



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

**NATIONAL GEOLOGICAL AND GEOPHYSICAL
DATA PRESERVATION PROGRAM
(NGGDPP)**

**Authorized by The Energy Policy Act of 2005
(Public Law 109-58, Sec. 351)**

PROGRAM ANNOUNCEMENT No. G21AS00007

For Fiscal Year 2021

ISSUE DATE: November 6, 2020

CLOSING DATE & TIME:

**January 8, 2021, 6:00PM
Eastern Time (ET)**

PLEASE READ THE ENTIRE ANNOUNCEMENT CAREFULLY

Paperwork Reduction Act Approval — OMB Control No. 1028-0087 Expiration Date: 09/30/2021

PAPERWORK REDUCTION ACT STATEMENT: The Paperwork Reduction Act states that the agency must disclose why information is being collected, how it will be used, and whether you have to provide it. The National Geological and Geophysical Data Preservation Program is collecting this information to evaluate submitted proposals seeking funding for data preservation-related activities. Your response is required to receive funding. A Federal agency cannot conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number (1028-0087). The average burden associated with this collection is estimated to average 36 hours per response, including the time for reviewing instructions and completing the required information. If you have comments about this form, please e-mail gs-info_collections@usgs.gov.

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PROGRAM ANNOUNCEMENT CHANGES

Changes have been implemented in the 2021 Program Announcement. Please thoroughly review all sections to ensure compliance with the Program Announcement requirements.

Over the past 3 years, NGGDPP has been supporting the conversion of GIS databases to modern GIS formats in the GeMS standard in regular data preservation activities (Priority 1). This support was intended to promote the adoption of GeMS and provide funding to support the educational and tool development to advance the modernization and standardization of older digital geologic maps. Priority 2 will continue to support conversion of digital geologic data to GEMS format relevant to prioritized Critical Minerals (Earth Mapping Resources Initiative (Earth MRI)) areas. The support for conversion of digital geologic data to GEMS format outside of Earth MRI focus areas will now be provided by the National Cooperative Geologic Mapping Program (NCGMP) through the State Map Program. NGGDPP regular data preservation activities will only support the digitization of paper maps, including scanning and vectorizing into a GeMS compliant GIS database.

The NGGDPP coordinates with Earth MRI to support data preservation activities related to critical minerals. In this program announcement where Earth MRI (Priority 2) activities are mentioned these are NGGDPP-Earth MRI activities. This is separate funding and cannot be combined with related NCGMP activities that receive Earth MRI funding.

In addition to proposing Priority 1 and/or 2 projects, states may apply for federal funds to support travel to a 2021 Data Rescue and Preservation Workshop hosted by the Montana Bureau of Mining and Geology held in early fall of 2021 in Butte, MT, co-sponsored by the NGGDPP and the Association of American State Geologists (AASG). States may request funding up to \$1500 per person for up to two participants for workshop attendance (i.e., data preservation projects are not required). All states that request travel funds to attend the 2021 Data Rescue and Preservation Workshop will receive funds. To obtain NGGDPP funds to support travel to the 2021 Data Rescue and Preservation Workshop, states must:

- 1) Request NGGDPP funds, explained in Part II. Section C. 10
- 2) Provide travel estimates in the budget table (Attachment B),
- 3) Meet the 100% or higher match requirement (failure to include the required match for workshop only proposals will result in the rejection of the proposal).

In the event workshops are virtual instead of in-person, the travel funds will not be awarded and a revised budget and workplan will need to be submitted to Margaret Eastman (mrussell@usgs.gov) and Lindsay Powers (lpowers@usgs.gov). If no Priority 1 or 2 projects are funded the award will be canceled.

In FY2021, states may request funding for one or both of two Priorities: Priority 1) preservation activities associated with the rescue, inventory, digitization, modernization and public dissemination of geoscience data and physical collections, and/or participation in the Data Preservation Workshop; and Priority 2) inventory and preservation of critical

mineral resources data and assets and participation in and/or travel to a Critical Mineral Resources Workshop. If applicable, states must submit two separate budget sheets for: 1) budget for Priority 1, including travel to a Data Rescue and Preservation Workshop, and ancillary costs for these activities (fringe rates, direct and indirect costs); and/or 2) budget for Priority 2, including travel to a Critical Mineral Resources Workshop, and ancillary costs for these activities – total federal share for Priority 2 cannot exceed \$35,000. Please note: there is no workshop registration fee associated with the Critical Mineral Workshop. In the event workshops are virtual instead of in-person, the travel funds will not be awarded.

In addition to preserving data and collections for Priority 1, states may upload and store data and/or image files with metadata records in the National Digital Catalog (NDC), to enhance direct access by users. Proposals should follow [NGGDPP Recommended Practices](#) for preservation methods, for example, scanning resolution and file formats. Deviations from the recommended practices should be well-justified. States proposing to digitize geologic maps for use in GIS environments must adhere to the National Cooperative Geologic Mapping Program (NCGMP)-compliant standard (GeMS), and these final map products must be submitted to The National Geologic Map Database (ngmdb@usgs.gov). **Requested funds for Priority 1 must be matched at 100% or greater by the recipient.**

For Priority 2, state surveys may request up to \$35,000 for identifying critical mineral resources and preserving related data and assets and attending a regional Critical Mineral Resources Workshop (see FY2021 Priority 2 on page 3). All states may request up to \$3,000 to develop a long-range strategy for critical minerals relevant data preservation for their state. All states requesting these funds will receive them. If requesting funds for the long-range strategy this would require a separate budget item within the Priority 2 budget (see FY2021 Priority 2 on page 5). **Requested funds for Priority 2 must be matched at 100% or greater by the recipient.** Additional details on acceptable Priority 2 projects are included (page 3).

Proposals submitted to the U.S. Geological Survey (USGS) must include a Data Management Plan (DMP) to conform with the Executive Order of February 22, 2013, “Increasing Access to the Results of Federally Funded Scientific Research”. **All proposals must use the provided NGGDPP DMP template provided at the following link:**

<https://www.sciencebase.gov/catalog/file/get/5baa94ade4b08583a5cd878e?name=StateSurveyAbbrev-NGGDPP-FY21-DMPForm.docx>

Instructions for writing a DMP using the NGGDPP template are explained in Part II. C.9. State applicants are required to provide curricula vitae (CV) for primary project personnel.

The minimum font size allowed in tables and figures within the Priority 1 and Priority 2 Project Descriptions is 8-point font as described in Part II C.7&8.

Managing the quality of data (QA/QC) throughout the preservation process must be addressed in the proposal. Additional resources and guidance are provided in Part II. C.7&8.

A recommended, but not required [Final Technical Report template](#) is available on the NGGDPP site with guidance within the document.

All proposals must explicitly state how the proposed work addresses at least one of the U.S. Department of the Interior priorities (found here: <https://www.doi.gov/ourpriorities>).

IMPORTANT GUIDELINES AND REQUIREMENTS

The following guidelines and requirements are provided to help you submit a strong, competitive proposal. The Review Panel membership changes from year to year and you should not assume that reviewers will be fully aware of your previous work.

Following these guidelines will allow the Review Panel to efficiently and effectively assess your proposed project.

- In your proposal, please address feedback received from previous NGGDPP panel reviews, as relevant to the newly proposed project. The feedback provided to you is intended to help improve your proposal and chance of being funded.
- Provide a clear justification for preserving the selected data and/or materials. Explain how the results of the project meet the priorities of your organization and benefit your stakeholders and society. Please be specific and provide examples.
- Briefly and explicitly state how the proposed work addresses at least one of the U.S. Department of the Interior priorities (found here: <https://www.doi.gov/ourpriorities>).
- A primary objective of the Program is to increase public accessibility of geological and geophysical data and samples. Ideally, digital resources should be made readily and publicly available through digital means. Physical resources should be discoverable through digital means. Please describe how the materials and data will be made available. If materials will not be made publicly available, provide a clear justification.
- Describe the project and the process you expect to follow (**workflows, including methods**) to complete the required work. If you are proposing multiple activities to complete the project, clearly state the work you will do for each activity. Please note that if reduced funds are awarded, scope of work may require modification.
- Briefly describe previous work or pilot projects that have informed your

estimate of the level of effort and/or expertise needed to successfully complete the proposed work.

- The proposal Data Management Plan (DMP) must be provided in the NGGDPP format provided at the link on page v with the minimum requirements documented as described in Part II. C.9.
- Preserving USGS assets (e.g. maps, reports, photos etc.) using NGGDPP funds is **not allowed**; collections proposed for preservation should be owned by your state geological organization. Strong justification is required for preserving collections owned by a private or another state entity (for example, state oil and gas commission).
- Verify the federal share of the cost of the proposed activities is no more than **50 percent of the total cost for each Priority**. The state portion can be larger than the federal portion; however, if the federal contribution is more than the state portion - regardless of the difference (even 0.01) - the grant proposal shall be disqualified and will not be evaluated by the grant review panel. **Review and verify budget numbers prior to proposal submission.**
- Include descriptions of project personnel and their experience and skills relevant to completing the proposed tasks. Extended supervisory hours performed by senior staff or other management activities for which funding is requested must be well justified. Submit curriculum vitae or resumes (2-page maximum) for primary personnel. (CVs do not count toward the proposal page limit.)
- Equipment funding requests including scanners, computers, storage media, and relevant software licenses are acceptable as long as the equipment is reasonable and necessary for the successful completion of the work funded by the NGGDPP. A full justification and a dealer or manufacturer quote are required for any proposed equipment purchase. If no justification is included the cost will be disallowed. The NGGDPP will not fund general software licenses, database software systems, or equipment required for your organization's IT infrastructure and operation, regardless of your proposed NGGDPP-related work.
- Non-allowable expenses under the NGGDPP include preservation of USGS products, duplicate digitization/conversion of artifacts produced and preserved by other agencies, tuition, computer maintenance or travel to any other conference or workshop except the Data Preservation and/or regional Critical Mineral Resources Workshop.
- Begin submitting your proposal to Grants.gov well in advance of the due date as **there is no possibility of late submissions**. See Part III, Section A for more information.

Please contact the Contracting Officer if you have questions. However, questions specific to your proposal as to what will or will not be funded cannot be addressed.

PART I: Public Law, Program Priorities, Program Outreach

A. Public Law

The National Geological and Geophysical Data Preservation Program (NGGDPP) was established and authorized in Section 351 of the Energy Policy Act of 2005 (Public Law 109-58, Sec. 351), which recognizes the need for the preservation and cataloging of and access to geological and geophysical data for research availability. To read Section 351 or the entire Act, visit: <https://www.usgs.gov/core-science-systems/national-geological-and-geophysical-data-preservation-program/energy-policy-act>.

The objectives of the Program as outlined in the Act are to:

- (1) archive geologic, geophysical, and engineering data, maps, well logs, and samples;
- (2) provide a national catalog of such archival material; and
- (3) provide technical and financial assistance related to the archival material.

For more information about the NGGDPP, read the “Implementation Plan for the National Geological and Geophysical Data Preservation Program” (2006) which is available at: <https://www.usgs.gov/core-science-systems/national-geological-and-geophysical-data-preservation-program/implementation>.

B. Program Priorities

PLEASE NOTE: Proposals that do not specifically address NGGDPP fiscal year (FY) 2021 priorities will NOT be considered for an award.

