

United States Geological Survey

National Climate Adaptation Science Center Program (NCASC)

<https://www.usgs.gov/ecosystems/climate-adaptation-science-centers>



Notice of Funding Opportunity - Fiscal Year 2021
Funding Opportunity Number (FON) G21AS00299

Closing Date: 06/14/2021

Table of Contents

A. Program Description	2
A1. Authority	2
A2. Background, Purpose and Program Requirements.....	2
B. Federal Award Information.....	5
B1. Total Funding	5
B2. Award Amount	5
B3. Anticipated Award Funding and Dates	6
B4. Number of Awards	6
B5. Type of Award.....	7
C. Eligibility Information	7
C1. Eligible Applicants	7
C2. Cost Sharing or Matching.....	8
C3. Other	8
D. Application and Submission Information	12
D1. Address to Request Application Package	15
D2. Content and Form of Application Submission.....	16
D3. Unique Entity Identifier and System for Award Management (SAM)	27
D4. Submission Dates and Times	27
D5. Intergovernmental Review	28
D6. Funding Restrictions	28
D7. Other Submission Requirements.....	30
E. Application Review Information.....	30
E1. Criteria	30
E2. Review and Selection Process	33
E3. CFR – Regulatory Information.....	34
E4. Anticipated Announcement and Federal Award Dates	34
F. Federal Award Administration Information.....	34
F1. Federal Award Notices	34
F2. Administrative and National Policy Requirements	34
F3. Reporting	35
G. Federal Awarding Agency Contact(s)	36
G1. Program Technical Contact.....	36
G2. Program Administration Contact	37

G3. Application System Technical Support.....	37
H. Other Information	37

A. Program Description

A1. Authority

Consolidated Appropriations Act of 2008, Div. F, Title I, P.L. 110-161 and 43 USC 36d

Catalog of Federal Domestic Assistance (CFDA) Number
15.820

A2. Background, Purpose and Program Requirements

Program Description, Background, and Overview

A. Purpose of this Notice of Funding Opportunity (NOFO)

1. This Notice of Funding Opportunity (NOFO) seeks to identify applicant organizations that propose to host and, as applicable, serve as consortium partners for a U.S. Geological Survey (USGS) Climate Adaptation Science Center (CASC) in the region indicated below, and to determine if their proposed science, partnership, and program support activities and strategies are appropriate to serve in the following roles:
 - **Midwest Climate Adaptation Science Center (MW CASC).** The geographic footprint for potential hosts of this CASC includes the states of Illinois, Indiana, Iowa, Michigan, Minnesota, Missouri, Ohio, and Wisconsin (see Attachment A). The specific climate science focus anticipated for the MW CASC is described below, under Section C.C3.1.b.
2. Once selected, the recipient will be established as Host Institution. As a Host, an institution will be the solely entity eligible to receive funding to conduct follow-on research/science projects anticipated as a part of this NOFO. Host Institutions may engage with other institutions, including by subaward, as part of these projects.

B. Program Description - The USGS Climate Adaptation Science Center Network

1. DOI has established a network of geographically dispersed Climate Adaptation Science Centers (CASC) (see https://www.usgs.gov/land-resources/climate-adaptation-science-centers/learn-about-regional-cascs?qt-science_support_page_related_con=0#qt-science_support_page_related_con). The USGS, through the National Climate Adaptation Science Center (NCASC), manages the CASCs on behalf of DOI (see <https://www.usgs.gov/land-resources/climate-adaptation-science-centers>). CASCs are based at organizations (hereafter termed Hosts or Host Institutions) that provide suitable facilities; partnerships; science, capacity building, communications, and programmatic capabilities, either alone or in combination with other partners (“consortium partners”). At the national level, USGS (through NCASC) provides executive staffing

and administrative support, conducts a program to link and synthesize CASC research activities, and provides information technology strategy coordination.

2. The goal of each CASC is to work with managers of land, water, fish and wildlife, as well as nearshore, coastal, and cultural heritage resources in order to identify high priority resource management and decision needs for which information on climate/global change, impacts, and adaptation is needed. Each CASC works to deliver scientific information and tools that can help resource managers develop strategies, policies, programs, and activities for responding to climate/global change.
3. Specifically, the primary functions of CASCs are to:
 - a. Identify priority management needs through ongoing interactions with resource management entities within the region and to identify scientific information and tools that may inform these management challenges. Wherever possible, this should involve an appropriate level of co-development, which entails processes and relationship-building to frame management questions, understand the objectives of managers and other key stakeholders, develop science/research plans to address management questions, and ensure the appropriate transfer and use of information to improve management of natural and cultural resources in a changing climate.^[1]
 - b. Identify impacts of climate/global change on priority species, habitats/ecosystems, ecosystem goods and services, and other natural and cultural resources within the region, as guided by the management priorities identified above.
 - c. Translate, integrate, aggregate, and synthesize existing or new scientific information to meet key information needs identified in conjunction with natural and cultural resource managers.
 - d. Work with partners to identify, evaluate, and provide science to design, implement, and evaluate adaptation strategies to address identified climate impacts (along with other stressors such as land use or land cover change) on priority resources.
 - e. Provide students or post-doctoral researchers at each Center experiences that help them understand high-priority resource management challenges, the management objectives of key stakeholders, and how science can provide information about the impacts of potential policies on these management challenges and objectives.
 - f. Foster development and use of research products by conducting capacity-building activities.
 - g. Provide information management capacity and infrastructure for the Center's research activities. This does not include the development of regionally specific data portals, repositories, or online data management systems. CASCs should leverage the infrastructure developed and supported by NCASC (See Section D2.2.B. **Proposal Contents – Technical Proposal Narrative**, for details).
4. CASCs operate in a highly partnership-oriented governance environment, including the following critical partnerships:

- a. Each CASC currently convenes a “Stakeholder Advisory Committee” that includes representatives of government entities (state, Federal, tribal, sovereign) from the region, who provide input on regional management and science priorities, as well as outreach and partnership activities. Input from and engagement of CASC Host Institutions (and, where applicable, consortium partners) and USGS regional science assets are crucial components of this science-management dialogue.
- b. Research and other activities undertaken by CASC Hosts/partners and Federal staff are parts of, and should be managed as, a coherent response to information needs identified by stakeholders. Close partnership between CASC Hosts/partners and USGS principals is required in designing a scientific program and ensuring effective implementation and communication.
- c. CASC scientific needs require expertise and perspective from across the CASC, whether this occurs at one institution or amongst several consortium partners, and USGS Centers.

Each CASC serves as a node in a national network. While its primary goal is to provide a full complement of regionally focused capabilities at each CASC, DOI is interested in the development of unique, nationally recognized capabilities that can also serve the nationwide priorities of DOI bureaus. In order to facilitate national recognition and consistency, NCASC developed high-level communication guidance that must be implemented on websites and other public products. The CASC communications guidelines can be found here: https://www.sciencebase.gov/catalog/file/get/5e430a8be4b0edb47be845ca?f=disk_58%2F89%2Fa7%2F5889a7e7d56ed407066eb1d1b4a6a20b75761d1f

Information and data management are crucial elements in enabling seamless interactions across the CASC network. CASC research activities funded through this agreement or through related agreements must comply with USGS Public Access Plan and Data Management Policies (https://www2.usgs.gov/quality_integrity/open_access/) and NCASC Data Policies (<https://www.usgs.gov/land-resources/climate-adaptation-science-centers/data-policy-and-guidance>). Requirements include completion of project metadata and data management plans for CASC research projects. Research data management plans, research data products, associated metadata, and other products developed with CASC funds must be submitted to the CASC Data Steward when projects are complete. Host Institutions should work with NCASC on this function.

5. CASCs include USGS employees working on-site at Host Institutions and may include staff from other public or private organizations. Several CASCs have staff supported by the Bureau of Indian Affairs (tribal climate liaisons). Other DOI bureaus may provide resources (including staff) for CASC operations over time. The specific staffing and expertise at each CASC will be defined by the scientific priorities and focus of that Center and by available partnerships that facilitate access to external scientific assets. USGS/DOI staffing at CASCs may include the CASC Director and Deputy Director, Science/Research Coordinator, researchers, tribal liaisons, administrative personnel, etc. Students and post-doctoral researchers may also be located at the CASC.

^[1] Based on the 2015 report of the Advisory Committee on Climate Change and Natural

Resource Science, available
at <https://www.sciencebase.gov/catalog/item/5c1d05d3e4b0708288c9bc2a>.

B. Federal Award Information

B1. Total Funding

Estimated Total Funding

\$ 4,500,000

B2. Award Amount

Maximum Award

\$ 4,500,000

Minimum Award

\$ 0

Proposal Funding, Cost Sharing or Matching, and Other Requirements

1. Number of awards anticipated from this Notice of Funding Opportunity (NOFO): 1 (one)
2. Each non-Federal entity applicant may submit one proposal as a prospective Host. Candidate Host applicants may be included as consortium partners on proposals for which others have a Host role. Candidate consortium partners may be listed on multiple Host proposals.
3. The maximum budget amount an applicant may request is \$4,500,000 for five years, or an average of \$900,000 per year. A proposal exceeding the funding limits or project period term described herein will be rejected without review.
4. Cost sharing is not required in this program and will not be considered in the evaluation of applications. In the past however, many CASC Host Institutions have provided in-kind and financial resources that augment these Federal funds.
5. It is anticipated that the CASC Hosting Agreement will be funded for one base year, with the four additional project years subject to availability of funds. Beyond the base year, each subsequent year of funding will also be contingent upon satisfactory performance (including both substantive and financial), satisfactory submission of required reporting, and hosting of an annual review meeting to discuss progress during the preceding year. All renewals are at the discretion of USGS. All awards and funding under this NOFO are subject to the availability of funds. "Required reporting" includes financial and annual project reporting included as standard requirements under USGS cooperative agreements, and any reporting required under grants or cooperative agreements issued under the auspices of the CASC hosting cooperative agreement to support scientific and related activities.^[2] See **Attachment B: USGS General Terms and Conditions** for

detailed reporting requirements.

