Please note that changes have been made to this announcement on 11/09/2011. See changes in red on pages 11, 44, 52, 58-59, 63-65.

# 2012 National Spatial Data Infrastructure Cooperative Agreement Program





Program Announcement Number **G12AS20000**CFDA Number: 15.809
OMB Control Number 1028-0084, Expiration Date 1/31/2012

For Fiscal Year 2012

**Issue Date: November 3, 2011** 

**CLOSING DATE & TIME:** 

January 24, 2012, 2:00 pm EDT

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**

	Page Number				
	Introduction and General Information				
I.	Description of Award Opportunity				
II.	Award Information5				
III.	Applicant Eligibility6				
IV.	Application and Submission Information6				
V.	Application Review11				
VI.	Award Administration Information				
VII.	Agency Contacts				
Category 1: Metadata Trainer and Outreach Assistance					
Categ	Category 2: ISO Geospatial Metadata Standards Implementation				
Categ	gory 3: Expanding Use of the GIS Inventory System				
Categ	gory 4: Fifty States Initiative: Business Plan Development and Implementation39				
Categ	gory 5: FGDC-endorsed Standards Implementation Training and Outreach45				
Categ	gory 6: FGDC Standards Development Assistance53				
Categ	Category 7: Geospatial Platform Cloud Service Testbed				
Attachment A - General Provisions					
Attachment B - Special Terms and Conditions for USGS Cooperative Agreements					
Attachment C - Budget Breakdown Template with Example					
Templates for Interim and Final Reports					
Attachment D - Metadata Trainer and Outreach Assistance					
Attachment E - ISO Geospatial Metadata Standards Implementation					
Attachment F - Expanding Use of the GIS Inventory System					
Attac	Attachment G - Fifty States Initiative: Business Plan Development and Implementation				
Attachment H - FGDC-endorsed Standards Implementation Training and Outreach					
Attac	Attachment I - FGDC Standards Development Assistance				
Attachment J - Geospatial Platform Cloud Service Testbed					

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 <a href="mailto:dsanta@usgs.gov">dsanta@usgs.gov</a>.

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

# 2012 National Spatial Data Infrastructure Cooperative Agreements Program (NSDI CAP)

## **Program Announcement Number G12AS20000**

#### **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 2012 NSDI Cooperative Agreements Program

A total of \$810,000 in funds is available for the fiscal year 2012 cooperative agreements program. The projects will be funded for one year. Award notification will be made in March 2012. Project work must commence no later than September 30, 2012 (the end of the 2012 Federal fiscal year). Start dates on or after October 1, 2012 are not authorized under this announcement. The Government's obligation under this program is contingent upon the availability of funds.

# **B. Summary of 2012 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 3 cooperative agreements of up to \$25,000 each, with the recipient matching 30-50% of the award with funding or inkind services.

Category 2: ISO Geospatial Metadata Standards Implementation projects are intended to explore and test the process and procedures involved in transitioning from the FGDC Content Standard for Digital Geospatial Metadata (CSDGM) to the international geospatial metadata standard, ISO 19115 Geographic Information – Metadata and associated ISO standards. Projects should outline an implementation strategy that identifies the processes, participants, milestones and timeline for exploring the technical and organizational issues that must be addressed during transition. A project can focus on technical and/or organizational issues. This category will award up to 3 cooperative agreements of up to \$30,000 each, with the recipient matching 30-50% of the award with funding or in-kind services.

# Category 3: Expanding Use of the GIS Inventory System

This category will encourage State and regional governments to populate the National States Geographic Information Council's (NSGIC) GIS Inventory System (also known as Ramona and located at http://gisinventory.net) with metadata containing links to standards compliant data or data services for subsequent harvesting by the NSDI Clearinghouse Catalog, and to identify State and local GIS managers in support of the Federal Geospatial Platform activities. This category will award up to 20 cooperative agreements ranging from \$7,500 to \$15,000 each, depending on the level of effort, 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 geospatial related business plans. The plans will advance the statewide spatial data infrastructure (SSDI) and advance the NSDI by facilitating the alignment of Federal agencies with statewide geospatial planning activities. Projects with a focus on cadastral, elevation, or orthoimagery data and building partnerships for these data with Federal agencies are preferred. 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: FGDC-endorsed Standards Implementation Training and Outreach
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 categories 1 and 2
above) or the Standard for a U.S. National Grid, FGDC-STD-011-2001. Deliverables
through this category might include 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 30-50% 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 <a href="http://www.fgdc.gov/standards/projects/FGDC-standards-projects/FGDC-standards-in-development">http://www.fgdc.gov/standards/projects/FGDC-standards-projects/FGDC-standards-in-development</a>). The project outcome should result in the advancement of a standard project to a milestone in the FGDC standards process. This category will award up to 2 cooperative agreements of up to \$25,000 each with the recipient matching 30-50% of the award with funding or in-kind services.

## Category 7: Geospatial Platform Cloud Service Testbed

This category will support State, local, and/or Tribal governments who have formal data exchange agreements with Federal agencies for the collection and local management of nationally significant geospatial data, per OMB Circular A-16, and seek to deploy secure geospatial cloud services that meet Federal requirements. The result of each award in this category will be an operational geospatial Cloud services whose deployment costs and performance characteristics are known and documented. This category will award up to 3 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 2012 CAP program, a total of not to exceed \$810,000 is available for funding. Between 31 and 41 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	30-50%	3
2. ISO Geospatial Metadata Standards Implementation	Up to \$25,000	30-50%	3
3. Expanding Use of the GIS Inventory System	Between \$7,500 and \$15,00	50%	10-20
4. Fifty States Initiative: Business Plan Development and Implementation	Up to \$40,000	30-50%	8
5. FGDC-endorsed Standards Implementation Training and Outreach	Up to \$25,000	30-50%	2
6. FGDC Standards Development Assistance	Up to \$25,000	50%	2
7. Geospatial Platform Cloud Service Testbed	Up to \$25,000	50%	3

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 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 (<a href="http://www.fgdc.gov">http://www.fgdc.gov</a>), a wide range of information related to the NSDI, 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 entities, non-profit entities 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. <u>However, a complete and separate application package is required for each category submission</u>. If an applicant receives awards in more than one category the projects will be combined into a single award with the funding a combined total of all the awards. In the proposal narrative portion of the proposal the applicant should note that they are applying in multiple categories.
- 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 <a href="http://www.grants.gov">http://www.grants.gov</a> Web site for electronic submission.

Applications must be submitted no later than **January 24, 2012, 2:00 pm 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 <a href="http://www.grants.gov/">http://www.grants.gov/</a> and click on the "Get Registered" tab in the red Applicants section on the left side of the page for the steps). <a href="https://www.grants.gov">Be</a> 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 <a href="http://www.usgs.gov/contracts/grants/grantsgov.html">http://www.usgs.gov/contracts/grants/grantsgov.html</a>.

# 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 cooperative agreements award.
- Standard Form 424A Budget Information Non-Construction Programs
  - o Mandatory form provided in grants.gov.
- Standard Form 424B Assurances Non-Construction Programs
  - o Mandatory form provided in grants.gov.
- Proposal narrative
  - o Mandatory Follow outline described in the category descriptions.
- Detailed budget breakdown
  - o Mandatory 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.
  - o Attach to proposal narrative.
- Negotiated Rate Agreement
  - O 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 <a href="http://www.grants.gov/help/download\_software.jsp">http://www.grants.gov/help/download\_software.jsp</a>

# 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 "**2012 CAP - Category N**" where N is the specific award category 1, 2, 3, 4, 5, 6 or 7.

Item 17. Proposed Project Start and End Dates – The start date can be any time prior to September 30, 2012. The end date needs to be 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 <u>Section B - Budget Categories</u>

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, <u>separating</u> the CAP funds and the inkind match. Attachment C includes an example of a budget breakdown.

- 1. <u>Salaries and Wages</u>. 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. <u>Fringe Benefits.</u> Propose your rates/amounts. If rates are audit approved, include copy of the audit agreement and/or the name of the audit agency.
- 3. <u>Field Expenses</u>. 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. <u>Total Direct Charges</u>. Totals for items 1, 2, 3, and 4. The proposal must show the in-kind match.
- 6. <u>Indirect Charges (Overhead)</u>. 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 <u>required</u>. 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 (A good test for this is to ask: "Would it be necessary to buy the service or property in order to accomplish the project objectives, and is the cost (value) reasonable for this purpose?"),
  - d. Allowable under the applicable cost principles:

matches)

- OMB Circular A-21: Cost Principles for Educational Institutions http://www.whitehouse.gov/omb/circulars a021 2004
- OMB Circular A-87: Cost Principles for State, Local, and Indian Tribal Governments, Attachment B http://www.whitehouse.gov/omb/circulars\_a087\_2004#attb (this contains information that is useful to applicant when determining allowable in-kind
- OMB Circular A-122: Cost Principles for Non-Profit Organizations http://www.whitehouse.gov/omb/circulars\_a122\_2004/#attb,
- e. <u>Not paid by the Federal Government under another award</u>, 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.

Please note that letters of support/commitment may not be provided by USGS Geospatial Liaisons or any other Federal employee and are not, therefore, required.

## F. Additional Help

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

# V. Application Review

#### A. Review and Selection Process

Applications are considered based on the completeness of proposal narrative, meeting of stated basic eligibility, completeness of budget breakdown, 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 be sent to the recipient via email by the USGS Grants Specialist in the form of a "Grant and Cooperative Agreement" 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, <a href="http://www.fgdc.gov/grants">http://www.fgdc.gov/grants</a>.

## **B.** Administrative Project Requirements

# 1. Reporting and Presentations

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

Report	Due Dates
Interim Technical Project Report	6 months after the start of the project
nal Technical Project Report	On or before 90 calendar days after the
Tillar Technicar Froject Report	expiration of the agreement
nnual and Final Federal Financial eport	90 calendar days after the grant/cooperative
	agreement year and 90 calendar 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: ISO Geospatial Metadata Standards Implementation

Attachment F - Category 3: Expanding Use of the GIS Inventory System

Attachment G - Category 4: Fifty States Initiative: Business Plan Development and Implementation

Attachment H – Category 5: FGDC-endorsed Standards Implementation Training and Outreach

Attachment I – Category 6: FGDC Standards Development Assistance

Attachment J – Category 7: Geospatial Platform Cloud Service Testbed

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

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. Each category will have an orientation meeting that will be hosted by the category lead via teleconference and/or webinar. The date and time will be agreed to by the project leaders and the category lead. Administrative guidance for the projects will be provided. The meetings will most likely occur in the spring of 2012.