The NGGDPP FY 2021 priorities include: 1) preservation of geoscience materials and data including submission of scanned geologic maps (including resource, hazard, and engineering maps) and/or digitized geologic maps and resulting geodatabases converted to the GeMS format to The National Geologic Map Database (NGMDB, <https://ngmdb.usgs.gov>), and submission of metadata records describing preserved resources in conformance with the NGGDPP metadata schema to the National Digital Catalog (NDC), to increase access by researchers, resource managers, decision-makers, and the public, for the benefit of society; and 2) identification of data and materials related to critical mineral resources.

The proposal must describe projects that address the FY 2021 priorities and requirements to complete comprehensive activities to inventory, describe, and preserve specific collections. It is possible for proposed Priority 1 and/or Priority 2 projects to receive reduced or no funding. Cohesive and related activities adhering to a holistic data preservation strategy are favored by the NGGDPP. If applicable, hiring students from underrepresented sectors, majoring in science, technology, engineering, and mathematical fields, is strongly encouraged to educate and diversify the next generation of geoscientists.

FY 2021 Priority 1 – Preserve Geoscience Data and Materials

In FY 2021, state geological surveys may request funds to inventory, preserve, archive, and/or modernize geologic, geophysical, and engineering data, maps, notebooks, publications, well logs, photographs, and samples. Preservation activities may include but are not limited to the following:

- conversion of paper records and/or analog data to digital formats for preservation and digital access;
- updating digital data to modern and sustainable formats to maintain accessibility and usability, as older digital storage technology becomes obsolete and newer technology becomes available;
- conversion of paper geologic maps not available in a GIS format to the Geologic Mapping Schema (GeMS) format (see <https://ngmdb.usgs.gov/Info/standards/GeMS/>);
- utilizing the National Digital Catalog (NDC) as an accessible trusted digital repository for file resources;
- describing geoscience assets to increase use and understanding, including creating metadata records for submission to the NDC;
- preserving and/or rescuing time-dependent, unique geologic data or collections of significant value in imminent danger of loss from deteriorating physical surroundings, threat of disposal, loss of institutional knowledge, or rapidly deteriorating media on which they reside (e.g., data stored on magnetic tape or aging aerial photos);
- enhancing or developing data archiving systems, databases, and web applications to enhance access, understanding, interpretation, and use of geoscience materials;
- updating NDC metadata records to new NDC metadata convention to improve discoverability and access to collections. Local tools and applications that had been developed to follow the *csv/*xml NDC metadata convention will need to be revamped to conform to the new NDC metadata convention and controlled vocabularies; and
- participation in the 2021 Data Rescue and Preservation Workshop.

NGGDPP's intention is to promote the availability of preserved data and materials to further geoscientific research and societal understanding. Therefore, all attempts should be made to publicly expose the preserved data and materials sponsored by NGGDPP grants, avoiding copyrights and restrictions.

Collection level metadata records describing the preserved materials must be submitted to the NDC using the updated NDC metadata template/convention. If applicable to the proposed activity, metadata for individual collection items should also be submitted. NGGDPP will provide required metadata attributes for collection level metadata, as well as upload and/or access protocols, by email and website no later than May 1, 2021.

To enhance dissemination and availability of geoscience data and documents (e.g., images; digital scans of field notebooks, geophysical logs, and other historic documents; data tables) to researchers and the public, state geological surveys may upload to the NDC geoscience images, tables, and documents for long-term access and use by researchers and the public. Use of the NDC as a repository for the storage and dissemination of data and image files is available to all state geological surveys participating in the NGGDPP. The NDC should serve as the primary access and distribution point for the stored digital files. These files should not be made available elsewhere on the Web to avoid duplication and versioning issues. The files may not be copyrighted or restricted

from public distribution. Metadata on collections and items in the NDC may also exist in other catalogs.

FY 2021 Priority 2 – Identify Critical Mineral Resources

In FY 2019, the USGS established an initiative, known as Earth MRI (Mapping Resources Initiative), with a goal of identifying national priority areas with the potential for hosting critical minerals and to develop a plan to improve the Nation’s understanding of domestic critical mineral resources. Fortier and others (2018)¹ published a list of 35 critical minerals that are the focus of the USGS component of the Earth Mapping Resources Initiative (Earth MRI). In FY 2019 the NGGDPP established a new program priority, critical mineral resources, supporting states to preserve and make publicly available online, mineral deposit, drill core, geochemical, geophysical and other relevant data, in support of the Earth MRI effort. In addition to the critical mineral resources preservation activities, USGS anticipates hosting regional critical mineral resources workshops during FY 2021, to bring together technical experts from across the USGS and state geological surveys, to assess and discuss data and information relevant to the identification of focus areas across the Nation with potential for hosting critical mineral deposits. The workshops will address subsurface critical mineral resources and initiate an evaluation of mine waste surface deposits that have potential for containing recoverable critical mineral resources.

State representatives may participate in one workshop in their respective geographic area to help Earth MRI understand the mineral deposits and help delineate the focus areas. The USGS will support travel for up to two participants per state, up to \$1,000 in direct costs per participant in federal funds to attend the workshops. All requests for workshop travel funds will be granted up to a total of \$2,000 (for two travelers), regardless of whether other proposed activities are funded. The workshops will be held in late FY2021, at designated USGS facilities. Part (g) 2 of Section 351 of the Energy Policy Act of 2005 (Public Law 109-58, Sec. 351) authorizes the NGGDPP to provide financial assistance to state geological surveys for studies and activities that enhance understanding, interpretation, and use of materials archived by the state geological surveys. Funds will only be provided to those applicants that requests funding to attend a workshop. In the event workshops are virtual instead of in-person, the travel funds will not be awarded.

In FY2021, state geological surveys may request funds, up to \$35,000 of federal match, to support the process of preserving and making publicly available data and information on critical minerals in the United States through the following types of activities that meet the intent of Priority 2. **All Federal funds requested for Priority 2 must be matched at 100% (minimum) with state funds for Priority 2 activities.**

Priority 2 focuses on 4 main themes: (1) compiling or enhancing a state published map of critical and other mineral resources; (2) providing geospatial data and critical mineral resource information to the national-level Earth MRI effort for a USGS publication synthesizing the focus areas with potential for critical mineral resources; (3) making publicly available drill hole/core data through

¹ Fortier, S.M., Nassar, N.T., Lederer, G.W., Brainard, Jamie, Gambogi, Joseph, and McCullough, E.A., 2018, Draft critical mineral list—Summary of methodology and background information—U.S. Geological Survey technical input document in response to Secretarial Order No. 3359: U.S. Geological Survey Open-File Report 2018–1021, 15 p., <https://doi.org/10.3133/ofr20181021>.

the National Digital Catalog, and (4) support for the upcoming Earth MRI workshops. The FY2021 Priority2 efforts are:

- **State compilation of mineral deposits/districts** - compiling and publishing a map for the state that outlines the location of critical and other nonfuel mineral deposits and mineral districts with the goal of using existing data preserved in state-held records and in the available literature. The effort will result in a new compilation map or updating existing maps depicting the location and type of critical mineral deposits and districts in the state. The map data should be in a common geospatial digital data format employing the Mineral Deposits/Districts templates located at the below link:
https://www.sciencebase.gov/catalog/file/get/5baa94ade4b08583a5cd878e?name=AttachmentD_MineralDeposits_Districts_Templates.zip (this a zip file that will need to be downloaded and saved) with the included files made available to the National Digital Catalog. If compiling **mineral districts** (polygons) the districts data will be compiled as a set; shapefile (Districts_EarthMRI_shapefile_template.zip) and excel file (Districts_EarthMRI.xlsx). Guidance is provided within the excel file. If compiling **mineral deposits** (points) these will be provided in the deposits excel file, Mineral Deposit Info_Attachment D.xlsx. The compiled data files will be submitted to the NDC with metadata and if applicable, be made public by the State via the proposed method. The NGGDPP will forward to the USGS Mineral Resources Program project Mineral Deposit Database (USMIN) (nkarl@usgs.gov).
- **Contribute state data to USGS map compilation of focus areas** - supporting the Earth MRI's effort to define focus areas permissive for hosting critical mineral resources, by providing geospatial representation(s) of areas that delineate prospective areas or geologic belts (polygons and/or points) with the potential for hosting critical mineral resources together with supporting datasets. The focus areas will be developed in preparation for and revised following the Critical Minerals Workshop in collaboration and consultation with the USGS Earth MRI team. The resulting geospatial and mineral resource information will be incorporated into a USGS product for a national compilation of areas containing minerals systems that host critical minerals (e.g., <https://doi.org/10.3133/ofr20191023A> and <https://doi.org/10.5066/P95CHIL0>).
- **State compilation of borehole data with metadata to the National Digital Catalog** - identifying and providing digital access to publicly available drill hole/core data and information for areas with the potential for hosting critical mineral resources. Drill hole/core data will be compiled in the Borehole template (see link below – [https://www.sciencebase.gov/catalog/file/get/5baa94ade4b08583a5cd878e?name=NGGDPP P%20borehole%20template.xlsx](https://www.sciencebase.gov/catalog/file/get/5baa94ade4b08583a5cd878e?name=NGGDPP%20borehole%20template.xlsx)) and will minimally include location (in decimal degrees) and total depth and should include if the information is available: identification of stratigraphic tops, lithology, driller's logs, construction information, imagery, geophysical data, and analytical results. If applicable, depth to bedrock and identification of basement

rock relevant to the particular terrane, including depth to Precambrian basement, depth to consolidated rock beneath Quaternary deposits, or depth to consolidated rock beneath coastal plain deposits should be documented. Metadata describing this collection will be uploaded into the National Digital Catalog; metadata requirements will be provided. The data will be made public by the State via the proposed method and also be submitted to the National Digital Catalog (NDC) for repositing.

- **Updating geologic maps** - updating geologic maps to the Geologic Mapping Schema (GeMS) format (see <https://ngmdb.usgs.gov/Info/standards/GeMS/>) focusing on "born digital" geologic maps that were previously published in a GIS format. The geologic maps proposed for update to GeMS format should be relevant to prioritized Critical Minerals (Earth Mapping Resources Initiative (Earth MRI)) focus areas.
- **Support to States to prepare for and attend a USGS Critical Minerals workshop** - preparing for and participating in a ~2-day Critical Mineral Resources (Earth MRI) Workshop, anticipated to be held in late FY 2021. Participants will work with the USGS to identify and compile geospatial data sets to be used in identifying and prioritizing focus areas that are known to, or have the potential to, host critical minerals. Salary costs for preparation for the workshops are supported. States may request federal funding for direct costs up to \$1000 per person for up to 2 state participants with a maximum of \$2,000 for workshop attendance (does not include indirect costs). All states that request travel funds to attend the 2021 Critical Mineral Resources (Earth MRI) Workshops will receive funds, regardless of whether other proposed activities are funded. The federal funds must be matched at 100% or greater in state funds with travel estimates documented in the Priority 2 budget table (Attachment B). In 2020, the Critical Mineral Resources (Earth MRI) Workshops were held virtually and required no travel. The format of the 2021 workshops (face-to-face or virtual) will be determined as soon as possible in 2021. The total for Priority 2 including potential travel to critical minerals workshop shall not exceed \$35,000, including indirect costs. In the event the workshop is virtual instead of in-person, the travel funds will not be awarded and a revised budget and workplan will need to be submitted to Margaret Eastman (mrussell@usgs.gov) and Lindsay Powers (lpowers@usgs.gov). If no Priority 2 projects are funded the award will be canceled.
- **Strategic Plan for Critical Minerals** – All states may request up to \$3,000 to develop a long-range strategy for critical minerals relevant data preservation for their state. All states requesting these funds will receive them.