6. USGS will enter into a cooperative agreement with a single institution. This Host Institution will be responsible, where applicable, for appropriately transferring funds to sub-award consortium partners. Separately, it will also, as applicable, be the recipient of research project funding for all partner institutions and will be responsible for appropriately transferring such sub-award funds as well as providing appropriate subaward oversight (see 7 below). Proposals including consortium partners must be submitted as a single integrated proposal by the lead Host Institution.
7. Host Institutions will be eligible for research project funding as a component of this agreement. Research or other project activities must address the goals of the Center as described in the Centers' Science Agenda or Strategic Plan. They must also comply with NCASC and USGS data management policies, including the preparation of Data Management Plans (see <https://www.usgs.gov/land-resources/climate-adaptation-science-centers/data-policy-and-guidance>). As noted above, research project funds will be awarded only to the Host Institution, with subawards to consortium partners or others administered by the Host. The annual magnitude of federal funding anticipated to flow through the agreement for research is estimated at around \$1,000,000. All funded research intended for publication must provide attribution of the USGS funding. See <https://www.usgs.gov/land-resources/climate-adaptation-science-centers/project-tracking-policy-and-guidance>, as well as the USGS General Terms and Conditions in Attachment B.

Funding Restrictions

The reimbursement of pre-Federal award costs is not authorized under this NOFO.

^[2] In recent years, required annual reports from CASC university partners were, at USGS direction, merged with overall CASC “annual reports” for a broad audience. This practice will be modified significantly, returning to a model of annual reporting that supports increased communication about non-federal entity activities and enables greater oversight of specific commitments. A listing of deliverables and commitments will be drafted based on accepted proposals and made part of the resulting cooperative agreement via the terms and conditions of the award. This listing will be the basis of annual reviews by USGS in anticipation of release of upcoming-year funds.

B3. Anticipated Award Funding and Dates

Anticipated Award Date

January 03, 2022

B4. Number of Awards

Expected Number of Awards

1

B5. Type of Award

Funding Instrument Type

CA - Cooperative Agreement

Financial assistance instrument: Cooperative Agreement.

Substantial involvement on the part of USGS is anticipated for the successful completion of the objectives to be funded. In particular, it is anticipated that USGS will: Regularly review progress under the award and provide project guidance as appropriate; direct and/or redirect work because of interrelationships with other related CASC projects; provide guidance for communications with project stakeholders. This includes identifying points of contact and designing appropriate communication methods with Tribal, Federal, and state agencies; provide guidance in ensuring that the communication activities follow the MW CASC Strategic Communications Plan.

C. Eligibility Information

C1. Eligible Applicants

Eligible Applicants

00 – State governments

12 – Nonprofits having a 501(c)(3) status with the IRS, other than institutions of higher education

13 – Nonprofits without 501(c)(3) status with the IRS, other than institutions of higher education

01 – County governments

02 – City or township governments

07 – Native American tribal governments (Federally recognized)

11 – Native American tribal organizations (other than Federally recognized tribal governments)

05 – Independent school districts

06 – Public and State controlled institutions of higher education

04 – Special district governments

20 – Private institutions of higher education

Additional Information on Eligibility

Eligible Applicants

1. Non-Federal entities eligible to submit proposals under this Notice of Funding Opportunity (NOFO) include state, not-for-profit, local government, and tribal entities, including academic institutions. USGS entities may not submit proposals and may not be listed as formal partners on proposals. Federal agencies may collaborate in the execution of projects; *Federal partners must receive money through other methods as appropriate and not through Federal financial assistance* (i.e., the CASC hosting cooperative agreement).
2. Any eligible non-Federal entity organization or consortium interested in hosting a Center in the identified CASC region may apply; consortium partners are not required to be

physically located within their corresponding CASC region. However, proposals involving institutions located outside the focal region should provide strong evidence of experience and capability to conduct research and maintain active partnerships with resource management stakeholders within the focal region, either directly or through other consortium members.

3. Proposals may be submitted for a single institution or by one institution serving as the CASC Host, along with additional consortium partners. Consortium partners should only be included if they will play a clear and substantive role in CASC strategy and operations. Examples include the provision of cooperative agreement funding for faculty and students or post-doctoral researchers for research activities related to the CASC science agenda.

C2. Cost Sharing or Matching

Cost Sharing / Matching Requirement

No

C3. Other

General Expectations, Requirements, and Conditions

1. The USGS will only enter into a Hosting Agreements with an applicant that meets the following criteria and standards:
 - a. Provide appropriate expertise and experience to achieve the CASC mission of identifying climate/global change impacts to and effective adaptation strategies for land, water, fish and wildlife, as well as nearshore, coastal and cultural heritage resources, and the ecosystem services upon which human communities depend.
 - b. In addition to general global change science needs, it is expected that the scientific focus of the Midwest CASC will include the following specific topic areas to address concerns of federal, state and Tribal natural and cultural resource managers:
 - Heavy precipitation events and drought: heavy precipitation events, flooding, and drought alter the condition, structure, services, and management of natural resources.
 - Loss of winter: warming winters, altered snow patterns, and increased variability affect fish and wildlife populations, habitat management, nature-based recreation, and cultural heritage.
 - Climate impacts to sportfishing and hunting opportunities in the Midwest, integration of adaptation in future opportunities for fishing and hunting in the Midwest.

- Altered hydrological regimes: changes in temperature, flows, and connectivity alter high-value fish populations, at-risk aquatic organisms, and culturally important resources.
 - Novel terrestrial landscapes: shifts in vegetation and human responses to climate change alter the suitability of the landscape for priority wildlife populations and traditional use by Tribal communities.
 - Barriers to and opportunities for adaptation: climate change alters the feasibility of management goals and suitability of management tools.
 - Laurentian Great Lakes: climate-driven issues such as shifts in fish communities, changes in invasive species patterns, coastal erosion, and harmful algal blooms.
- c. Demonstrate institutional commitment to a multi-disciplinary and organizationally effective science and management support program, through the direct involvement of senior representatives of multiple departments, colleges, etc. or higher-level institutional sponsorship and engagement (e.g., Dean, Vice President of Research, etc.)
 - d. Demonstrate commitment to the actionable science/co-development model and make available relevant science capabilities that complement and enhance USGS and DOI scientific computing and data visualization capacity and that of other science partners.
 - e. Demonstrate a willingness to engage as partners with the USGS CASC Director^[3] and other USGS staff in shaping and guiding a research portfolio to meet high-priority regional needs, as well as willingness to make the CASC a vibrant, growing entity that is “greater than the sum of its parts.”
 - f. Contribute to the expansion of capacity to address climate impacts on, and adaptation of, natural and cultural resources.
 - i. Formal or informal capacity building involving research activities and responsibilities with university faculty.
 - ii. Capacity building supported under a CASC Hosting Agreement must involve research directly linked to the CASC science agenda and program. USGS/CASC staff must have substantial involvement in the selection of students and post-doctoral researchers and input on their programmatic activities, so as to ensure a strong linkage of these activities to CASC science needs. Proposals must clearly articulate this relationship.
 - g. Proposals must identify a single individual at the Host Institution to serve as the University Director/Principal Investigator.^[4] The proposal should provide an explanation of how this individual is or will:
 - i. Be familiar with the full suite of activities underway within the Host Institution, consortium partners, and other CASC-funded staff (e.g., USGS).

- ii. Play a leadership role in support of the implementation of specific research activities connected to the CASC’s science agenda, in conjunction with the USGS CASC Director and the Stakeholder Advisory Committee.
 - iii. Encourage and facilitate the engagement of faculty and staff from across the institution (and CASC consortium, where appropriate) to increase awareness of, and where possible, increase contribution to, the goals of the CASC.
 - iv. Facilitate the development of the CASC as a known and desired research partner across the involved institution(s).
 - v. Represent CASC needs with Host Institution management, including:
 - 1. Timely and efficient award, subaward, and contract management
 - 2. Timely and efficient implementation of agreement commitments (e.g., for space, personnel, reporting, etc.)
 - h. Communication of scientific results to intended users is an integral and expected element of CASC funded research. Proposals should describe how they will address communication needs and suggest mechanisms for evaluation of the effectiveness of science-management information activities. At a minimum, proposals should outline support for basic communication activities for the CASC that conform to NCASC communication guidelines. Basic communication activities required by USGS and DOI include providing weekly highlights of upcoming CASC activities, coordination of press releases (as appropriate), coordination of CASC communication activities with NCASC and USGS Communication staff, and the development and maintenance of a CASC website. Proposals should include a strategy for website hosting, content updates, and maintenance.
 - i. Provide adequate administrative support to ensure rapid and responsive financial award management at both the pre- and post-award stages that adheres to DOI, the Office of Management and Budget (OMB), and other relevant regulations and policies. Reference Attachment B for the USGS (and DOI) General Terms and Conditions.
2. The USGS identifies the following additional considerations that will influence selection of a Host Institution:
- a. Effective governance and interdisciplinary engagement: Description of past, present, and future governance and interaction strategies among institutional colleges and departments; across consortia members; with existing USGS science centers, units, and programs in the region and elsewhere; and with other related institutions, with the goal of fostering collaborative activities and engaging expertise from across the Host and partner institutions. Demonstration of substantial institutional-level commitment is strongly encouraged.
 - b. Supporting Capacity Building as it relates to the research that would be conducted: Effective strategies for ensuring collaborative interactions and a sense

of involvement with the CASC, especially where researchers are distributed among departments or institutions.

