for the workshop

### **L. Proposal Narrative**

The proposal narrative is the document that will be evaluated and scored by the review panel. The maximum score is 100 points. Please limit to no more than 3000 words (about 5 pages using Times New Roman 12 point), not including letters of support, tables, maps, budget, and diagrams:

#### (0) Proposal Summary—Mandatory (0) points

Please provide information on the following items, as appropriate. Proposals without a complete summary may be disqualified.

- a) Project title
- b) Applicant organization (name, office/branch, street address, city, State, zip, Web site address)
- c) Partner organizations (organization, office/branch, street address, city, State, zip, Web site address)
- d) Name of trainer or trainer's organization, if a training proposal.
- e) FGDC-endorsed standard selected for the project
- f) Project lead - name, telephone, fax, email
- g) Other contact personnel - name, telephone, fax, email
- h) Geographic scope or area
- i) Previous CAP participation (awarded or submitted but not awarded)
- j) A short stand alone description of the project (limit to 250 words). Note this stand alone description for each awarded proposal will be posted on the FGDC Web site.

#### (1) Project Scope – Project Description (maximum 25 points)

Identify the FGDC-endorsed standard (excluding metadata standards, see Category 1, or the Standard for a U.S. National Grid, FGDC-STD-011-2001) and all relevant standards. To demonstrate how well the proposal authors understand the premises of the NSDI, describe how the project contributes to the NSDI and conforms to the selected FGDC-endorsed standard. Describe project objectives and the outcomes of the project. Identify the deliverables for this project. Identify the user communities served by the project, and describe how this project will advance implementation of the selected standard in user communities. If training is to be provided through the project, the proposal must address why training is a need for the communities served.

The applicant must state implementation challenges and describe how the project will overcome the stated barriers.

Partnerships are a key component of the NSDI, so the applicant must state the partnership nature of the proposal.

Because of the “outreach” nature of this project, the project must support the needs of a broad audience and directly help organizations other than the applicant's. If this proposal

serves an underserved community, identify the community served and why it is underserved. The materials or implementation support resulting from the project must be posted to the applicant's Web site or linkable to the FGDC Web site.

The project scope will be evaluated on the relevance of the proposal to implementing an FGDC-endorsed standard and advancing the NSDI. The proposal evaluation will be based on the degree to which it addresses the information requested in this announcement.

(2) Technical approach (maximum 25 points)

Outline the steps, methodologies, and resources to be utilized in accomplishing project objectives and results. Provide milestones for the steps necessary to accomplish project objectives and results.

If training will be provided through the project, identify the venues for training. Indicate the training approach: lecture, lecture with exercises, etc. The proposal will be evaluated on the training plan: logistics, scheduling, and established contacts to market and populate workshops. The logistical arrangements for equipment must be stated (computers and software are generally excluded as allowable expenses). Innovative or special techniques allow the proposal to be viewed as exceptional. Training must be appropriate to role, for example, managers and technical staff.

The proposal evaluation will be based on the degree to which the applicant comprehends the tasks and procedures necessary to accomplish project objectives.

(3) Project Experience (maximum 25 points)

Describe experience, special qualifications, and skills possessed by the applicant and collaborating organizations that are necessary for performance of the project. If applicant is a previous NSDI CAP participant, please provide information describing previous effort, accomplishments, and agreement/award number.

Evaluation will be based on how completely and fully the narrative addresses experience, special qualifications, and skills possessed for successful completion of the proposed project by the end of the award period. Note that institutions that have received NSDI CAP Category 6: FGDC Standards Development and Implementation Assistance and Outreach assistance awards within the past three years are not eligible to receive a 2011 NSDI CAP award in this category.

(4) Commitment to Effort (maximum 20 points)

Describe the extent to which the project results will continue or be sustained after the award period. Evaluation will be based upon the extent that the applicant will continue to support implementation of an FGDC-endorsed standard after the end of the award period.

Memoranda of Understanding and/or letters of commitment from project partners, including subject matter experts within a maintenance authority for an FGDC-endorsed standard, should be attached to the proposal narrative (Please refer to **Section IV.E.** in



the Introduction for further information.) Proposals in which the geographic scope is local, State, or regional shall include a letter of support or commitment from the State GIS Coordinator or similar authority: a letter of support or commitment by the USGS State Geospatial Liaison for your State is also required. Proposals that include a mix of partners working interactively together will be scored higher than proposals that are submitted by individual entities. Evaluation of projects with a State or regional scope will be based on the applicants' ability to demonstrate that the project is participating in or supporting State or regional geospatial infrastructure strategies and plans are sought; in addition, the evaluation will be based on the engagement of subject matter experts in the proposed project.

(5) Budget Breakdown (maximum 5 points)

Appropriateness and reasonableness of the budget are considered in the review. This factor considers whether the proposed budget is commensurate with the level of effort needed to accomplish the project objectives and whether the cost of the project is reasonable relative to the value of the anticipated results.

Please provide a detailed budget breakdown for the project as an attachment to the proposal narrative. Include the following categories of information, separating the CAP funds from the in-kind match:

- Salaries and Wages
- Fringe Benefits
- Field Expenses
- Other Direct Cost Line Items
- Total Direct Charges
- Indirect Charges (Overhead)

Please refer to **Section IV.D.** in the Introduction and **Attachment C** for complete information. Please note that this budget breakdown is needed in addition to the SF-424A Budget Information Non-Construction Programs that is part of the Grants.gov application.

## **2011 NSDI CAP Category 3: Fifty States Initiative - Strategic and Business Plan Development**

### **A. Background**

The National Spatial Data Infrastructure (NSDI) Future Directions Initiative recognizes that the NSDI cannot be maintained and enhanced by a single organization. A well-coordinated and concerted effort inclusive of the private sector, utilities, academia and all levels of government is needed to leverage resources, minimize redundancies and collaboratively solve problems to achieve the NSDI vision. The NSDI vision assures that spatial data from multiple sources are available and easily integrated to enhance the understanding of our physical and cultural world. Partnerships are essential to realizing the NSDI Vision.

One objective of the Future Directions Action Plan is the *Fifty States and Equivalent Entities Involved and Contributing to the NSDI Plan* (Fifty States Initiative). It recognizes that it will not be possible to build the NSDI without taking advantage of the day-to-day efforts of State and local governments, and other stakeholder groups in the States. This requires effective statewide coordination mechanisms that routinely contribute to the development of the NSDI. The Fifty States Initiative, endorsed by the Steering Committee of the Federal Geographic Data Committee, will advance the implementation of effective statewide coordination councils and the development of effective geospatial strategic and business plans.

**This category specifically supports activities that promote the development of statewide strategic and business plans for the establishment of effective, all-inclusive statewide coordination councils/offices and the related activities necessary to ensure meaningful contributions to the NSDI.**

### **B. Project Goal**

The goal for projects in this category is the development and/or implementation of statewide strategic and business plans that facilitate the coordination of programs, policies, technologies, and resources that enable the coordination, collection, documentation, discovery, distribution, exchange, and maintenance of geospatial information in support of the NSDI and the objectives of the Fifty States Initiative Action Plan. See <http://www.fgdc.gov/policyandplanning/50states/50states> for additional details on Strategic and Business Plans.

### **C. Project Results**

The following are examples of desired outcomes resulting from strategic and business planning activities conducted under this category. Applicants will be required to utilize the 2009 updated FGDC/National States Geographic Information Council (NSGIC) Strategic and Business Plan Guidelines (May 2009) and other supporting documentation. Each plan must also contain the mandatory elements as defined in the Guidelines.

## 1. Strategic Plan Development

A good strategic plan provides a clear explanation of how one or more strategic goals are to be achieved by an organization or program. It typically outlines long-term goals and details the specific strategies and programmatic goals that are to be pursued. Areas of risk are analyzed and specific strategies for overcoming those risks are adopted. The strategic planning process is iterative and maps a clear path between a present condition and a vision for the future. Revisiting the Strategic Plan to review accomplishments against documented objectives helps to establish a feedback loop that can influence future planning and decision making.

Your strategic planning effort should lead to one or more of the following outcomes.

- Creating effective statewide councils, offices, or organizations that can collaborate and work with all stakeholder communities as appropriate
- Strengthening the effectiveness of existing councils and offices to work with all stakeholder communities as appropriate
- Improving coordination activities, increasing participation, and developing positive contributions to statewide geospatial information initiatives among State, regional, local, Tribal, Federal, academic, utility, and private sector stakeholders
- Gaining recognition for statewide coordination mechanisms from State executives and legislators
- Improving geospatial data discovery, access, and use through improved coordination mechanisms (i.e. implementing statewide use of the GIS Inventory System maintained by NSGIC)
- Increasing participation in national geospatial data programs (i.e. *The National Map*)
- Working to establish sustainable funding mechanisms for geospatial initiatives and improved coordination mechanisms
- Establishing priorities for proposed actions that are designed to improve statewide coordination mechanisms and geospatial information initiatives

## 2. Business Plan Development

While the Strategic Plan describes what you want to achieve and why, the Business Plan provides a detailed description of how objectives will be achieved, along with the necessary justifications for implementing initiatives. The purpose of your Business Plan is to support the successful implementation of the programs identified in your organization's Strategic Plan, thereby furthering the statewide spatial data infrastructure (SSDI) and/or the National Spatial Data Infrastructure (NSDI). These programs may each require a different approach and may place emphasis in different areas. Examples of programs that require Business Plans include:

- An Ortho-imagery Program (data-centric)
- Homeland Security Web Mapping Initiative (function or application-centric)
- Statewide GIS Coordination (business process-centric)

Regardless of the approach, there are requirements for assessing where you are, where you need to be, and for identifying the pathway that will get you there.

Your business planning efforts should lead to one or more of the following outcomes.

- Identifying and assessing the business needs of all stakeholder communities
- Adopting tools or mechanisms for identifying the status of data development (i.e. implementing statewide use of the GIS Inventory System to assess Geospatial Platforms within the State)
- Identifying and acting on specific opportunities for data partnerships
- Identifying and securing funding resources and mechanisms required for geospatial data coordination, collection, and maintenance activities
- Addressing a geospatial enterprise architecture, National standards and guidelines, and open interoperability standards
- Incorporating measures for evaluating return on investments and developing cost benefit analyses (Note: CAP Category 5 focuses on return on investments and applicant with focus on return on investments are encouraged to apply for a CAP Category 5)
- Implementing an improved statewide GIS coordination council or making improvements in a statewide GIS coordination office

#### **D. Project Activities**

1. Development and/or implementation of a Strategic Plan that addresses how to bring all of the stakeholder groups together into a functional governing body that serves as a statewide Coordination Council with the following characteristics:

- A mechanism for broad representation and inclusion in the decision-making process by user communities, including Federal, State, county, municipal and Tribal governments; private sector GIS users and vendors; academic sector; non-profit organizations; utilities; and the general public.
- A relationship between the Coordination Council and national geospatial initiatives such as Geospatial One Stop Portal, *The National Map* and the GIS Inventory System.
- A formal authorization process to establish the statewide Council with appropriate bylaws.
- A relationship and linkage with the nine coordination criteria (see Section 3 below) that feeds consensus based decision-making into official statewide initiatives.
- Adequate funding and a budget are identified (or cost sharing mechanisms are established) to support and enable the operation.

- A commitment is made to implementing appropriate OGC, FGDC, ANSI and ISO standards to ensure an “open” environment exists.

2. Development and/or implementation of a statewide Business Plan that addresses key coordination criteria, including:

- The need for a Geospatial Enterprise Architecture (GEA).
- Identifying the status of existing framework and critical infrastructure data, future data production plans, and opportunities for data production partnerships.
- Establishing data sharing agreements with local, State, Tribal and Federal agencies unless they routinely provide data in the public domain.
- Publishing lists of local, State, Tribal and Federal data stewards/integrators for each of the framework layers.
- Posting local, State and Tribal framework data to the national clearinghouse or otherwise making them available through OGC interfaces.
- Assisting local, State and Tribal data producers in creating metadata for data holdings and posting it to the GOS Portal.
- Maintaining a functioning clearinghouse or appropriate inventory tool that is available to all interested sectors in a State and is available for metadata harvesting by the GOS portal.
- Enabling local, State and Tribal organizations to participate in the GIS Inventory, *The National Map* and the Geospatial One Stop Portal program.
- Promoting the adoption and incorporation of appropriate OGC, FGDC, ANSI and ISO standards and interoperable practices among local, State and Tribal agencies.