# 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, a new principal investigator from the recipient organization must be assigned to the project.

# **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: <a href="mailto:support@grants.gov">support@grants.gov</a>

USGS Grants.gov and ASAP Enrollment contact:

Laura Mahoney Phone: 703-648-7344 Fax: 703-648-7901

Email: 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

## 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

## **D.** Category Leads

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

Category 1: Metadata Trainer and Outreach Assistance Ms. Jennifer Carlino, jcalino@usgs.gov

#### **Introduction and General Information**

Category 2: ISO Geospatial Metadata Standards Implementation Ms. Jennifer Carlino, <u>jcalino@usgs.gov</u>

Category 3: Expanding Use of the GIS Inventory System Mr. Doug Nebert, <a href="mailto:ddnebert@fgdc.gov">ddnebert@fgdc.gov</a>

Category 4: Fifty States Initiative: Business Plan Development and Implementation Ms. Arista Maher, <a href="mailto:amaher@fgdc.gov">amaher@fgdc.gov</a>

Category 5: FGDC-endorsed Standards Implementation Training and Outreach Ms. Julie Binder Maitra, <a href="maitra@fgdc.gov">jmaitra@fgdc.gov</a>

Category 6: FGDC Standards Development Assistance Ms. Julie Binder Maitra, <u>jmaitra@fgdc.gov</u>

Category 7: Geospatial Platform Cloud Service Testbed Mr. Doug Nebert, <a href="mailto:ddnebert@fgdc.gov">ddnebert@fgdc.gov</a>

# **2012 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 exiting 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 2012 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: <a href="http://www.fgdc.gov/training/metadata-curriculum">http://www.fgdc.gov/training/metadata-curriculum</a>. 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, the modules shall be supplied, to the coordinator, in Microsoft PowerPoint and include learning goals and objectives and be 508 Compliant. Modules on <a href="www.fgdc.gov">www.fgdc.gov</a> 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: <a href="http://www.fgdc.gov/training/training-materials">(http://www.fgdc.gov/training/training-materials</a>). 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://ets.tlt.psu.edu/learningdesign/objectives

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 <a href="http://www.fgdc.gov/training/metadata-curriculum">http://www.fgdc.gov/training/metadata-curriculum</a>.
- 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 or other external discovery portal.
- 4. All FGDC Web hosted Web 2.0 applications will be developed in open-source and approved by the FGDC Web Administrator.
- 5. Managerial audience metadata training content must have content at the one hour duration, see <a href="http://www.fgdc.gov/training/metadata-curriculum">http://www.fgdc.gov/training/metadata-curriculum</a>,

6. 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.

7. 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 entities, non-profit entities, 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 2012 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 <u>30-50% match</u> is required. Contribution of matching personnel hours or funding, supplied development hardware and software are considered in-kind match. <u>The value of data will not be considered as an in-kind match.</u> 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.** 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 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, but does not include programming or development of metadata creation tools.
  - 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 Workshop presentation,

i) Project Results reported in the interim and final reports, FGDC Calendar postings, and training evaluation survey,

- j) Participation in FGDC Metadata Working Group quarterly meetings, and
- k) Travel expenses and registration at conference or meeting as specified in 3.
- 2. Participation in CAP Kick-off Workshop. The recipients will meet electronically via webinar. The Kick-off Workshop will review the agreement process and new developments in metadata. Each awardee will be expected to give a brief presentation on their project and the presentation will be posted on the FGDC website.
- 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 geospatial 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 ISO 19115 Geographic Information Metadata and associated ISO standards).
- 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) Harvest metadata to external discovery portals (e.g., Data.gov or Geospatial One-Stop Portal at http://www.geodata.gov),
  - d) OGC Catalog Services for the Web (CSW).
- 3. GI S&T Body of Knowledge GD 12 Metadata http://www.ucgis.org/priorities/education/modelcurriculaproject.asp

## I. Category Lead Technical Contact

Ms. Jennifer Carlino, Acting Metadata Category Lead, email: <u>jcarlino@usgs.gov</u>.

## J. FGDC Involvement Statement and Project Resources

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 Data.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 2012 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.

The FGDC Metadata Web site (<a href="http://www.fgdc.gov/metadata">http://www.fgdc.gov/metadata</a>) 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, <a href="http://www.fgdc.gov/training/metadata-curriculum">http://www.fgdc.gov/training/metadata-curriculum</a>.

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: <a href="http://www.aacsb.edu/publications/papers/accreditation/assurance-of-learning.pdf">http://www.aacsb.edu/publications/papers/accreditation/assurance-of-learning.pdf</a> <a href="http://ets.tlt.psu.edu/learningdesign/objectives">http://ets.tlt.psu.edu/learningdesign/objectives</a> <a href="http://tilt.colostate.edu/guides/tilt">http://tilt.colostate.edu/guides/tilt</a> 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/modelcurriculaproject.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 promotion tool for the workshops. A list of Liaisons can be found at <a href="http://liaisons.usgs.gov/geospatial/#nogo">http://liaisons.usgs.gov/geospatial/#nogo</a>.

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

## 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) Provide the method(s) of promoting the workshop (e.g., FGDC Calendar, Listserv, etc.)
  - h) The NSDI training evaluation form is available at <a href="http://www.fgdc.gov/training">http://www.fgdc.gov/training</a>. The first four questions are required.
  - i) 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. A total point value of 100 points is 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. All narratives should be structured in the order that follows below. Narratives should be divided into sections with clearly denoted headings (e.g. "Proposal Summary, Project Scope, Project Plan and Managerial Capacity, etc.)

# (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) Principal investigator (name, telephone, fax, email address)
- h) Other contact personnel (name, telephone, fax, email address)
- i) Geographic scope or area
- j) Previous CAP participation (awarded or submitted but not awarded)
- k) A short, stand-alone description of the project (limited to 250 words). This stand-alone description will be posted on the FGDC Web site for each awarded proposal.

# (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 applicants. 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 geospatial 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.

The proposal evaluation will be based on how fully the project scope is addressed.

# (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.

A metadata repository, NSDI Clearinghouse within Data.gov, 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).

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 promote to populate workshops. 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 2012 NSDI CAP award in this category.

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

For nationally focused classroom or electronic training: Memoranda of Understanding (MoU) 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: 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. *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*.

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.

Evaluation will be based upon the extent that the applicant will continue to support implementation of a metadata beyond the award period. Memoranda of Understanding (MoU) and/or letters of support/commitment will be considered in the evaluation.

# (5) **<u>Budget Breakdown</u>** (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, <u>separating</u> 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.

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.

## 2012 NSDI CAP Category 2: ISO Geospatial Metadata Standards Implementation

# A. Background

The international community, through the International Organization of Standards (ISO), has developed and approved an international metadata standard, ISO 19115 Geographic Information – Metadata and associated ISO standards. The U.S. is in the process of adopting and implementing this new standard. This means that organizations, which have been using the FGDC's Content Standard for Digital Geospatial Metadata (CSDGM), will need to transition to the ISO metadata standard. This category is intended to promote the implementation of ISO Geospatial Metadata Standards at all levels of government and organizations.

## **B. Project Goals**

Projects in this category are intended to explore and test the process and procedures involved in transitioning from the FGDC Content Standard for Digital Geospatial Metadata (CSDGM) to the international geospatial metadata standard, ISO 19115 Geographic Information – Metadata and associated ISO standards. Projects should outline an implementation strategy that identifies the processes, participants, milestones and timeline for exploring the technical and organizational issues that must be addressed during transition. A project can focus on technical and/or organizational issues.

## C. Project Results

Project results or outcomes sought under this category could include:

- 1. Development and documentation of the CSDGM to ISO Transition Strategy.
- 2. Translation, creation, validation and publication of ISO 19115 Geographic Information Metadata and associated ISO standards formatted metadata records.
- A report outlining the successes and challenges experienced in addressing technical and organizational issues and a summary of recommendations for ISO 19115 Geographic Information – Metadata and associated ISO standards implementation.
- 4. Established expertise in CSDGM to ISO capabilities to support the NSDI community in the transition process via consultation, presentations and other forms of outreach.
- 5. Publication of resulting ISO metadata records into the Data.gov catalog system in support of the Geospatial Platform.

Reporting requirements are listed below.

## D. Applicant Eligibility

State or local government, academia, private sector entities, non-profit entities, and Tribal organizations, as well as consortia of organizations, who own and publish significant numbers of geospatial metadata records may apply.

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

## E. Funding Amount and In-Kind Match

1. Federal Assistance

Up to \$30,000 will be obligated to individual projects under this category.

2. Applicant In-Kind Resource Match

A <u>30-50% match</u> is required. Contribution of matching personnel hours or funding, supplied development hardware and software are considered in-kind match. <u>The value of data will not be considered as in-kind match</u>. 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.** in the Introduction for more details and for in-kind match calculation.

## F. Funded Activities

- 1. Funded tasks and items under this category may include the following:
  - a) Activities related to the development of a CSDGM to ISO transition strategy (e.g., processes, participants, milestones and timeline for exploring the technical and organizational issues that must be addressed during transition),
  - b) Expenses related to obtaining needed copies of ISO 19115 Geographic Information Metadata and associated ISO standards,
  - c) Outreach sessions and workshops (travel, facilities, reproduction costs, equipment, supplies, etc.),
  - d) Activities related to identifying and reporting the successes and challenges experienced in addressing technical and organizational issues in transition,
  - e) Support for translation, creation, validation and publication of ISO 19115 Geographic Information – Metadata and associated ISO standards,
  - f) Registration of an organizational metadata collection with Data.gov for resulting metadata.
  - g) Reasonable expenses for hardware and software that are dedicated to the project and its sustainability, but does not include programming or development of tools,
  - h) Labor costs to create and serve metadata for other organizations or administrative units,
  - i) Development of Kick-off Workshop presentation,
  - j) Project results reported in the interim and final reports, and FGDC Calendar postings,
  - k) Participation in FGDC Metadata Working Group quarterly meetings, and
  - 1) Travel expenses and registration at conference or meeting as specified in 3.
- 2. Participation in CAP Kick-off Workshop. The recipients will meet electronically via webinar. The Kick-off Workshop will review the agreement process and new developments in metadata. Each awardee will be expected to give a brief presentation on their project and the presentation will be posted on the FGDC website.
- 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.