- c. Addressing tribal and indigenous communities: Engagement of tribal institutions, including tribes and tribal colleges/universities, and other institutions affiliated with American Indians, Alaska Natives, Native Hawaiians, Pacific Islanders; extension faculty involvement, etc.
 - d. Building regional science capacity: Expand regional access to science and fostering regional science-management dialogue, through regional “summits,” etc.
3. Where consortium arrangements are proposed, the USGS will consider the following factors:
- a. Clear and substantive roles for all consortium members: Consortium members must either be funded to support specific substantive activities connected to the CASC science agenda or serve other clearly defined functions/roles.
 - b. Effective use of funds: An appropriate balance between the number of personnel funded under the Hosting Agreement and the imperative to maintain a low fixed cost budget.
 - c. Effective cross-institutional governance.
4. Proposals may include the provision of space to house the CASC, including USGS staff, other Federal staff (e.g., BIA-funded positions), Host staff, and students and post-doctoral researchers. Ideally, such space would provide a visible and recognizable on-campus “location” for the CASC.
- a. Space arrangements will be discussed directly with applicants as part of the agreement finalization process.
 - b. Where space is proposed as part of the agreement, especially where both Federal and university staff (e.g., faculty, students) are to be housed together, details regarding the extent and nature of support for that space should be provided, e.g., furniture, supplies and equipment ordering and maintenance (copier, paper, whiteboards, etc.), communications infrastructure.

^[3] The USGS CASC Director will be responsible for the following items, with appropriate consultation with the University Director/Principal Investigator: establishing/engaging a Stakeholder Advisory Committee or its analogue (e.g., Alaska Climate Change Executive Roundtable); managing overall interactions with key partners, including Federal, state, sovereign, and tribal/indigenous entities; managing USGS funds; developing a research agenda based on input from stakeholders, Host and consortium partners, and, as appropriate, on guidance from NCASC/USGS; managing USGS employees at the CASC and integrating other Federal or partner employees (e.g., BIA-funded liaisons); and ensuring compliance with USGS and other relevant scientific integrity requirements.

^[4] USGS awards identify the primary individual responsible for a project as the “Principal Investigator”. However, in the CASC operations, this individual is usually referred to as the

“University Director”.

Excluded Parties: USGS conducts a review of the SAM.gov Exclusions database for all applicant entities and their key project personnel prior to award. USGS cannot award funds to entities or their key project personnel identified in the SAM.gov Exclusions database as ineligible, prohibited/restricted or otherwise excluded from receiving Federal contracts, certain subcontracts, and certain Federal assistance and benefits, as their ineligibility condition applies to this Federal program.

D. Application and Submission Information

Grants.gov Application Submission and Receipt Procedures

Grants.gov Application Submission and Receipt Procedures

This section provides the application submission and receipt instructions for U.S. Geological Survey (USGS) program applications. Please read the following instructions carefully and completely.

1. Electronic Delivery

USGS is participating in the Grants.gov initiative to provide the grant community with a single site to find and apply for grant funding opportunities. USGS encourages applicants to submit their applications online through Grants.gov.

2. How to Register to Apply through Grants.gov

a. *Instructions:* Read the instructions below about registering to apply for USGS funds. Applicants should read the registration instructions carefully and prepare the information requested before beginning the registration process. Reviewing and assembling the required information before beginning the registration process will alleviate last-minute searches for required information.

Organizations must have a Data Universal Numbering System (DUNS) Number, active System for Award Management (SAM) registration, and Grants.gov account to apply for grants. If individual applicants are eligible to apply for this funding opportunity, then you may begin with step 3, Create a Grants.gov Account, listed below.

Creating a Grants.gov account can be completed online in minutes, but DUNS and SAM registrations may take several weeks. Therefore, an organization's registration should be done in sufficient time to ensure it does not impact the entity's ability to meet required application submission deadlines.

Complete organization instructions can be found on Grants.gov here:

<https://www.grants.gov/web/grants/applicants/organization-registration.html>

1) *Obtain a DUNS Number:* All entities applying for funding, including renewal funding, must have a DUNS Number from Dun & Bradstreet (D&B). Applicants must enter the DUNS Number in the data entry field labeled "Organizational DUNS" on the SF-424

form. For more detailed instructions for obtaining a DUNS Number, refer to:
<https://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html>

2) *Register with SAM*: All organizations applying online through Grants.gov must register with the System for Award Management (SAM). Failure to register with SAM will prevent your organization from applying through Grants.gov. SAM registration must be renewed annually. For more detailed instructions for registering with SAM, refer to: <https://www.grants.gov/web/grants/applicants/organization-registration/step-2-register-with-sam.html>

3) *Create a Grants.gov Account*: The next step is to register an account with Grants.gov. Follow the on-screen instructions or refer to the detailed instructions here: <https://www.grants.gov/web/grants/applicants/registration.html>

4) *Add a Profile to a Grants.gov Account*: A profile in Grants.gov corresponds to a single applicant organization the user represents (i.e., an applicant) or an individual applicant. If you work for or consult with multiple organizations and have a profile for each, you may log in to one Grants.gov account to access all of your grant applications. To add an organizational profile to your Grants.gov account, enter the DUNS Number for the organization in the UEI (Unique Entity Identifier) field while adding a profile. For more detailed instructions about creating a profile on Grants.gov, refer to: <https://www.grants.gov/web/grants/applicants/registration/add-profile.html>

5) *EBiz POC Authorized Profile Roles*: After you register with Grants.gov and create an Organization Applicant Profile, the organization applicant's request for Grants.gov roles and access is sent to the EBiz POC. The EBiz POC will then log in to Grants.gov and authorize the appropriate roles, which may include the AOR role, thereby giving you permission to complete and submit applications on behalf of the organization. You will be able to submit your application online any time after you have been assigned the AOR role. For more detailed instructions about creating a profile on Grants.gov, refer to: <https://www.grants.gov/web/grants/applicants/registration/authorize-roles.html>

6) *Track Role Status*: To track your role request, refer to: <https://www.grants.gov/web/grants/applicants/registration/track-role-status.html>

b. *Electronic Signature*: When applications are submitted through Grants.gov, the name of the organization applicant with the AOR role that submitted the application is inserted into the signature line of the application, serving as the electronic signature. The EBiz POC **must** authorize people who are able to make legally binding commitments on behalf of the organization as a user with the AOR role; **this step is often missed and it is crucial for valid and timely submissions.**

3. How to Submit an Application to USGS via Grants.gov

Grants.gov applicants can apply online using Workspace. Workspace is a shared, online environment where members of a grant team may simultaneously access and edit different webforms within an application. For each funding opportunity announcement (FOA), you can create individual instances of a workspace.

Below is an overview of applying on Grants.gov. For access to complete instructions on how to apply for opportunities, refer to:

<https://www.grants.gov/web/grants/applicants/workspace-overview.html>

- 1) *Create a Workspace*: Creating a workspace allows you to complete it online and route it through your organization for review before submitting.
 - 2) *Complete a Workspace*: Add participants to the workspace to work on the application together, complete all the required forms online or by downloading PDF versions, and check for errors before submission. The Workspace progress bar will display the state of your application process as you apply. As you apply using Workspace, you may click the blue question mark icon near the upper-right corner of each page to access context-sensitive help.
 - a. *Adobe Reader*: If you decide not to apply by filling out webforms you can download individual PDF forms in Workspace. The individual PDF forms can be downloaded and saved to your local device storage, network drive(s), or external drives, then accessed through Adobe Reader.
- NOTE: Visit the Adobe Software Compatibility page on Grants.gov to download the appropriate version of the software
at: <https://www.grants.gov/web/grants/applicants/adobe-software-compatibility.html>
- b. *Mandatory Fields in Forms*: In the forms, you will note fields marked with an asterisk and a different background color. These fields are mandatory fields that must be completed to successfully submit your application.
 - c. *Complete SF-424 Fields First*: The forms are designed to fill in common required fields across other forms, such as the applicant name, address, and DUNS Number. Once it is completed, the information will transfer to the other forms.

3) *Submit a Workspace*: An application may be submitted through workspace by clicking the Sign and Submit button on the Manage Workspace page, under the Forms tab. Grants.gov recommends submitting your application package at least 24-48 hours prior to the close date to provide you with time to correct any potential technical issues that may disrupt the application submission.

4) *Track a Workspace Submission*: After successfully submitting a workspace application, a Grants.gov Tracking Number (GRANTXXXXXXXX) is automatically assigned to the application. The number will be listed on the Confirmation page that is generated after submission. Using the tracking number, access the Track My Application page under the Applicants tab or the Details tab in the submitted workspace.

For additional training resources, including video tutorials, refer to: <https://www.grants.gov/web/grants/applicants/applicant-training.html>

Applicant Support: Grants.gov provides applicants 24/7 support via the toll-free number 1-800-518-4726 and email at support@grants.gov. For questions related to the specific grant opportunity, contact the number listed in the application package of the grant you are applying for.

If you are experiencing difficulties with your submission, it is best to call the Grants.gov Support Center and get a ticket number. The Support Center ticket number will assist the USGS with tracking your issue and understanding background information on the issue.

4. Timely Receipt Requirements and Proof of Timely Submission

a. *Online Submission.* All applications must be received by the due date established for each program. Proof of timely submission is automatically recorded by Grants.gov. An electronic date/time stamp is generated within the system when the application is successfully received by Grants.gov. The applicant with the AOR role who submitted the application will receive an acknowledgement of receipt and a tracking number (GRANTXXXXXXXX) from Grants.gov with the successful transmission of their application. This applicant with the AOR role will also receive the official date/time stamp and Grants.gov Tracking number in an email serving as proof of their timely submission.