Please Note: Statewide use of the GIS Inventory System will assist you with implementing several of the criteria listed above. (See [http://gisinventory.net/getting\\_started.html](http://gisinventory.net/getting_started.html))

3. Implementing the Nine Statewide Coordination Criteria including the following:

- A full-time, paid coordinator position is designated and has the authority to implement the State’s business and strategic plans.

Explanation: Many States have created one or more full time positions to oversee coordination of geospatial technologies. These individuals are responsible for implementing the State’s business plan and are typically assigned to the Governor’s Office, Chief Information Officer, Budget Department, or the Technology Office. In

some States, these duties fall on a volunteer and in others, no one is willing to assume this role. It is presumed that having a full-time paid individual is advantageous and that a significant portion of their energy is channeled into on-going statewide coordination council activities.

- A clearly defined authority exists for statewide coordination of geospatial information technologies and data production.

Explanation: A responsible individual or group has been designated in many States through executive orders, budget authorizations, or legislation. These individuals, or groups, are usually better able to deal with difficult coordination issues since they are empowered to perform this function. In other cases, “all volunteer” efforts are very effective at coordinating statewide activities through consensus building. In some instances, these groups are recognized as a “clearly defined authority” although they have no specific powers.

- The statewide coordination office has a formal relationship with the State’s Chief Information Officer (or similar office).

Explanation: Geospatial technologies are clearly a component of any State’s information technology architecture, but they are not always viewed as such by “old school” IT leaders. A close relationship with the State CIO is essential to move major geospatial technology initiatives forward.

- A champion (politician or executive decision-maker) is aware and involved in the process of coordination.

Explanation: A visionary political champion who understands geospatial technologies is a valuable ally that can help obtain recognition and funding to support new initiatives. Without a strong political champion, new initiatives often fail.

- Responsibilities for developing the National Spatial Data Infrastructure and a State Clearinghouse are assigned.

Explanation: The responsibility for the component pieces of the NSDI should be assigned to appropriate staff and agencies to ensure that stewards are identified, and to prevent duplication of effort. Assignment of responsibilities should happen in advance of actual need to ensure that the appropriate activities are appropriately planned and incorporated into the State’s business plan.

- The ability exists to work and coordinate with local governments, academia, and the private sector.

Explanation: Each State must have the capability to routinely meet and coordinate with all other sectors. Safeguards should be developed to ensure that the needs of other sectors can be incorporated through consensus building activities.

- Sustainable funding sources exist to meet projected needs.

Explanation: Sustainable funding is the foundation of effective partnerships. Data production tends to be the highest component cost for implementation of geospatial technologies and most users have requirements for continuous updating of data layers that requires a steady fund source. Effective consortia can only be established when each of the players partners brings something to the partnership and non-lapsing funds help stabilize partnerships.

- Coordinators have the authority to enter into contracts and become capable of receiving and expending funds.

Explanation: To be effective, individual State GIS coordinators or the agencies identified as the stewards for the component pieces of the NSDI must be able to readily contract for software, systems integration, training, and data production costs. Often partnerships can be “brokered” to capture end-of-year funds when contracting mechanisms are already in place.

- The Federal government works through the statewide coordinating authority.

Explanation: It is essential that Federal agencies use statewide GIS Coordination offices and councils as a type of “clearinghouse” to make sure that cooperative agreement opportunities are being used wisely to implement the business plans of the States. Going through the coordination offices and councils will also help to minimize duplications of effort.

### **E. Applicant Eligibility**

State, regional, local and Tribal governments, academia, non-governmental organizations, utilities, and the private sector may apply for awards in this category. Existing statewide coordinating councils and/or other entities involved in the development of statewide geospatial strategic and business plans may apply for an award in this category. Coordinated multi-sector responses are strongly encouraged.

This category is for States that have not received NSDI CAP Fifty States assistance awards or equivalent awards in the past. The applicant organization should reside in the State or equivalent entity that is seeking funding.

### **F. Funding Amount and In-Kind Match**

#### **1. Federal Assistance**

Up to \$50,000 will be obligated to individual projects under this category.

#### **2. Applicant In-Kind Resource Match**

A minimum 50% match is required. Contribution of matching personnel hours or funding, supplied development hardware and software, or other in-kind resources will be considered. The value of data will not be considered as in-kind match. Other Federal

grant funds cannot be used for matching. Applicant must document the amount and type of in-kind resource that will be contributed to the fulfillment of the project goals. See **Section IV.D.** in the Introduction for more details and for in-kind match calculation.

### **G. Funded Activities**

1. Funded activities include:

- a. Fees for consultants, facilitators or recorders
- b. Salary for statewide coordination staff
- c. Publications
- d. Workshops
- e. Training
- f. Reasonable travel expenses as required to complete this project
- g. Communications (i.e. WebEx License to facilitate meetings)

2. Proposals seeking funding for data collection will not be considered.

3. Applicants are requested to budget sufficient travel funds (approximately \$1,000) for participation by one individual at the orientation workshop to be held in conjunction with a Strategic and Business Plan workshop at the NSGIC Mid-year Meeting in Annapolis, Maryland, on Sunday, February 27, 2011. Relevant documentation will be shared with successful applicants at this workshop.

4. Applicants are strongly encouraged to budget funds to attend the 2011 NSGIC Annual Meeting in Boise, Idaho on September 26-29, 2011. It is anticipated that additional Fifty States Initiative learning opportunities will take place during the NSGIC Annual Conference.

### **H. Applicable Guidelines**

For Strategic and Business Plan Guidelines please see <http://www.fgdc.gov/policyandplanning/50states>.

### **I. Category Lead Technical Contact**

Milo Robinson, FGDC Framework & Cooperating States Coordinator, email: [mrobinson@fgdc.gov](mailto:mrobinson@fgdc.gov) or telephone: (703) 648-5162

### **J. FGDC Involvement Statement**

The FGDC Secretariat will collaborate closely with the awarded projects to ensure outcomes that strategic and business plans are nationally consistent. The FGDC Secretariat together with other USGS staff will jointly monitor and agree on the milestones and accomplishments on work performed as part of this agreement. Involvement will begin with the kick off meeting at the February 27, 2011 National States Geographic Information Council Mid-year meeting in Annapolis, Maryland. The FGDC will promote the outcomes of the awards through communication channels including the FGDC Web site. The FGDC Category Lead will schedule quarterly teleconferences or meetings to provide an exchange of information among category award recipients. Attendance is mandatory.



## **K. Reporting**

1. An interim and final project report is required and will be posted on the FGDC Web site, <http://www.fgdc.gov/grants>.
  - a) For the Submission schedule see **Section VI.B.** Administrative Project Requirements in the Introduction.
  - b) For format and content see Attachment F - Category 3: Fifty States Initiative Report Format.
  - c) Include a softcopy version of the final or approved strategic and/or business plans as an attachment to the final report.
2. Financial reports are required, see **Section VI. B.** Administrative Project Requirements in the Introduction for more details.

## **L. Proposal Narrative**

The proposal narrative is the document that will be evaluated and scored by the review panel. Total point value of 100 points possible. All proposals should be no more than 3000 words (about 5 pages using Times New Roman 12 point font and 1-inch margins) not including letters of support, tables, maps, and diagrams.

Applicants are strongly encouraged to work with their USGS State Geospatial Liaison to develop proposals. For a listing of Liaisons please see <http://liaisons.usgs.gov/geospatial/#nogo>.

Please submit narratives that are responsive to the following instructions and are clearly and plainly stated. The narrative must also be focused on the planned activities and be concise, but described in sufficient detail to provide the reviewers with a full understanding of the project.

### (0) Proposal Summary—Mandatory (0) points

Please provide information on the following items, as appropriate. Proposals without a complete summary may be disqualified.

- a) Project title
- b) Applicant organization (name, office/branch, street address, city, State, zip)
- c) Collaborating organizations: include a clear and concise statement for each organization regarding the extent and nature of their support.
- d) Organization Internet address
- e) Relevant National Digital Geospatial Clearinghouse node address (if any)
- f) Principal Investigator-name, telephone, email
- g) Other key contact personnel-name, telephone, email (at least one alternate contact is required)
- h) Geographic scope
- i) Previous NSDI cooperative agreement participation (awarded or submitted but not awarded)
- j) A short stand alone description of the project (limit to 250 words). Note this stand alone description for each awarded proposal will be posted on the FGDC Web site.

(1) Project Scope (40 points)

a) Describe the existing status of geospatial coordination activities in your State. Include the existing coordination groups, the nature and the currency of their strategic and business plans, and an explanation as to why they do not meet the suggested criteria proposed in this document.

b) Describe the proposed strategic and business plan development, how you expect to implement them in your State, and what key problem areas can be overcome by instituting a new planning process. What will be done to improve upon existing coordination activities? What is it about your proposed approach that will help ensure its success? How does this project help link the geospatial community to the State CIO's office? What is it about your project that will improve the further development of the NSDI?

Evaluation will be based upon the applicants' ability to demonstrate that the scope of the proposed project will improve statewide coordination through strategic and business plan development and advance the NSDI.

(2) Organizational and Managerial Capacity (25 points)

Describe the management plan for the activity. Please include information on the nature of the applicant's organization and its formally documented relationships with other participants in the project. Describe project implementation plans including timelines and assigned responsibilities. This plan should include the key steps required to complete the project, milestones for measuring successes and a timeline for each step. Describe your ability to finish this project on-time. Address your capacity to effectively accomplish and manage the funded activities. Identify how the outcomes of the project fit the business plans and benefits anticipated by the partners or customers of the applicant.

Evaluation will be based upon the applicants' ability to demonstrate the organizational and managerial capability needed to effectively complete the proposed project through a management plan.

(3) Skills and Capabilities (15 points)

Describe the experience, special qualifications and skills possessed that are necessary for performance of the project. If the applicant is a previous NSDI CAP participant please provide brief information describing previous effort(s) and accomplishments. Describe the Principal Investigator's abilities and experience in managing key aspects of projects such as the one proposed, including the functions of geospatial data coordination, collection, maintenance, integration, access and distribution, executive guidance, and financial and other resource management.

Evaluation will be based upon the applicants' experience and qualifications that demonstrate the skills and capabilities to carry out the work in the proposal.

(4) Commitment to Effort (15 points)

Describe the organization's outlook for a sustainable operation and the extent to which project results will continue or be sustained after the performance period. Identify the partner organizations or participants involved, their roles and the support they will provide to the project. Memoranda of Understanding and/or letters of support should be included as an attachment to the narrative, or included as a separate file named "Letters of Support." (Please refer to **Section IV.E.** in the Introduction for further information.)

Evaluation will be based on the applicants' ability to demonstrate a clear commitment to supporting statewide geospatial infrastructure strategies in support of the NSDI Fifty States Initiative.

(5) Budget Breakdown (maximum 5 points)

Appropriateness and reasonableness of the budget are considered in the review. This factor considers whether the proposed budget is commensurate with the level of effort needed to accomplish the project objectives and whether the cost of the project is reasonable relative to the value of the anticipated results.

Please provide a detailed budget breakdown for the project as an attachment to the proposal narrative. Include the following categories of information, separating the CAP funds from the in-kind match:

- Salaries and Wages
- Fringe Benefits
- Field Expenses
- Other Direct Cost Line Items
- Total Direct Charges
- Indirect Charges (Overhead)

Please refer to **Section IV.D.** in the Introduction and **Attachment C** for complete information. Please note that this budget breakdown is needed in addition to the SF-424A Budget Information Non-Construction Programs that is part of the Grants.gov application.