All awarded Priority 2 funds must be matched at 100% or greater with state funds.

NGGDPP's intention is to promote the availability of preserved data and materials to further geoscientific research. Therefore, all attempts should be made to publicly expose the preserved data and materials sponsored by NGGDPP grants, avoiding copyrights and restrictions.

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

A. Timetables

Proposal Announcement Date: November 6, 2020

Closing Date and Time for Proposal Submission: **January 8, 2021, 6:00 p.m. ET**

Proposals received after the deadline will NOT be considered for an award.

For applications that only include Priority 1 projects, the earliest start date will be after the USGS receives its final FY 2021 appropriation, notice of full-year continuing resolution, or May 1, 2021, whichever is later. The latest start date is September 13, 2021.

For applications that include Priority 2 projects, the start date will be after USGS receives its final FY 2021 appropriation. For Priority 2 projects, spatial information for focus areas with the potential to host critical mineral resources will be developed during the Critical Mineral Resources (Earth MRI) workshops and due thereafter by December 1, 2021. Other Priority 2 products (mineral reports, documents, databases, data files, website addresses) and products for Priority 1 activities are due 90 days following end of grant performance period.

Awards will be made for a 12-month period only.

B. Eligibility – Who May Submit a Proposal

Only state geological surveys are eligible to apply to this Program Announcement under the National Geological and Geophysical Data Preservation Program pursuant to the Energy Policy Act of 2005 (Public Law 105-58, Sec. 351). A university may submit a proposal on behalf of a state geological survey if the state geological survey is organized under a state university system.

C. Proposal Format Instructions

Proposals must be arranged according to the format provided below. Following this format ensures that every proposal contains all essential information and is evaluated equitably. The proposal may be in PDF or MS Word format. The proposal and associated forms shall be submitted to www.grants.gov. Provide requested information in the correct locations within the proposal template. Failure to do so may result in disqualification of the proposal.

Proposals are limited to 8-pages, which include 1) Project Summary, and 2) Project Description, provided separately for Priority 1 and 2, and limited to 4 pages for each priority. Each priority proposal section is limited to 4 pages. Other forms and documents, including: Standard Forms 424s, project summary sheet (Attachment A), project personnel justification and expertise table or list, CVs (max 2 pages per CV), letters from stakeholders, [DMP](#), budget tables (Attachment B), negotiated rate and cost agreements, and equipment quotes do not count toward the 8-page limit.

All proposals must include the following documents:

1. Standard Form 424. Application for Federal Assistance (**mandatory form provided in grants.gov**). The person who electronically submits the SF-424 must have the authority to bind the state to the terms of the assistance award.
2. Standard Form 424A. Budget Information – Non-Construction Programs (**mandatory form provided in grants.gov**).
3. Standard Form 424B. Assurances – Non-Construction Programs (**mandatory form provided in grants.gov**).
4. Negotiated Rate Agreement/Indirect Cost Rate Agreement. Most states and universities have a rate agreement with the Federal Government, which may be titled “State and Local Rate Agreement” or “Colleges and Universities Rate Agreement”. This agreement provides the rates approved for use in grants, contracts, and other agreements with the Federal Government. **If you request fringe benefits or indirect costs, the indirect cost rate agreement is requested to verify rates requested. In the absence of an indirect rate agreement, applicants may charge no more than 10% indirect costs.**
5. FY 2021 NGGDPP Proposal Information Sheet. (**Attachment A**). Summary sheet shall clearly list project and budget summary for all priorities. Please include e-mail addresses for the Principal Investigator and authorized institution representative. Outcome notifications will be sent via e-mail to the authorized institution representative and the Principal Investigator. The Proposal Information Sheet is NOT included in the page limit.
6. Summary for Priority 1 and 2 projects. The project summary shall provide a high-level overview of project goals and scope, summary of the approach, societal benefits, and anticipated results. This summary shall not exceed 1,000 total characters and may be used in public outreach communications to advertise preservation activities funded by the NGGDPP. The Project Summary is included in the 4-page limit per priority.
7. Project Description for Priority 1 projects only. The project description (with project summary) of the proposal is limited to 4 single-space pages (including figures, tables), with no smaller than 11-point font size, and 1-inch margins. The font size in figures and tables is limited to no smaller than 8-point font size. All text, figures, and tables shall be sized to fit on 8½” x 11” paper. The project description section of your proposal should include the following:

(a) Introduction: The introduction should provide a brief overview of the project activities, methods, and goals. Provide background information about the preserved artifacts, primary users, and frequency of use of the preserved materials and data. Preserving USGS assets using NGGDPP funds is not allowed; collections proposed for preservation should be owned by your state geological organization. Strong justification is required for preserving collections owned by a private or another state entity (for example, state oil and gas commission). Explain the societal and scientific benefits and the importance of the proposed preservation activities to your state. Explicitly state how the proposed work addresses at least one of the U.S. Department of the Interior priorities (found here: <https://www.doi.gov/ourpriorities>). A statement of use or a letter of support from a stakeholder may be included. Letters of support from stakeholders do not count against the

page limit.

(b) Project narrative: Follow the guidelines and requirements listed on pages iii – v of this program announcement. Describe the procedures and workflows that will be carried out to preserve materials and data. Include descriptions of the separate activities for the designated processes, including the quality assurance and control methods to ensure accuracy and quality of products. Guidance and best practices for managing data quality can be found on the USGS Data Management site: [Manage Quality](#). Discuss the generated products (other than the final technical report), such as metadata for specific collection and items or an improved database. Provide a table or list that includes information about the Principal Investigator, staff, and support positions (such as geologist, information technologist, or database developer) and detail the estimated time by objective by person. Briefly discuss each person's role on the project so that it links to the budget. For each person, provide a brief statement of their background, define their roles and responsibilities, and provide a CV for primary personnel (no more than two pages) that includes skills and expertise relevant to the proposed activities, and indicate whether the person works for your organization or elsewhere (contractor or volunteer). If the contractor has not yet been hired, describe experience and skills necessary for completing the work. CVs do not count against the page limit.

8. Project Description for Priority 2 projects only. The project description (with project summary) of the proposal is limited to 4 single-spaced pages (including figures, tables), with no smaller than 11-point font size, and 1-inch margins. The font size in figures and tables is limited to no smaller than 8-point font size. All text, figures, and tables shall be sized to fit on 8½" x 11" paper. The project description section of your proposal should include the following:

Project narrative: Follow the guidelines and requirements listed on pages iv–vii of this program announcement. Describe the procedures and workflows that will be carried out to achieve the listed activities under Priority 2 and how they will result in the products for Priority 2, including the quality assurance and control methods to ensure accuracy and quality of products. Guidance and best practices for managing data quality can be found on the USGS Data Management site: [Manage Quality](#). Provide a table or list that includes the roles and responsibilities of the Principal Investigator, staff, and support positions (such as geologist, information technologist, or database developer) and detail the estimated time by objective by person. Briefly discuss each person's role on the project so that it links to the budget. The FY21 project narrative may also propose to develop a long-range plan for data preservation activities related to critical mineral resources.

9. **Data Management Plan (DMP).** To conform with Executive Order of February 22, 2013, Increasing Access to the Results of Federally Funded Scientific Research, proposals submitted to the USGS seeking funding for Priorities 1, and 2 must include a DMP, which explains how data and metadata generated by the proposed project will be disseminated and shared with other researchers and the public. A DMP should document data handling throughout the lifecycle of the project from planning through publication and archive. A data management plan also describes roles and responsibilities. These can be formalized through data sharing agreements. When there are questions regarding data access or

copyright issues these should be addressed and documented in the DMP. Beginning FY21 all proposals must use the [NGGDPP template](#). The DMP includes:

- a. Description of the types of collections, materials, and data that are expected to be preserved and made publicly accessible by the proposed project.
- b. Standards and best practices that will be used for the data and metadata formats, including justifications for deviations from the prescribed standards. As described in Part III, D. NGGDPP Products and Reports, metadata describing rescued and preserved data and materials must conform to the NGGDPP metadata schema (<https://www.usgs.gov/core-science-systems/national-geological-and-geophysical-data-preservation-program/prepare-metadata>).
- c. Policies for access and sharing, including provision for appropriate protection of privacy, confidentiality, security, intellectual property, and other rights or requirements. If your state is preserving data and materials with restricted access rights, explain these limitations.
- d. Provisions for re-use, re-distribution, and production of derivatives from your preserved data and artifacts.
- e. Plans for archiving and maintaining free public access to preserved data, samples, and other research products in your state facilities and on the Web. Please describe how the materials and data will be made available. If materials will not be made publicly available, provide a clear justification. The metadata records you submit to the NDC will be archived by the USGS and remain freely and publicly accessible.

The DMP does not count against the page limit.

10. Data Rescue and Preservation Workshop – Request must be made in the proposal for NGGDPP funds to support travel to the 2021 Data Rescue and Preservation Workshop, scheduled for early fall 2021 in Butte, MT, organized in collaboration with the AASG and hosted by the Montana Bureau of Mining and Geology. States may request travel funding for two people with data preservation or metadata responsibilities. Workshop travel expenses are itemized in the proposal budget (Attachment B), in which federal NGGDPP funds cannot exceed 50-percent of **total** project cost. Maximum USGS funds to be provided for workshop travel: \$1,500.00 per workshop attendee (maximum 2 attendees, \$3000 max per state); additional state representatives are welcome to the meeting at the state's expense). A registration fee of \$80.00 per attendee **must be paid with state funds, which can be part of the match**. States that only propose workshop travel expenses must still meet the 50% or higher match requirement for workshop travel. Provide cost estimates for workshop attendance for 1 to 2 people in the budget table (Attachment B). If the contiguous proposed data preservation project is declined, the state will receive matching funds to sponsor travel to the workshop *if the request for these funds is made in the proposal*. NOTE: To maximize federal funding, it is recommended that workshop travel funds be included on the federal side or matched with state funds equally in the budget table. If a preservation project is not funded, the state will receive the workshop travel funds that are requested or if requested federal travel funds exceed state match, the state will be asked to reformulate the budget to comply with the 1:1 state to federal match. If most of the travel funds are assigned to the state, the required match will be considered met (state funds exceed federal funds) with no budget modification required, and the state will receive only the funds requested (potentially, with a minimal federal match). In the event workshops are virtual instead of in-person, the travel funds will not be awarded.