When USGS successfully retrieves the application from Grants.gov, and acknowledges the download of submissions, Grants.gov will provide an electronic acknowledgment of receipt of the application to the email address of the applicant with the AOR role who submitted the application. Again, proof of timely submission shall be the official date and time that Grants.gov receives your application. Applications received by Grants.gov after the established due date for the program will be considered late and will not be considered for funding by USGS.

Applicants using slow internet, such as dial-up connections, should be aware that transmission can take some time before Grants.gov receives your application. Again, Grants.gov will provide either an error or a successfully received transmission in the form of an email sent to the applicant with the AOR role attempting to submit the application. The Grants.gov Support Center reports that some applicants end the transmission because they think that nothing is occurring during the transmission process. Please be patient and give the system time to process the application.

D1. Address to Request Application Package

1. Requirements for application documents can be found in this Notice of Funding Opportunity (NOFO) and on Grants.gov.
2. Preapplications will not be accepted nor reviewed.
3. Electronic Application Requirement – Final applications must be submitted electronically via Grants.gov (<http://www.grants.gov>) by the due date indicated in this NOFO. Hard copy/paper submissions will NOT be accepted. Electronic copies submitted via email will NOT be accepted under any circumstances.
4. All proposals must be submitted electronically through Grants.gov on or before: **Monday, June 14, 2021 at 4:00 PM Eastern Daylight Time**
5. Throughout 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 indicating that the previous submittal is to be withdrawn from consideration. Such submissions must be completed by **Monday, June 14, 2021 at 4:00 PM Eastern Daylight Time.**

Program Website Link

D2. Content and Form of Application Submission

1. SF-424, Application for Federal Assistance

Applicants must submit the appropriate Standard Form (SF)-424, Application for Federal Assistance. The required application forms are available with this announcement on Grants.gov. The SF-424, Application for Federal Assistance must be complete, signed, and dated. Do not include any proprietary or personally identifiable information. Please note: Enter only the amount requested from this Federal program in the “Federal” funding box on the SF-424 Application form. Include any other Federal sources of funding in the “Other” box and provide details on those Federal source(s) and funding amount(s) in the required Budget Narrative (see the “Budget Narrative” section below).

Any applicant organization that has not completed the financial assistance certifications and representations within their SAM.gov registration must submit the appropriate signed and dated Assurances form. All of the required application forms are available with this announcement on Grants.gov.

Project Narrative

A. Proposal Preparation

1. **Proposal Components:** Each proposal must include separate components, preceded by a **title page** that provides basic information regarding the submitting organization, including name, physical address, and contact information for a single primary point of contact for the proposal:
 - a. Technical Proposal Narrative
 - b. Budget Tables
 - c. Budget Justification text
 - d. Letters of support

2. **Proposal Format:** The proposal technical narrative, budget tables, budget justification, and letters of support **must be combined together into one PDF document, in the order noted above**, and submitted through Grants.gov. Applications **must be not more than 15 pages**, (including figures and tables, but NOT including the budget narrative and supporting budget documents such as an applicant’s official indirect cost rate agreement and documentation of fringe benefit rates, and a data management plan), **using Times New Roman not smaller than 12-point font, single-spaced, with one-inch page margins**. Excess pages will not be evaluated. All pages of the application shall be numbered. All text, figures, and tables shall be sized to fit on 8½" by 11" paper. The standard forms noted above and letters of support do **not** count toward the 15-page limit. Budget items and narratives may be included within the 15-page limit or attached to the 15-page narrative and still be accepted. The application shall be in color as needed for review by peer review panel members.

B. Proposal Contents - Technical Proposal Narrative

Provide detailed information to describe your organization’s ability to host a CASC. Include

section titles at the beginning of each section. If additional information about your natural resource and climate/global change research program and partnerships can be found online, refer to the appropriate links. Exceeding the page limit provides no benefit, as the excess pages will not be evaluated.

The narrative should address the following elements:

1. **Consortium Skills and Interactions:** NCASC seeks consortia in which all members will play an active and direct role in conducting and overseeing research projects and related CASC activities undertaken by the consortium. Proposals that include multi-institution consortia should address the role/skill set of each partner institution and how the proposal principals will interact.
 - a. Identify the individual at the Host Institution who will serve as University Director/Principal Investigator. Describe this person's role and what funding (for the University Director/Principal Investigator or other staff) is requested to support this requirement. Describe why this department/center as a host "home" and individual as university leader are best suited to addressing the science challenges facing the CASC.
 - b. As appropriate, identify the proposal principals (Leadership Team), who should include, at a minimum, one senior investigator from each consortium partner. Identify each principal's individual strengths and how their expertise complements, supplements, or amplifies that of the other leadership team members. Describe how the Leadership Team members will coordinate and interact with one another. Provide brief descriptions of the current research activities (e.g., awards, projects) of each consortium partner principal.
 - c. Describe institutional-level commitment to the CASC, including how the institution will coordinate and work across Departments, Colleges and other administrative units within the institution.
 - d. Describe the governance strategy and activities for the consortium team, including proposed modes of interaction between Host and consortium partners and between all partners and the USGS CASC Director and staff.
 - e. Describe the institutional context in which the CASC would be located; that is, list other departments and programs that would be closely associated, including other Federal or non-Federal partners (e.g., NOAA Cooperative Institutes or USDA Forest Service labs), etc. Describe any anticipated activities or strategies to maximize the benefits from and leveraging of these assets. The roles of all partners (Federal and non-Federal) must be clearly identified.
 - f. Describe how proposal principals would enable and encourage other faculty, staff, and students to participate in research activities. Describe how the consortium leadership would facilitate awareness of and potential engagement in responding to requests for proposals issued by a CASC.
 - g. Identify any involvement of proposal principals in activities or projects of:
 - i. The National Climate Adaptation Science Center (NCASC)
 - ii. Climate Adaptation Science Centers (CASC)
 - iii. USDA Regional Climate Hubs (Hubs)
 - iv. NOAA Regional Integrated Science and Assessment (RISA) center(s)

- v. Other entities whose mission reflects similar goals, providing information for adaptation planning and decision making for natural and/or cultural resources

2. Science

- a. Explain the team’s vision of the nature of the science required for climate and other global change related adaptation or resource management decision-making in the region, including items described in **Section C.C3.1.b**, and the most effective approaches for meeting those needs. Identify how specific university or consortium skills match up with needs and complement USGS resources. Describe how the proposal, with details provided for individual members of the team, will effectively support research and related activities across the relevant CASC region. Identify new capabilities that need to be developed regionally, as appropriate. Provide at least one case example for each of the proposal principals that involves identification of climate impacts or adaptation strategies for natural or cultural resources.
- b. Explain the proposal team’s understanding of “co-production” and “actionable science” or “usable science.” Describe how the consortium would facilitate and foster co-production and actionable science approaches in CASC-funded activities. Provide at least one case example for each of the proposal principals that illustrates co-production or actionable science principles.
- c. Describe any proposed activities to generate and foster regional dialogue and information sharing with cultural or natural resource managers on climate impacts and adaptation science.
- d. Describe the involvement of consortium partners, and especially the proposal principals, in activities related to American Indians, Alaska Natives, Native Hawaiians, Pacific Islanders, or other indigenous peoples.

3. Capacity Building

- a. List and describe the broad research areas in which capacity building activities are proposed (e.g., ecological modeling, vulnerability assessment). Identify the intended physical location(s) and institutional affiliation(s) for the proposed researchers.
- b. Describe the strategy for linking capacity building activities among multiple departments or institutions. Describe specific actions that will be taken to engage participants across institutions, with the result being to enhance cross-disciplinary learning, to offer new collaboration opportunities, to invite joint funding opportunities, and to show the efficient and effective utilization of unique capacities that each university brings to the consortium. Describe any strategies or plans to facilitate peer-to-peer learning and center cohesion.
- c. Describe the proposed role of the USGS CASC Director in capacity building activities. Describe any proposed mechanisms or opportunities for the USGS CASC Director and researchers to participate in these activities.
- d. Describe the process by which outcomes will be tracked and evaluated, so as to ensure that their activities will be aligned with and advance CASC

- priorities. Describe any mechanisms for tracking capacity building activities and informing the USGS CASC Director and NCASC of these accomplishments.
- e. Describe any programs or activities in place or proposed that will foster the engagement in CASC programs of American Indians, Alaska Natives, Native Hawaiians, Pacific Islanders, or other researchers from communities under-represented in the climate science field.
 - f. Describe the process and requirements for adjunct faculty status for the USGS CASC Director, Deputy Director, and researchers.

4. **Communications**

- a. Describe plans/processes for providing and supporting a website for the CASC. Include strategy for hosting, content updates, and maintenance. Note that the website must follow the information stated in the NCASC communication guidelines.
- b. Describe plans/processes for complying with USGS and DOI communication requirements, such as reporting weekly highlights of upcoming activities, coordinating press releases (as appropriate), and incorporating a review of CASC communication products with NCASC and USGS Communication staff.
- c. Describe any additional proposed communications and outreach activities and/or staff and describe how this support would be coordinated/integrated with USGS-led NCASC activities.