## 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:

- ISO 19115 Geographic Information Metadata and associated ISO standards, which include but are not limited to: ISO 19115 (Metadata); ISO 19119 (Services and extensions for service metadata model); ISO 19157 (Data Quality); ISO 19139 (Geographic Information Metadata XML schema for ISO 19115); ISO 19110 (Feature Catalog), and other relevant standards.
- 2. FGDC Content Standard for Digital Geospatial Metadata, Version 2 (CSDGM), FGDC-STD-001-1998.

# I. Category Lead Technical Contact

Ms. Jennifer Carlino, Acting Metadata Category Lead, email: jcarlino@usgs.gov.

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

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 Data.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 2012 CAP Kick-off Workshop at an agreed site and time. The FGDC will conduct progress calls and review 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.

The FGDC Metadata Web site (<a href="http://www.fgdc.gov/metadata">http://www.fgdc.gov/metadata</a>) provides links to a variety of metadata resources.

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 outreach opportunities in their State. A list of Liaisons can be found at <a href="http://liaisons.usgs.gov/geospatial/#nogo">http://liaisons.usgs.gov/geospatial/#nogo</a>.

Results and recommendations from all Category 2 projects may be compiled and edited into an FGDC Metadata Program website resource.

## 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 Metadata Work Group meetings and teleconferences and provide a brief update on project status.
- 2. Interim and final project reports are required and will be posted on the FGDC Web site, <a href="http://www.fgdc.gov/grants">http://www.fgdc.gov/grants</a>.
  - 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: ISO Geospatial Metadata Standards Implementation Interim and Final Report Format.
- 3. Financial reports are required, see **Section VI.B.** Administrative Project Requirements in the Introduction for more details.
- 4. Information about outreach workshops prior to their occurrence should be posted to the FGDC Calendar, <a href="http://www.fgdc.gov/calendar">http://www.fgdc.gov/calendar</a>.

# L. Proposal Narrative

The proposal narrative is the document that will be evaluated and scored by the review panel. A total point value of 100 points is 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. All narratives should be structured in the order that follows below. Narratives should be divided into sections with clearly denoted headings (e.g. "Proposal Summary, Project Scope, Project Plan and Managerial Capacity, etc.)

## (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) Organization Internet address
- e) Registered Clearinghouse node or Web folder IP address
- f) Principal investigator (name, telephone, fax, email address)
- g) Other contact personnel (name, telephone, fax, email address)
- h) Geographic scope or area
- i) Previous CAP participation (awarded or submitted but not awarded)
- j) A short, stand-alone description of the project (limited to 250 words). This standalone description will be posted on the FGDC Web site for each awarded proposal.

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

Describe the project, its steps, and partners/participants. Explain what the project results will be when completed. 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 standards. The project must be well thought out in regards to process, method, and approach. An overall statement to the commitment of standards and the use of the metadata standards is required.

Because of the need to share information from the project, the project must provide information useful to a broad audience in addition to furthering ISO implementation within the organization(s). List organizations, administrative units or target organizations/communities served in the project and why they will benefit from this project. Describe how the project supports and/or collaborates with State or regional geospatial data strategic plans or councils.

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.

The proposal evaluation will be based on how fully the project scope is addressed.

## (2) **Technical Approach** (25 points)

Outline the steps, methodologies and resources to be utilized in implementing the project to achieve the project results. Indicate the approach and include processes, participants, milestones and timeline for exploring the technical and organizational issues that must be addressed during transition. Some examples of these issues include:

#### Organizational

- decision making process leading to implementation of ISO
- development of a transition strategy scalable to different kinds of organizations
- staff work load allocation
- education and training

## Technical

- translation of existing records
- creation of new metadata records
- validation
- publication (clearinghouse)
- presentation (use of style sheets, etc.)
- data management (e.g., data maintenance, search/retrieval, etc.)
- useful/needed resources (tools, guidance documents, tutorials, online resources, etc.)

If creating ISO metadata records, state the metadata repository, NSDI Clearinghouse within Data.gov, GeoData.gov (GOS), or partnered clearinghouse access in the proposal.

Proposals will be evaluated on the degree to which applicants understand the tasks and procedures necessary to accomplish project objectives and the depth of information provided.

## (3) **Project Experience** (25 points)

Describe metadata experience. Explain special metadata qualifications and skills. Identify metadata resources that will be used. Please specify if the applicant received prior CAP award for metadata training and/or outreach and what year the award was given.

Evaluation will be based on how completely and fully the narrative addresses experience and explains special metadata qualifications and skills possessed for successful completion of the proposed project by the end of the performance period.

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

Memoranda of Understanding (MoU) and/or letters of commitment from partners should be attached. If national associations are part of the project scope, a letter recognizing the project and establishing a working relationship with the associations is required.

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 as applicable.

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, publish metadata records, establishment of a help desk/ FAQ/post-workshop/ identified metadata support or training support, Web presence or other sustainable measures.

Evaluation will be based upon the extent that the applicant will continue to support implementation of a metadata beyond the award period. Memoranda of Understanding (MoU) and/or Letters of support/commitment will be considered in the evaluation.

## (5) **<u>Budget Breakdown</u>** (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, <u>separating</u> 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.

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.

# 2012 NSDI CAP Category 3: Expanding Use of the GIS Inventory System

# A. Background

The work to be conducted in this award category is the collection and/or update of metadata managed in the GIS Inventory System (also known as Ramona and located at http://gisinventory.net) by State and regional governments on behalf of State and local data providers. The primary focus will be on the development of metadata containing links for online data or services that are freely accessible and align with data themes and associated datasets of national interest (nationally significant data) as described in OMB Circular A-16 and recent guidance on data themes and geospatial lifecycle management. Themes include:

- Biota
- Cadastre
- Climate and Weather
- Cultural & Demographic Statistics
- Cultural Resources

Elevation

- Geodetic Control
- Governmental Units
- Imagery
- Land Use Land Cover
- Real Property

- Soils
- Transportation
- Utilities
- Water Inland
- Water Oceans and Coasts

The general approach will be for recipients to identify strategic State and local government entities that have geospatial data of interest in a national context, assist them in the compilation of descriptive entries (metadata) in the GIS Inventory, encourage linkages to online, unrestricted data or services, include the URL to such online resources in the metadata, and verify publication in the GIS Inventory. The metadata must be sufficiently detailed to be transformable through the GIS Inventory to FGDC or ISO metadata.

A secondary focus is creating accounts in the GIS Inventory System for all GIS managers in State and local governments within a State or region. This will establish a capability to quickly reach out to this group of individuals using the tools in the GIS Inventory during widespread emergencies to establish a communication link and a Common Operating Picture (COP). Accounts in the NSGIC GIS Inventory system may be established through the Inventory system and are typically representative of a State or regional coordination entity who will coordinate and maintain the entries.

GIS Inventory metadata are harvested weekly into the NSDI Clearinghouse Network, whose primary catalog will be hosted in late 2011 by and with Data.gov. This provides a single search target for all national – Federal and non-federal – geospatial assets. These assets are then visible to and used by the Geospatial Platform, its portal, catalog, and visualization environment as a successor to Geospatial One-Stop.

## **B. Project Goals**

The goals of this award category are to 1) promote the publication of current, relevant, online geospatial data and services through the NSGIC GIS Inventory, as visible assets to the Geospatial Platform (http://www.geoplatform.gov/), and 2) to identify GIS managers

in State and local government agencies that will be involved in planning for, mitigating and responding to emergencies. It is generally recognized that nearly all government agencies are involved with large-scale emergencies.

## C. Project Results

The results of this award are expected to yield many new or updated metadata records from individual States, visible in the NSDI Clearinghouse Catalog within Data.gov that are of national interest, that provide links to online-accessible data, with preference for documented data services (Web Services). The primary deliverable at the end of the award phase will be to provide a summary report and item listing of all entries from the GIS Inventory entered or updated as a result of the award. NSGIC will provide administrative privileges for the GIS Inventory to successful awardees in this category that will allow them to download reports that detail this information. NSGIC will also provide web-based training to successful awardees in this category to ensure they are competent in the use of the GIS Inventory System.

# D. Applicant Eligibility

State and regional government organizations that participate in statewide GIS coordination activities within the State may apply. Applicants should obtain letters of support from their statewide GIS Council or document why that is not possible.

## E. Funding Amount and In-Kind Match

1. Federal assistance

Between \$7,500 and \$15,000, depending on the level of effort, will be obligated to individual State or and regional government organization 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 activities include:
  - a. Fees for consultants, facilitators or recorders,
  - b. Salary for statewide or regional coordination staff,
  - c. Publications.
  - d. Workshops,
  - e. Training,
  - f. Reasonable travel expenses as required to complete this project, and
  - g. Communications (i.e. WebEx License to facilitate meetings).
- 2. Proposals seeking funding for data collection other than metadata will <u>not</u> be considered.

## G. Partnership and Collaboration Requirement

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.

## H. Applicable Standards

Projects shall produce metadata of sufficient detail to be minimally compliant with the FGDC Content Standard for Digital Geospatial Metadata, Version 2.0, or ISO 19115/TS19139. This is a point of awareness on the part of individual projects since the transformation of the Inventory entries to other formats will be done by NSGIC.

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).

# I. Category Lead Technical Contact

Mr. Doug Nebert, FGDC Technology Advisor, <a href="mailto:ddnebert@fdgc.gov">ddnebert@fdgc.gov</a>

## J. Project Resources and FGDC Involvement Statement

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 a needs assessment to determine the best available date and content for the 2012 CAP Kick-off Workshop at an agreed date and time this will be held via teleconference and/or webinar. 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.

NSGIC will provide administrative privileges for the GIS Inventory to successful awardees in this category that will allow them to download reports that detail this information. NSGIC will also provide web-based training to successful awardees in this category to ensure they are competent in the use of the GIS Inventory System.