## **2011 NSDI CAP Category 4: Fifty States Initiative: Business Plan Development and Implementation**

### **A. Background**

The Fifty States Initiative has reached over 45 States and equivalent entities. Many of these States can benefit from further statewide business planning activities; in particular, activities where Federal involvement can be leveraged.

This category specifically supports activities that promote the development of statewide business plans for implementing one or more strategic goals in partnership with one or more Federal agencies resulting in meaningful contributions to the NSDI.

### **B. Project Goals**

The goal for projects in this category is the development and/or implementation of statewide business plans that advance the statewide spatial data infrastructure (SSDI) or the National Spatial Data Infrastructure (NSDI) while increasing Federal involvement in statewide geospatial planning and implementation activities. (See <http://www.fgdc.gov/policyandplanning/50states/50states> for additional details on Business Plans.)

(Note: CAP Category 5 focuses developing an on return on investment (ROI) as part of a business plan and applicants with a need for ROI are encouraged to apply for a CAP Category 5. Category 4 and Category 5 complement one another. For example, to associate a Category 4 Business Plan with a Category 5 ROI project, would be a good way to leverage both categories toward a more complete Business Plan that includes a more rigorous ROI than can be accommodated in a Category 4 award by itself.)

### **C. Project Results**

Sound business plans are the desired outcomes under this category. Applicants must use the 2009 updated FGDC Strategic and Business Plan guidelines and other supporting documentation.

The Business Plan provides a detailed description of how objectives will be achieved, along with the necessary justifications for implementing initiatives. The purpose of your Business Plan is to support the successful implementation of the programs identified in your organization's Strategic Plan, thereby furthering the statewide spatial data infrastructure (SSDI) and the National Spatial Data Infrastructure (NSDI).

These programs may each require a different approach and may place emphasis in different areas. Examples of programs that require Business Plans include:

- An Ortho-imagery Program (data-centric)
- Homeland Security Web Mapping Initiative (function or application-centric)
- Statewide GIS Coordination (business process-centric)

Your business planning efforts should lead to one or more of the following outcomes.

- Identifying and assessing the business needs of all stakeholder communities,
- Adopting tools or mechanisms for identifying the status of data development (i.e. implementing statewide use of the GIS Inventory System to assess Geospatial Platforms within the State),
- Identifying and acting on specific opportunities for data partnerships,
- Identifying and securing funding resources and mechanisms required for geospatial data coordination, collection, and maintenance activities (of particular interest and importance is leveraging geospatial investments at local and regional governments),
- Addressing a geospatial enterprise architecture, national standards and guidelines, and open interoperability standards,
- Implementing an improved statewide coordination council which involves local and regional government stakeholders or making improvements in a statewide GIS Coordination Office to develop a stronger relationship with the Federal community, or
- Supporting a previously completed statewide plan by planning the activities of a sub-State group (i.e. regional entity) relating to a State's overall strategic goals.

#### **D. Applicant Eligibility**

State, regional (councils of governments), local and Tribal governments, academia, non-governmental organizations, utilities, and the private sector may apply for awards in this category. Existing statewide coordinating councils, regional councils and/or other entities involved in the development and/or implementation of statewide geospatial strategic and business plans may apply for an award in this category. Coordinated multi-sector responses are strongly encouraged. Federal agency partnership and support is required. A regional entity must have the support of the State's geospatial coordination council.

#### **E. Funding Amount and In-Kind Match**

##### 1. Federal Assistance

Up to \$40,000 will be obligated to individual projects under this category.

##### 2. Applicant In-Kind Resource Match

A minimum 50% match is required. Contribution of matching personnel hours or funding, supplied development hardware and software, or other in-kind resources will be considered. The value of data will not be considered as in-kind match. Other Federal grant funds cannot be used for matching. Applicant must document the amount and type of in-kind resource that will be contributed to the fulfillment of the project goals. See **Section IV.D.** in the Introduction for more details and for in-kind match calculation.

#### **F. Funded Activities**

##### 1. Funded activities include:

- a. Fees for consultants, facilitators or recorders
- b. Salary for statewide coordination staff
- c. Publications
- d. Workshops

- e. Training
  - f. Reasonable travel expenses as required to complete this project
  - g. Communications (i.e. WebEx License to facilitate meetings)
2. Proposals seeking funding for data collection will not be considered.
3. Applicants are requested to budget sufficient travel funds (approximately \$1,000) for participation by one individual at the orientation workshop to be held in conjunction with a Strategic and Business Plan workshop at the NSGIC Mid-year Meeting in Annapolis, Maryland, on Sunday, February 27, 2011. Relevant documentation will be shared with successful applicants at this workshop.
4. Applicants are strongly encouraged to budget funds to attend the 2011 NSGIC Annual Meeting in Boise, Idaho on September 26-29, 2011. It is anticipated that additional Fifty States Initiative learning opportunities will take place during the NSGIC Annual Conference.

#### **G. Partnership and Collaboration Requirements**

The applicant must partner with one or more Federal agencies. Applicant must demonstrate statewide collaboration through a strategic plan. A regional entity must have the support of the State's geospatial coordination council.

#### **H. Applicable Guidelines**

For Strategic and Business Plan Guidelines please see <http://www.fgdc.gov/policyandplanning/50states>.

#### **I. Category Lead technical contact**

Milo Robinson, FGDC Framework & Cooperating States Coordinator, email: [mrobinson@fgdc.gov](mailto:mrobinson@fgdc.gov) or phone: (703) 648-5162.

#### **J. FGDC Involvement Statement**

The FGDC Secretariat will collaborate closely with the awarded projects to ensure outcomes that strategic and business plans are nationally consistent. The FGDC Secretariat together with other USGS staff will jointly monitor and agree on the milestones and accomplishments on work performed as part of this agreement. Involvement will begin with the kick off meeting at the February 27, 2011 National States Geographic Information Council Mid-year meeting in Annapolis, Maryland. The FGDC will promote the outcomes of the awards through communication channels including the FGDC Web site. The FGDC Category Lead will schedule quarterly Teleconferences or meetings to provide an exchange of information among category award recipients. Participation is required.

#### **K. Reporting**

1. Interim and final project reports are required and will be posted on the FGDC Web site, <http://www.fgdc.gov/grants>.

- a) For the Submission schedule see **Section VI.B.** Administrative Project Requirements in the Introduction.
  - b) For format and content see Attachment G - Category 4: Fifty States Initiative: Business Plan Development and Implementation Report Format.
  - c) Include a softcopy version of the final or approved business plans as an attachment to the final report.
2. Financial reports are required, see **Section VI. B.** Administrative Project Requirements in the Introduction for more details.

### **L. Proposal Narrative**

The proposal narrative is the document that will be evaluated and scored by the review panel. Total point value of 100 points possible. All proposals should be no more than 3000 words (about 5 pages using Times New Roman 12 point font and 1-inch margins) not including letters of support, tables, maps, and diagrams.

Applicants are encouraged to work with State and Regional based Federal agency representative such as their USGS State Geospatial Liaison to develop proposals. For a listing of Liaisons please see <http://liaisons.usgs.gov/geospatial/#nogo>.

Please submit narratives that are responsive to the following instructions and are clearly and plainly stated. The narrative must also be focused on the planned activities and be concise, but described in sufficient detail to provide the reviewers with a full understanding of the project.

#### (0) Proposal Summary—Mandatory (0) points

Please provide information on the following items, as appropriate. Proposals without a complete summary may be disqualified.

- a) Project title
- b) Applicant organization (name, office/branch, street address, city, State, zip)
- c) Collaborating organizations: include a clear and concise statement for each organization regarding the extent and nature of their support.
- d) Organization Internet address
- e) Principal Investigator-name, telephone, email
- f) Other key contact personnel-name, telephone, email (at least one alternate contact is required)
- g) Previous NSDI cooperative agreement participation (awarded or submitted but not awarded)
- h) A short stand alone description of the project (limit to 250 words). This stand alone description will be posted on the FGDC Web site for each awarded proposal.

#### (1) Project Scope (40 points)

- a) Describe the existing status of your State's strategic and business planning activities.
- b) Describe the proposed business plan development and implementation. How will this project advance geospatial coordination and collaboration? Describe Federal agency

involvement in this project. How does this effort advance and align with your State's strategic plan?

What is it about your project that will improve the further development of your SSDI or the NSDI?

Evaluation will be based upon the applicants' ability to demonstrate that the scope of the proposed project will improve statewide coordination through business plan development and implementation that will advance the NSDI.

(2) Project Plan and Managerial Capacity (25 points)

A good plan will help ensure its success. Please describe the management plan for this project. This plan should include the key steps required to complete the project and a timeline for each step. Describe your ability to finish this project within a one year time frame. Address your capacity to effectively accomplish and manage the funded activities. How will the outcomes of the project fit the needs of the all partners?

Evaluation will be based upon the applicants' ability to develop a management plan and describe the managerial capability needed to effectively complete the proposed business plan.

(3) Skills and Capabilities (15 points)

Describe the experience, qualifications and skills to develop and implement the activities described in your proposal. Please describe the Principal Investigator's previous activities with Fifty State Initiative and his or her abilities and experience in managing projects such as the one proposed.

Evaluation will be based upon the applicants' experience and qualifications that demonstrate the skills and capabilities to carry out the work in the proposal.

(4) Commitment to Effort (15 points)

Identify the partner organizations or participants involved, their roles and the level of support they will provide to the project. Memoranda of Understanding and/or letters of support should be included as an attachment to the narrative, or included as a separate file named "Letters of Support." (Please refer to **Section IV.E.** in the Introduction for further information.)

Evaluation will be based on the applicants' ability to demonstrate a clear commitment to supporting statewide geospatial infrastructure strategies in support of the NSDI Fifty States Initiative. At least one partner must be a Federal agency.

(5) Budget Breakdown (maximum 5 points)

Appropriateness and reasonableness of the budget are considered in the review. This factor considers whether the proposed budget is commensurate with the level of effort needed to accomplish the project objectives and whether the cost of the project is reasonable relative to the value of the anticipated results.



Please provide a detailed budget breakdown for the project as an attachment to the proposal narrative. Include the following categories of information, separating the CAP funds from the in-kind match:

- Salaries and Wages
- Fringe Benefits
- Field Expenses
- Other Direct Cost Line Items
- Total Direct Charges
- Indirect Charges (Overhead)

Please refer to **Section IV.D.** in the Introduction and **Attachment C** for complete information. Please note that this budget breakdown is needed in addition to the SF-424A Budget Information Non-Construction Programs that is part of the Grants.gov application.

## **2011 NSDI CAP Category 5: Return on Investment (ROI) Methodology and Business Case Development for Multi-agency NSDI Projects**

### **A. Background**

Public sector organizations can improve efficiency and data quality by sharing their data, technology, and applications. Shared data and services make sophisticated technology affordable for a broad range of agencies. Multi-agency partnerships reduce redundant data maintenance activities. This increases productivity and improves information quality and consistency. For these reasons, data and technology partnerships have become very attractive to government agencies, especially in the area of land- and property-based services supported by Geospatial Information Technology (GIT).

GIT is a complicated investment. The initial costs can be high, and the tangible benefits can take several years to materialize. Elected and appointed officials do not have time to delve into the finer points of the technology before being asked to make an investment decision. They must weigh a GIT project against countless other opportunities and choose where and how their organization will spend its money. The best tools for making these decisions are net present value (financial bottom line) and the overall business case, which includes analysis of tangible and strategic benefits.

The bottom line of a GIT project depends on the presence and quality of the existing GIT infrastructure. GIT infrastructure includes base maps (framework data), technical support personnel, and data maintenance applications as well as user access tools and data communications channels. These expensive infrastructure elements may be difficult for a single agency to cost-justify. If multiple agencies share the cost of this spatial data infrastructure, collaborating participants are in a better position to develop financial business cases for new applications. The costs of a proposed system can be researched and allocated among partners, but the potential benefits are much harder to document.