5. **Administrative**

- a. As appropriate, describe physical space to be made available to serve the needs of current CASC staff (as described above), plus proposed students and post-doctoral researchers, and reasonable anticipated growth. Describe how any increase in the number of CASC staff will be accommodated. Describe the availability of the proposed space and any actions needed before occupancy (in 2021).
 - i. If space is to be provided at the Host Institution, describe any clerical/administrative support that will be provided to the CASC, such as mailing, memo/letter preparation, scheduling for meetings, etc. Describe whether normal maintenance support (e.g., replacing light bulbs, hanging white boards, moving Ethernet connections, etc.) will be provided under the agreement. Be specific as to activities and charges not to be provided.
- b. Describe the indirect charges to be applied to funds received under the Hosting Agreement, including any pass-through funds directed to other partners. Describe the indirect charges to be applied to research project awards made via the Hosting Agreement.
- c. Describe the administrative and awards management support to be provided to the CASC, including communication with USGS staff.
 - i. Describe the staffing strategy for CASC award and subaward processing. For example, will there be a single point of contact for this activity, or will it be allocated among multiple analysts in the relevant

funds management office? Will there be a single, identified “CASC Awards Manager”? Describe the training and experience of any awards management staff, especially those with dedicated CASC responsibilities. Describe the average processing time between receipt of award by the Host and issuance of subawards.

6. **Endorsement Letters:** Any endorsement letters should describe an interaction between a proposal principal at the Host or consortium partner institution and the endorsing entity that illustrates actionable science principles. Proposals may include up to ten (10) such letters, each of which should not exceed two pages. **Do Not Provide Generic Endorsement Letters.**

7. **Format for Resume/Curriculum Vitae:** Provide a biographical sketch, resume, or curriculum vitae for the University Director/Principal Investigator and for each member of the proposal Leadership Team including, as appropriate, at least one senior investigator from each consortium partner. Recommended information includes - Education and Training, Research and Professional Experience with special emphasis on activities at the science/management or science/policy interface, Publications and Synergistic Activities. The biographical sketch should be limited to two (2) pages each in length, **excluding publications listings.** The vitae should include a presentation of academic and research credentials, as applicable; e.g., earned degrees, teaching experience, employment history, professional activities, honors and awards, and grants received. A chronological list of **all** publications in **refereed journals** during the past **four (4) years**, including those in press, must be included. Also, list only those **non-refereed** technical publications that have **relevance** to the proposed project. All authors should be listed in the same order as they appear on each paper cited, along with the publication title and complete citation as these usually appear in journals.

8. **Identification of Potential Conflicts of Interest or Bias in Selection of Reviewers:** In order to enable USGS to avoid conflicts in its review process, provide a tabular list of collaborators for all senior/key personnel. This should include all persons who are, or who have been, collaborators or co-authors with leadership team members on a research project, book or book article, report, abstract, or paper during the 48 months preceding the submission of this proposal. For publications or collaborations with more than 10 authors or participants, only list those individuals in the core group with whom the leadership team member interacted on a regular basis while the research was being done. Also, list any individuals who are currently, or have been, co-editors with leadership team members on a special issue of a journal, compendium, or conference proceedings during the 24 months preceding the submission of this application. Also, list students or post-doctoral researchers whom the individual has supervised directly. If there are no collaborators or co-editors to report, state “None.”

Provide a single alphabetized list for the entire Leadership Team.

Leadership Team member name	Collaborators: Last name, First name/initial	Institution

--	--	--

Applicants must submit the appropriate SF-424 Budget Information form and Budget Narrative. For non-construction programs or projects, applicants must complete and submit the SF-424A, "Budget Information for Non-Construction Programs" form. All of the required application forms are available with this announcement on Grants.gov. Federal award recipients and subrecipients are subject to Federal award cost principles in 2 CFR 200.

Detailed Budget Narrative

The project budget shall include detailed information on all cost categories and must clearly identify all estimated project costs. Unit costs shall be provided for all budget items including the cost of work to be provided by contractors or sub-recipients. In addition, applicants shall include a narrative description of the items included in the project budget, including the value of in-kind contributions of goods and services provided to complete the project when cost share is identified to be included (reference section C of this announcement). Cost categories can include, but are not limited to, those costs items included on the SF424A or SF424C.

Proposal Budget Tables and Detailed Budget

The budget documentation should clearly and succinctly describe the proposed activity, associated budgeted costs, how those costs were determined/what cost estimates were based on, and which institution will undertake the activity.

1. Budget Tables:

- a. ALL proposals should include, at a minimum, any funding requested for salaries and benefits (showing positions, labor rates, and benefits for all positions requested to be funded by this agreement).
- b. Proposals from multi-institution consortia should use the prime Host applicant (corresponding to the budget figures on the SF-424A), with separate, clearly labeled, versions for each subaward. Totals should sum to the appropriate object class category total, such as under Contractual or Other Direct Costs (as the non-Federal entity determines appropriate for the subaward).

2. Detailed Budget Narrative/ Budget justification

- a. Provide a detailed budget narrative covering all five years of the proposed project. The detailed narrative shall correspond to the information provided in the budget tables. There is no page limit on the budget information.
- b. The budget narrative should provide a detailed breakdown, justification, and cost-basis of all budgeted award costs, as described below for each object class category. Providing this information will help avoid possible delays in processing an award, as an award will not be issued until all required information is provided. The budget must include the amount proposed for each of the following cost categories:
 1. PERSONNEL - Salaries and wages: Applicants may wish to request Federal funds to support institution employees who will be associated with the CASC, such as the University Director/Principal Investigator, undergraduate and graduate students, post-doctoral researchers, communications manager,

program manager, business manager, clerical staff not covered under indirect costs, etc. The narrative should:

- Identify individuals by project title/role/responsibility and name, if known; estimate hours or percent of time for each project member; specify the rate of compensation proposed for each person and provide the basis for the proposed rate. If the Principal Investigator is contributing time but not requesting funding under the Federal award, that can be stated here as well.
 - Include an explanation of the amounts included for projected increases, such as cost of living increases (per non-Federal entity policy), if the rate of pay shown is higher than the current rate of pay.
 - Identify each person with a task in the project.
 - Tuition remission and other forms of compensation paid as, or in lieu of, wages to students performing necessary work are allowable provided that the tuition or other payments are reasonable compensation for the work performed and are conditioned explicitly upon the performance of the work. Tuition and/or tuition remission should be applied in a manner consistent with non-Federal entity official policy and should be located under the OTHER DIRECT COST object class category.
2. FRINGE - Fringe benefits/labor overhead: Indicate the rates/amounts in conformance with normal accounting procedures. Explain what costs are covered in this category. State the basis for the rates used. Indicate whether rates are used for proposal budgeting purposes only and if actual costs will be charged to the Federal award.
 3. TRAVEL: Show the number of trips requested. Break out each trip to include how the trip relates to project objectives. Itemize the estimated travel costs (lodging, airfare, per diem, and so forth). For each trip, include trip origin, trip destination, the number of people traveling and who is traveling (if known), per diem rates, the cost of transportation, and any miscellaneous expenses for each trip. A cost basis or explanation of how costs were determined should be provided for all travel costs (ex. GSA rates, quotes). For travel requested to meetings or conferences, include a description of the benefit to the proposed project. Failure to provide this information may result in a determination of the cost as unallowable. Calculations of other transportation costs (such as charges for use of applicant owned vehicles or vehicle rental costs) should also be provided.
 4. EQUIPMENT: Equipment means “tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the non-Federal entity for financial statement purposes, or \$5,000.” Show the cost of all equipment necessary for achieving the objectives of the project. Each item should be itemized and include a full justification and a dealer or manufacturer quote, if

available. Title to equipment will be vested per the provisions set forth in 2 CFR 200.313 Equipment.

5. SUPPLIES: A supply means all tangible personal property other than those described in Equipment. Enter the number of items and cost per item. Break out the cost of office, laboratory, computing, and field supplies separately. Provide additional detail on any specific item that represents a significant portion of the proposed amount. If parts for the fabrication of equipment are proposed, list parts and materials required for each alongside their respective costs, and identify this cost separately from other supply items.
6. CONTRACTUAL - Services or consultants: Identify the project tasks or project area for which the services would be used. List the contemplated consultants by name, the estimated amount of time required, and the quoted rate per day or hour. If known, state whether the consultant's rate is the same as she/he has received for similar services or under other Government contracts or assistance awards.
 - SUBAWARDS may be placed under the Contractual OR Other Direct Cost object class category as dictated by non-Federal entity proposal preparation procedures. For sub-awards, break down costs by object class category and provide the same level of detail for each category as described in this section. All subaward costs (Personnel, Fringe, Indirect Costs, etc.) should be included underneath of the Contractual or Other Direct Cost category, and should not be merged with object class categories for the prime recipient.
7. OTHER DIRECT COSTS: Itemize the different types of costs not included elsewhere, such as shipping, computing, and equipment use charges not specifically identified. Provide breakdowns showing how the cost was estimated. For example, computer time should show the type of computer, estimated time of use, and the established rates.
 - Publication costs - Show the estimated cost of publishing the results of the research. State number of publications expected and in what project year. Include costs of drafting or graphics, reproduction, and page or illustration charges.
 - Tuition remission – Provide the basis for the amount budgeted. Tuition remission should be applied in a manner consistent with non-Federal entity official policy
8. TOTAL DIRECT COSTS: Sum of 1 – 7 above.
9. INDIRECT COSTS - Facilities & administrative (F&A) cost: State the proposed rate, modified total direct cost (MTDC) base, and total proposed amount for allowable indirect costs based on the cost principles applicable to the non-Federal entity.

NOTE: A copy of the official negotiated indirect cost agreement with the Federal Government should be included with the budget narrative to

support the rate used. If an applicant proposes to use the de minimis rate of 10% of MTDCs per the provisions outlined in 2 CFR 200.414 (f), this should be stated and explained. If an applicant budgets indirect costs in a manner other than described above, the applicant will be required to provide financial documentation to support the calculation of the proposed rates. If no documentation to support the calculation of indirect cost rates is provided, no award will be made

10. TOTAL FEDERAL SHARE: Sum of total Federal shares of direct and indirect costs

11. APPLICANTS CONTRIBUTION: The nature and value of all in-kind contributions by the Host Institution should be explicitly described for each budget category. Examples of in-kind support include researcher, student, or staff salary or assistantships; facilities or rent; equipment; or other non-Federal support. If the budget includes support from another organization outside of the Host Institution, include a letter from that organization as evidence.