11. Detailed Budget. Your proposal must include completed detailed budget sheets (Attachment B). If applicable, one budget sheet must include expenses for Priority 1 preservation activities, including travel to 2021 Data Rescue and Preservation Workshop and ancillary costs (fringe rates, direct and indirect costs). Federal funds requested for Priority 1 must be matched with state funds. If applicable, a separate budget sheet must include expenses for Priority 2, including approximate travel costs to a Critical Mineral Resources (Earth MRI) Workshop and ancillary costs. Federal funds for development of a strategic plan for critical minerals under Priority 2 must be documented separately within the Priority 2 budget and matched with state funds. Federal funds requested for Priority 2 cannot exceed \$35,000, including travel to Critical Mineral Resources (Earth MRI) Workshop and must be matched with state funds. The detailed proposed budget(s) must be summarized and provided in the “Amount Requested” on the NGGDPP Proposal Information Summary Sheet (Attachment A). Attachments A and B provide format guidance. You may create your own budget sheet with the same format including additional rows for needed itemization. In the budget sheet, individual federal expenditures do not have to be matched by state funds, line by line. **However, the total funding contributed by a state geological survey shall be equal to or greater than the amount requested from the NGGDPP for each Priority and shall be derived from non-federal sources (direct and indirect costs). Failure to provide a detailed budget itemizing state expenditures will result in rejection of the proposal.**

Please read each category description below and provide the detailed breakdown for each cost. This information will help avoid delays processing a funded proposal, as an award will not be issued until all required information is provided. Please be scrupulous in your calculations as they will be meticulously analyzed for consistency and accuracy.

The detailed budget **shall** include the amount proposed for each of the following:

- (a) Salaries and wages. List names, positions, number of hours individuals will spend on various activities, their rates of compensation and project roles. Salaries or wages for student assistants (undergraduate and/or graduate students) working on the project are an acceptable cost to the Program. If a position is vacant, indicate the position title. Include only personnel actively involved in the project. If senior management salary/time is covered by the overhead (indirect cost) portion of the budget, senior management salary/time should not be included. If senior management personnel participate in project work, include an explanation of their roles. Non-state survey staff working on the project should also be included if they are being supported by other state funding. The detailed proposed budget shall include the total time worked on the project (in units of hours), rate-of-compensation (hourly, monthly, or annually), and job title or role of each person.
- (b) Fringe benefits. Indicate the rates/amounts in conformance with normal accounting procedures. Explain what costs are covered in this category and the basis of the rate computations. Indicate whether rates are used for proposal purposes only or whether they are also fixed or provisional rates for billing purposes. Include a copy of the Negotiated Rate Agreement or internal memo supporting the proposed rates. The Negotiated Rate Agreement and internal memo **do not** count toward the 8-page limit.

- (c) Travel expenses. State the purpose of the trip(s) and itemize estimated travel costs (including reason for travel, number of people, number of travel days, per diem rate, mileage rate, airfare, or other travel costs) necessary to perform the activities in your proposal. Travel expenses for the following workshops are also allowable.

- i. Data Preservation Workshop to be held in Butte, MT; dates TBD, early fall 2021;

States may request funding for travel to the 3-day 2021 Data Rescue and Preservation Workshop in Butte, MT (see Part I, Section B). A registration fee of \$80.00 for each participant must be paid for with state funds which can be part of the match. (Information about the registration will be provided at a later date.) States may request funding to send two people with data preservation or metadata responsibilities to the workshop. Maximum USGS funds to be provided: \$1,500.00 per workshop attendee (maximum 2 attendees; \$3000 max per state). Additional state attendees are welcome to the workshop, but federal funding will only be provided for 2 state participants. States that only apply for workshop travel expenses must match federal funds with state funds; failure to include the required state match for workshop travel will result in rejection of the proposal. Airfare estimates should be based on travel to Butte or Bozeman Airport. In the event workshops are virtual instead of in-person, the travel funds will not be awarded.

- ii. Regional Critical Mineral Resources Workshop in Reston, Virginia; Denver, Colorado; Reno, Nevada; or Spokane, Washington; Dates TBD, Late FY2021

In the Priority 2 budget sheet, states may request funding for travel for up to 2 participants, \$1,000 in direct costs per participant, not to exceed \$2,000 of federal share, to a regional 2-day Critical Mineral Resources Workshop (see Part I, Section B, Priority 2). If travel funds are requested to attend the workshop, funding should be requested for at least one staff member responsible for identifying mineral resource data and assets and developing geospatial data sets to be used in identifying and prioritizing focus areas that are known or have the potential to host critical minerals. Critical Mineral Resources Workshop travel expenses are itemized in the Priority 2 proposal budget, in which total federal NGGDPP funds cannot exceed \$35,000 in direct and indirect costs and must be equal to or less than 50-percent of **total** Priority 2 project cost. In the event workshops are virtual instead of in-person, the travel funds will not be awarded.

- (d) Other direct costs.

- Supplies. List costs for office and laboratory/facility supplies. Itemize by including the number and cost for each item.

Equipment. NGGDPP funds may be used to purchase computer hardware, GPS, or other nonexpendable property required for the project. Non-expendable equipment has a useful life of more than one (1) year and an acquisition cost of \$5,000 or more per item. If necessary, NGGDPP funds may be used to purchase software site licenses needed to complete data preservation projects. Show the

cost of all proposed equipment/software site licenses necessary for achieving project goals. Each item should be itemized and include a **full justification** and a dealer or manufacturer quote. If full justification for equipment is not provided, equipment costs will not be supported.

General-purpose equipment must be purchased from the applicant's operating funds. Routine computer maintenance contracts and charges for computer time are not acceptable direct costs under this program. Explain and justify any extraordinary items included in the proposed project budget.

- Contractual services. Identify the activities for which such services would be used. Identify proposed contractors (individual or corporate) and provide criteria by which contractors will be, or have been, selected. For each individual, include their job title, total labor hours, and rate of compensation.

(e) Total direct costs. Total items (a) through (d).

(f) Indirect charges. Show the proposed rate, cost base, and proposed amount for allowable indirect costs based on the cost principles applicable to the applicant's organization. If applicant has separate rates for recovery of labor overhead and general and administrative costs, each charge should be shown. Explain the distinction between items included in the two cost pools. Applicant should propose rates for evaluation purposes, which they are also willing to establish as fixed or ceiling rates in any resulting award. A copy of the indirect negotiated cost agreement with the Federal Government must be included. If one is not established, applicants may charge 10% indirect costs. A copy of the Indirect Negotiated Cost Agreement does not count against the 8-page limit.

(f) Total charges. Total items (a) through (f). The total budget proposed must show that the federal share of the cost of the activity does not exceed 50 percent of the total cost of the activity as required by Public Law 109-58, Energy Policy Act of 2005. The non-federal share may be more than the federal contribution.

D. Proposal Evaluation

NGGDPP proposals for Priority 1 and Priority 2 projects will be reviewed by a seven-member peer panel, consisting of three state geological survey representatives, three USGS representatives, and one non-USGS representative. These panel members represent the professional areas of science, data management, and preservation.

Evaluation Criteria. **All proposals for Priority 1 and Priority 2 projects will be evaluated in accordance with the criteria listed below and the Important Guidelines and Requirements listed on pages v – vii.** NOTE: To avoid conflict of interest, no panelist may vote on a proposal from his or her state geological survey or state agency, nor may any panelist discuss with other panel members his or her state's proposal. This does not prohibit collaboration between USGS and state scientists once a grant is in place.

Priority 1 and Priority 2 projects will be evaluated separately according to the following criteria with each criterion having equal weight:

- **Technical merit.** This factor assesses the technical approach of the proposed work and the probability of achieving positive results within the designated period. Assessment includes analysis of methodologies, technology, and workflows.
- **Societal Benefits.** This factor assesses the value of the proposed preservation products to advancing scientific understanding, enhancing environmental health, increasing economic growth and/or public safety.
- **Knowledge, performance, and experience.** This factor considers knowledge, performance, and experience of the principal investigator and coworkers, including demonstrating the ability to successfully complete data preservation tasks, and satisfying NGGDPP reporting requirements. This factor includes the capability to provide necessary facilities and support to ensure satisfactory completion of the proposed work.
- **Appropriateness and reasonableness of the budget.** This factor considers whether the proposed budget is commensurate with the level of effort needed to accomplish the project and reasonable relative to the value of the anticipated results.

PART III: Proposal Guidelines

A. Electronic Proposal Submission Requirement

Applicants are responsible for electronically submitting the proposal to www.grants.gov by **6:00pm, ET, January 8, 2021**. Be sure to **read the instructions carefully**. Paper copies will NOT be accepted.

Please be aware the electronic submission process requires first-time users to register using e-Authentication process. This registration process can be complex and take up to 3 weeks to complete. Be advised that you may not be successful completing electronic submission for the first time if you begin the process only a few days before the due date. If your organization is affiliated with a university, contact the Office of Sponsored Programs, which may be familiar with the federal grant process and can work with you to submit the proposal.

If you have any questions or problems with the registration process, or the completion of the application package, please contact the grants.gov help desk at 1-800-518-4726 or support@grants.gov.

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

1. Confirmation screen
2. Submission Receipt (with “Track My Application” link)
3. Submission Validation (or Rejection with Errors)

4. Agency Retrieval

1. **CONFIRMATION: Submission Confirmation Screen**

After a grant application package is submitted, a confirmation message will appear on the computer screen. This screen confirms that an application has been submitted to Grants.gov. This page contains a tracking number and a “Track My Application” link for monitoring the progress of the submission.

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

Within two business days after the application package has been received by the Grants.gov system, a submission receipt email will be sent that indicates the submission has entered the Grants.gov system and is ready for validation. This email contains the same tracking number and a “Track My Application” link that is shown in submission confirmation screen for monitoring the progress of the submission.

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

This second email will include a message validating or rejecting the submitted application package due to errors. The Grants.gov system is designed to check for technical errors within the submitted application package. Grants.gov does not review application content for award determination.

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

Once the application package has passed validation, it is delivered to the grantor for award determination and further approval. After the grantor has confirmed receipt of the application, a third and final email will be sent from Grants.gov. The grantor may also assign the application package an agency-specific tracking number for use within their internal system. IF THIS E-MAIL HAS NOT BEEN RECEIVED WITHIN FOUR DAYS OF THE CLOSING DATE, PLEASE CONTACT THE CONTRACTING OFFICER, Margaret Eastman, (703) 648-7366, mrussell@usgs.gov.

If you need help entering your proposal, you can reach the **Grants.gov Contact Center at: 1-800-518-4726**. Their hours of operation are Monday-Friday, 7:00 a.m. to 9:00 p.m., Eastern Time, and they are closed on federal holidays.

When contacting the Grants.gov Contact Center, please have the following information available to help expedite the inquiry:

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

The electronic submission will consist of required forms SF-424, SF-424a, and SF-424b, plus the additional items described in Section C of this Announcement.

During the application period an applicant may submit a revised or corrected proposal through grants.gov. Include a cover letter as the first page of the proposal stating that the proposal is revised and the previous submittal is to be withdrawn from consideration. Revised submissions must be completed by **January 8, 2021, at 6:00 pm ET**.

Please allow sufficient time for the proposal to be submitted electronically through Grants.gov and allow time for possible computer delays. Applicants are strongly advised not to wait until the last

minute for submission. A proposal received after the closing date and time will NOT be considered for award. If the USGS determines that a proposal will not be considered for award due to lateness, the applicant will be notified immediately.

B. Involvement of Federal Employees

Federal employees, including USGS employees, are prohibited from assisting in any capacity (paid or unpaid) with preparation of any proposal submitted under this Announcement. Proposals that have a real, or apparent, conflict of interest related to federal employees will not be processed for evaluation.

C. Rejection of Proposals after Initial Review

If the proposal does not meet all requirements specified in the Program Announcement, as determined by the Contracting Officer in consultation with the NGGDPP management, the applicant will be promptly notified in writing of the rejection along with the reason for the rejection. If the federal share of the cost of the proposed activities is more than 50 percent of the total cost, the proposal shall be rejected.