When multiple government agencies serve the same geographic area, it is logical for these agencies to share their geographic information and to standardize and integrate their spatial data management processes. Opportunities for cooperative application development multiply and the business case for sharing GIS resources becomes even more persuasive. Many of the benefits of GIT partnerships accrue to the community as a whole and can be difficult to quantify on an agency-by-agency basis. Therefore, it is important for GIT partners to collaborate in the development of financial business cases related to their cooperative projects.

This category seeks to fund financial case studies of a spatial infrastructure projects that have multi-organization participants. The case study should apply the methodology and templates in the FGDC-supported Return on Investment (ROI) workbook. Existing examples of multi-agency studies using this methodology include: Washington State Transportation Framework for GIS (WA-TRANS), a Department of the Interior agency-wide business case for GIS, the Iowa Geospatial Infrastructure business case, and the Iowa analysis of the use of GIS, imagery and modeling for flood response.

Additionally, a number of single-agency case studies using the GITA financial analysis methodology have been published, including: City of Cleveland (Enterprise GIS Business Case), EPCOR (ANTWIRP and ADAPT Business Cases), TELUS (DOL Business Case), and Honolulu Board of Water Supply MANO.

### **Examples of ROI findings**

Recent financial analysis (2007-2008) of Iowa's multi-agency infrastructure project has already been put to good use. Iowa's project lead cites the following benefits of ROI analysis:

- Drilling down to know the real costs to build statewide infrastructure provides a tangible starting point for the project. Previous costs were somewhat amorphous.
- Iowa leads have used the ROI methodology as a significant component of proposals for at least half a dozen infrastructure projects. Project managers at State agencies recognize that ROI analysis has become a big component of State management criteria.
- Understanding financial analysis and using the ROI methodology has made Iowa geospatial projects more competitive with other projects seeking funding. In particular, good characterization of benefits places these projects ahead of the pack.
- Funding has been obtained for infrastructure projects with a business case developed from the ROI methodology. The largest instance in Iowa to date is a \$650,000 geocoding project for building an address point framework layer. This funding will cover half of the State, with a plan to reapply for funding the second half of the State in two years, once existing work is complete.
- Using the ROI methodology assists project and program leads in the search for redundant processes. Once these are located, it becomes possible to design projects around the avoided costs from eliminating redundancy, thus funding new projects without having to seek additional funds. This point has proved critical in a time of severe budget constraints.

Analysis of Iowa's infrastructure project showed a number of tangible benefits for participating agencies. Benefits include:

- Savings in staff time responding to citizen requests
- Savings in staff time creating and maintaining geographic data
- Savings associated with more timely data available
- Savings in staff time performing analysis
- Reduction in field staff time due to better location information
- Savings in staff time in reporting functions
- Savings in staff time obtaining data from other agencies
- Cost avoidance in purchase of data
- Cost avoidance in maintaining separate software and hardware
- Cost avoidance of preliminary surveys by use of lidar
- Savings in staff time negotiating individual contracts for aerial surveys

- Savings in staff time from linking all relevant documents to GIS
- Cost avoidance of dig-ins (line hits) from inaccurate data into one call system
- Cost avoidance of collection of redundant data at consulting firms

A recent financial analysis (2008-2009) of the use of GIS, imagery and modeling for Iowa flood response included the following benefits:

- Staff time saved during emergency response
- Staff time saved doing routine emergency preparedness work
- Citizen time saved seeking information regarding flooding
- Citizen cost for surveying saved
- Mileage saved
- Additional damage reimbursements provided to citizens, municipalities, utilities
- Materials saved (for example, sandbags)
- Building damage avoided through correct placement of sandbags
- Ability to bill private entities for unneeded prevention (sandbagging)
- Cost avoidance of unnecessary relocation activity

An analysis of strategic benefits for Iowa floods shows areas which may show quantifiable benefits when they are studied over time. These include:

- Faster information flow results in getting economic activity back up and running sooner
- Better and faster information gets presidential disaster declaration sooner
- Debris removal is facilitated
- Better communication helping agencies to assist citizens better and faster
- Better road closure information to the public saves time and increases safety
- Maps and data used as communication tool for briefings
- Use by Emergency Operations Center as situation awareness tool
- Maps provide time lapse record of the stages of the flood, which will be useful for hazard mitigation planning for the next flood
- Better resource allocation during response
- Modeling aided decision to drain basin naturally rather than paying to bring in big pumps
- Estimation of the amount of damaged material going to landfill

## **B. Project Goals**

While there have been a number of multi-agency Case Studies using the FGDC-supported ROI workbook, the geospatial community would benefit from further examples. The goal of this category is to develop additional financial business cases for collaborative spatial data infrastructure projects to gain a better understanding of the cost and more importantly the benefits of spatial data infrastructure projects. It is anticipated that project leads will use the business cases they develop to seek funding for NSDI-related projects and as a result of the knowledge transfer and assistance improve their success rate in competing for scarce resources.

(Note: CAP Category 4 focuses on general business planning and applicants with a need for general business plans are encouraged to apply for a CAP Category 4. Category 4 and Category 5 complement one another. For example, to associate a Category 4 Business Plan with a Category 5 ROI project, would be a good way to leverage both categories toward a more complete Business Plan that includes a more rigorous ROI than can be accommodated in a Category 4 award by itself.)

### **C. Project Results**

- An ROI case study describing the project, including the details of collecting metrics to support the financial analysis (See <http://www.fgdc.gov/policyandplanning/50states/Appendix%20c%20revised.pdf>)
- Completed ROI spreadsheets
- Financial analyses summary
- A multi-agency financial business case for the project comprised of the rollup from all individual spreadsheets as well as analysis of tangible and strategic benefits of the project.

### **D. Applicant Eligibility**

State, regional, local and Tribal governments, academia, non-governmental organizations, utilities, and the private sector may apply for awards in this category. Existing statewide coordinating councils and/or other entities involved in the development of statewide geospatial strategic and business plans may apply for an award in this category. Coordinated multi-sector responses are strongly encouraged.

Applicants from all sectors are encouraged to apply. New Applicants to this category are given priority.

### **E. Funding Amount and In-Kind Match**

1. Up to \$60,000 will be obligated to individual projects under this category.

2. Applicant In-Kind Resource Match

A minimum 50% match is required. Contribution of matching personnel hours or funding, supplied development hardware and software, or other in-kind resources will be considered. The value of data will not be considered as in-kind match. Other Federal grant funds cannot be used for matching. Applicant must document the amount and type of in-kind resource that will be contributed to the fulfillment of the project goals. See **Section IV.D.** in the Introduction for more details and for in-kind match calculation.

### **F. Funded Activities**

1. Funded activities include:

- a. Fees for consultants, facilitators or recorders
- b. Salary for project coordinator
- c. Salary for project staff
- d. Publications
- e. Workshops

- f. Training
- g. Reasonable travel expenses as required to complete this project

2. Proposals seeking funding for spatial data collection will not be considered.

3. Applicants should budget at least \$1,000 for travel for to attend the project kick off workshop. At least one project participant must attend. It is recommended that two individuals participate in the workshop meeting. Possible locations for the workshop are Reston, Virginia; or Denver, Colorado. The workshop site will be determined after the awards are made and will be made in consultation with awardees to minimize travel costs.

In addition, each proposal should budget \$5,000 for workshop fee. Relevant information about the two-day workshop will be shared with successful applicants in a webinar held before the workshop.

#### **G. Partnership and Collaboration Requirements**

Applicants should demonstrate that multiple agencies are committed to participating in the project. Multi-agency financial analysis is expected as a deliverable from this project. Coordinated multi-sector responses are encouraged.

#### **H. Applicable Reference Documents**

- **ROI Work Book** (<http://www.fgdc.gov/policyandplanning/50states/50states>) -- Building a Business Case for Shared Geospatial Data and Services: *A Practitioner's Guide to Financial and Strategic Analysis for a Multi-participant Program*
  - Appendix A: Instructions for completing Business Case Template & Worksheets
  - Appendix B: Literature Review
  - Appendix C: Washington State Case Study

#### **I. Category Lead Technical Contact**

Milo Robinson, FGDC Framework & Cooperating States Coordinator, email: [mrobinson@fgdc.gov](mailto:mrobinson@fgdc.gov)

#### **J. FGDC Involvement Statement**

The FGDC will collaborate closely with the recipients to enable them to meet the goals stated in their proposals. The FGDC will conduct a needs assessment to determine the best available date and content for the 2010 CAP Kick-off Workshop to be held in Reston, VA or Denver, CO or some other location agreed to by the awardees. Teleconferences between the Government and all awardees in this Category will be held on at least a quarterly basis to report project status and direction. The FGDC will promote the outcomes of the awards through available communication channels including the FGDC website.

## J. Reporting

1. Interim and final project reports are required and will be posted on the FGDC Web site, <http://www.fgdc.gov/grants>.
  - a) For the Submission schedule see **Section VI.B.** Administrative Project Requirements in the Introduction.
  - b) For format and content see Attachment H - Category 5: Return on Investment (ROI) Methodology and Business Case Development for Multi-agency NSDI Projects
  - c) Include a softcopy version of the ROI case study describing the project, the completed ROI spreadsheets, the ROI financial analyses summary, the multi-agency financial business case.
2. Financial reports are required, see **Section VI. B.** Administrative Project Requirements in the Introduction for more details
3. Projects will be evaluated at 3 month, 6 month, and 9 month intervals. Deliverables will be established for the first interval at the time of the kick-off meeting. Plans will be developed as needed to assure that project deliverables are kept on track throughout the year-long course of the project.

## L. Proposal Narrative

The proposal narrative is the document that will be evaluated and scored by the review panel. Total point value of 100 points possible. All proposals should be no more than 3000 words (about 5 pages using Times New Roman 12 point font and 1-inch margins) not including letters of support, tables, maps, and diagrams.

Please submit narratives that are responsive to the following instructions and are clearly and plainly stated. The narrative must also be focused on the planned activities and be concise, but described in sufficient detail to provide the reviewers with a full understanding of the project.

### (0) Proposal Summary—Mandatory (0) points

Please provide information on the following items, as appropriate. Proposals without a complete summary may be disqualified.

- a) Project title
- b) Applicant organization (name, office/branch, street address, city, State, zip)
- c) Collaborating organizations: include a clear and concise statement for each organization regarding the extent and nature of their involvement.
- d) Organization Internet address
- e) Principal Investigator-name, telephone, email
- f) Alternate Contact: name, telephone, email (Required)
- g) Other key contacts personnel-name, telephone, email
- h) Geographic scope
- i) Previous NSDI cooperative agreement participation (awarded or submitted but not awarded)
- j) A short stand-alone description of the project (limit to 250 words). This stand-alone description will be posted on the FGDC Web site for each awarded proposal.

(1) Project Scope (35 points)

What is the scope of your project? Describe the spatial data infrastructure project for which you plan to conduct Return on Investment analysis. Describe your project's anticipated financial benefits. Why do the participating agencies desire to conduct this analysis?

Describe existing strategic and business plans as they relate to this project. How does your proposed project fit into existing planning efforts? How will this activity be aligned with ongoing planning activities supported by FGDC's Fifty States Initiative? How does this project connect to the geospatial community and other efforts advance spatial data infrastructure?

Evaluation will be based upon the applicant's ability to demonstrate that the scope of the proposed project will thoroughly investigate ROI and financial business plan development while advancing the NSDI.

(2) Commitment to Effort (25 points)

Describe the organization's commitment to complete the ROI analysis and deliver the final product on time. Describe the outlook for a sustainable operation and the extent to which project results will continue or be sustained after the performance period. Identify the partner organizations or participants involved, their roles and the support they will provide to the project. Memoranda of Understanding and/or letters of support should be included as an attachment to the narrative, or included as a separate file named "Letters of Support." (Please refer to **Section IV.E.** in the Introduction for further information.)

Evaluation will be based on the applicant's ability to demonstrate a clear commitment to supporting financial analysis and ROI work during the project and after the project has ended. The support and commitment of partnering organizations will also be considered.