Project metadata 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:

 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: <a href="http://webstore.ansi.org/RecordDetail.aspx?sku=INCITS+453-2009">http://webstore.ansi.org/RecordDetail.aspx?sku=INCITS+453-2009</a>)

ISO/TS 19139:2008, Geographic information -- Metadata -- XML schema implementation (available at <a href="http://webstore.ansi.org/RecordDetail.aspx?sku=AS%2fNZS+ISO+19139%3a200">http://webstore.ansi.org/RecordDetail.aspx?sku=AS%2fNZS+ISO+19139%3a200</a>
 8).

# K. Reporting

- 1. The category technical lead will periodically confer with CAP awardees to discuss project progress and other issues related to Category 3 projects.
- 2. Interim and final project reports are required and will be posted on the FGDC Web site, <a href="http://www.fgdc.gov/grants">http://www.fgdc.gov/grants</a>.
  - a) For the submission schedule see **Section VI.B.** Administrative Project Requirements in the Introduction.
  - b) For content and format see Attachment F Category 3: Expanding Use of the GIS Inventory System Interim and Final Report Format
- 3. Financial reports are required; see **Section VI.B.** Administrative Project Requirements in the Introduction for further details.

#### L. Proposal Narrative

The proposal narrative is the document that will be evaluated and scored by the review panel. A total point value of 100 points is possible. 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.

Please submit narratives that are responsive to the following instructions and are clearly and plainly stated. Narratives should provide explanations in laymen's terms. Planned activities should be described as concisely as possible, yet in sufficient detail to provide the reviewers with a full understanding of the project.

All narratives should be structured in the order that follows below. Narratives should be divided into sections with clearly denoted headings (e.g. "Proposal Summary, Project Scope, Technical Approach, Project Experience, etc.)

## (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) Organization Internet address
- d) Target data provider organizations
- e) Principal investigator (name, telephone, fax, email address)
- f) Other contact personnel (name, telephone, fax, email address)
- g) Geographic scope or area
- h) Previous CAP participation (awarded or submitted but not awarded)
- A short, stand-alone description of the project (limited to 250 words). This standalone description will be posted on the FGDC Web site for each awarded proposal.

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

Identify the number and type of organizations to be targeted and themes to be addressed. Note the number of records that are expected to be added to or updated in the GIS inventory system.

Evaluation will be based upon the number of organizations that the project will addressed and the number of records expected to be added.

# (2) **Technical Approach** (maximum 25 points)

Document the collaborative approach to collection and update of the metadata entries.

Evaluation will be based on the degree to which the applicant comprehends and outlines the tasks and procedures needed to accomplish project objectives.

# (3) **Project Experience** (maximum 25 points)

Identify what experience the applicant has in collecting GIS Inventory metadata, how many entries have been collected before, and familiarity with relevant Federal standards and activities. Indicate involvement in planning for, mitigating and responding to emergencies (these are activities that support Federal Geospatial Platform activities).

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 (maximum 20 points)

Identify what level of commitment will be made to achieve the project goals in the current year and what plans will be put into effect after the award period to sustain the effort.

Applicants should obtain letters of support from their statewide GIS Council or document why that is not possible.

Evaluation will be based on the applicant's ability to demonstrate a clear commitment to supporting the GIS Inventory.

## (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, <u>separating</u> 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.

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.

# **2012 NSDI CAP Category 4: Fifty States Initiative: Business Plan Development and Implementation**

# A. Background

The Fifty States Initiative has reached over 48 States and equivalent entities. Many of these States and equivalent entities 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 National Spatial Data Infrastructure (NSDI).

Examples of State-level strategic goals (courtesy of the State of Colorado) are as follows: <u>Strategic Goal #1:</u> Support better stewardship of our resources and increased prosperity, safety and services for our citizens by increasing GIS awareness and capacity across the State.

<u>Strategic Goal #2:</u> Make government more efficient and effective through the coordinated use of geospatial technologies and the promotion of best practices. <u>Strategic Goal #3:</u> Enhance the information basis for public and private decisions by improving the quality and availability of geospatial information and services to support decision-makers and other consumers of GIS data and services, in concert with the State's enterprise architecture and the World Wide Web (www).

## **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) and the National Spatial Data Infrastructure (NSDI) while increasing Federal involvement in statewide geospatial planning and implementation activities. Business plans that focus on cadastral, elevation, or orthoimagery data and building partnerships for these data with Federal agencies are preferred. In addition projects that include implementation of web mapping services that can be used by the Geospatial Platform are highly encouraged.

See <a href="http://www.fgdc.gov/policyandplanning/50states/50states">http://www.fgdc.gov/policyandplanning/50states/50states</a> for additional details on Business Plans. Links to completed plans can be found on the Fifty States Initiative status table.

## 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 (<a href="http://www.fgdc.gov/policyandplanning/revbpsp">http://www.fgdc.gov/policyandplanning/revbpsp</a>) and other supporting documentation. The Business Plan Guidelines document includes a table of mandatory elements that must be used in developing each Business Plan. The order of these elements (e.g., (1) Executive Summary, (2) Program Goals, (3) Benefits and Justification, etc.) must be followed in the Business Plan developed.

The Business Plan provides a detailed description of how objectives will be achieved, along with the necessary justifications and requirements for implementing initiatives. Particular attention should be paid to program goals and their related success factors (i.e., the set of objectives that support the implementation of your goal). 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 and their related approaches include:

- An Orthoimagery Program (data-centric approach);
- Homeland Security Web Mapping Initiative (function or application-centric approach);
- Statewide GIS Coordination (business process-centric approach).

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 e.g., 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 substantial 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 private sector entities 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, and
  - g) Communications (i.e. WebEx License to facilitate meetings).
- 2. Proposals seeking funding for data collection will <u>not</u> be considered.
- 3. Applicants are strongly encouraged to budget funds to attend the 2012 NSGIC Annual Meeting in Lake Buena Vista, Florida on September 9-13, 2012. 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

Ms. Arista Maher, FGDC Program Analyst, <a href="mailto:amaher@fgdc.gov">amaher@fgdc.gov</a>, 703-648-6283.

## J. FGDC Involvement Statement

The FGDC Secretariat will collaborate closely with the awarded projects to ensure that outcomes of 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 2012 CAP Kick-Off Workshop that will be held via teleconference and Webinar at a date and time agreed to by the FGDC Secretariat and the award recipient. The FGDC Secretariat 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, <a href="http://www.fgdc.gov/grants">http://www.fgdc.gov/grants</a>.
  - 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. A total point value of 100 points is 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 representatives-- such as their USGS State Geospatial Liaison-- to develop proposals. For a listing of Liaisons please see <a href="http://liaisons.usgs.gov/geospatial/#nogo">http://liaisons.usgs.gov/geospatial/#nogo</a>.

Please submit narratives that are responsive to the following instructions and are clearly and plainly stated. Narratives should provide explanations in laymen's terms. Planned activities should be described as concisely as possible, yet in sufficient detail to provide the reviewers with a full understanding of the project.

All narratives should be structured in the order that follows below. Narratives should be divided into sections with clearly denoted headings (e.g. "Proposal Summary, Project Scope, Project Plan and Managerial Capacity, etc.)

# (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) Organization Internet address

d) Collaborating organizations: include a clear and concise statement for each organization regarding the extent and nature of their support

- e) Principal Investigator's name, telephone number, and email address
- f) Other key personnel's contact information (at least one alternate contact is required): name, telephone number, and email address
- g) Previous NSDI cooperative agreement participation (include year of participation, and whether each project was awarded or submitted but not awarded)
- h) A short, stand-alone description of the project (limited to 250 words). This stand-alone description will be posted on the FGDC Web site for each awarded proposal.

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

- a) Briefly describe the existing status of your State's strategic and business planning activities.
- b) Briefly describe the proposed business plan development and implementation. In addition, please address the following:
  - 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?
  - How does your project differ from prior projects or efforts in your State?
  - What is it about your project that will improve the further development of your SSDI or the NSDI?
  - In as clear and concise terms as possible, outline several specific benefits arising from your project.

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. Business plans that focus on cadastral, elevation, or orthoimagery data and building partnerships for these data with Federal agencies will receive preference.

# (2) **Project Plan and Managerial Capacity** (maximum 25 points)

- a) 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.
- b) State your ability to finish this project within a one-year time frame. Address your capacity to effectively accomplish and manage all funded activities.
- c) Include any potential obstacles to timely completion of the project, and how they will be addressed.
- d) Explain how the outcomes of the project fit the needs of the all partners.

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

# (3) **Skills and Capabilities** (maximum 15 points)

- a) Describe the experience, qualifications and skills of those involved in the project to develop and implement the activities described in your proposal.
- b) Describe the Principal Investigator's previous involvement with the Fifty States Initiative, as well as his or her abilities and experience in managing projects such as the one proposed.

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) **Commitment to Effort** (maximum 15 points)

Identify the partner organizations or participants involved, their roles and the level of support they will provide to the project.

Federal agency partnership is encouraged. A copy of memorandum of Understanding (MoU) or other formal agreement is evidence of this. If the applicant is a regional entity, a letter of support from the State(s) geospatial coordination council or equivalent organization is required.

Copies of memoranda of Understanding (MoU) or other formal agreements and/or letters of support should be included as an attachment to the narrative. If this is not possible, these documents should be mailed or faxed to the NSDI CAP Coordinator, MS 590 National Center, Reston, VA 20192, Fax number: 703-648-5755.

Federal agency partnership and support is required. Identify the partner organizations or participants involved, their roles and the level of support they will provide to the project. Memoranda of Understanding (MoU) 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.)

If the applicant is a regional entity, a letter of support from the State(s) geospatial coordination council or equivalent organization is required.

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)

Please provide a detailed budget breakdown for the project as an attachment to the proposal narrative. Include the following categories of information, <u>separating</u> 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.

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.

# 2012 NSDI CAP Category 5: 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 the FGDC and a coordinated approach to develop the NSDI. The components of the NSDI are data themes, metadata, the NSDI 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 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.

# **B. Project Goals**

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) *other* than those for metadata (see Categories 1 and 2 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 developing a cadre of professionals who are knowledgeable about and committed to implementing FGDC-endorsed standards to promote data sharing and interoperability in their user communities.