D. NGGDPP Products and Reports

The following products will be required as a condition of receiving federal funds:

- 1) Metadata submitted to National Digital Catalog (NDC)
 - a) Collection level metadata records describing the preserved materials must be submitted to the NDC. If applicable to the proposed activity, metadata for individual collection items should also be submitted. NGGDPP will provide required metadata attributes for collection level metadata, as well as upload and/or access protocols, by website no later than May 1, 2021. Metadata describing digitized geologic maps submitted to the NGMDB shall also be cataloged in the NDC.
- 2) If applicable, data and image files, with accompanying metadata, are uploaded to NDC.
- 3) If applicable, preserved digital geologic map files are submitted to the NGMDB (ngmdb@usgs.gov) with a copy to NGGDPP@usgs.gov.
- 4) If applicable, mineral districts and deposits compiled data files, with accompanying metadata, are uploaded to NDC. The NGGDPP will forward to USMIN via Nick Karl (nkarl@usgs.gov).
- 5) If applicable, compiled drill hole/core data compiled in the borehole template with accompanying metadata are uploaded to NDC.
- 5) If applicable, funded recipients for Priority 2 projects shall submit the following types of products:
 - Contact information for the technical lead(s) at the state geological survey for mineral resource matters.
 - Summary description and links to published online databases that contain credible critical mineral deposit information that would include name, location, geology, resource information on contained commodities, production information, resource or reserve estimations, ore grade, deposit type, mining history, reference citations, and other relevant information. A geospatial template is provided in Mineral Deposits/Districts templates referred on page 4 to provide a common format usable for ongoing USGS mineral database development through the USMIN Project. If compiling mineral districts (polygons) the districts data will be compiled as a set; shapefile (Districts_EarthMRI_shapefile_template.zip) and excel file

(Districts_EarthMRI.xlsx). Guidance is provided within the excel file. If compiling mineral deposits (points) these will be provided in the deposits excel file, Mineral Deposit Info_Attachment D.xlsx.

- Summary description and digital access to publicly available drill core data containing relevant information to aid in identification of priority areas with potential for hosting critical mineral resources. Such data would include drill core location, footage intervals with stratigraphic intercepts, depth to Precambrian basement, identification of the Precambrian basement rock, and total depth, for example. The data compiled in the borehole template at the link provided on page 4, with accompanying metadata are uploaded to NDC.
- Report that includes publicly available information on current mineral resource exploration activity in the state.
- Contributions toward focus areas includes geospatial outlines of prospective areas or geologic belts with known or suspected critical mineral resource potential along with supporting metadata information that describes the methodology used to outline the areas, and the supporting data in ArcGIS format. These data will be developed in conjunction with the USGS through the Critical Minerals (Earth MRI) workshops.
- Compilation of comprehensive metadata describing all reports, datasets, maps and other resources identified or used in the development of this critical mineral evaluation and prioritization of areas with critical mineral potential. The metadata records will be entered into the NDC.
- Participation in a workshop with the USGS and other state geological surveys to identify and prioritize focus areas with known or suspected critical mineral resource potential in their states. Travel costs associated with workshop participation are to be paid using this grant. In the event workshops are virtual instead of in-person, the travel funds will not be awarded.
- For the state geological surveys to participate in this funding opportunity, metadata records, including resource access information, describing Priority 2 preserved products related to focus area definition (reports, documents, databases, data files, website addresses) must be provided to the NGGDPP by December 1, 2021. All other Priority 2 products share the same timeline as Priority 1 products and where applicable must use the templates provided.

5) Final Technical Report

Following project completion, all awards made under the NGGDPP will require submittal of a final technical report that must document and summarize the results of the work. The final technical report must contain:

- Cover page
 - Award Number
 - Title
 - Author and affiliation with address and zip code
 - Author's telephone number and e-mail address
 - Term covered by the award (start and end dates)
 - Submittal date of final technical report
 - Abstract
- Main body
 - Comparison of actual accomplishments to the goals established for the period.
 - If established goals were not met, explanation of circumstances and impediments.
 - Specific examples of user success stories and/or other societal benefits that highlight accomplishments in this project.

A recommended, but not required [Final Technical Report template](#) is available on the NGGDPP site with guidance within the document.

The final technical report is limited to no more than five pages. A final technical report must be submitted within 90 days after the end of the grant performance period. Failure to submit a final technical report may hinder receipt of future NGGDPP funds. Final technical reports shall be submitted electronically to the general NGGDPP email box, nggdpp@usgs.gov. A courtesy copy shall be submitted to Margaret Eastman, USGS Contract Specialist, mrussell@usgs.gov.

PART IV. General Provisions

A. Funding

The total amount of NGGDPP FY 2021 funding available for state efforts is expected to be up to approximately \$2,650,000.00. In FY 2021, the NGGDPP anticipates awarding successful proposals that propose diverse projects of variable funding levels under this Program Announcement. Each state geological organization is allowed to submit one proposal that addresses the FY 2021 program priorities to preserve geoscience materials and describe them using NGGDPP metadata format in the NDC.

NOTE: Notification of a successful proposal does **not** constitute authority to incur costs. Costs may be incurred on or after the project start date established in the fully executed grant award. Awards are typically issued approximately 2 weeks prior to the project start date.

B. Outcome Notification

Following the peer panel reviews, the USGS will make funding decisions and notify applicants of one of four possible decisions:

1. Proposal has been recommended for funding in FY 2021, subject to appropriations,
2. Proposal is being declined and will not be funded in FY 2021,
3. Proposal will be funded at a reduced amount, requiring the applicant to submit an amended proposal and budget, or
4. Proposal will be funded at an increased amount, requiring the applicant to submit an amended proposal and budget.

C. Award Terms and Conditions

Award Recipient must comply with award Terms and Conditions and Cost Principles, Audit, and Administrative Requirements for Federal Awards (Attachment C). Submittal of an application constitutes the applicant's acceptance of the terms and conditions for inclusion on any award resulting from their application. Any concerns with the requirements of the Special Terms and Conditions shall be presented to the Contracting Officer at least three (3) days prior to the closing date of the Announcement.

Pre-award costs are not authorized under this program.

D. Contacts

For Grants.gov issues, go to the grants.gov website: support@grants.gov

For Financial Assistance and Program Announcement issues, contact Margaret Eastman, (703) 648-7366, mrussell@usgs.gov.

For questions about the NGGDPP, contact the general NGGDPP email box, nggdpp@usgs.gov, or Lindsay Powers, the NGGDP Program Coordinator, (303) 202-4828, lpowers@usgs.gov.

Michaela Johnson, NGGDPP Associate Program Coordinator, Grants Program Manager, (303) 202-4852, mrjohns@usgs.gov.

END OF PROGRAM ANNOUNCEMENT

Attachment A – Proposal Information Summary

FY 2021 NGGDPP Proposal Information Summary

Name of the State Geological Survey:

Project Title:

Principal Investigator(s): (Name)
(Institute/Organization Name/Unit)
(Street Address/P.O. Box)
(City, State, Zip Code)
(Telephone Number), (E-mail Address)

Authorized Institutional Representative: (Name)
(Institute/Organization Name/Unit)
(Street Address/P.O. Box)
(City, State, Zip Code)
(Telephone Number), (E-mail Address)

Amount Requested:

	Priority 1	Priority 2, Regional Minerals Workshop
Salaries		
Fringe Benefits		
Travel Expenses		
Other Direct Costs		
Indirect Costs		
Total		

Proposed Start Date: (Date)
(The earliest start date for new grants will be after the USGS receives its final FY 2021 appropriation, notice of full-year continuing resolution, or May 1, 2021, whichever is later. If proposal **excludes** Priority 2, project start date may be between May 1, 2021, and September 13, 2021. If proposal **includes** Priority 2, start date must be after USGS receives its final FY 2021 appropriation.)

Proposed Duration: (12 months from Proposed Start Date)
No awards are issued for less than or more than 12 months.

Has this proposal been submitted to any other agency for funding? (List name of agency and program or division to which this proposal was submitted)

Active NGGDPP-related grants: (List project title and funding sources for all active awards)

END OF PROPOSAL INFORMATION SUMMARY

Attachment B – Priority 1 Budget

FY 2021 NGGDPP BUDGET TEMPLATE PRIORITY 1 – DATA PRESERVATION

State: _____

Proposal Short Title: _____

Budget Category			Federal Funds Requested	State Funds Proposed
SALARIES:	Time (hours)	Rate of Compensation		
<u>Priority 1</u> Survey Staff (Name)			\$	\$
Students				
Total Salaries			\$	\$
FRINGE BENEFITS:	Fringe Benefit Rate for Each	Total Fringe Benefit		
<u>Priority 1</u> Survey Staff (Name)				
Students				
Total Fringe Benefits			\$	\$

Note: Individual federal expenditures do not require a state match. However, the **total project sum** of contributions from a state geological survey shall be equal to or greater than the amount requested from the NGGDPP and shall be derived from non-federal sources. Travel expenses to the data rescue and preservation workshop may be requested for up to 2 participants, \$1500 federal funding per participant, \$3,000 federal funding maximum. A registration fee of \$80.00 per attendee must be paid with state funds, which can be part of the match.

Attachment B - Budget Priority 1 continued

**FY 2021 NGGDPP BUDGET TEMPLATE
PRIORITY 1 – DATA PRESERVATION**

State: _____

Proposal Short Title: _____

Budget Category	Federal Funds Requested	State Funds Proposed
<i>Travel Expenses (itemize):</i> Per diem Lodging Vehicle Mileage		
<i>Data Rescue and Preservation Workshop:</i> -Persons' name and role -Registration fee -Lodging/per diem -Transportation costs -Airfare -Transportation to/from home airport -Airport parking		
Total Travel Expenses	\$	\$
<i>Other Direct Costs:</i> Supplies (itemize) Equipment Contractual Services Other (identify)	\$ \$ \$ \$	\$ \$ \$ \$
Total Direct Costs		
Total Indirect Costs (_____ % attach documentation)		
GRAND TOTAL (include salaries, fringe benefits, travel expenses, other direct costs, and indirect costs)		

Attachment B – Priority 2 Budget

FY 2021 NGGDPP BUDGET TEMPLATE PRIORITY 2 – CRITICAL MINERALS

State: _____

Proposal Short Title: _____

Budget Category			Federal Funds Requested	State Funds Proposed
SALARIES:	Time (hours)	Rate of Compensation		
<u>Priority 2- Strategic Plan for Critical Minerals</u> Survey Staff (Name)			\$	\$
Students				
Total Salaries			\$	\$
FRINGE BENEFITS:	Fringe Benefit Rate for Each	Total Fringe Benefit		
<u>Priority 2- Strategic Plan for Critical Minerals</u> Survey Staff (Name)			\$	\$
Students				
Total Fringe Benefits			\$	\$
Total Direct Costs			\$	\$
Total Indirect Costs (_____% attach documentation)			\$	\$
GRAND TOTAL (include salaries, fringe benefits, Indirect costs)				

Note: Individual federal expenditures do not require a state match. However, the **total project sum** of contributions from a state geological survey shall be equal to or greater than the amount

requested from the NGGDPP and shall be derived from non-federal sources. All states may request up to \$3,000 to develop a strategic plan for critical minerals for their state. Travel expenses to critical mineral resources workshops may be requested for up to 2 participants, \$1000 federal funding per participant, \$2,000 federal funding maximum. Federal share for Priority 2 total budget cannot exceed \$35,000, which includes strategic plan development and travel to Critical Mineral Resources Workshop.