(3) Skills and Capabilities (20 points)

Applicants should show they have the ability to learn financial and business planning skills to advance the proposed spatial data infrastructure.

Describe the experience, special qualifications and skills possessed that are necessary for performance of the project. If the applicant is a previous NSDI CAP participant please provide brief information describing previous effort(s) and accomplishments. Describe the Principal Investigator's abilities and experience in managing key aspects of projects such as the one proposed. Describe the other key personnel in the project and their qualifications, abilities and experience working on similar projects.

Evaluation will be based upon the applicant's experience and qualifications that demonstrate the skills and capabilities to carry out the work in the proposal.

(4) Organizational and Managerial Capacity (15 points)



Please include a short management plan for the activity. Please include information on the nature of the applicant's organization and its relationships with other participants in the project. Describe project implementation plans including timelines and assigned responsibilities. This plan should include the key steps required to complete the project, milestones for measuring successes and a timeline for each step. Describe your ability to finish this project on time. Address your capacity to effectively accomplish and manage the funded activities. Identify how the outcomes of the project fit into the plans anticipated by the partners or customers of the applicant.

Evaluation will be based upon the applicant's ability to demonstrate the organizational and managerial capability needed to effectively complete the proposed project through a management plan.

(5) Budget Breakdown (maximum 5 points)

Appropriateness and reasonableness of the budget are considered in the review. This factor considers whether the proposed budget is commensurate with the level of effort needed to accomplish the project objectives and whether the cost of the project is reasonable relative to the value of the anticipated results.

Please provide a detailed budget breakdown for the project as an attachment to the proposal narrative. Include the following categories of information, separating the CAP funds from the in-kind match:

- Salaries and Wages
- Fringe Benefits
- Field Expenses
- Other Direct Cost Line Items
- Total Direct Charges
- Indirect Charges (Overhead)

Please refer to **Section IV.D.** in the Introduction and **Attachment C** for complete information. Please note that this budget breakdown is needed in addition to the SF-424A Budget Information Non-Construction Programs that is part of the Grants.gov application.

## **2011 NSDI CAP Category 6: FGDC Standards Development Assistance**

### **A. Background**

Office of Management and Budget (OMB) Circular A-16 Revised, August 19, 2002 (hereafter called OMB Circular A-16) provides direction for Federal agencies that produce, maintain or use spatial data. OMB Circular A-16 establishes a coordinated approach to develop the National Spatial Data Infrastructure (NSDI) and establishes the Federal Geographic Data Committee (FGDC). The components of the NSDI include data, metadata, standards, and partnerships.

Standards facilitate the development, sharing, and use of geospatial data. According to OMB Circular A-16,

A coordinated approach for developing spatial data standards that apply to collecting, maintaining, distributing, using, and preservation of data will improve the quality of Federal spatial data and reduce the cost of derivative products created by Federal and non-federal users. Applications using spatial data that adhere to FGDC standards enable cost effective public and private policy development, management, and operations.

The FGDC develops geospatial data standards for implementing the National Spatial Data Infrastructure (NSDI), in consultation and cooperation with State, local, and tribal governments, the private sector and academic community, and, to the extent feasible, the international community.

Federal agencies are to ensure that all expenditures for spatial data, financed directly or indirectly, in whole or in part, by Federal funds comply with FGDC standards.

### **B. Project Goals**

This category provides funding to organizations to assist in the development of standards registered in the FGDC standards program of work (refer to <http://www.fgdc.gov/standards/projects/FGDC-standards-projects/FGDC-standards-in-development>).

This CAP category can support projects that help advance FGDC standards in development to a key milestone:

Committee draft – as agreed to by the standards development group for submission for consideration for public review.

Public review draft - as approved by the FGDC Coordination Group for release for public review.

Final draft – as agreed to by the standards development team after revising the public review draft on the basis of decisions made on comments from public review.

FGDC-endorsed standard – as endorsed by the FGDC Steering Committee.

### C. Project Results

The project outcome should be the advancement of a standard project to a milestone in the FGDC standards process: committee draft, public review draft, final draft, or FGDC-endorsed standard.

- If the most current standards document at the beginning of the reward period is a proposal, then the draft standard should have advanced to committee draft (at the minimum), public review draft, or final draft by the end of the award period.
- If the most current standards document at the beginning of the reward period is a committee draft or public review draft, then the draft standard should have advanced to final draft (at the minimum) or the FGDC has endorsed the standard by the end of the award period.

### D. Applicant Eligibility

State or local government, academia, private sector, non-profit, and Tribal organizations, as well as consortia of organizations, may apply. Institutions that have received NSDI CAP Category 6: FGDC Standards Development and Implementation Assistance and Outreach assistance awards within the past three years are not eligible to receive a 2011 NSDI CAP award in this category.

### E. Funding Amount and In-Kind Match

(1) Federal assistance

Up to \$25,000 will be obligated to individual projects under this category.

(2) In-Kind Resource Match

A minimum 50% match is required. Contribution of matching personnel hours or funding, supplied development hardware and software, or other in-kind resources will be considered. The value of data will not be considered as in-kind match. Other Federal grant funds cannot be used for matching. The applicant shall document the amount and type of in-kind resource that will be contributed to the fulfillment of the project goals. See **Section IV.D.** in the Introduction for more details and for in-kind match calculation.

### F. Funded Activities

1. For projects with the primary objective of advancing a standard through the FGDC standards process, examples of funded tasks and items are:

- Support including
  - Meeting facilitation
  - UML modeling
  - Documentation management
- Workshops or facilitated sessions for standards development (travel, facilities, reproduction costs, equipment, supplies, etc.)
- Development of materials for the workshop or facilitated sessions.
- Models in Unified Modeling Language (UML) Preparation of drafts of FGDC standards

- Testing of draft standard or pilot projects on draft standard. Development of wiki sites and Web sites for standards team collaboration
  - Other work that serves to advance the draft standard to a milestone
2. Reasonable expenses for hardware and software that are dedicated to the project and its sustainability are allowed if they are fully justified. Data collection will NOT be funded through this announcement.
  3. Materials for Kick-off presentation
  4. Reports: interim and final
  5. CAP recipients are requested to make formal presentations of their activities. Presentation can be at a local, State, regional, or national conference or meeting. The applicant is requested to budget sufficient funds to travel to the meeting or conference. A paper or article publication in a professional journal or newsletter is an acceptable alternative.

#### **G. Partnership and Collaboration**

Partnerships with project leaders for FGDC standards under development are required for this category. **Evidence of partnership with shall be provided by a letter of commitment from project leaders for a particular standard.**

Partnerships with other organizations to leverage resources are encouraged under this category. Partnerships, both formal and informal, among organizations are seen as primary building blocks for the NSDI.

Applicants from State, Tribal, regional, or local organizations should seek support from a State GIS coordinator or similar authority: support from a USGS State Geospatial Liaison is also recommended: to locate your USGS State Geospatial Liaison, visit <http://liaisons.usgs.gov/geospatial/#nogo>.

#### **H. Applicable Standards**

Projects shall be in compliance with the selected FGDC standard in development (<http://www.fgdc.gov/standards/projects/FGDC-standards-projects/FGDC-standards-in-development>). Projects shall be in compliance with standards related to the selected FGDC standard in development.

Applicants should have working knowledge of standards developed through FGDC and geographic information standards developed through voluntary consensus standards bodies including, but not limited to, ISO Technical Committee 211, Geographic Information/Geomatics, InterNational Committee for Information Technology Standard (INCITS) Technical Committee L1, Geographic information systems, and the Open Geospatial Consortium (OGC).

If the standard references or is related to other standards, the project shall be in compliance with the referenced or related standards.

**I. Category Lead technical contact**

Ms. Julie Binder Maitra, Standards Coordinator, [jmaitra@fdgc.gov](mailto:jmaitra@fdgc.gov)

**J. Project Resources and FGDC Involvement Statement**

The FGDC Standards Web site (<http://www.fgdc.gov/standards/projects/FGDC-standards-projects/FGDC-standards-in-development>) provides links to resources for FGDC standards in development.

The FGDC will collaborate closely with the recipients to enable them to meet the goals stated in their proposals. The FGDC will provide logistical and programmatic support to the extent FGDC resources allow. The FGDC will determine the best available date and content for the 2011 CAP Kick-off teleconference. The FGDC will conduct progress calls, intermediate to the interim and final reports, with the recipients. The FGDC will promote the outcomes of the awards through communication channels including the FGDC Web site.

**K. Reporting**

1. The category technical lead will confer with CAP awardees to discuss project progress and other issues related to the Category 6 projects. The awardee will participant in the FGDC Standards Work Group meetings and teleconferences and will provide a brief update on project status.
2. Interim and final project reports are required and will be posted on the FGDC Web site, <http://www.fgdc.gov/grants>.
  - a) For the submission schedule see **Section VI.B.** Administrative Project Requirements in the Introduction.
  - b) For content and format see Attachment I - Category 6: FGDC Standards Development Assistance Project Interim and Final Report Format
3. Financial reports are required; see **Section VI.B.** Administrative Project Requirements in the Introduction for further details.
4. Information about workshops prior to its occurrence should be posted to the FGDC Calendar, <http://www.fgdc.gov/calendar>.
5. Reports on workshop events are required as part of the interim or final report. The following information should be included in the report:
  - a) Date of the workshop
  - b) Event – name of the venue hosting the workshop (e.g. Conference name),
  - c) Location of the workshop
  - d) Title of the workshop

- e) Names of the attendees by: Federal bureau name, State agency name, university/college and department name, etc.
- f) Number of attendees
- g) Outcome of the workshop

**L. Proposal Narrative**

The proposal narrative is the document that will be evaluated and scored by the review panel. The maximum score is 100 points. Please limit to no more than 3000 words (about 5 pages using Times New Roman 12 point), not including letters of support, tables, maps, budget, and diagrams:

(0) Proposal Summary—Mandatory (0) points

Please provide information on the following items, as appropriate. Proposals without a complete summary may be disqualified.

- a) Project title
- b) Applicant organization (name, office/branch, street address, city, State, zip, Web site address)
- c) Collaborating organizations (organization, address)
- d) FGDC standard in development registered in the FGDC standards program of work
- e) CAP Project leader - name, telephone, fax, email
- f) Other contact personnel - name, telephone, fax, email
- g) Geographic scope, if appropriate
- h) Previous CAP participation (awarded or submitted but not awarded)
- i) A short stand alone description of the project (limit to 250 words). Note this stand alone description for each awarded proposal will be posted on the FGDC Web site.

(1) Project Scope – Project Description (maximum 25 points)

Identify the FGDC standard in development and all relevant standards. Describe how the project contributes to the NSDI and conforms to appropriate standards. List organizations and communities that will be served by the standard. Describe project objectives and the results of the project. Identify the deliverables from this project.

The project scope will be evaluated to determine if the proposed project will support advancing the project to a milestone in the FGDC standards process by the end of the award period. Any proposal will be evaluated on the degree to which it addresses the information requested in this announcement.

(2) Technical approach (maximum 25 points)

Outline the steps, methodologies, and resources to be utilized in accomplishing the project objectives. Provide milestones for the steps necessary to accomplish project objectives and results.

The proposal evaluation will be based on the degree to which the applicant comprehends the tasks and procedures necessary to accomplish project objectives.

(3) Project Experience (maximum 25 points)

Describe experience, special qualifications and skills possessed necessary for performance of the project. If applicant is a previous NSDI CAP participant, please provide information describing previous effort, accomplishments, and agreement/award number.

Evaluation will be based on how completely and fully the narrative addresses experience, special qualifications, and skills possessed for successful completion of the proposed project by the end of the performance period. Note that institutions that have received NSDI CAP Category 6: FGDC Standards Development and Implementation Assistance and Outreach assistance awards within the past three years are not eligible to receive a 2011 NSDI CAP award in this category.