## C. Project Results

Deliverables from projects funded through this category might include, but are not limited to:

- Implementation guides, workbooks, "cookbooks," and other technical guidance (webbased and/or print).
- Implementation models, for example, implementation schemas in Extensible Markup Language/Geographic Markup Language (XML/GML).
- Software tools to implement the standard. Awardees cannot exploit tools developed through the CAP grant for commercial gain.

- Online training and tutorials.
- Training and/or outreach materials that may be presented at workshops and training sessions and published online.
- Online registries for managing data items.
- Reports and "lessons learned" from pilot projects.

All deliverables will be **freely available**, without restriction, over the Web.

# **D.** Applicant Eligibility

State or local government, academia, private sector entities, non-profit entities, and Tribal organizations, as well as consortia of organizations, may apply. Institutions that have received NSDI CAP grants for FGDC standards development or implementation within the past three years are **not** eligible to receive a 2012 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 <u>30-50% match</u> is required. Contribution of matching personnel hours or funding, hardware and software, or other in-kind resources will be considered. <u>The value of data will not be considered as in-kind match</u>. Other Federal grant funds cannot be used for matching. The applicant shall document the amount and type of in-kind resources 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. Examples of tasks and items funded through this category might include:
  - a) Workshop planning, including development of outline, learning objectives, and lessons, workshop logistics, promotion, etc.
  - b) Travel, facility rentals, registration fees, reproduction costs, supplies, etc. to provide training and outreach at workshops and conferences.
  - c) Development of implementation models, for example, implementation schemas in Extensible Markup Language/Geographic Markup Language (XML/GML).
  - d) Development, prototyping, and testing of software tools to implement a standard. Awardees cannot exploit software tools developed through the CAP grant for commercial gain.
  - e) Development and publication of training materials, tutorials, implementation guides, workbooks or "cookbooks," technical guidance, or other materials that promote implementation of an FGDC-endorsed standard.
  - f) Reasonable expenses for hardware and software that are dedicated to the project and its sustainability. Data collection will NOT be funded through this announcement.
  - g) Development of online registries to manage data items.
  - h) Planning, development, and execution of pilot projects.

- i) Development of Kick-off meeting presentation.
- j) Reporting of project results in interim and final reports (see Attachment H)

2. Project Presentations. Project presentations extend and promote the valuable work of the awardee. Participants are encouraged to make formal presentations of their activities at local, State, Tribal, regional, and/or national workshops, conferences, and meetings. Participants may also be requested to give a presentation to the FGDC. The applicant should budget sufficient funds to travel to meetings or conferences. Alternatives might include publishing a paper or article online or in print and presentations via online webinars.

# **G.** Training

If training materials are to be provided through this project, applicants are advised to visit the FGDC training pages (<a href="http://www.fgdc.gov/training/training-materials">http://www.fgdc.gov/training/training-materials</a>) to confirm that they are not developing materials very similar to those that have already been developed and published.

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, 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 may be selected for conversion to be delivered via the FGDC's E-learning server.

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

All FGDC Web hosted Web 2.0 applications will be developed in open-source and approved by the FGDC Web Administrator. For those who choose to serve training modules through www.fgdc.gov, the modules shall be supplied in Microsoft PowerPoint and include learning goals and objectives and be 508 Compliant.

Guidance is provided in the "NSDI-related Training Materials Development: Recommendations and Resources for Stakeholder Subject Matter Experts" document located at <a href="http://www.fgdc.gov/training/training-materials">http://www.fgdc.gov/training/training-materials</a>. Modules served through the applicant's Web site will provide the URLs for linking to the FGDC Web site.

The applicant might consult the following websites for help in developing learning goals and objectives:

<a href="http://ets.tlt.psu.edu/learningdesign/objectives">http://ets.tlt.psu.edu/learningdesign/objectives</a>
<a href="http://tilt.colostate.edu/guides/tilt-coursedevelopment/vision.cfm">http://tilt.colostate.edu/guides/tilt-coursedevelopment/vision.cfm</a>

For 508 Compliance, see:

http://www.section508.gov/index.cfm?fuseAction=stdsdoc Select the link for Subpart B. 1194.22 Web-based intranet and internet information and applications

# H. Partnership and Collaboration Requirement

Partnership with the maintenance authority for a standard developed within the FGDC is **required** for this category. Partnership with the maintenance authority is crucial, as the proposed project should support and be consistent with the maintenance authority's plan for implementation. The maintenance authority is identified in the standard. The FGDC Secretariat will assist the applicant in locating the appropriate point of contact within the maintenance authority, if necessary.

Partnerships with other organizations to leverage resources are strongly encouraged. Partnerships are primary building blocks of the NSDI.

# I. Applicable Standards

Projects shall advance implementation of FGDC-endorsed standards – refer to <a href="http://www.fgdc.gov/standards/projects">http://www.fgdc.gov/standards/projects</a>.

Applicants shall be experts in the FGDC-endorsed standard to be implemented through this category. Applicants should also have a working knowledge of geospatial standards developed through voluntary consensus standards bodies including, but not limited to, ISO Technical Committee 211, Geographic information/Geomatics, InterNational Committee for Information Technology Standards (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.

## J. Category Lead Technical Contact

Ms. Julie Binder Maitra, Standards Coordinator, imaitra@fdgc.gov.

### K. FGDC Involvement Statement

The FGDC will collaborate closely with the recipients to help them meet the goals stated in their project proposals. The FGDC will provide logistical and programmatic support to the extent that FGDC resources allow. The FGDC and awarded projects will determine the best available date and content for a Category 5 kick-off teleconference and/or webinar. The FGDC will conduct periodic progress calls with the recipients. The FGDC will promote the outcomes of the projects through the FGDC Web site and other communications channels.

# L. Reporting

- 1. Interim and final project reports are required and will be posted on the FGDC Web site, <a href="http://www.fgdc.gov/grants">http://www.fgdc.gov/grants</a>.
  - a) For the submission schedule, see **Section VI.B.** Administrative Project Requirements in the Introduction.

 For content and format of the interim and final reports, see Attachment H -Category 5: FGDC Standards Implementation Project Interim and Final Report Format

- 2. Financial reports are required; see **Section VI.B.** Administrative Project Requirements, in the Introduction for further details.
- 3. Announcement of workshops and training at conferences or other venues should be posted to the FGDC Calendar, http://www.fgdc.gov/calendar.

# M. Proposal Narrative

Reviewers will evaluate, score, and rank project proposals to make recommendations for funding. A total point value of 100 points is possible. The evaluation will be based on the degree to which the proposal addresses the information requested in this announcement.

Please submit narratives that are responsive to the following instructions and are clearly and plainly stated. Narratives should provide explanations in laymen's terms. Planned activities should be described as concisely as possible, yet in sufficient detail to provide the reviewers with a full understanding of the project.

Please limit the project proposal to 3000 words (about 5 pages using Times New Roman 12 point), not including letters of support, tables, maps, budget, and diagrams. All narratives should be structured in the order that follows below. Narratives should be divided into sections with clearly denoted headings (e.g. "Proposal Summary, Project Scope, Project Plan and Managerial Capacity, etc.)

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

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

- a) Project title
- b) Applicant organization (name, office/branch, street address, city, State, zip)
- c) Organization Internet address
- d) Collaborating organizations (organization, office/branch, street address, city, State, zip, Web site address)
- e) FGDC-endorsed standard selected for the project
- f) Principal Investigator's name, telephone number, and email address
- g) Other key personnel's contact information (at least one alternate contact is required): name, telephone number, and email address
- h) Geographic scope or area of project, if applicable
- i) A short stand-alone description of the project or abstract (limit to 250 words). The stand-alone description or abstract will be posted on the FGDC Web site for each awarded proposal.

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

In preparing the Project Scope section, the applicant should:

• Identify the FGDC-endorsed standard (excluding metadata standards (see Categories 1 and 2) or the Standard for a U.S. National Grid, FGDC-STD-011-2001) and all relevant standards.

- Describe how the project promotes implementation of the standard and advances the NSDI.
- Describe project objectives and the outcomes of the project.
- Identify deliverables for this project.
- State implementation challenges and describe how the project will overcome the stated barriers.
- Describe the approach for outreach.

The applicant must state the partnership nature of the proposal. Proposals that include a mix of partners will be scored higher than proposals that are submitted by individual entities.

The proposed project must support the needs of a broad audience and directly help organizations other than the applicant's. The applicant should identify the user communities served by the project, and describe how this project would advance implementation of the selected standard in user communities. If the project would serve an underserved community, identify the community and why it is underserved.

If training is to be provided through the project, the proposal must address why training is a need for the communities served.

The proposal evaluation will be based on how fully the project scope is addressed, the mix of partners, and the audience served.

## (2) **Technical approach** (maximum 25 points)

The applicant shall document the steps, methodologies, and resources to be utilized in accomplishing project objectives and results. The applicant shall document tasks, level of effort, deliverables, milestones, and schedules. Tables, calendars, and timelines will enhance the presentation.

If training will be provided through the project, the applicant should identify the venues for training and the training approach: lecture, lecture with exercises, etc. The proposal will be evaluated on the training plan: development of lesson plans, logistics, promotion, etc. The logistical arrangements for equipment must be stated (computers and software are generally excluded as allowable expenses). Training must be appropriate to the audience.

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

## (3) **Project Experience** (maximum 25 points)

The applicant shall describe experience, special qualifications, and skills possessed by the applicant and partner organizations that ensure successful completion of this project by

the end of the award period. If applicant is a previous NSDI CAP participant, it should 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.

# (4) **Commitment to Effort** (maximum 20 points)

The applicant shall describe the extent to which project results will promote implementation of the FGDC-endorsed standard after the end of award period. The applicant should also describe how it intends to transfer knowledge acquired through this project to other communities.

# Memoranda of Understanding (MoU) or other formal agreements and/or letters of support/commitment

MoU or other formal agreements and/or letters of commitment from project partners should be attached to the proposal narrative. If this is not possible, these documents should be mailed or faxed to the NSDI CAP Coordinator, MS 590 National Center, Reston, VA 20192, Fax number: 703-648-5755.

The applicant is **required** to provide copies of the MoU or other formal agreements letter of support/commitment from the maintenance authority for an FGDC-endorsed standard. The FGDC-endorsed standard identifies the organization that serves as maintenance authority. The FGDC Office of the Secretariat will help identify a point of contact/subject matter expert within the maintenance authority for the applicant, if necessary. The proposed project should support and be consistent with the maintenance authority's plan for implementation. The maintenance authority should identify if it has a working relationship with the applicant in its MoU or letter of commitment/support.