Attachment B – Priority 2 continued

FY 2021 NGGDPP BUDGET TEMPLATE PRIORITY 2 – CRITICAL MINERALS

State: _____

Proposal Short Title: _____

Budget Category			Federal Funds Requested	State Funds Proposed
SALARIES:	Time (hours)	Rate of Compensation		
<u>Priority 2</u> -Critical Minerals Survey Staff (Name) Students			\$	\$
Total Salaries			\$	\$
FRINGE BENEFITS:	Fringe Benefit Rate for Each	Total Fringe Benefit		
<u>Priority 2</u> Survey Staff (Name) Students				
Total Fringe Benefits			\$	\$

Attachment B – Priority 2 continued

**FY 2021 NGGDPP BUDGET TEMPLATE
PRIORITY 2 – CRITICAL MINERALS**

State: _____

Proposal Short Title: _____

Budget Category	Federal Funds Requested	State Funds Proposed
<i>Travel Expenses (itemize):</i> Per diem Lodging Vehicle Mileage <i>Critical Mineral Resources Workshop:</i> -Persons' name and role -Lodging/per diem -Transportation costs -Airfare -Transportation to/from home airport -Airport parking		
Total Travel Expenses	\$	\$
<i>Other Direct Costs:</i> Supplies (itemize) Equipment Contractual Services Other (identify)	\$ \$ \$ \$	\$ \$ \$ \$
Total Direct Costs		
Total Indirect Costs (% attach documentation)		
GRAND TOTAL (include salaries, fringe benefits, travel expenses, other direct costs, and indirect costs)		

END OF FY 2021 DETAILED BUDGET

Attachment C - Special Terms and Conditions

1. Acceptance

Acceptance of a Federal Financial Assistance award from the Department of the Interior (DOI) carries with it the responsibility to be aware of and comply with the terms and conditions of award. Acceptance is defined as the start of work, drawing down funds, or accepting the award by signature or electronic means. Awards are based on the application submitted to and approved by DOI and are subject to the terms and conditions incorporated either directly or by reference below.

2. Grant Administration

This grant will be administered by:

U.S. Geological Survey
Office of Acquisition and Grants
Margaret Eastman, Grants Specialist
12201 Sunrise Valley Drive, MS 211
Reston, VA 20192
Telephone (703) 648-7366
Email: mrussell@usgs.gov

Written communication shall reference the Cooperative Agreement number and shall be mailed to the address above or mrussell@usgs.gov.

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 (www.asap.gov).

A. The Recipient agrees that it has established or will establish an account with ASAP. USGS will initiate enrollment in ASAP. If the Recipient does not currently have an ASAP account, they must designate an individual (name, title, address, phone and e-mail) who will serve as the Point of Contact (POC). All recipients, including foreign entities, must have a DUNS number and a EIN/TIN number to receive payment.

B. With the award of each grant, 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. Inquiries regarding payment should be directed to ASAP at 855-868-0151.

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

4. Program Personnel

A. Principal Investigator

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

B. Grants Program Manager

The Grants Program Manager will work closely with the Principal Investigator to ensure that all technical requirements are being met. Grants Program Manager responsibilities include, but are not limited to, providing technical advice on the accomplishment of the proposal's goals; reviewing the technical content of reports and the other information delivered to the USGS; determining the adequacy of technical reports; and conducting site visits, in coordination with the Contracting Officer, as frequently as practicable. The Grants Program Manager is Michaela Johnson, U.S. Geological Survey, Box 25046, Mail Stop 975, Denver, CO 80225.

The NGGDPP Program Coordinator is Lindsay Powers, U.S. Geological Survey, Box 25046, Mail Stop 975, Denver, CO 80225. The Program Coordinator does not have the authority to issue any technical direction which constitutes an assignment of additional work outside the scope of the award; in any manner cause a change in the total cost or the time required for performance of the award; or change any of the terms, conditions, or general provisions of the award.

C. Contracting Officer (CO)

Contracting officers are individuals who have been delegated in writing by the USGS Office of Acquisition and Grants as the sole authority designated to obligate Federal funds and create terms and conditions of awards. They are the only individuals who have authority to negotiate, enter into, and administer awards resulting for this program. Contracting officers have responsibility to ensure the effective use of Federal funds.

Functions of the Contracting Officer include but are not limited to:

- (1) Issuing the grant program announcement in coordination with the Grants Program Manager.
- (2) Receiving grant proposals and related documents in response to a grant program announcement. The contracting officer as receiving official shall mark all proposals with a control number and the date officially received. He/she shall notify each applicant of the receipt of their proposal.
- (3) Approving the Grant Program Manager's Technical Evaluation Plan, which describes in detail the evaluation process for a competitive grant/cooperative agreement program. The contracting officer shall ensure the openness and fairness of the evaluation and selection process.
- (4) Serving in an advisory capacity at peer review panel meetings. He/she shall interpret grant management policies to panel members.
- (5) Notifying grant program applicants whether or not they were selected for funding or of any other disposition of their proposal.

- (6) Negotiating, as necessary, the final grant/cooperative agreement budget.
- (7) Issuing grant/cooperative agreement awards and revisions to awards.
- (8) Approving invoice payments.
- (9) Receiving all requests for changes to an award. The contracting officer shall serve as the mandatory control point for all official communications with the grantee which may result in changing the amount of the grant/cooperative agreement, the grant/cooperative agreement budget, or any other terms and conditions of the grant.
- (10) Receiving financial reports required by the terms and conditions of the award.
- (11) Closing out grant/cooperative agreement awards when all applicable award requirements have been complied with.

5. Reporting Requirements

A. Required reports/documents

The Principal Investigator is required to submit the following reports or documents:

Report/Document	No. of Copies and Method of Transmittal	Submit To	When Due
(1) For collection inventory: on-line collection inventory form	Submit records describing collections using Data Provider Dashboard, information available at: https://www.usgs.gov/core-science-systems/national-geological-and-geophysical-data-preservation-program/ndc-dashboard	See Section 5.B (1) below	Within 90 calendar days after the end of the performance period. See Section 5.B (1) below.
(2) For metadata describing individual samples in a collection: digital metadata files	Provide metadata records and digital files to the National Digital Catalog through one of the supported methods documented at https://www.usgs.gov/core-science-systems/national-geological-and-geophysical-data-preservation-program/prepare-metadata	See Section 5.B (2) below	Within 90 calendar days after the end of the performance period. See Section 5.B (2) below.
(3) For geologic maps submitted to NGMDB: digital metadata files	Provide metadata records to the National Digital Catalog through one of the supported methods documented at https://www.usgs.gov/core-	See Section 5.B (3) below	Within 90 calendar days after the end of the performance

	science-systems/national-geological-and-geophysical-data-preservation-program/prepare-metadata		period. See Section 5.B (3) below.
(4) Priority 2, Identified critical mineral resources focal areas	Send information described in template provided in Attachment D and files as email attachments to Grants Program Manager (NGGDPP@usgs.gov) and USMIN (Nick Karl nkarl@usgs.gov)	See Section 5.B (4) below	November 15, 2021
(5) Final technical report	Send Adobe Acrobat PDF file as an email attachment to Grants Program Manager	See Section 5.B (5) below	Within 90 calendar days after the end of the performance period. See Section 5.B (5) below.
(6) Publications	Send Adobe Acrobat PDF file as an email attachment to Grants Program Manager	See Section 5.B (6) below	Within 90 calendar days after the end of the performance period. See Section 5.B (6) below.
(7) Final SF 425 Financial Status Report	See Section 5.B(7)	See Section 5.B (7) below	Within 90 calendar days after the end of the performance period. See Section 5.B (7) below.

B. Report preparation instructions

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

- (1) *Collection Inventory*. The recipient must submit records for collections to the NDC. Record entry must be completed within 90 calendar days after the end of the project period. NGGDPP will provide required metadata attributes for collection level metadata, as well as upload and/or access protocols, by email and website no later than May 1, 2021.
- (2) *Metadata for the National Digital Catalog*. Digital metadata files describing individual samples in collections, including data converted to digital format, rescued and preserved materials, and assets

applicable to Priority 2 objectives to identify critical mineral resources (reports, documents, data files, databases), must be submitted to the National Digital Catalog. Record entry must be completed within 90 calendar days after the end of the project period. NGGDPP will provide required metadata attributes for metadata, as well as upload and/or access protocols, by website no later than May 1, 2021.

- (3) *Geologic Maps*. For providing scanned geoscience maps to the National Geologic Map Database, please consult Dave Soller, the NGMDB Project Chief (drsoller@usgs.gov), or send inquiries to ngmdb@usgs.gov. Documentation of the submittal should be provided to the general NGGDPP email box at nggdpp@usgs.gov.
- (4) *Critical Mineral Resources*. Compiled mineral districts and deposit map files applicable to Priority 2 requirements must be emailed to the USMIN representative, Nick Karl (nkarl@usgs.gov) and the general NGGDPP email box at nggdpp@usgs.gov.
- (5) *All Project Awards*. The final technical report must document and summarize the results of the work and is limited to no more than five pages. This report must contain a comparison of actual accomplishments to the goals established for the period; reasons why established goals were not met, if applicable; and other pertinent information. The final report must be submitted within 90 calendar days of the end of the project period.
 - (a) Submit the final technical report electronically as an Adobe Acrobat PDF file e-mail attachment to: nggdpp@usgs.gov with a copy of the transmittal sent to Margaret Eastman at mrussell@usgs.gov.
 - (b) Final technical reports must consist of the following sections:
 - Cover page with the following information:
 - a. Award Number
 - b. Title
 - c. Author and affiliation with address and zip code
 - d. Author's telephone number and e-mail address
 - e. Term covered by the award (start and end dates)
 - f. Submittal date of final technical report
 - g. Abstract
 - Main body of the report with the following information:
 - a. Comparison of actual accomplishments to the goals established for the period.
 - b. If established goals were not met, explanation of circumstances and impediments.

- c. Specific examples of user success stories and/or other societal benefits that highlight accomplishments in this project.

A recommended, but not required Final Technical Report template is available on the NGGDPP site with guidance within the document.

(6) *Publications*

(a) Acknowledgment of Support

Recipient is responsible for assuring that an acknowledgment of USGS support:

1. is made in any publication (including World Wide Web pages) of any material based on or developed under this Grant, in the following terms:

“This material is based upon work supported by the U.S. Geological Survey under Grant No. *(insert award number)*.”

2. is orally acknowledged during all news media interviews, including popular media such as radio, television and news magazines.

(b) Disclaimer

Recipient is responsible for assuring that every publication of material (including World Wide Web pages) based on or developed under this Grant, contains 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. Geological Survey. Mention of trade names or commercial products does not constitute their endorsement by the U.S. Geological Survey.”

(c) Publication

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

“This manuscript is submitted for publication with the understanding that the United States Government is authorized to reproduce and distribute reprints for Governmental purposes.”

(d) Copies for USGS

Recipient is responsible for assuring that the USGS Project Office is provided a digital version, preferably as a MS Word DOCx file, of every accepted manuscript upon acceptance for publication by the journal.