(4) Commitment to Effort (maximum 20 points)

Describe the extent to which project results will continue or be sustained after the performance period. Evaluation will be based upon the extent that the applicant will continue to support development or implementation of a standard after the end of the award period.

Memoranda of Understanding and/or letters of commitment from project partners, including *project leaders* for the standard under development, are **required** and should be attached to the proposal narrative (Please refer to **Section IV.E.** in the Introduction for further information.)

Applicants from State, regional, or local organizations should obtain a letter of support from a State GIS coordinator or similar authority. Support from a USGS State Geospatial liaison is also recommended: to locate your USGS State liaison, visit <http://liaisons.usgs.gov/geospatial/#nogo>.

(5) Budget Breakdown (maximum 5 points)

Appropriateness and reasonableness of the budget are considered in the review. This factor considers whether the proposed budget is commensurate with the level of effort needed to accomplish the project objectives and whether the cost of the project is reasonable relative to the value of the anticipated results.

Please provide a detailed budget breakdown for the project as an attachment to the proposal narrative. Include the following categories of information, separating the CAP funds from the in-kind match:

- Salaries and Wages
- Fringe Benefits
- Field Expenses
- Other Direct Cost Line Items
- Total Direct Charges
- Indirect Charges (Overhead)

Please refer to **Section IV.D.** in the Introduction and **Attachment C** for complete information. Please note that this budget breakdown is needed in addition to the SF-424A Budget Information Non-Construction Programs that is part of the Grants.gov application.



## General Provisions

This information applies to awarded cooperative agreements.

### A. 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, States 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://whitehouse.gov/omb/circulars/index.html>.

#### Cost Principles, Audit, and Administrative Requirements

The Recipient shall be subject to the following OMB circulars and regulations, which are incorporated herein by reference. Copies of these Circulars can be obtained from the Internet at: <http://www.whitehouse.gov/omb/circulars/index.html>.

#### Educational Institutions

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

#### 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 No. A-133, Audits of States, Local Governments and Non-Profit Organizations, as implemented in 43 CFR Part 12, Subpart A: Administrative and Audit Requirements and Cost Principles for Assistance Programs

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

#### Organizations for Profit, Individuals, and Others Not Covered Above

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

b. OMB Circular No. A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, hospitals, and Other Non-Profit Organizations, as implemented in 2 CFR 215 and 43 CFR Part 12, Subpart F,

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

**B. 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 17, Subpart E: Enforcement of Nondiscrimination on the Basis of Handicap in Programs or Activities Conducted by the Department of the Interior.
- 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 42, Government Debarment and Suspension (Non-procurement)
- 43 CFR 43, Government Requirements for Drug Free Workplace

**--- End of General Provisions---**

## Special Terms and Conditions for USGS Cooperative Agreements

This information applies to awarded cooperative agreements.

### 1. Cooperative Agreement Administration

This cooperative agreement will be administered by:

U.S. Geological Survey  
Office of Acquisition and Grants  
Desiree Santa, Grants Specialist  
12201 Sunrise Valley Drive, MS 205  
Reston, VA 20192

Written communication shall make reference to the Cooperative Agreement award number and shall be mailed to the address above.

### 2. Consideration

- A. The Recipient's proposal, as identified in the award document on Page 1, block 6, is incorporated by reference. The total estimated cost of the USGS share for the performance of the cooperative agreement is the Federal Share amount indicated in block 8 of the award document. Costs hereunder shall in no event exceed that amount.
- B. Prior approval of the Contracting Officer (CO) 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 CO for transfers in excess of the ten (10) percent limitation.

### 3. Method of Payment

The USGS is using the Department of the Treasury Automated Standard Application for Payments (ASAP) to provide electronic invoicing and payment for assistance award recipients. **Payments may be drawn in advance only to meet immediate cash disbursement needs.**

(i) The Recipient agrees that it has established or will establish an account with ASAP. With the award of each grant/cooperative agreement, a sub-account will be set up from which the Recipient can draw down funds. The sub-account number will be shown in Block 4 of the face page of each award or modification.

(ii) Instructions for obtaining payments will be provided to the recipients by ASAP. Inquiries regarding payment should be directed to [www.asap.gov](http://www.asap.gov).

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

### 4. Definitions

#### A. 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 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 **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.

B. 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 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 **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.

C. Principal Investigator

Cooperative Agreements are awarded to Institutions, not to the Principal Investigators. The “recipient” is the Institution where the funds will be going to. 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 Administrative Contracting Officer.

D. Project Officer/ NSDI CAP Coordinator

The Project Officer is the NSDI CAP Coordinator. The coordinator works closely with the recipient to ensure that all technical requirements are being met but 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 causes a change in the total cost or the time required for performance of the award; or changes any of the terms, conditions, or general provisions of the award. The coordinator works with the CAP Category Leads who define the category goals and lead the reviews of the proposals.

The Project Officer/NSDI CAP Coordinator is Brigitta Urban-Mathieux, Federal Geographic Data Committee MS 590 National Center, Reston, VA 20192.

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

The contracting officer for this cooperative agreement will be Desiree Santa, U.S. Geological Survey, Office of Acquisition and Grants, 12201 Sunrise Valley Drive, MS 205, Reston, VA 20192.

5. **Reporting Requirements.**

A. The Recipient is required to submit the following reports or documents:

<b>Report/ Document</b>	<b>No. of Copies and Method of Transmittal</b>	<b>Submit To</b>	<b>When Due</b>
Interim Technical Report	Submitted by email attachment	Project Officer	6 months after project start date
Final Technical Report	Submitted by email attachment	Project Officer	within 90 days after completion of project
Quarterly and Final Financial Reports	See Section 5.C below	See Section 5.C below	See Section 5.C. below

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

(1) **Interim Technical Project Report.** The Recipient is required to submit an Interim Project Report six months after the start of the project date. Interim report should be submitted as an attachment by email to the NSDI CAP Coordinator. See the CAP Administration Web page for the suggested report content at: <http://www.fgdc.gov/grants/CAPAdministrativeGuidance>

(2) **Annual and/or Final Technical Project Report.** These reports should be submitted as an attachment by email to the NSDI CAP Coordinator. See the CAP Administration Web page for the suggested report content at <http://www.fgdc.gov/grants/CAPAdministrativeGuidance> . The final project report is due within 90 days of the end date of the project.

C. **CASH MANAGEMENT AND FINANCIAL REPORTING REQUIREMENTS**

## 1. QUARTERLY FEDERAL FINANCIAL REPORT

Standard Form 425, Federal Financial Report is required quarterly for each ASAP subaccount. Quarterly reports are due 45 days after the end of each fiscal quarter until the final Federal Financial Report is submitted. Instructions for submitting SF 425 can be found at the ASAP Web site at [www.asap.gov](http://www.asap.gov).

The SF 425 Federal Financial Report must be submitted by mail to the Contracting Officer at the address shown in Block 5 of the assistance award form.

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

## 2. FINAL FEDERAL FINANCIAL REPORT

The recipient will liquidate all obligations incurred under the award and submit a final STANDARD FORM 425, FEDERAL FINANCIAL REPORT no later than 90 calendar days after the grant/cooperative agreement completion date. Recipient will promptly return any unexpended Federal cash advances or will complete a final draw from ASAP to obtain any remaining amounts due. Once 120 days has passed since the grant/agreement completion date, the ASAP subaccount for this award may be closed by USGS at any time.

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

- a) 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.

- b) 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.

**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.

**6. Adherence to Original Project Objective and Budget Estimate**

- A. Any commitments or expenditures incurred by the recipient in excess of the funds provided by this award shall be the responsibility of the recipient. Expenditures incurred prior to the effective date of this award cannot be charged against award funds unless provided for in this award.
- B. **The following requests for change require advance written approval by the Contracting Officer shown on the award document. Your request must be submitted directly to the Contracting Officer at least 30 calendar days prior to the requested effective date of the change:**
  - (1) Changes in the scope, objective, or key personnel (Principal Investigator) 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) Foreign travel not approved at time of award.
  - (4) Acquisition of nonexpendable personal property (equipment) not approved at time of award.
  - (5) Change in project period. The recipient shall include in the request the cause of the needed extension, a description of 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. **No-cost extensions are discouraged.** Applicants should consider their time commitments at the time of application for a cooperative agreement. Requests for no-cost extensions will be considered on a case-by-case basis. The USGS reserves the right to limit the length of time and number of no-cost extensions. A request for an extension that is received by the Administrative Contracting Officer after the expiration date shall not be honored. Only one no-cost extension may be granted.
  - (6) Creation of any direct cost line item not approved at time of award.
  - (7) Any other significant change to the award.
- C. The Contracting Officer will notify the recipient in writing within 30 calendar days after receipt of the request for revision or adjustment whether the request has been approved.
- D. No additional funds will be given once the assistance award has been made.

**7. Nonexpendable Personal Property**

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.

**8. Record Retention Period**

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

**9. Pre-agreement Costs**

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

**10. Metric Conversion Requirements**

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.

**11. 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.

**12. Award Closeout**

Awards will be closed out once all requirements have been met. Technical and financial reports must be submitted on time as specified in Item 5 of these Special Terms and Conditions. Failure to adhere to the reporting requirements may result in the non-payment of your final award invoice or in other adverse action.

**13. Partnership with Recipients/Cooperators**

The U.S. Geological Survey, through its Federal 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.

**14. 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.

**15. Anti-Lobbying Requirements**

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

**16. Seat Belt Provision**

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

**17. No Endorsement Provision**

*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. The 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. The 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. The 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.

**18. Rights in Technical Data**

The U.S. Government may publish, reproduce, and use all data obtained from this Cooperative Agreement project in any manner and for any purpose, without limitation, and may authorize others to do the same.

**19. Government Involvement Statement**

A. Substantial involvement is anticipated through the term of the cooperative agreement between the USGS and the recipient (indicated in Block 4 of award document).

B. The USGS and the recipient will collaborate and participate in program planning for each project.

**20. Public Domain**

All data submitted to the U.S. Geological Survey (USGS) under this Cooperative Agreement will become part of the public domain, and will be available in a non-proprietary format, at the cost of reproduction, to any requesting organization or individual.

**21. Geospatial Data, Products, and Services**

Geospatial data produced, acquired or updated using Federal government funding shall be documented in compliance with the Federal Geographic Data Committee (FGDC) geospatial metadata standard. Compliance is defined as providing information for all mandatory and mandatory if applicable (conditional) elements. In addition, data developers must check with their cooperative agreements contact on the need to define all database features (entities and attributes) and provide information for elements that support the long-term value of the data product. Specific guidance is available from the 'Essential Metadata' document available from the FGDC Metadata Publications Web site: <http://www.fgdc.gov/metadata/metadata-publications-list>.

All metadata shall be posted or made available to the Geospatial One-Stop (GOS) Portal, <http://www.geodata.gov>, so that it is discoverable.

Geospatial data developed with Federal funds shall comply with the FGDC data standards. FGDC data standards information is available on the FGDC Web site, <http://www.fgdc.gov>.

**22. Dissemination of Results and Reporting Requirements**

The Principal Investigator is strongly encouraged to disseminate research results promptly to the scientific community and appropriate professional organizations; local, State, regional and Federal agencies; and the general public. The U. S. Geological Survey (USGS) encourages the recipient to publish project reports in scientific and technical journals. The Government may publish, reproduce, and use all technical data developed as a result of this award in any manner and for any purpose, without limitation, and may authorize others to do the same. Interim and final reports generated by the Recipient will be posted on the Federal Geographic Data Committee (FGDC) grants Web site, <http://www.fgdc.gov/grants>.



Data generated as a part of work funded under this program is not subject to proprietary period of exclusive data access. Any data generated must be made available to the USGS as soon as it is available. The USGS reserves a royalty-free, nonexclusive and irrevocable license to reproduce, publish, or otherwise use, and to authorize others to use the data for Government purposes. Any project funded in whole or part with funds obtained under this program shall fall under this clause. The USGS Contracting Officer is the sole person to decide which data fall in this category should any questions arise.