For proposals where the geographic scope is local, State, or regional; the applicant is **required** to provide a MoU or letter of support/commitment from the State GIS Coordinator or similar authority. The applicant should also secure a letter of support or commitment by the USGS State Geospatial Liaison and/or other liaisons, as appropriate.

The applicant should also provide MoU or other formal agreements letters of support/commitment from its project partners. MoUs and letters of support/commitment These should indicate the type and level of support that the supporting organization will give to the project.

Proposal 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 and transfer knowledge acquired through the project. 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. Memoranda of Understanding (MoU) and letters of support/commitment will also be considered in the evaluation.

# (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, <u>separating</u> 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.

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.

# **2012 NSDI CAP Category 6: FGDC Standards Development Assistance**

# A. Background

OMB Circular A-16 Revised, August 19, 2002, provides direction for Federal agencies that produce, maintain, or use spatial data. OMB Circular A-16 establishes the FGDC and a coordinated approach to develop the NSDI. 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.

# **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 <a href="http://www.fgdc.gov/standards/projects/FGDC-standards-projects/FGDC-standards-in-development">http://www.fgdc.gov/standards/projects/FGDC-standards-projects/FGDC-standards-in-development</a>).

This CAP category will support projects that help advance FGDC standards in development to a key milestone by the end of the award period:

**Committee draft** – as agreed to by the standards development group for submission 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 to a milestone in the FGDC standards process by the end of the award period: committee draft, public review draft, final draft, or FGDC-endorsed standard.

• If the most current standards document at the beginning of the award period is a proposal, then the draft standard should advance 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 award period is a committee draft or public review draft, then the draft standard should advance 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 entities, non-profit entities, and Tribal organizations, as well as consortia of organizations, may apply. Organizations that have received NSDI CAP grants for FGDC standards development or implementation within the past three years are not eligible to receive a 2012 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 <u>30-50% match</u> is required. Contribution of matching personnel hours or funding, hardware and software, or other in-kind resources will be considered. <u>The value of data will not be considered as in-kind match.</u> Other Federal grant funds cannot be used for matching. The applicant shall document the amount and type of in-kind resources 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. Examples of tasks and items funded through this category are:
  - Preparation of draft standard.
  - Document management.
  - Collection, collation, and management of comments on the standard.
  - Travel, facilities, facilitation, logistics, reproduction costs, materials, equipment, supplies, etc. for project team meetings.
  - Development of models in Unified Modeling Language (UML) or Extensible Markup Language/Geographic Markup Language (XML/GML).
  - Planning, development, and execution of pilot projects.
  - Development and maintenance of Web sites for project team collaboration.
  - 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.
  - Development of materials for kick-off presentation.
  - Reporting of project results in interim and final reports (Attachment I).

2. Project Presentations. Project presentations extend and promote the valuable work of the awardee. Participants are encouraged to make presentations of their activities at local, State, Tribal, regional, and/or national workshops, conferences, and meetings. Participants may also be requested to give a presentation to the FGDC. The applicant should budget sufficient funds to travel to meetings and conferences. Alternatives might include publishing a paper or article online or in print and presentations via online webinars.

# G. Partnership and Collaboration

Partnership with the project leader for the FGDC standard in development is **required** for this category.

Partnerships with other organizations to leverage resources are strongly encouraged. Partnerships are primary building blocks of the NSDI.

# H. Applicable Standards

Projects shall advance development of the selected FGDC standard (http://www.fgdc.gov/standards/projects/FGDC-standards-projects/FGDC-standards-in-development). If the standard references or is related to other standards, the project shall be in compliance with the referenced or related standards.

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

## I. Category Lead Technical Contact

Ms. Julie Binder Maitra, Standards Coordinator, jmaitra@fdgc.gov

### J. FGDC Involvement Statement

The FGDC will collaborate closely with recipients to help them meet the goals stated in their project proposals. The FGDC will provide logistical and programmatic support to the extent that FGDC resources allow. The FGDC will conduct periodic progress calls with the recipients. The FGDC will promote the outcomes of the projects through the FGDC Web site and other communications channels.

# 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 content and format of interim and final project reports, see Attachment I.

- 2. Financial reports are required: see **Section VI.B.** Administrative Project Requirements in the Introduction for further details.
- 3. Announcement of workshops and training at conferences or other venues should be posted to the FGDC Calendar, http://www.fgdc.gov/calendar.

# L. Proposal Narrative

Reviewers will evaluate, score, and rank project proposals to make recommendations for funding. A total point value of 100 points is possible. The evaluation will be based on the degree to which the proposal addresses the information requested in this announcement.

Please submit narratives that are responsive to the following instructions and are clearly and plainly stated. Narratives should provide explanations in laymen's terms. Planned activities should be described as concisely as possible, yet in sufficient detail to provide the reviewers with a full understanding of the project.

Please limit the project proposal to 3000 words (about 5 pages using Times New Roman 12 point), not including letters of support, tables, maps, budget, and diagrams. All narratives should be structured in the order that follows below. Narratives should be divided into sections with clearly denoted headings (e.g. "Proposal Summary, Project Scope, Project Plan and Managerial Capacity, etc.)

# (0) **Proposal Summary** -- Mandatory (0) points

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

- a) Project title
- b) Applicant organization (name, office/branch, street address, city, State, zip)
- c) Organization Internet address
- d) Collaborating organizations (name, office/branch, street address, city, State, zip, Web site address)
- e) FGDC standard under development
- f) Principal Investigator's name, telephone number, and email address
- g) Other key personnel's contact information (at least one alternate contact is required): name, telephone number, and email address
- h) A short stand-alone description of the project or abstract (limit to 250 words). The stand-alone description or abstract will be posted on the FGDC Web site for each awarded proposal.

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

The applicant should:

- Identify the FGDC standard in development and all relevant standards.
- Describe how the project advances the standard through the FGDC standards process.
- Describe project objectives and the results of the project.
- Identify the deliverables, including a draft standard and supporting documentation.
- Identify the user communities served by the project.

The applicant must state the partnership nature of the proposal. Proposals that include a mix of partners will be scored higher than proposals that are submitted by individual entities.

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.

# (2) **Technical Approach** (maximum 25 points)

The applicant shall document the steps, methodologies, and resources to be utilized in accomplishing project objectives and results. The applicant shall document tasks, level of effort, deliverables, milestones, and schedules. Tables, calendars, and timelines will enhance the presentation.

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

# (3) **Project Experience** (maximum 25 points)

The applicant should describe experience, special qualifications, and skills possessed by the applicant and project partners for successful completion of the proposed project by the end of the performance period. If applicant is a previous NSDI CAP participant, it should 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.

## (4) **Commitment to Effort** (maximum 20 points)

The applicant shall describe the extent to which it will advance development or implementation of the standard beyond the award period. Provide a list of project partners including names and contact information.

### Letters of support/commitment or existing agreements

The applicant should provide letters of support/commitment from its non-federal project partners. The letters should indicate the type and level of support that the supporting organization will give to the project. The applicant should include copies of formal agreements with the standard's project lead that provide evidence of existing partnership with the applicant. Applicants from State, regional, or local organizations should obtain a letter of support/commitment from a State GIS coordinator or similar authority.

Please attach the letters of support/commitment or existing agreements 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.

# **Letters of support/commitment**

Letters of support/commitment from project partners should be attached to the proposal narrative. Letters of support/commitment should indicate the type and level of support that the supporting organization will give to the project. Please refer to Section IV.E. in the Introduction for further information.

The applicant is **required** to secure a letter of support/commitment from the project lead for standards development. The letter of commitment should provide evidence of existing partnership with the applicant.

Applicants from State, regional, or local organizations should obtain a letter of support/commitment from a State GIS coordinator or similar authority. A letter of support/commitment from a USGS State Geospatial liaison is also recommended: to locate the USGS State liaison, visit <a href="http://liaisons.usgs.gov/geospatial/#nogo">http://liaisons.usgs.gov/geospatial/#nogo</a>. Letters of support/commitment from other liaisons (for example, NGS State Geodetic Advisors) are recommended if appropriate to the project.

The applicant shall provide letters of support/commitment from its project partners.

Evaluation will be based upon the extent that the applicant will continue to support development or implementation of a standard beyond the award period. Letters of support/commitment will also be considered in the evaluation.

## (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, <u>separating</u> 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.

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.

# 2012 NSDI CAP Category 7: Geospatial Platform Cloud Service Testbed

# A. Background

In FY 2011, the Geospatial Cloud Sandbox Initiative activity was initiated for Federal agencies to experiment with the deployment of common geospatial services in a commercial Cloud environment. The main outcome of the Federal activity was to gain insight on the logistics and cost models for operational geospatial cloud computing. Ten projects were identified and transitioned to the Cloud environment, and then monitored for performance and cost comparisons. At the conclusion of the activity the individual projects could elect to assume the monthly billing or retire the service. In either case, documentation will be made available for others to learn about the type, costs, disposition of the project, and reference Cloud software packages will be developed for re-use.

This category will support State, local, and/or tribal governments who have formal data exchange agreements with Federal agencies for the collection and local management of nationally significant geospatial data, per OMB Circular A-16, and seek to deploy secure geospatial cloud services that meet Federal requirements. These awards will provide funding for cloud service acquisition and deployment for non-Federal entities. All awards will be deployed using GSA secure Infrastructure as a Service (IaaS) from Apptis/Amazon Web Services. On this infrastructure, projects will deploy one of the two FGDC GeoCloud Platform as a Service (PaaS) solutions – open source (CentOS and OpenGeo) or commercial (Windows 2008 Server R2 and ArcGIS Server) environments.

Awardees will configure OGC standard Web Services on their data using schema required by government partners and work with the GeoCloud team for assistance in cloud data and services deployment. The projects will result in operational GSA-sanctioned cloud services that provide access to non-Federal data sources to be used in compilation of A-16 data services published through the Geospatial Platform.

Awards will support matched funding of up to one year of cloud hosting costs and staffing to configure and operate the data services; funding cannot be used for hardware or data acquisition.