Submit an Adobe Acrobat PDF file of publications to: gd-erp-coordinator@usgs.gov

(e) USGS Logo

Use of the USGS logo (also known as "visual identity" or "identifier") constitutes the recipient's

agreement to and acceptance of the following terms:

- The USGS identifier is trademarked and not in the public domain.
- Use of the trademarked USGS identifier is authorized by USGS for use only by recipients of USGS funding.
- Use is authorized on information products that result from research funded by the financial assistance award.
- Use the USGS identifier for any other purpose without written permission from USGS is prohibited; doing so constitutes trademark infringement.
- Recipient will adhere to the design requirements, which are as follows:
 - The USGS identifier must appear in black, white, or green only.
 - The USGS identifier cannot be modified in any way except for proportional sizing.
 - The USGS identifier should appear at the same size as logos of other agencies, if any.
 - If used on a digital product, the USGS identifier should link to www.usgs.gov

(f) Department of the Interior Requirements

Two copies of each publication produced under a Grant or Cooperative Agreement shall be sent to the Natural Resources Library with a transmittal that identifies the sender and the publication. The address of the library is:

U.S. Department of the Interior Natural
Resources Library
Division of Information and Library Services Gifts
and Exchange Section
18th and C Streets, NW
Washington, DC 20240

(7) *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 by email to SF425@usgs.gov with a cc to the Contracting Officer no later than 90 calendar days after the grant completion date. Recipient must include the USGS award number in the subject line of all correspondence. If, after 80 days, Recipient has not submitted a report, the Recipient's account in ASAP will be placed in a manual review status until the report is submitted.
- (b) Recipient will promptly return any unexpended federal cash advances or will complete a final draw from ASAP to obtain any remaining amounts due. Once 120 days has passed since the Grant completion date, USGS will unilaterally deobligate federal funds as reflected in the Final SF 425.
- (c) Subsequent revision to the final SF 425 will be considered only as follows -
 - (1) When the revision results in a balance due to the Government, the recipient must submit a revised final SF 425, Federal Financial Report, and refund the excess payment whenever the overcharge is discovered, no matter how long the lapse of time since the original due date of the report.
 - (2) When the revision represents additional reimbursable costs claimed by the Recipient,

a revised final SF 425 may be submitted to the USGS 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.

A Recipient's failure to submit the required final technical report and final financial report will likely result in delay or non-issuance of new awards.

6. Adherence to Original Research Objective and Budget Estimate

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.

7. Revisions and Prior Approvals

Modifications to this award shall generally be executed by mutual written consent of the parties, with the exception of certain purely administrative changes that may be executed unilaterally by the USGS. Recipients may make certain limited budgetary and programmatic changes without prior USGS approval as outlined in 2 CFR 200.308 and 200.407. Any proposed change which requires prior written approval of the USGS shall be submitted in writing to the Contracting Officer to the address at 2. above at least thirty (30) days prior to the requested effective date of the proposed change. The USGS will respond to the change request within thirty (30) days of receipt.

- A. Extensions. Recipients are specifically advised that requests for extension or other change to the budget or project period(s) require prior written approval. Such requests must be submitted as outlined above and be accompanied by a statement supporting the extension and a revised budget indicating the planned use of all unexpended funds during the proposed extension period.
- B. Transfer of Funds. Recipients are specifically advised that prior written approval of the USGS Contracting Officer is not required for transfer of funds between direct cost categories when the cumulative amount of the transfer during the performance period does not exceed ten percent (10%) of the total USGS award. Prior written approval is required from the USGS Contracting Officer for transfers of funds in excess of the ten percent limitation.

8. Government Furnished Equipment or Equipment Authorized for Purchase

Title to equipment 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 an inventory of such equipment as long as there is a need for such equipment 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 equipment to accomplish the purpose of the project, the Recipient shall use the equipment in connection with other Federal awards the Recipient has received. Disposal of equipment shall be in accordance with 2 CFR 200.313.

No equipment is provided or authorized for purchase on this grant.

9. Pre-agreement Costs

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

10. Department of the Interior Standard Terms and Conditions

The Recipient shall be subject to the Department of the Interior Standard Terms and Conditions which are incorporated herein by reference and available on the Internet at: <https://www.doi.gov/grants/doi-standard-terms-and-conditions>.

11. Additional Terms and Conditions

A. Research Integrity

(1) 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, 2000, 65 Federal Register (FR) 76260. 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.

(2) 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.

B. Data Availability

- (1) Applicability. The Department of the Interior is committed to basing its decisions on the best available science and providing the American people with enough information to thoughtfully and substantively evaluate the data, methodology, and analysis used by the Department to inform its decisions.
- (2) Use of Data. The regulations at 2 CFR 200.315 apply to data produced under a Federal award, including the provision that the Federal Government has the right to obtain, reproduce, publish, or otherwise use the data produced under a Federal award as well as authorize others to receive, reproduce, publish, or otherwise use such data for Federal purposes.
- (3) Availability of Data. The recipient shall make the data produced under this award and any subaward(s) available to the Government for public release, consistent with applicable law, to allow meaningful third party evaluation and reproduction of the following:
 - a. The scientific data relied upon;
 - b. The analysis relied upon; and
 - c. The methodology, including models, use to gather and analyze the data.

C. Conflict of Interest

- (1) Applicability.
 - a. This section intends to ensure that non-Federal entities and their employees take appropriate steps to avoid conflicts of interest in their responsibilities under or with respect to Federal financial assistance agreements.
 - b. In the procurement of supplies, equipment, construction, and services by recipients and by subrecipients, the conflict of interest provisions in 2 CFR 200.318 apply.
- (2) Requirements.
 - a. Non-Federal entities must avoid prohibited conflicts of interest, including any significant financial interests that could cause a reasonable person to question the recipient's ability to provide impartial, technically sound, and objective performance under or with respect to a Federal financial assistance agreement.
 - b. In addition to any other probations that may apply with respect to conflicts of interest, no key official of an actual or proposed recipient or subrecipient, who is substantially involved in the proposal or project, may have been a former Federal employee who, within the last one (1) year, participated personally and substantially in the evaluation, award, or administration of an award with respect to that recipient or subrecipient or in development of the requirement leading to the funding announcement.
 - c. No actual or prospective recipient or subrecipient may solicit, obtain, or use non-public information regarding the evaluation, award, or administration of an award to that recipient or subrecipient or the development of a Federal financial assistance opportunity that may be of competitive interest to that recipient or subrecipient.
- (3) Notification.
 - a. Non-Federal entities, including applicants for financial assistance awards, must disclose in writing any conflict of interest to the DOI awarding agency or pass-through entity in accordance with 2 CFR 200.112, Conflicts of Interest.
 - b. Recipients must establish internal controls that include, at a minimum, procedures to identify, disclose, and mitigate or eliminate identified conflicts of interest. The recipient is responsible for notifying the USGS Contracting Officer in writing of any conflicts of interest that may arise during the life of the award, including those that have been reported by subrecipients.
- (4) Restrictions on Lobbying. Non-Federal entities are strictly prohibited from using funds under this grant or cooperative agreement for lobbying activities and must provide the required certifications and disclosures pursuant to 43 CFR Part 18 and 31 USC 1352.
- (5) Review Procedures. The USGS Contracting Officer will examine each conflict of interest disclosure on the basis of its particular facts and the nature of the proposed grant or cooperative agreement, and will determine whether a significant potential conflict exists and, if it does, develop and appropriate means for resolving it.
- (6) Enforcement. Failure to resolve conflicts of interest in a matter that satisfies the Government may be cause for termination of the award. Failure to make required disclosures may result in any of remedies described in 2 CFR 200.338, Remedies for Noncompliance, including suspension or debarment (see also 2 CFR Part 180).

D. Program Income

- (1) If the Recipient is an educational institution or nonprofit research organization, any other program income will be added to funds committed to the project by the Federal awarding agency and Recipient and be used to further eligible project or program

objectives, as described in 2 CFR 200.307(e)(2).

- (2) For all other types of Recipients, any other program income will be deducted from total allowable costs to determine the net allowable costs before calculating the Government's share of reimbursable costs, as provided in 2 CFR 200.307(e)(1).

Insert the following award term if the recipient is an individual, small business, non-profit organization, university or other institution of higher education. This award term does not apply to state, local, or Tribal governments or foreign entities.

E. Patent Rights (37 CFR § 401.14)

Unless otherwise provided in the Agreement, if this Agreement is for experimental, developmental, or research work, the following clause (implementing the Bayh-Dole Act, [35 U.S.C. § 200 et seq.]) shall apply. The recipient shall include this clause in all subawards for experimental, developmental, or research activities.

a. Definitions

1. INVENTION means any invention or discovery which is or may be patentable or otherwise protectable under Title 35 of the USC, to any novel variety of plant which is or may be protected under the Plant Variety Protection Act (7 U.S.C. § 2321 et seq.).
 2. SUBJECT INVENTION means any invention of the recipient conceived or first actually reduced to practice in the performance of work under this Agreement, provided that in the case of a variety of plant, the date of determination (as defined in section 41(d)) must also occur during the period of performance.
 3. PRACTICAL APPLICATION means to manufacture in the case of a composition or product, to practice in the case of a process or method, or to operate in the case of a machine or system; and, in each case, under such conditions as to establish that the invention is being utilized and that its benefits are to the extent permitted by law or Government regulations available to the public on reasonable terms.
 4. MADE when used in relation to any invention means the conception or first actual reduction to practice of such invention.
 5. SMALL BUSINESS FIRM means a small business concern as defined at section 2 of Pub. L. 85-536 (15 U.S.C. 632) and implementing regulations of the Administrator of the Small Business Administration. For the purpose of this clause, the size standards for small business concerns involved in government procurement and subcontracting at 13 CFR 121.3-8 and 13 CFR 121.3-12, respectively, will be used.
 6. NON-PROFIT ORGANIZATION means a domestic university or other institution of higher education or an organization of the type described in Section 501(c)(3) of the Internal Revenue Code of 1954 (26 U.S.C. § 501(c)) and exempt from taxation under Section 501(a) of the Internal Revenue Code (26 U.S.C. § 501(a)) or any domestic non-profit scientific or educational organization qualified under a State non-profit organization statute.
- b. Allocation of Principal Rights The recipient may retain the entire right, title, and interest throughout the

world to each subject invention subject to the provisions of this Patent Rights clause and 35 U.S.C. § 203. With respect to any subject invention in which the recipient retains title, the Federal Government shall have a non-exclusive, nontransferable, irrevocable, paid-up license to practice or have practiced for or on behalf of the U.S. the subject invention throughout the world. If the Agreement indicates it is subject to an identified international agreement or treaty, the U.S. Geological Survey (USGS) also has the right to direct the recipient to convey to any foreign participant such

patent rights to subject inventions as are required to comply with that agreement or treaty.