**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
    - (c) Use forced labor in the performance of the award or subawards under the award.
  - (2) We as the Federal awarding agency may unilaterally terminate this award, without penalty, if you or a subrecipient that is a private entity:
    - (a) Is determined to have violated a prohibition in paragraph A (1) of this award term; or
    - (b) Has an employee who is determined by the agency official authorized to terminate the award to have violated a prohibition in paragraph A (1) of this award term through conduct that is either:
      - (i) Associated with performance under this award; or
      - (ii) Imputed to you or the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided at 2 CFR part 180, "OMB

Guidelines to Agencies on Government-wide Debarment and Suspension (Nonprocurement),” as implemented by our agency at 43 CFR Part 42.

B. Provision applicable to a Recipient other than a private entity.

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

- 1) Is determined to have violated an applicable prohibition in paragraph A(1) of this award term; or
- 2) Has an employee who is determined by the agency official authorized to terminate the award to have violated an applicable prohibition in paragraph A(1) of this award term through conduct that is either
  - (a) Associated with performance under this award; or
  - (b) Imputed to the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, “OMB Guidelines to Agencies on Government-wide Debarment and Suspension (Nonprocurement),” as implemented by our agency at 43 CFR Part 42.

C. Provisions applicable to any recipient

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

D. Definitions

For purposes of this award term:

- (1) “Employee” means either:
  - (a) An individual employed by you or a subrecipient who is engaged in the performance of the project or program under this award; or
  - (b) Another person engaged in the performance of the project or program under this award and not compensated by you including, but not limited to, a volunteer or individual whose services are contributed by a third party as an in-kind contribution toward cost sharing or matching requirements.
- (2) “Forced labor” means labor obtained by any of the following methods: the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.
- (3) “Private entity”:
  - (a) Means any entity other than a State, local government, Indian tribe, or foreign public entity, as those terms are defined at 2 CFR 175.25.
  - (b) Includes:
    - (i) A nonprofit organization, including any nonprofit institution of higher education, hospital, or Tribal organization other than one included in the definition of Indian tribe at 2 CFR 175.25(b).
    - (ii) A for-profit organization.
- (4) Severe forms of trafficking in persons,” “commercial sex act,” and “coercion” have the meanings given at section 103 of the TVPA, as amended (22 U.S.C. 7102).

**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/cs/federal\\_policy\\_on\\_research\\_misconduct](http://www.ostp.gov/cs/federal_policy_on_research_misconduct). 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).

**---End of Special Terms and Conditions---**

**USE THE FOLLOWING FORMAT FOR THE BUDGET BREAKDOWN**

2011 National Spatial Data Infrastructure Cooperative Agreements Program  
 BUDGET ESTIMATES FOR PROPOSAL

Applicant: \_\_\_\_\_

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

Budget Category	Federal Funding “Requested”	Matching Funds “Proposed”
<b>1. SALARIES:</b>		
Personnel	\$	\$
	\$	\$
	\$	\$
	\$	\$
Contract Personnel	\$	\$
	\$	\$
	\$	\$
	\$	\$
<b>Total Salaries:</b>	<b>\$</b>	<b>\$</b>
<b>2. FRINGE BENEFITS:</b>		
Personnel	\$	\$
	\$	\$
	\$	\$
	\$	\$
Contract Personnel	\$	\$
	\$	\$
	\$	\$
	\$	\$
<b>Total Fringe Benefits:</b>	<b>\$</b>	<b>\$</b>
<b>3. FIELD EXPENSES:</b>		
Per Diem	\$	\$
Lodging Cost	\$	\$
Vehicle Cost	\$	\$
Mileage	\$	\$
	\$	\$
	\$	\$
<b>Total Field Expenses:</b>	<b>\$</b>	<b>\$</b>
<b>4. OTHER DIRECT COSTS: (itemize)</b>		
Equipment	\$	\$
Supplies	\$	\$
Training	\$	\$
Publications	\$	\$
Office supplies	\$	\$
Communications Costs	\$	\$
	\$	\$
	\$	\$
	\$	\$
<b>Total Other Direct Costs:</b>	<b>\$</b>	<b>\$</b>
<b>Total Direct Costs:</b>	<b>\$</b>	<b>\$</b>
<b>Indirect Cost (%)</b>	<b>\$</b>	<b>\$</b>
<hr/>		
<b>GRAND TOTAL:</b>	<b>\$</b>	<b>\$</b>

## EXAMPLE

National Spatial Data Infrastructure Cooperative Agreements Program  
BUDGET ESTIMATES FOR PROPOSALApplicant: The State of XYZProposal Short Title: Our State's 50 States Initiative Project

Budget Category	Federal Funding "Requested"	Matching Funds "Proposed"
<b>1. SALARIES:</b>		
Personnel		
John Doe, (Assistant Deputy Director & CIO), 50 hrs at \$65/hr	\$	\$3,250
Jane Smith (GIS Manager), 125 hrs at \$57/hr	\$	\$7,125
Summer Intern, 50 hrs at \$37/hr	\$	\$1,850
Contract Personnel		
XYZ Collins (Streets/Addresses Data Mgr), 125 hrs at \$48/hr	\$	\$6,000
Contractor Services (see explanation below)	\$19,000	\$
<b>Total Salaries:</b>	<b>\$19,000</b>	<b>\$18,225</b>
<b>2. FRINGE BENEFITS:</b>		
Personnel		
State Personnel (51%)	\$	\$6,235
<b>Total Fringe Benefits:</b>	<b>\$</b>	<b>\$6,235</b>
<b>3. FIELD EXPENSES:</b>		
NSGIC Mid-Year Travel - Estimate: \$425 registration, \$1500 air, \$850 hotel, \$125 meals, \$100 taxi	\$3,000	\$
State GIS Conference		
Airfare for 4 people	\$1,000	\$
Lodging Cost for 4 rooms @ \$100/night	\$400	\$
Per Diem – 4 people for 4 days @ \$25.00	\$200	\$
Vehicle Cost	\$100	\$
<b>Total Field Expenses:</b>	<b>\$4,700</b>	<b>\$</b>
<b>4. OTHER DIRECT COSTS: (itemize)</b>		
Workshop Room Rental	\$200	\$
Equipment Rental, Videographer	\$1,000	\$
Publications	\$50	\$
Office supplies	\$50	\$
Training	\$	\$
Communications Costs - Webex for additional participants	\$100	\$
<b>Total Other Direct Costs:</b>	<b>\$1,400</b>	<b>\$</b>
<b>Total Direct Costs:</b>	<b>\$25,100</b>	<b>\$24,460</b>
<b>Indirect Cost (9.9%)</b>	<b>\$2,485</b>	<b>\$</b>
<b>GRAND TOTAL:</b>	<b>\$27,585</b>	<b>\$24,460</b>

**EXAMPLE (Continued)****Explanation of Contract Services (\$19,000)**

The State of XYZ Geographic Data Committee (GDC) is planning to contract with a consultant to create a strategic plan, and appropriate business plans based on that strategic plan, to coordinate the continued collection of XYZ Spatial Data Framework Layers and the use and sharing of these and other geospatial data in XYZ. A working group established under the Executive Council of the GDC will act as a steering committee for the project. The chosen consultant will use the strategic and business plan templates created by the National States Geographic Information Council (NSGIC) as a starting point and will integrate with existing State-level information technology management standards and processes for this project. The project will also examine integration of State data with national-level geospatial data and data from neighboring States.

The consultant will participate in a series of workshops and interviews with members of the State GIS community, and any interested members of the public, to create an accurate picture of the present state of GIS framework data collection, coordination and sharing and to gather ideas, concerns, and opportunities for a strategic plan to guide such activities into the future. The workshops will be facilitated by an independent facilitator with knowledge of XYZ's unique governance traditions and the relationships among small governments in what is a small State.

The consultant will produce a draft strategic plan for consideration by the Steering Committee, the full GDC, and finally the GDC Executive Council. Following Executive Council approval of that plan, the consultant will develop business plans to manage the maintenance of the State spatial data infrastructure (SSDI) using the NSGIC business plan template. The State SDI will enable XYZ's support for the development of a National Spatial Data Infrastructure (NSDI).

For this assistance, the recipient will contract services through competition through an RFP. Since the recipients estimates are based on contractor comparisons for similar work, the recipient will charge USGS based on actuals.

**NSDI Cooperative Agreements Program**  
**Category 1: Metadata Trainer and Outreach Assistance**  
**Interim and Final Report Format**

In writing the report keep in mind the objective of this category is for organizations skilled in metadata implementation to assist other organizations or administrative units by providing metadata training, metadata creation assistance, and metadata program implementation and support. Ideally, sustained on-going processes for data documentation will be established for organizations for documenting (metadata) their geospatial holdings, serving this documentation. Keep the report short and to the point. All reports will be posted to the FGDC Web site.

**Date**

**Agreement Number:**

**Project title:**

Indicate whether **Interim** or **Final report**

**Organization:** Name, address, Web address

**Primary Investigator:** Name, telephone, email address

**Collaborating Organizations:** name, point of contact, address, Web address

**Executive Summary**

Write a short paragraph (under 250 words) describing the key successes or outcomes of the project. The interim report should highlight anticipated outcomes and actual milestones, whereas the final report summary should describe the project as completed.

**Project Narrative**

Summarize the project activities. Include its accomplishments, successes, challenges, and collaboration activities, as appropriate. How were challenges identified and what steps were taken to overcome these challenges?

**Training and outreach assistance:**

- Indicate the number, duration, and venue (indicate if Internet/Web supported , i.e. Webinar) of workshops conducted, as appropriate.
- List organizations and organizational type (Federal, State, local, Tribal, academic, NGO, etc) for workshop participants. Names and email addresses for participants are optional, but desirable, as an appendix.
- List number of individuals and the agency/organization they represent receiving metadata training, and outreach assistance.
- List for each workshop the overall customer satisfaction. Customer satisfaction rating is from the NSDI training evaluation form which also provides the means to evaluate trainer proficiency. The evaluation is administered after each workshop and should take as little as 10 minutes if measuring only customer satisfaction and 20 minutes for trainer proficiency. The evaluation form is available at <http://www.fgdc.gov/training>.
- Letters of recognition for the workshop to the awardee, publication articles regarding the workshop, external endorsement for the workshop.
- Describe the means of instruction: lecture only, lecture and exercises, or lecture and computer assisted.
- List new organizations engaged in this project.

**Status of Metadata Service** (if metadata is created during workshops)

- Indicate how and where metadata is served: NSDI registered clearinghouse node, Open Archives Initiative Protocol for Metadata Harvesting (OAI-PMH) provider software, or FGDC Browse-enabled Web Directory, where metadata is in XML and harvestable through The Geospatial One-Stop Portal at <http://www.geodata.gov>.
- Approximately how many metadata files have resulted from this project, if any?

**Photographs, graphics, or illustrations** of the project are highly desirable. If available please include a few.

**Next Steps:**

- Will the project's activities continue after the award is closed?
- What formal or informal organizational relationships established to sustain activities beyond performance period?
- Describe the next phase in your project.
- Are there issues in metadata management and service? Do you need FGDC assistance?
- Requirements (more technical assistance, software, other?)
- What other areas need work?
- What do you anticipate future metadata training, outreach, creation and posting (to clearinghouse or other locations) after the project performance period ends?

**Feedback on Cooperative Agreements Program** (To be completed for the final report)

- What are the CAP Program strengths and weaknesses?
- Where did it make a difference?
- Was the assistance you received sufficient or effective?
- What would you recommend that the FGDC do differently?
- Are there factors that are missing or additional needs that should be considered?
- Are there program management concerns that need to be addressed, such as the time frame?
- If you were to do the project again, what would you do differently?



**NSDI Cooperative Agreements Program**  
**Category 2: FGDC-endorsed Standards Implementation Training and Outreach Project**  
**Interim and Final Report Format**

In writing the report, keep in mind the expected deliverables for this category for assistance in the implementation of FGDC-endorsed standards. Keep the report short and to the point. All reports will be posted to the FGDC Web site.