## B. Project Goals

The objectives of this category are to provide non-Federal partner organizations with common Cloud Computing infrastructure focused on the hosting of geospatial application services, to document the re-deployment efforts in the Cloud environment, and to develop cost comparisons between existing public-facing and Cloud equivalent services.

# C. Project Results

Each award in this category will result in operational geospatial Cloud services whose deployment costs and performance characteristics will be known and documented and support federal mission requirements towards A-16 data development.

# **D.** Applicant Eligibility

Applicants may be State, local, and/or Tribal governments who have formal data exchange agreements with Federal agencies for the collection and local management of nationally significant geospatial data, per OMB Circular A-16,

http://www.fgdc.gov/policyandplanning/a-16. The applicant organization must be the entity officially responsible for the collection and/or dissemination of the geospatial data layer. Preference will be given to projects that already operate public-facing Web services to be transitioned under this project so that Cloud and non-Cloud solutions may be effectively compared.

# 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 activities include:
  - a) Fees for Cloud hosting through the GSA apps.gov contract with Apptis/Amazon, as estimated by the Amazon calculator: http://calculator.s3.amazonaws.com/calc5.html
  - b) Salary for IT staff,
  - c) Publications,
  - d) Workshops,
  - e) Training,
  - f) Reasonable travel expenses as required to complete this project, and
  - g) Communications (i.e. WebEx License to facilitate meetings).
- 2. Proposals seeking funding for data collection other than metadata will <u>not</u> be considered.

# G. Partnership and Collaboration Requirement

Documentation of an agreement with a Federal organization involved in A-16 data collection for themes to be used in this project is required. Partnerships, both formal and informal, among organizations are seen as primary building blocks for the NSDI.

## H. Applicable 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).

Projects should also have a working knowledge of the NIST Cloud Computing definitions and standards as would be applicable to this collaborative project.

# I. Category Lead Technical Contact

Mr. Doug Nebert, FGDC Senior Advisor for Geospatial Technology, <a href="mailto:ddnebert@fdgc.gov">ddnebert@fdgc.gov</a>

## J. FGDC Involvement Statement

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 projects to assist in the redeployment of geospatial applications to the reference platform environments. The FGDC and awarded projects will determine the best available date and content for a Category 7 kick-off teleconference and/or webinar. The FGDC will facilitate monthly progress calls with the recipients and Cloud support contractors. 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 periodically confer with CAP awardees to discuss project progress and other issues related to Category 7 projects.
- 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 J Category 7: Geospatial Platform Cloud Service Testbed Interim and Final Report Format
- 3. Financial reports are required; see **Section VI.B.** Administrative Project Requirements in the Introduction for further details.

## L. Proposal Narrative

The proposal narrative is the document that will be evaluated and scored by the review panel. A total point value of 100 points is 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. Narratives should provide explanations in laymen's terms. Planned activities should be described as concisely as possible, yet in sufficient detail to provide the reviewers with a full understanding of the project.

All narratives should be structured in the order that follows below. Narratives should be divided into sections with clearly denoted headings (e.g. "Proposal Summary, Project Scope, Project Plan and Managerial Capacity, etc.)

# (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) Organization Internet address
- d) Target data provider organizations
- e) Principal Investigator's name, telephone number, and email address
- f) Other key personnel's contact information (at least one alternate contact is required): name, telephone number, and email address
- g) Geographic scope or area
- h) A short, stand-alone description of the project (limited to 250 words). This stand-alone description will be posted on the FGDC Web site for each awarded proposal.

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

Identify the context of the project, geographic extent of the theme/layer to be addressed, clientele for the data, and the existing theme data to be targeted for re-deployment in the Cloud environment.

The proposal evaluation will be based on how fully the project scope is addressed, the mix of clientele for the data, and the theme data to be targeted for re-deployment in the Cloud environment.

# (2) **Project Experience** (maximum 25 points)

Identify the responsibilities of the applicant organization(s) in the collection and management of the proposed data content, document the history of the current online deployment environment for this theme, and the applicant's familiarity with relevant Federal geospatial and Cloud standards and activities.

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.

## (3) **Commitment to Effort** (maximum 25 points)

Document ongoing agreement with Federal data entities on the OMB A-16 data layer(s) (<a href="http://www.fgdc.gov/policyandplanning/a-16">http://www.fgdc.gov/policyandplanning/a-16</a>) to be served. Identify what level of commitment will be made to achieve the project goals in the current year and what plans will be put into effect after the award period to sustain the effort.

The applicant should include a copy of the formal data exchange agreement with a Federal agency. This will provide evidence of existing partnership with the applicant. Please attach the agreement to the proposal narrative. If this is not possible, the agreement should be mailed or faxed to the NSDI CAP Coordinator, MS 590 National Center, Reston, VA 20192, Fax number: 703-648-5755.

The applicant should obtain a letter of support/commitment from Federal agency with which there is a formal data exchange agreement. The letter should provide evidence of existing partnership with the applicant.

Evaluation will be based upon the extent that the applicant will continue to sustain the effort beyond the award period. Letters of support/commitment will be considered in the evaluation.

# (4) **Budget Breakdown** (maximum 25 points)

Please provide a detailed budget breakdown for the project as an attachment to the proposal narrative. Include the following categories of information, <u>separating</u> 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.

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.

#### **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: <a href="http://whitehouse.gov/omb/circulars/index.html">http://whitehouse.gov/omb/circulars/index.html</a>.

### 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: <a href="http://www.whitehouse.gov/omb/circulars/index.html">http://www.whitehouse.gov/omb/circulars/index.html</a>.

#### **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 (Nonprocurement)
- 2 CFR 1400, Department of the Interior Nonprocurement Debarment and Suspension

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

- 43 CFR Part 12, Subpart E: Buy American Requirements for Assistance Programs
- 43 CFR Part 17, Subpart A: Nondiscrimination on the Basis of Race, Color, or National Origin
- 43 CFR Part 17, Subpart B: Nondiscrimination on the Basis of Handicap
- 43 CFR Part 17, Subpart C: Nondiscrimination on 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 Part 43, Governmentwide 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 10, 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 13A 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

Payments under financial assistance awards must be made using the Department of the Treasury Automated Standard Application for Payments (ASAP) system (<a href="www.asap.gov">www.asap.gov</a>).

- a. The Recipient agrees that it has established or will establish an account with ASAP. USGS will initiate enrollment in ASAP. If the Recipient does not currently have an ASAP account, they must designate an individual (name, title, address, phone and e-mail) who will serve as the Point of Contact (POC).
- b. With the award of each grant/cooperative agreement, a sub-account will be set up from which the Recipient can draw down funds. After recipients complete enrollment in ASAP and link their banking information to the USGS ALC (14080001), it may take 7-10 days for sub-accounts to be activated and for funds to be authorized for drawdown in ASAP.
- c. Payments may be drawn in advance only as needed to meet immediate cash disbursement needs.
- d. Inquiries regarding payment should be directed to:

Regional Financial Center	Time Zone	Phone Number	<b>Business Hours</b>	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. <u>Definitions</u>

## 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:

Report/ Document	No. of Copies and Method of Transmittal	Submit To	When Due
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
Annual 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: <a href="http://www.fgdc.gov/grants/CAPAdministrativeGuidance">http://www.fgdc.gov/grants/CAPAdministrativeGuidance</a>
  - (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 <a href="http://www.fgdc.gov/grants/CAPAdministrativeGuidance">http://www.fgdc.gov/grants/CAPAdministrativeGuidance</a>. The final project report is due within 90 days of the end date of the project.

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

## 1. Annual Financial Reports

The recipient will submit annual STANDARD FORM 425, FEDERAL FINANCIAL REPORT(S) for each individual USGS award. The SF 425 is available at - http://www.whitehouse.gov/omb/grants\_forms. Reports are due 90 calendar days after the grant/cooperative agreement year (i.e., 12 months after the approved effective date of the agreement and every 12 months thereafter until the expiration date of the agreement.) USGS acknowledges that this annual reporting schedule may not always correspond with a specific budget period. The SF 425 must be submitted electronically through the Fed Connect Message Center (www.fedconnect.net). If after 90 days, recipient has not submitted a report, the account will be placed in a manual review status. Funds may be withheld for accounts with delinquent reports.

# 2. Final Federal Financial Report

a. The recipient will liquidate all obligations incurred under the award and submit a final STANDARD FORM 425, FEDERAL FINANCIAL REPORT through Fed Connect (www.fedconnect.net) no later than 90 calendar days after the grant/cooperative agreement completion date. The SF 425 is available at - http://www.whitehouse.gov/omb/grants\_forms. Recipient will promptly return any unexpended federal cash advances or will complete a final draw from ASAP to obtain any remaining amounts due. Once 120 days has passed since the grant/agreement completion date, the ASAP subaccount for this award may be closed by USGS at any time.

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

- (i) When the revision results in a balance due to the Government, the recipient must submit a revised final Federal Financial Report (SF 425) and refund the excess payment whenever the overcharge is discovered, no matter how long the lapse of time since the original due date of the report.
- (ii) When the revision represents additional reimbursable costs claimed by the recipient, a revised final SF 425 may be submitted to the Contracting Officer with an explanation. If approved, the USGS will either request and pay a final invoice or reestablish the ASAP subaccount to permit the recipient to make a revised final draw. Any revised final report representing additional reimbursable amounts must be submitted no later than 1 year from the due date of the original report, i.e., 15 months following the agreement completion date. USGS will not accept any revised SF 425 covering additional expenditures after that date and will return any late request for additional payment to the recipient.

## 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 <u>at least 30</u> calendar days prior to the requested effective date of the change:
  - 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 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 USGS, 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 of 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, conducing 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 <u>is not</u> 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. All metadata shall be posted or made available to the Geospatial One-Stop (GOS) Portal (<a href="http://www.geodata.gov">http://www.geodata.gov</a>) or its successor Data.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, <a href="http://www.fgdc.gov">http://www.fgdc.gov</a>.

#### 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, <a href="http://www.fgdc.gov/grants">http://www.fgdc.gov/grants</a>.

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. <u>Provisions applicable to a Recipient that is a private entity.</u>
  - (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
    - (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. <u>Definitions</u>

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:
    - 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, <a href="http://www.ostp.gov/cs/federal policy on research misconduct">http://www.ostp.gov/cs/federal policy on research misconduct</a>. 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

App	licant:	
Proposal S	hort Title:	
get Category	Federal Funding "Requested"	Matching Funds "Proposed"
ALARIES:		
Personnel	\$	\$
	\$	\$
	\$	\$
	\$	\$
Contract Personnel	\$	\$
	\$	\$
	\$	\$
	\$	\$
TD - 4 - 1 C - 1	ė.	d.