12. State total of Federal and non-Federal funds, if applicable

Data Management Plan Requirements

Proposals submitted to USGS must include a supplementary document of no more than four pages labeled "Data Management Plan" (DMP). This supplementary document should describe how the proposal will conform to USGS policy on the dissemination and sharing of research results and associated data. A valid DMP may include only the statement that no detailed plan is needed (e.g. "No data are expected to be produced from this project"), as long as the statement is accompanied by a clear justification. This supplementary document may include:

- the types of data, samples, physical collections, software, curriculum materials, and other materials to be produced in the course of the project;
- the standards to be used for data and metadata format and content (where existing standards are absent or deemed inadequate, this should be documented along with any proposed solutions or remedies);
- policies for access and sharing including provisions for appropriate protection of privacy, confidentiality, security, intellectual property, or other rights or requirements;
- provisions for re-use, re-distribution, and the production of derivatives; and
- plans for archiving data, samples, and other research products, and for preservation of free public access to them.

Additional guidance on data management plans is available from the USGS Data Management web site here: <https://www.usgs.gov/products/data-and-tools/data-management/data-management-plans> Simultaneously submitted collaborative proposals and proposals that include subawards are a single unified project and should include only one supplemental combined DMP by the lead PI that also addresses all subaward data management needs, regardless of the number of non-lead collaborative proposals or subawards included.

The National and Regional CASC template for data management plans should be used and can be found here: <https://www.usgs.gov/land-resources/climate-adaptation-science-centers/data-policy-and-guidance>.

Simultaneously submitted collaborative proposals and proposals that include subawards are a single unified project and should include only one supplemental combined DMP by the lead Principal Investigator that also addresses all subaward data management needs, regardless of the number of non-lead collaborative proposals or subawards included.

Conflict of Interest Disclosure

Per the Financial Assistance Interior Regulation (FAIR), [2 CFR §1402.112](#), applicants must state in their application if any actual or potential conflict of interest exists at the time of submission.

(a) Applicability.

(1) 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.

(2) 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.

(b) Notification.

(1) 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.

(2) 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 Financial Assistance 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.

(c) Restrictions on lobbying. Non-Federal entities are strictly prohibited from using funds under a grant or cooperative agreement for lobbying activities and must provide the required certifications and disclosures pursuant to 43 CFR part 18 and 31 U.S.C. 1352.

(d) Review procedures. The Financial Assistance 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 an appropriate means for resolving it.

(e) Enforcement. Failure to resolve conflicts of interest in a manner that satisfies the government may be cause for termination of the award. Failure to make required disclosures may result in any of the remedies described in 2 CFR 200.338, Remedies for noncompliance, including suspension or debarment (see also 2 CFR part 180).

Single Audit Reporting Statement

All U.S. states, local governments, federally recognized Indian tribal governments, and non-profit organizations expending \$750,000 USD or more in Federal award funds in the applicant's fiscal year must submit a Single Audit report for that year through the [Federal Audit Clearinghouse's Internet Data Entry System](#). U.S. state, local government, federally recognized

Indian tribal government, and non-profit applicants must state if your organization was or was not required to submit a Single Audit report for the most recently closed fiscal year. If your organization was required to submit a Single Audit report for the most recently closed fiscal year, provide the EIN associated with that report and state if it is available through the [Federal Audit Clearinghouse](#) website.

Certification Regarding Lobbying

Applicants requesting more than \$100,000 in Federal funding must certify to the statements in [43 CFR Part 18, Appendix A-Certification Regarding Lobbying](#). If this application requests more than \$100,000 in Federal funds, the Authorized Official's signature on the appropriate SF-424, Application for Federal Assistance form also represents the entity's certification of the statements in 43 CFR Part 18, Appendix A.

Disclosure of Lobbying Activities

Applicants and recipients must not use any federally appropriated funds (annually appropriated or continuing appropriations) or matching funds under a Federal award to pay any person for lobbying in connection with the award. Lobbying is influencing or attempting to influence an officer or employee of any U.S. agency, a Member of the U.S. Congress, an officer or employee of the U.S. Congress, or an employee of a Member of the U.S. Congress connection with the award. Applicants and recipients must complete and submit the [SF-LLL, "Disclosure of Lobbying Activities"](#) form if the Federal share of the proposal or award is more than \$100,000 and the applicant or recipient has made or has agreed to make any payment using non-appropriated funds for lobbying in connection with the application or award. The SF-LLL form is available with this Funding Opportunity on [Grants.gov](#). See 43 CFR, Subpart 18.100 and 31 USC 1352 for more information on when additional submission of this form is required.

Overlap or Duplication of Effort Statement

Applicants must provide a statement indicating if there is any overlap between this Federal application and any other Federal application, or funded project, in regards to activities, costs, or time commitment of key personnel. If no such overlap or duplication exists, state, "There are no overlaps or duplication between this application and any of our other Federal applications or funded projects, including in regards to activities, costs, or time commitment of key personnel". If any such overlap exists, provide a complete description of overlaps or duplications between this proposal and any other federally funded project or application in regards to activities, costs, and time commitment of key personnel, as applicable. Provide a copy of any overlapping or duplicative proposal submitted to any other potential funding entity and identify when that proposal was submitted, to whom (entity name and program), and when you anticipate being notified of their funding decision. The statement and the description of overlap or duplication, when applicable, may be provided within the proposal or as a separate attachment to the application. If at any time a proposal is awarded funds that would be overlapping or duplicative of the funding requested from USGS, the applicant must immediately notify the USGS point of contact. Any overlap or duplication of funding between the proposed project and other active or anticipated projects may impact selection and/or funding amount.

D3. Unique Entity Identifier and System for Award Management (SAM)

Identifier and System for Award Management (SAM.gov) Registration: This requirement does not apply to individuals applying for funds as individual (i.e., unrelated to any business or nonprofit organization you may own or operate) or any entity with an exception approved by the funding bureau or office in accordance with bureau or office policy. All other applicants are required to obtain a Data Universal Numbering System (DUNS) number from Dun & Bradstreet and then register in SAM.gov prior to submitting a Federal award application. Federal award recipients must continue to maintain an active SAM.gov registration with current information through the life of their Federal award(s). See the “Submission Requirements” section of this document below for more information on SAM.gov registration. We may not make a Federal award to an applicant that has not completed the SAM.gov registration. If an applicant selected for funding has not completed their SAM.gov registration by the time the program is ready to make an award, the program may determine that the applicant is not qualified to receive an award. The program can use that determination as a basis for making an award to another applicant. **There is no cost to register with Dun & Bradstreet or SAM.gov.** There are third-party vendors who will charge a fee in exchange for registering entities with Dun & Bradstreet and SAM.gov; **please be aware you can register and request help for free.**

Obtain a DUNS Number

Request a DUNS Number through the Dun & Bradstreet website. For technical difficulties, send an email to the D&B SAM Help Desk. Please ensure that you are able to receive emails from SAMHelp@dnb.com. The Grants.gov “Obtain a DUNS Number” webpage also provides detailed instructions. Once assigned a DUNS number, your organization must maintain up-to-date information with Dun & Bradstreet. Applicants must enter their DUNS number in the “Organizational DUNS” field on the SF-424, Application for Federal Assistance form.

Register with the System for Award Management (SAM)

Register on the SAM.gov website. “Help” tab on the website contains User Guides and other information to assist you with registration. The Grants.gov Register with SAM page also provides detailed instructions. You can also contact the supporting Federal Service Desk for help registering in SAM. Once registered in SAM, entities must renew and revalidate their SAM registration at least once every 12 months from the date previously registered. Entities are strongly encouraged to revalidate their registration as often as needed to ensure their information is up to date and reflects changes that may have been to the entity’s DUNS or IRS information.

D4. Submission Dates and Times

Due Date for Applications

June 14, 2021

Application Due Date Explanation

Electronically submitted applications must be submitted no later than 4:00 p.m., ET, on the listed application due date.

D5. Intergovernmental Review

Prior to application submission, U.S. state and local government applicants should visit the [OMB Office of Federal Financial Management website](#) and view the “State Point of Contact (SPOC) List” to determine whether their application is subject to the state intergovernmental review process under Executive Order (E.O.) 12372 “Intergovernmental Review of Federal Programs.” States not on the list do not participate in the intergovernmental review process, and therefore do not have a SPOC. If you are located within a State that does not have a SPOC, you may send application materials directly to a Federal awarding agency. If your state is on the list, contact the designated entity for more information on the state’s prior review requirements for Federal assistance applications.

D6. Funding Restrictions

The Federal awarding agency that provides the largest amount of direct funding to your organization is your cognizant agency for indirect costs, unless otherwise assigned by the White House Office of Management and Budget (OMB). If the Department of the Interior is your organization’s cognizant agency, the Interior Business Center will negotiate your indirect cost rate. Contact the Interior Business Center by phone 916-930-3803 or using the [IBC Email Submission Form](#). See the [IBC Website](#) for more information.

Organizations must have an active Federal award before they can submit an indirect cost rate proposal to their cognizant agency. Failure to establish an approved rate during the award period renders all costs otherwise allocable as indirect costs unallowable under the award. Recipients must have prior written approval from USGS to use amounts budgeted for direct costs to satisfy cost-share or match requirements or to cover unallowable indirect costs. Recipients shall not shift unallowable indirect costs to another Federal award unless specifically authorized to do so by legislation.