b. Allocation of Principal Rights

1. The recipient may retain the entire right, title, and interest throughout the world to each subject invention subject to the provisions of this Patent Rights clause, including (2) below, and 35 U.S.C. § 203. With respect to any subject invention in which the recipient retains title, the Federal Government shall have a non-exclusive, nontransferable, irrevocable, paid-up license to practice or have practiced for or on behalf of the U.S. the subject invention throughout the world. If the Agreement indicates it is subject to an identified international agreement or treaty, the U.S. Geological Survey (USGS) also has the right to direct the recipient to convey to any foreign participant such patent rights to subject inventions as are required to comply with that agreement or treaty.
2. If the recipient performs services at a Government owned and operated laboratory or at a Government owned and recipient operated laboratory directed by the Government to fulfill the Government's obligations under a Cooperative Research and Development Agreement (CRADA) authorized by 15 U.S.C. 3710a, the Government may require the recipient to negotiate an agreement with the CRADA collaborating party or parties regarding the allocation of rights to any subject invention the recipient makes, solely or jointly, under the CRADA. The agreement shall be negotiated prior to the recipient undertaking the CRADA work or, with the permission of the Government, upon the identification of a subject invention. In the absence of such an agreement, the recipient agrees to grant the collaborating party or parties an option for a license in its inventions of the same scope and terms set forth in the CRADA for inventions made by the Government.

c. Invention Disclosure, Election of Title and Filing of Patent Applications by Recipient

1. The recipient will disclose each subject invention to USGS within two months after the inventor discloses it in writing to recipient personnel responsible for the administration of patent matters. The disclosure to USGS shall be in the form of a written report and shall identify the Agreement under which the invention was made and the inventor(s). It shall be sufficiently complete in technical detail to convey a clear understanding of the nature, purpose, operation, and, to the extent known, the physical, chemical, biological or electrical characteristics of the invention. The disclosure shall also identify any publication, on sale or public use of the invention, whether a manuscript describing the invention has been submitted for publication and, if so, whether it has been accepted for publication, at the time of disclosure. In addition, after disclosure to USGS, the recipient will

- promptly notify USGS of the acceptance of any manuscript describing the invention for publication, or of any on sale or public use planned by the recipient.
2. The recipient will elect in writing whether or not to retain title to any such invention by notifying USGS within two years of disclosure to USGS. However, in any case where publication, on sale, or public use has initiated the one-year statutory period wherein valid patent protection can still be obtained in the U.S., the period for election of title may be shortened by USGS to a date that is no more than 60 days prior to the end of the statutory period.
 3. The recipient will file its initial patent application on an invention to which it elects to retain title within one year after election of title or, if earlier, prior to the end of any statutory period wherein valid patent protection can be obtained in the U.S. after a publication, on sale, or public use. The recipient will file patent applications in additional countries or international patent offices within either ten months of the corresponding initial patent application, or six months from the date when permission is granted by the Commissioner of Patents and Trademarks to file foreign patent applications when such filing has been prohibited by a Secrecy Order.
 4. Requests for extension of the time for disclosure to USGS, election, and filing under subparagraphs 1., 2., and 3. may, at the discretion of USGS, be granted.
- d. *Conditions When the Government May Obtain Title*
The recipient will convey to USGS, upon written request, title to any subject invention:
1. if the recipient fails to disclose or elect the subject invention within the times specified in paragraph c. above, or elects not to retain title, provided that USGS may only request title within 60 days after learning of the failure of the recipient to disclose or elect within the specified times;
 2. in those countries in which the recipient fails to file patent applications within the times specified in paragraph c. above, but prior to its receipt of the written request of USGS, the recipient shall continue to retain title in that country; or in any country in which the recipient decides not to continue the prosecution of any application for, to pay the maintenance fees on, or defend in a reexamination or opposition proceeding on, a patent on a subject invention.
- e. *Minimum Rights to Recipient*
1. The recipient will retain a non-exclusive royalty-free license throughout the world in each subject invention to which the Government obtains title, except if the recipient fails to disclose the subject invention within the times specified in paragraph c. above. The recipient's license extends to its domestic subsidiaries and affiliates, if any, within the corporate structure of which the recipient is a party and includes the right to grant sublicenses of the same scope to the extent the recipient was legally obligated to do so at the time the Agreement was made. The license is transferable only with the approval of USGS except when transferred to the successor of that part of the recipient's business to which the invention pertains.
 2. The recipient's domestic license may be revoked or modified by USGS to the extent necessary to achieve expeditious practical application of the subject invention pursuant to an application for an exclusive license submitted in

accordance with applicable provisions at 37 CFR Part 404. This license will not be revoked in that field of use or the geographical areas in which the recipient has achieved practical application and continues to make the benefits of the invention reasonably accessible to the public. The license in any foreign country may be revoked or modified at discretion of USGS to the extent the recipient, its licensees, or its domestic subsidiaries or affiliates have failed to achieve practical application in that foreign country.

3. Before revocation or modification of the license, USGS will furnish the recipient a written notice of its intention to revoke or modify the license, and the recipient will be allowed thirty days (or such other time as may be authorized by USGS for good cause shown by the recipient) after the notice to show cause why the license should not be revoked or modified. The recipient has the right to appeal, in accordance with applicable regulations in 37 CFR Part 404 concerning the licensing of Government-owned inventions, any decision concerning the revocation or modification of its license.

f. Recipient Action to Protect Government's Interest

1. The recipient agrees to execute or to have executed and promptly deliver to USGS all instruments necessary to: (i) establish or confirm the rights the Government has throughout the world in those subject inventions for which the recipient retains title; and (ii) convey title to USGS when requested under paragraph d. above, and to enable the Government to obtain patent protection throughout the world in that subject invention.
2. The recipient agrees to require, by written agreement, its employees, other than clerical and non-technical employees, to disclose promptly in writing to personnel identified as responsible for the administration of patent matters and in a format suggested by the recipient each subject invention made under this Agreement in order that the recipient can comply with the disclosure provisions of paragraph c. above, and to execute all papers necessary to file patent applications on subject inventions and to establish the Government's rights in the subject inventions. The disclosure format should require, as a minimum, the information requested by paragraph c.1 above. The recipient shall instruct such employees through the employee agreements or other suitable educational programs on the importance of reporting inventions in sufficient time to permit the filing of patent applications prior to U.S. or foreign statutory bars.
3. The recipient will notify USGS of any decision not to continue prosecution of a patent application, pay maintenance fees, or defend in a reexamination or opposition proceeding on a patent, in any country, not less than 30 days before the expiration of the response period required by the relevant patent office.
4. The recipient agrees to include, within the specification of any U.S. patent application and any patent issuing thereon covering a subject invention, the following statement: "This invention was made with Government support under (identify the Agreement) awarded by the U.S. Geological Survey. The Government has certain rights in this invention."
5. The recipient or its representative will complete, execute and forward to USGS a confirmation of a License to the U.S. Government and the page of a United States patent application that contains the Federal support clause within two months of filing any domestic or foreign patent application.

g. Subcontracts

1. The recipient will include this Patent Rights clause, suitably modified to identify the parties, in all subcontracts, regardless of tier, for experimental, developmental or research work. The subcontractor will retain all rights provided for the recipient in this Patent Rights clause, and the recipient will not, as part of the consideration for awarding the subcontract, obtain rights in the subcontractors' subject inventions.
2. In the case of subcontracts, at any tier, when the prime award by USGS was a contract (but not a cooperative agreement), USGS, subcontractor, and contractor agree that the mutual obligations of the parties created by this Patent Rights clause constitute a contract between the subcontractor and the Foundation with respect to those matters covered by this Patent Rights clause.

h. Reporting on Utilization of Subject Inventions

The recipient agrees to submit on request periodic reports no more frequently than annually on the utilization of a subject invention or on efforts at obtaining such utilization that are being made by the recipient or its licensees or assignees. Such reports shall include information regarding the status of development, date of first commercial sale or use, gross royalties received by the recipient and such other data and information as USGS may reasonably specify.

The recipient also agrees to provide additional reports in connection with any march-in proceeding undertaken by USGS in accordance with paragraph j. of this Patent Rights clause.

As required by 35 U.S.C. § 202(c)(5), USGS agrees it will not disclose such information to persons outside the Government without the permission of the recipient.

i. Preference for United States Industry

Notwithstanding any other provision of this Patent Rights clause, the recipient agrees that neither it nor any assignee will grant to any person the exclusive right to use or sell any subject invention in the U.S. unless such person agrees that any products embodying the subject invention or produced through the use of the subject invention will be manufactured substantially in the U.S. However, in individual cases, the requirement for such an agreement may be waived by USGS upon a showing by the recipient or its assignee that reasonable but unsuccessful efforts have been made to award licenses on similar terms to potential licensees that would be likely to manufacture substantially in the U.S. or that under the circumstances domestic manufacture is not commercially feasible.

j. March-in Rights

The recipient agrees that with respect to any subject invention in which it has acquired title, USGS has the right in accordance with procedures at 37 CFR § 401.6 and USGS regulations at 45 CFR § 650.13 to require the recipient, an assignee or exclusive licensee of a subject invention to grant a non-exclusive, partially exclusive, or exclusive license in any field of use to a responsible applicant or applicants, upon terms that are reasonable under the circumstances and if the recipient, assignee, or exclusive licensee refuses such a request, USGS has the right to grant such a license itself if USGS determines that:

1. such action is necessary because the recipient or assignee has not taken or is not

- expected to take within a reasonable time, effective steps to achieve practical application of the subject invention in such field of use;
- 2. such action is necessary to alleviate health or safety needs which are not reasonably satisfied by the recipient, assignee, or their licensees;
- 3. such action is necessary to meet requirements for public use specified by Federal regulations and such requirements are not reasonably satisfied by the recipient, assignee, or licensee; or
- 4. such action is necessary because the agreement required by paragraph i. of this Patent Rights clause has not been obtained or waived or because a licensee of the exclusive right to use or sell any subject invention in the U.S. is in breach of such agreement.

k. Special Provisions for Agreements with Non-profit Organizations

If the recipient is a nonprofit organization, it agrees that:

- 1. rights to a subject invention in the U.S. may not be assigned without the approval of USGS, except where such assignment is made to an organization which has as one of its primary functions the management of inventions, provided that such assignee will be subject to the same provisions as the recipient;
- 2. the recipient will share royalties collected on a subject invention with the inventor, including Federal employee co-inventors (when USGS deems it appropriate) when the subject invention is assigned in accordance with 35 U.S.C. § 202(e) and 37 CFR § 401.10;
- 3. the balance of any royalties or income earned by the recipient with respect to subject inventions, after payment of expenses (including payments to inventors) incidental to the administration of subject inventions, will be utilized for the support of scientific or engineering research or education; and
- 4. it will make efforts that are reasonable under the circumstances to attract licensees of subject inventions that are small business firms and that it will give preference to a small business firm if the recipient determines that the small business firm has a plan or proposal for marketing the invention which, if executed, is equally likely to bring the invention to practical application as any plans or proposals from applicants that are not small business firms; provided that the recipient is also satisfied that the small business firm has the capability and resources to carry out its plan or proposal. The decision whether to give a preference in any specific case will be at the discretion of the recipient. However, the recipient agrees that the Secretary of Commerce may review the recipient's licensing program and decisions regarding small business applicants, and the recipient will negotiate changes to its licensing policies, procedures or practices with the Secretary when the Secretary's review discloses that the recipient could take reasonable steps to implement more effectively the requirements of this paragraph k.4.

l. Communications

All communications required by this Patent Rights clause must be submitted through Benjamin Henry, Technology Transfer Specialist, Office of Policy and Analysis (OPA), U.S. Geological Survey, Reston, VA 20192, (703) 648-4344, bhenry@usgs.gov.

END OF AWARD TERMS AND CONDITIONS