**Date**

**Agreement Number**

**Project title:**

Indicate whether **Interim** or **Final report**

**Organization:** Name, address, Web address

**Principal Investigator:** Name, telephone, email address

**Listing of Collaborating Organizations:** name, organization, telephone, email address

**Executive Summary**

Write a short paragraph (under 250 words) describing the key successes or outcomes of the project. The interim report should highlight anticipated outcomes and actual milestones, whereas the final report summary should describe the project as completed.

**Project Narrative**

Summarize the project activities. Include its accomplishments, successes, challenges, and collaboration activities, as appropriate. How were challenges identified and what steps were taken to overcome these challenges?

For workshops:

- Indicate the number, duration, and venue of workshops conducted, as appropriate.
- List organizations and organizational type (Federal, State, local, Tribal, academic, NGO, etc) for workshop participants. Names and email addresses for participants are optional, but desirable.
- List number of individuals and the agency/organization they represent receiving FGDC-endorsed standards training, and outreach assistance.
- List for each workshop the overall customer satisfaction. Customer satisfaction rating is from the NSDI training evaluation form which also provides the means to evaluate trainer proficiency. The evaluation is administered after each workshop and should take as little as 10 minutes if measuring only customer satisfaction and 20 minutes for trainer proficiency. The evaluation form is available at <http://www.fgdc.gov/training>.
- Describe the means of instruction, for example, lecture only, lecture and exercises, or lecture and computer assisted.
- Letters of recognition for the workshop to the awardee, publication articles regarding the workshop, external endorsement for the workshop.
- List new organizations engaged in this project.

**Next Steps**

- Will this project's activities continue after the performance period?
- What formal or informal organizational relationships have been established to sustain activities beyond performance period?
- Describe the next phase in your project.
- Requirements (more technical assistance, software, other?)
- What other areas need work?
- What do you anticipate for future FGDC-endorsed standards training and outreach after the project performance period ends?

**Photographs, graphics, or illustrations** of the project are highly desirable. If available please include a few.

**Feedback on Cooperative Agreements Program** (To be completed for the final report)

- What are the CAP Program strengths and weaknesses?
- Where did it make a difference?
- Was the assistance you received sufficient or effective?
- What would you recommend that the FGDC do differently?
- Are there factors that are missing or additional needs that should be considered?
- Are there program management concerns that need to be addressed, such as the time frame?
- If you were to do the project again, what would you do differently?

**NSDI Cooperative Agreements Program**  
**Category 3: Fifty States Initiative - Strategic and Business Plan Development**  
**Interim and Final Report Format**

Keep the report short and to the point. All reports will be posted to the FGDC Web site.

**1. Interim Report Format**

**Date:**

**Agreement Number:**

**Project Title:**

**Organization:** Name, address, Web address

**Principal Investigator:** Name, telephone, email address

**Collaborating Organizations:** name, point of contact, address, Web address

**Project Narrative**

In writing the report keep in mind the goals of your project which can be realized through the development and implementation of statewide strategic and business plans.

Please include

- Summary of project activities
- Key accomplishments to date
- How inclusive is your effort? What have you done to bring new stakeholder groups or organizations into statewide coordination?
- What practices or activities led to success? What practices or activities have not?
- 

**Photographs, graphics, or illustrations** of the project are highly desirable. If available please include a few.

**Next Steps**

- Describe the next steps in your project
- Where do you need assistance?
- What type of assistance do you need?

**Revised Timeline**

- Is your project proceeding on its original timeline?
- Do you expect to complete your project on the scheduled completion date?
- If not, request a time extension by providing a justification for previous and expected delays, and then identify a new completion date.

**Attachments**

- As required
- Draft strategic and/or business Plans

**2. Final Report Format**

**Date:**

Indicate **Agreement Number:**

Indicate **Project Title:**

**Organization:** Name, address, Web address

**Principal Investigator:** Name, telephone, email address

**Collaborating Organizations:** name, point of contact, address, Web address

**Executive Summary**

Write a short paragraph (under 250 words) describing the key successes or outcomes of the project.

### **Project Narrative**

In writing the report keep in mind the goals of your project which can be realized through the development and implementation of statewide strategic and business plans.

Please include:

- Summary of project activities
- Key accomplishments. How inclusive is your effort? What have you done to bring new stakeholder groups or organizations into statewide coordination?
- Explain how statewide coordination has (or will) change as a result of this project.
- What practices or activities led to success? What practices or activities have not?
- Explain how your project has advanced the NSDI

**Photographs, graphics, or illustrations** of the project are highly desirable. If available please include a few.

### **Next Steps**

- Describe the next steps in your project
- How will this project continue into the future and remain viable?
- Where do you need assistance?
- What type of assistance do you need?

### **Attachments**

- As required
- Completed materials
- Completed strategic and/or business plans

### **Provide Feedback on the Cooperative Agreements Program**

- What are the CAP Program strengths and weaknesses?
- Where did it make a difference to your State?
- Was the assistance you received sufficient or effective?
- What would you recommend that the FGDC do differently?
- Are there factors that are missing or additional needs that should be considered?
- Are there program management concerns that need to be addressed, such as the time frame?
- If you were to do the project again, what would you do differently?

**NSDI Cooperative Agreements Program**  
**Category 4: Fifty States Initiative: Business Plan Development and Implementation**  
**Interim and Final Report Format**

Keep the report short and to the point. All reports will be posted to the FGDC Web site.

**1. Interim Report Format**

**Date:**

**Agreement Number:**

**Project Title:**

**Organization:** Name, address, Web address

**Principal Investigator:** Name, telephone, email address

**Collaborating Organizations:** name, point of contact, address, Web address

**Project Narrative**

In writing the report keep in mind the goals of your project which can be realized through the development and implementation of this statewide business plan.

Please include

- Summary of project activities
- Key accomplishments to date
- How inclusive is your effort? What have you done to bring new stakeholder groups or organizations into statewide coordination?
- What practices or activities led to success? What practices or activities have not?

**Photographs, graphics, or illustrations** of the project are highly desirable. If available please include a few.

**Next Steps**

- Describe the next steps in your project
- Where do you need assistance?
- What type of assistance do you need?

**Revised Timeline**

- Is your project proceeding on its original timeline?
- Do you expect to complete your project on the scheduled completion date?
- If not, request a time extension by providing a justification for previous and expected delays, and then identify a new completion date.

**Attachments**

- As required
- Draft Business Plan(s)

**2. Final Report Format**

**Date:**

Indicate **Agreement Number:**

Indicate **Project Title:**

**Organization:** Name, address, Web address

**Principal Investigator:** Name, telephone, email address

**Collaborating Organizations:** name, point of contact, address, Web address

**Executive Summary**

Write a short paragraph (under 250 words) describing the key successes or outcomes of the project.

### **Project Narrative**

In writing the report keep in mind the goals of your project which can be realized through the development and implementation of this statewide business plan.

Please include

- Summary of project activities
- Key accomplishments to date
- How inclusive is your effort? What have you done to bring new stakeholder groups or organizations into statewide coordination?
- Explain how statewide coordination has (or will) change as a result of this project.
- What practices or activities led to success? What practices or activities have not?
- Explain how your project has advanced the NSDI

**Photographs, graphics, or illustrations** of the project are highly desirable. If available please include a few.

### **Next Steps**

- Describe the next steps in your project
- How will this project continue into the future and remain viable?
- Where do you need assistance?
- What type of assistance do you need?

### **Attachments**

- As required
- Completed materials
- Completed business plan(s)

### **Provide Feedback on the Cooperative Agreements Program**

- What are the CAP Program strengths and weaknesses?
- Where did it make a difference to your State?
- Was the assistance you received sufficient or effective?
- What would you recommend that the FGDC do differently?
- Are there factors that are missing or additional needs that should be considered?
- Are there program management concerns that need to be addressed, such as the time frame?
- If you were to do the project again, what would you do differently?

**NSDI Cooperative Agreements Program**  
**Category 5: Return on Investment (ROI) Methodology and Business Case Development for Multi-agency NSDI Projects**  
**Interim and Final Report Format**

In writing the report, keep in mind the expected deliverables for this category for assistance in the development Multi-agency ROI. Keep the report short and to the point. All reports will be posted to the FGDC Web site.

**Date**

**Agreement Number**

**Project title:**

Indicate whether **Interim** or **Final report**

**Organization:** Name, address, Web address

**Principal Investigator:** Name, telephone, email address

**Listing of Collaborating Organizations:** name, organization, telephone, email address

**Executive Summary**

Write a short paragraph (under 250 words) describing the key successes or outcomes of the project. The interim report shall highlight anticipated outcomes and actual milestones. The final report summary shall describe the project as completed.

**Project Narrative**

The interim report shall highlight anticipated outcomes and actual milestones. The final report summary shall describe the project as completed. Summarize the project activities. Include its accomplishments, successes, challenges, and collaboration activities, as appropriate.

- Describe the approach for structuring and organizing the ROI analysis.
- Were subject matter experts involved? What is their role?
- List major deviations from the original proposal and explain rationale.
- Describe how challenges were identified and what steps were taken to overcome them.
- For the interim report address your project schedule. Will you finish on time?
- For the interim report please attach a draft ROI Case study and related documents.
- For the final report, identify completed activities and activities planned after the award is complete.
- For the final report, please attach final ROI Case study and related documents to report

**Photographs, graphics, or illustrations** of the project are highly desirable. If available please include a few.

**Feedback on Cooperative Agreements Program** (To be completed for the final report)

- What are the CAP Program strengths and weaknesses?
- Where did it make a difference to your State?
- Was the assistance you received sufficient or effective?
- What would you recommend that the FGDC do differently?
- Are there factors that are missing or additional needs that should be considered?
- Are there program management concerns that need to be addressed, such as the time frame?
- If you were to do the project again, what would you do differently?

**NSDI Cooperative Agreements Program**  
**Category 6: FGDC Standards Development Assistance Project**  
**Interim and Final Report Format**

In writing the report, keep in mind the expected deliverables for this category for assistance in the development of FGDC standards. Keep the report short and to the point. All reports will be posted to the FGDC Web site.

**Date**

**Agreement Number**

**Project title:**

Indicate whether **Interim** or **Final report**

**Organization:** Name, address, Web address

**Principal Investigator:** Name, telephone, email address

**Collaborating Organizations:** name, point of contact, address, Web address

**Executive Summary**

Write a short paragraph (under 250 words) describing the key successes or outcomes of the project. Did the project serve to advance the standard to a milestone in the FGDC standards process? How so? The interim report shall highlight anticipated outcomes and actual milestones. The final report summary shall describe the project as completed.

**Project Narrative**

The interim report shall highlight anticipated outcomes and actual milestones. The final report summary shall describe the project as completed. Summarize the project activities. Include its accomplishments, successes, challenges, and collaboration activities, as appropriate.

- List the reviewers for the development of resources. Were subject matter experts involved in review? If testing is involved, list the audiences used for testing.
- List major deviations from the original proposal and explain rationale.
- Describe how challenges were identified and what steps were taken to overcome them.
- For the final report, identify how the public can access the deliverables at no cost.
- For the final report, identify completed activities and activities planned after the performance and inform the community of the guidance resources.

**Photographs, graphics, or illustrations** of the project are highly desirable. If available please include a few.

**Next Steps:**

- Will the project activities continue after the award is closed?
- What formal or informal organizational relationships were established to sustain activities beyond performance period?
- Describe the next phase in your project.
- Do you need FGDC assistance?
- What requirements (more technical assistance, software, other?) do you have to continue project? What other areas need work?

**Feedback on Cooperative Agreements Program** (To be completed for the final report)

- What are the CAP Program strengths and weaknesses?
- Where did it make a difference?
- Was the assistance you received sufficient or effective?
- What would you recommend that the FGDC do differently?
- Are there factors that are missing or additional needs that should be considered?
- Are there program management concerns that need to be addressed, such as the time frame?
- If you were to do the project again, what would you do differently?