Required Indirect Cost Statement to be submitted with Application

All organizations must include the applicable statement from the following list in their application, and attach to their application any documentation identified in the applicable statement:

We are:

- A U.S. state or local government entity receiving more than \$35 million in direct Federal funding each year with an indirect cost rate of [insert rate]. We submit our indirect cost rate proposals to our cognizant agency. Attached is a copy of our most recently approved rate agreement/certification.
- A U.S. state or local government entity receiving less than \$35 million in direct Federal funding with an indirect cost rate of [insert rate]. We have prepared and will retain for audit an indirect cost rate proposal and related documentation.
- A [insert your organization type; U.S. states and local governments, do not use this statement] that has previously negotiated or currently has an approved indirect cost rate with our cognizant agency. Our indirect cost rate is [insert rate]. [Insert either: “Attached is a copy of our most recently approved but expired rate agreement. In the

event an award is made, we will submit an indirect cost rate proposal to our cognizant agency within 90 calendar days after the award is made.” *or* “Attached is a copy of our current negotiated indirect cost rate agreement.”]

- A [insert your organization type] that has never submitted an indirect cost rate proposal to our cognizant agency. Our indirect cost rate is [insert rate]. If we receive an award, we will submit an indirect cost rate proposal to our cognizant agency within 90 calendar days after the award date.
- A [insert your organization type] that has never submitted an indirect cost rate proposal to our cognizant agency and has an indirect cost rate that is lower than 10%. Our indirect cost rate is [insert rate; must be lower than 10%]. However, if we receive an award we will not be able to meet the requirement to submit an indirect cost rate proposal to our cognizant agency within 90 calendar days after award. We request as a condition of award to charge a flat indirect cost rate of [insert rate; must be lower than 10%] against [insert a clear description of the direct cost base against which your rate is charged (e.g., salaries; salaries and fringe benefits; or modified total direct costs). However, please note that your organization cannot charge indirect costs in excess of the indirect costs that would be recovered if applied against modified total direct costs as defined in [§2 CFR 200.68](#)]. We understand that we must notify USGS in writing if we establish an approved rate with our cognizant agency at any point during the award period.
- A [insert your organization type] that has never submitted an indirect cost rate proposal to our cognizant agency and has an indirect cost rate that is 10% or higher. Our indirect cost rate is [insert your organization’s indirect rate; must be 10% or higher]. However, if we receive an award we will not be able to meet the requirement to submit an indirect cost rate proposal to our cognizant agency within 90 calendar days after award. We request as a condition of award to charge a flat *de minimis* indirect cost rate of 10% to be charged against modified total direct project costs as defined in [2 CFR §200.68](#). We understand that we must notify USGS in writing if we establish a negotiated rate with our cognizant agency at any point during the award period. We understand that additional Federal funds may not be available to support an unexpected increase in indirect costs during the project period and that such changes are subject to review, negotiation, and prior approval by USGS.
- A [insert your organization type] that is submitting this proposal for consideration under the “Cooperative Ecosystem Studies Unit Network”, which has a Department of the Interior-approved indirect cost rate cap of 17.5%. If we have an approved indirect cost rate with our cognizant agency, we understand that we must apply this reduced rate against the same direct cost base as identified in our approved indirect cost rate agreement per [2 CFR §1402.414](#). If we do not have an approved indirect cost rate with our cognizant agency, we understand that we must charge indirect costs against the modified total direct cost base defined in 2 CFR §200.68 “Modified Total Direct Cost (MTDC)”. We understand that we must request prior approval from USGS to use the 2 CFR 200 MTDC base instead of the base identified in our approved indirect cost rate agreement. We understand that USGS approval of such a request will be based on: 1) a determination that our approved base is only a subset of the MTDC (such as salaries and wages); and 2) that use of the MTDC base will still result in a reduction of the total indirect costs to be charged to the award. In accordance with 2 CFR §200.405, we

understand that indirect costs not recovered due to a voluntary reduction to our federally negotiated rate are not allowable for recovery via any other means.

- A [insert your organization type] that will charge all costs directly.

D7. Other Submission Requirements

Information Sessions

To facilitate the financial assistance application process, two information sessions will be conducted by the NCASC to accommodate inquiries from applicants about this program and the proposal review, evaluation, and selection process.

The information sessions will be scheduled as follows: **Tuesday, March 30, 2021 at 1 PM EDT and Monday, April 12, 2021 at 3 PM EDT**. Interested applicants should email sburton@contractor.usgs.gov to obtain connection information.

In addition, the USGS has posted several documents that provide forward-looking views of intended CASC operations, focus, and functions. These are available for review at <https://www.usgs.gov/land-resources/climate-adaptation-science-centers/casc-host-recompetition>

E. Application Review Information

E1. Criteria

Significance and Approach (Weight: 40%)

Maximum Points: 0

Significance:

- How effectively does the applicant describe for an audience without a science background how this proposal will impact the CASC mission?
- Does the proposal improve the scientific knowledge and technical capabilities for the purpose of climate adaptation planning or resource management as related to the priorities of this Notice of Funding Opportunity (NOFO) as described in Section C.C31.b.?
- Does the proposal demonstrate understanding of, and commitment to, what is needed to make the CASC an exceptional research and capacity building facility for applied climate impact research?
- Does the proposal convey a clearly stated commitment that CASC research will be aligned with CASC priorities?

Approach:

- Does the investigative team offer a demonstrated understanding of, experience in, and commitment to the co-development and -implementation of applied climate science for the purpose of climate adaptation planning or resource management?

- Does the applicant provide examples of engaging stakeholders before, during, and after initiation of the research process?
- Are the proposed budget and requested resources reasonable, and is the work plan practical and achievable for the proposed level of work and expected benefits, given the budget request?
- Does the applicant acknowledge potential problem areas and consider alternative strategies, and benchmarks for success?

Project Team, Collaboration, and Environment (Weight: 30%)

Maximum Points: 0

Project Team:

- Do(es) the applicant(s) bring the appropriate expertise and experience on climate impacts research or climate/global change adaptation to lead and deliver the proposed output(s), and to achieve the proposed contribution(s)?
- Is the proposed leadership approach, governance, and organizational structure appropriate for the project?
- Has the PI/University Director demonstrated an ability to lead others, and commitment to the success of the CASC?
- Does the investigative team (PIs, collaborators, and other researchers) bring diverse, complementary and integrated expertise to the project?
- Are there adequate professional staff positions dedicated to providing essential or unmet administrative functions for the CASC?

Collaboration:

- Has the PI/University Director provided documented evidence of willingness to collaborate with others beyond his/her institution to share ideas, science, etc. to advance the CASC's activities as outlined in the Notice of Funding Opportunity (NOFO)?
- Is there evidence of the ability of the team of investigators to work together in an interdisciplinary fashion, in particular in collaboration with existing USGS capacity (i.e., centers, units, programs) in the region?
- How do the proposed collaborative relationships strengthen or weaken the proposal?
- Does the proposal describe the level of integration and interdisciplinary collaboration among the team and how team effort will bring added value to the project in terms of methodologies, data acquisition and analysis, knowledge exchange, etc.?

Environment:

- Is there substantive evidence of broad institutional support for, and awareness of, CASC activities from relevant departments and administrators?
- Is the environment (academic institution and/or other organization support, equipment, facilities, and other resources available to the investigators) appropriate to enable the conduct and success of the project?
- Does the proposal benefit from unique features of the scientific environment, or subject populations, or employ useful collaborative arrangements?

Capacity Building and Communication (Weight: 30%)

Maximum Points: 0

Capacity Building:

- Is a detailed plan for engaging graduate and postdoctoral students in CASC research projects provided?
- Are qualifications and characteristics of current and anticipated students/fellow researchers, as well as a selection plan specified, in order to support CASC research?
- Additional expectations include plans for involving researchers/fellows in annual CASC meetings, conferences and meeting participation; documentation of a ready supply of fellows; and history of successful fellowships for researchers in the appropriate research topic.
- Does the proposal include a clearly stated intention of collaboration, as appropriate, with the USGS CASC Director on matters related to capacity building?
- Does the proposal encourage engagement with tribal or other indigenous students and early-career individuals to expose them to climate-related research?
- Are the proposed budget and requested resources reasonable, and is the work plan practical and achievable for the proposed level of work and expected benefits, given the budget request?

Communication:

- Does the proposal explain how it will effectively communicate and disseminate climate/global climate change science to a wide range of managers and decision-makers?
- Does the proposal define products and/or outline a strategy for communicating CASC scientific findings to the public and knowledge end-users?
- Do(es) the applicant(s) provide examples regarding their effectiveness in website design, innovative use of technology, and content management to enhance communication?
- Are the proposed budget and requested resources reasonable, and is the work plan practical and achievable for the proposed level of work and expected benefits, given the budget request?

Budget Assessment

Maximum Points: 0

A proposal exceeding the funding limits or project period term described herein will be rejected without review. NCASC values the experience and perspectives of reviewers in estimating overall budget requirements of the proposed project.

Is the requested funding appropriate to support the project? Is it realistic and well-justified in the budget narrative?

- Appropriate budget planning should be demonstrated. The requested resources should be adequate to financially support the full scope of the project.
- Reviewers will be asked to consider the proposed budget of the project, and to provide a justified recommendation as to whether the budget should be:
 - Accepted, as described; or
 - Reduced by a specific dollar amount (total).

Cost sharing is not required in this program and will not be considered in the evaluation of applications.