\$ \$ \$

2. FRINGE BENEFITS:	
Personnel	\$ \$
	\$ \$
	\$ \$
	\$ \$
Contract Personnel	\$ \$
	\$ \$

**Budget Category** 

1. SALARIES: Personnel

**Total Salaries:** 

**Total Fringe Benefits:** 

4 FIELD EXPENSES.	
3. FIELD EXPENSES:	
Per Diem	\$ \$
Lodging Cost	\$ \$
Vehicle Cost	\$ \$
Mileage	\$ \$

\$ \$ **\$** 

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	\$	\$
	\$	\$
<b>Total Field Expenses:</b>	\$	\$

4. OTHER DIRECT COSTS: (ite	emize)	
Equipment	\$	\$
Supplies	\$	\$
Training	\$	\$
Publications	\$	\$
Office supplies	\$	\$
Communications Costs	\$	\$
	\$	\$
	\$	\$

	\$	\$
	\$	\$
	\$	\$
	\$	\$
<b>Total Other Direct Costs:</b>	\$	\$
<b>Total Direct Costs:</b>	\$	\$
Indirect Cost (%)	\$	\$
GRAND TOTAL:	<b>\$</b>	<b>\$</b>

## **EXAMPLE**

National Spatial Data Infrastructure Cooperative Agreements Program BUDGET ESTIMATES FOR PROPOSAL

Applicant: The State of XYZ

Proposal Short Title: XXXXXXXXXXXXXXXXXXXX

Budget Category	Federal Funding "Requested"	Matching Funds "Proposed"
1. SALARIES:		
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	\$
Total Salaries:	\$19,000	\$18,225
2. FRINGE BENEFITS:		
Personnel		
State Personnel (51%)	\$	\$6,235
Total Fringe Benefits:	\$	\$6,235
<b>3. FIELD EXPENSES:</b> NSGIC Mid-Year Travel - Estimate: \$425 registration, \$1500 air,	4	
\$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	\$
Total Field Expenses:	\$4,700	\$
4. OTHER DIRECT COSTS: (itemize)		
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>	\$1,400	\$
Total Direct Costs:	\$25,100	\$24,460
Indirect Cost (9.9%)	\$2,485	\$
GRAND TOTAL:	\$27,585	\$24,460

### **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 <u>Category 1: Metadata Trainer and Outreach Assistance</u> Interim and Final Report Format

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

Date: MM/DD/YYYY Agreement Number: Project title:

Froject due:

Indicate whether Interim or Final report

Organization: Name, Mailing Address, Web Address.

Principal Investigator: Name, Telephone Number, Email Address.

Collaborating Organizations: Organization Name, Contact Name, Mailing 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**

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. How were challenges identified and what steps were taken to overcome these challenges?

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 ongoing processes for data documentation will be established for organizations for documenting (metadata) their geospatial holdings, serving this documentation.

#### 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 means to evaluate trainer proficiency. The evaluation is administered after each workshop and should take as little as 10 minutes if measuring customer satisfaction alone and 20 minutes for if measuring both customer satisfaction and trainer proficiency. The evaluation form is available at <a href="http://www.fgdc.gov/training">http://www.fgdc.gov/training</a>.
- 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.
- Provide the method(s) of promoting the workshop (e.g., FGDC Calendar, Listserv, etc.)
- 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 <a href="http://www.geodata.gov">http://www.geodata.gov</a> or its successor Data.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?

- 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 are there 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 <u>Category 2: ISO Geospatial Metadata Standards Implementation</u> Interim and Final Report Format

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

Date: MM/DD/YYYY Agreement Number: Project title:

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

**Organization:** Name, Mailing Address, Web Address.

Principal Investigator: Name, Telephone Number, Email Address.

Collaborating Organizations: Organization Name, Contact Name, Mailing 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**

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 development the CSDGM to ISO Transition Strategy.
- Explain established expertise in CSDGM to ISO capabilities.
- List presentations or other outreach activities; include information about the event, location, and number of people who attended.
- 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 available.

In writing the report keep in mind the objective of this category is for organizations to explore and test the process and procedures involved in transitioning from the FGDC Content Standard for Digital Geospatial Metadata (CSDGM) to the international geospatial metadata standard, ISO 19115-1 Geographic Information – Metadata – Part 1: Fundamentals. Projects should outline an implementation strategy that identifies the processes, participants, milestones and timeline for exploring the technical and organizational issues that must be addressed during transition. A project can focus on technical and/or organizational issues.

#### **Status of Metadata Service**

- List information about translated metadata records, if any.
- 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 them.

## **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?

- 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 are there 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 <u>Category 3: Expanding Use of the GIS Inventory System</u> Interim and Final Report Format

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

Date: MM/DD/YYYY
Agreement Number:

Project title:

Indicate whether Interim or Final report

Organization: Name, Mailing Address, Web Address.

Principal Investigator: Name, Telephone Number, Email Address.

Collaborating Organizations: Organization Name, Contact Name, Mailing 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?

Identify the GIS managers who have accounts on the GIS Inventory System.

Provide a summary report and item listing of all entries from the GIS Inventory entered or updated as a result of the award.

#### **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?

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

- 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 are there 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 <u>Category 4: Fifty States Initiative: Business Plan Development and Implementation</u> <u>Interim and Final Report Format</u>

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

#### 1. Interim Report Format

Date: MM/DD/YYYY
Agreement Number:
Project Title:

Organization: Name, Mailing Address, Web Address.

Principal Investigator: Name, Telephone Number, Email Address.

Collaborating Organizations: Organization Name, Contact Name, Mailing 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?
- Is there anything in your approach you plan on altering to improve your project?

## **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: MM/DD/YYYY
Agreement Number:
Project Title:

Organization: Name, Mailing Address, Web Address.

Principal Investigator: Name, Telephone Number, Email Address.

Collaborating Organizations: Organization Name, Contact Name, Mailing Address, Web Address.

## **Executive Summary**

Include a short paragraph (under 250 words) describing the project and its key successes or outcomes.

### **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.
- State any other benefits of your project.

**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 are there 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: FGDC-endorsed Standards Implementation Training and Outreach Interim and Final Report Format

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

Date: MM/DD/YYYY Agreement Number:

Project title:

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

Organization: Name, Mailing Address, Web Address.

Principal Investigator: Name, Telephone Number, Email Address.

Collaborating Organizations: Organization Name, Contact Name, Mailing 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, while 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?

Identify major deviations from the original proposal and explain rationale.

For the final report, identify how the public can access the deliverables at no cost, without restriction.

If training at workshops is to be provided through the project:

- Indicate the number, duration, and venue of workshops conducted.
- List organizations and organizational type (Federal, State, local, Tribal, academic, NGO, etc) of the
  workshop participants. Names of participants need not be provided. This list will provide indicators of
  outreach to user communities.
- Indicate the overall customer satisfaction for each workshop. Customer satisfaction rating is from the NSDI training evaluation form, which provides means to evaluate trainer proficiency. The evaluation is administered after each workshop and should take 10 minutes if measuring customer satisfaction alone and 20 minutes if measuring both customer satisfaction and trainer proficiency. The evaluation form is available at <a href="http://www.fgdc.gov/training">http://www.fgdc.gov/training</a>.
- Describe the means of instruction, for example, lecture only, lecture and exercises, or lecture and computer assisted.
- Provide letters of recognition for the workshop to the awardee, publication articles regarding the workshop, and external endorsement for the workshop.
- List new organizations engaged in this project.
- Provide the method(s) of promoting the workshop (e.g., FGDC Calendar, Listsery, etc.)

#### **Next Steps**

- Answer how this project's activities will continue beyond the performance period.
- Answer how knowledge acquired through this project will be transferred to user communities beyond the performance period.
- Identify the relationships that have been established with other organizations to sustain activities beyond the performance period.
- Describe the next phase in your project.

• Identify project needs (more technical assistance, software, other?) How can the FGDC help?

- 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 are there 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 <u>Category 6: FGDC Standards Development Assistance Project</u> Interim and Final Report Format

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

Date: MM/DD/YYYY Agreement Number: Project title:

Indicate whether Interim or Final report

Organization: Name, Mailing Address, Web Address.

**Principal Investigator:** Name, Telephone Number, Email Address.

Collaborating Organizations: Organization Name, Contact Name, Mailing 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 shall describe the project as completed.

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?

Identify people who reviewed materials (for example, draft standards and log of comment resolutions) developed through the project.

Identify major deviations from the original proposal and explain rationale.

For the final report, identify how the public can access the deliverables at no cost, without restriction. The applicant should describe how it will advance development or implementation of the standard after the end of the award period.

For project team meetings, please report these items:

- Date of the project team meeting
- Venue and location of the project team meeting
- List organizations and organizational type (Federal, State, local, Tribal, academic, NGO, etc.) of participants. Names of participants need not be provided. This list will provide indicators of the breadth of community participation in the development of the standard.
- Outcomes of the project team meeting

#### **Next Steps**

Describe how you plan to continue project activities beyond the performance period.

Describe relationships that have been established with other organizations through this project.

For the interim report:

- Describe the next phase in this project.
- Identify the needs you have to continue the project. How can the FGDC help?

- What are CAP Program strengths and weaknesses?
- Where did the CAP 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 are there 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 <u>Category 7: Geospatial Platform Cloud Service Testbed</u> Interim and Final Report Format

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

Date: MM/DD/YYYY Agreement Number: Project title:

Indicate whether Interim or Final report

Organization: Name, Mailing Address, Web Address.

Principal Investigator: Name, Telephone Number, Email Address.

Collaborating Organizations: Organization Name, Contact Name, Mailing 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**

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. How were challenges identified and what steps were taken to overcome these challenges?

Provide a summary report identifying the steps taken, issues encountered, and reporting on the performance and costing of the solution as deployed in the Cloud relative to in-house hosting.

#### 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?

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

## $\label{lem:condition} \textbf{Feedback on Cooperative Agreements Program} \ (\textbf{To be completed for the final report})$

- 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 are there 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?