Facilities Assessment

Maximum Points: 0

Proposals should describe physical space to be made available to serve the needs of current CASC staff (as described above), plus proposed students and post-doctoral researchers, and planned accommodations for a reasonable anticipated increase in the number of CASC staff. If space is to be provided at the Host Institution, details regarding the extent and nature of support for that space should be provided, e.g., furniture, supplies and equipment ordering and maintenance (copier, paper, whiteboards, etc.), communications infrastructure. Space arrangements will be discussed directly with applicants as part of the agreement finalization process.

E2. Review and Selection Process

Proposals will be reviewed using USGS' RFP Manager system. In RFP Manager, each criterion will be scored using a 1-10 point scale and weighted accordingly to the percentages provided below. Applications that meet the basic minimum requirements will be evaluated by peer reviewers that will consider responses to the following questions.

The USGS will select the proposal that best meets the NCASC mission. Proposals will be reviewed for the technical quality of proposed activities, general capabilities of the Host Institution, University Director/Principal Investigator and Leadership Team, plans for capacity building, and communication services within the proposal.^[5] This evaluation may result in an award to a proposal that does not receive the highest technical rating of all proposals evaluated.

Climate Adaptation Science Center Host proposals will be reviewed in accordance with the criteria listed in the above section by a Technical Review Panel of approximately one dozen individuals that may include representatives of USGS, other DOI bureaus, other Federal agencies and other partner entities. Reviewers are accomplished in their respective disciplines and proficient in the technical subjects they are reviewing. Each reviewer will provide written input for each proposal reviewed, and the Committee will seek consensus on a recommendation. Procedures to ensure confidentiality and avoid conflict of interest will be implemented.

Additionally, applicants are hereby notified that:

- a. The Federal awarding agency, prior to making a Federal award with a total amount of Federal share greater than the simplified acquisition threshold, is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS) (see 41 U.S.C. 2313);
- b. An applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a Federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM;
- c. The Federal awarding agency will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a

judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants as described in §200.205 Federal awarding agency review of risk posed by applicants.

Site Visits

At the discretion of the USGS, one or more individuals may conduct site visits to proposed Host and/or consortium partner institutions as part of the decision process. Visits will be coordinated with applicant institutions, and USGS will provide advance notice of specific issues to be addressed and any other requirements for the visit.

[\[5\]](#) If site visits are conducted, input from these will be considered as well.

E3. CFR – Regulatory Information

Refer to the U.S. Geological Survey (USGS) Award Terms and Conditions for the general administrative and national policy requirements applicable to USGS awards. USGS will communicate any other program- or project-specific special terms and conditions to recipients in their Notice of Award.

E4. Anticipated Announcement and Federal Award Dates

An award to host the Midwest Climate Adaptation Science Center is anticipated to be made in the 4th quarter of FY 2021.

F. Federal Award Administration Information

F1. Federal Award Notices

Official notice of award is made by the USGS Office of Acquisition and Grants (OAG). Federal award funds can only be obligated by a designated Contracting/Grants Officer.

F2. Administrative and National Policy Requirements

See the “[DOI Standard Terms and Conditions](#)” for the administrative and national policy requirements applicable to DOI awards.

Refer to the U.S. Geological Survey (USGS) Award Terms and Conditions for the general administrative and national policy requirements applicable to USGS awards. The USGS will communicate any other program- or project-specific special terms and conditions to recipients in their Notice of Award.

Data Availability

Per the Financial Assistance Interior Regulation (FAIR), [2 CFR §1402.315](#):

(a) All data, methodology, factual inputs, models, analyses, technical information, reports, conclusions, valuation products or other scientific assessments in any medium or form, including

textual, numerical, graphic, cartographic, narrative, or audiovisual, resulting from a financial assistance agreement is available for use by the Department of the Interior, including being available in a manner that is sufficient for independent verification.

(b) The Federal Government has the right to:

(1) Obtain, reproduce, publish, or otherwise use the data, methodology, factual inputs, models, analyses, technical information, reports, conclusions, or other scientific assessments, produced under a Federal award; and

(2) Authorize others to receive, reproduce, publish, or otherwise use such data, methodology, factual inputs, models, analyses, technical information, reports, conclusions, or other scientific assessments, for Federal purposes, including to allow for meaningful third-party evaluation.

F3. Reporting

Financial Reports

All recipients must use the [SF-425, Federal Financial Report](#) form for financial reporting. At a minimum, all recipients must submit a **final** financial report. Final reports are due no later than 90 calendar days after the award period of performance end date or termination date. For awards with periods of performance longer than 12 months, recipients are required to submit **interim** financial reports on the frequency established in the Notice of Award. The only exception to the interim financial reporting requirement is if the recipient is required to use the SF 270/271 to request payment and requests payment at least once annually through the entire award period of performance. We will describe all financial reporting requirements in the Notice of Award.

Performance Reports

Performance reports must contain a comparison of actual accomplishments with the established goals and objectives of the award; a description of reasons why established goals were not met, if appropriate; and any other pertinent information relevant to the project results. Final reports are due no later than 90 calendar days after the award period of performance end date or termination date. For awards with periods of performance longer than 12 months, recipients are required to submit **interim** financial reports on the frequency established in the Notice of Award.

Significant Development Reports

Events may occur between the scheduled performance reporting dates which have significant impact upon the supported activity. In such cases, recipients are required to notify the Bureau in writing as soon as the recipient becomes aware of any problems, delays, or adverse conditions that will materially impair the ability to meet the objective of the Federal award. This disclosure must include a statement of any corrective action(s) taken or contemplated, and any assistance needed to resolve the situation. The recipient should also notify USGS in writing of any favorable developments that enable meeting time schedules and objectives sooner or at less cost than anticipated or producing more or different beneficial results than originally planned.

Conflict of Interest Disclosures

Recipients must notify the program immediately in writing of any conflict of interest that arise during the life of their Federal award, including those reported to them by any subrecipient under the award. Recipients must notify the program in writing if any employees, including subrecipient and contractor personnel, are related to, married to, or have a close personal

relationship with any Federal employee in the Federal funding program or who otherwise may have been involved in the review and selection of the award. The term employee means any individual engaged in the performance of work pursuant to the Federal award. Recipients may not have a former Federal employee as a key project official, or in any other substantial role related to their award, whose participation put them out of compliance with the legal authorities addressing post-Government employment restrictions. See the [U.S. Office of Government Ethics website](#) for more information on these restrictions. USGS will examine each conflict of interest disclosure based on its particular facts and the nature of the project and will determine if a significant potential conflict exists. If it does, USGS will work with the recipient to determine an appropriate resolution. Failure to disclose and resolve conflicts of interest in a manner that satisfies USGS may result in any of the remedies described in 2 CFR 200.338 Remedies for Noncompliance, including termination of the award.

Other Mandatory Disclosures

The Non-Federal entity or applicant for a Federal award must disclose, in a timely manner, in writing to the Federal awarding agency or pass-through entity all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award. Non-Federal entities that receive a Federal award including the terms and conditions outlined in 2 CFR 200, Appendix XII—Award Term and Condition for Recipient Integrity and Performance Matters are required to report certain civil, criminal, or administrative proceedings to SAM. Failure to make required disclosures can result in any of the remedies described in 2 CFR 200.338 Remedies for Noncompliance, including suspension or debarment.

Reporting Matters Related to Recipient Integrity and Performance

If the total value of your currently active grants, cooperative agreements, and procurement contracts from all Federal awarding agencies exceeds \$10,000,000 for any period of time during the period of performance of this Federal award, then you as the recipient during that period of time must maintain the currency of information reported to the System for Award Management (SAM) that is made available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIS)) about civil, criminal, or administrative proceedings in accordance with Appendix XII to 2 CFR 200.

G. Federal Awarding Agency Contact(s)

G1. Program Technical Contact

For **programmatic technical assistance**, contact:

First Name:

Gustavo

Last Name:

Bisbal

Address:

Telephone:

541-224-4761

Email:

gbisbal@usgs.gov

G2. Program Administration Contact

For **program administration assistance**, contact:

First Name:

Sherri

Last Name:

Bredesen

Address:

Telephone:

703-648-7485

Email:

sbredesen@usgs.gov

G3. Application System Technical Support

For **Grants.gov technical registration and submission, downloading forms and application packages**, contact:

Name:

Grants.gov Customer Support

Telephone:

1-800-518-4726

Email:

Support@grants.gov

H. Other Information

Payments

Domestic recipients are required to register in and receive payment through the U.S. Treasury's Automated Standard Application for Payments (ASAP), unless approved for a waiver by the USGS program. Foreign recipients receiving funds to a final destination bank outside the U.S. are required to receive payment through the U.S. Treasury's International Treasury Services (ITS) System. Foreign recipients receiving funds to a final destination bank in the U.S. are required to enter and maintain current banking details in their SAM.gov entity profile and receive payment through the Automated Clearing House network by electronic funds transfer (EFT). The Bureau will include recipient-specific instructions on how to request payment, including identification of any additional information required and where to submit payment requests, as applicable, in all Notices of Award.

PAPERWORK REDUCTION ACT STATEMENT:

OMB Control Number: 1028-0096, Expiration Date: 05/31/2023

We are collecting this information in accordance with the program identified above. Your response is required to obtain or retain a benefit. We will use the information you provide to conduct a competitive review and select projects for funding and, if awarded, to evaluate performance. We may not conduct or sponsor and you are not required to respond to a collection of information unless it displays a currently valid Office of Management and Budget (OMB) control number. Public report burden for this collection is estimated to average 45 hours per grant application and 12 hours to prepare a final technical report. Actual time for these activities will vary depending on program- specific requirements. You may send comments on the burden estimate or any other aspect of this information collection to the Bureau Clearance Officer, U.S. Geological Survey, 12201 Sunrise Valley Drive, MS807, Reston VA 20192.