Department of Defense
Legacy Resource Management Program

LEGACY GUIDEBOOK:

A Reference Guide for the
Legacy Resource Management Program

Department of Defense
Legacy Resource Management Program

Revised October 2012

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A note on versions: *This is the print-friendly version of the Legacy Guidebook. This version does not contain internal links, and only parenthetically includes external links – for example* (https://www.dodlegacy.org). *The **electronic** version of this document contains links to other internal sections of the document as well as external locations on the World Wide Web. Links in the **electronic version** appear as* **bold, blue, underlined text**.

Introduction

Welcome to the Department of Defense (DoD) Legacy Resource Management Program Guidebook. This guide provides an overview of the Legacy Resource Management Program and explains the Program's funding process, requirements for successful applicants, and offers a tutorial on how to use the Legacy Tracker application. Only proposals completed and submitted via the Legacy Tracker website (https://www.dodlegacy.org) and, if needed, coordinated with appropriate installation and headquarters personnel will be eligible for funding.

The Legacy Resource Management Program

The DoD Legacy Resource Management Program (Legacy) falls within the DoD's Office of the Deputy Under Secretary of Defense for Installations and Environment (ODUSD - I&E). Legacy is uniquely positioned to assist in natural and cultural resources conservation and preservation efforts above and beyond federal regulatory and statutory compliance requirements.

The Department's natural and cultural resources are mission supporting. DoD protects and manages these resources to ensure continued access to realistic habitat conditions that support the military's combat training and operations, while fulfilling its stewardship responsibilities. Protecting these resources can inspire Department personnel and encourage and maintain the national public support for its military. The Department's natural and cultural heritages are the Nation's assets; DoD holds these resources in trust for future generations.

Background

In 1990, Congress passed legislation establishing the Legacy Program to provide financial assistance to preserve the Department's natural and cultural heritage. The National Defense Authorization Act (10 U.S.C. 2694) established the current Program mandate in fiscal year 1997. Under this mandate, the Legacy Program is tasked with managing, in a coordinated approach, our nation's natural and cultural resources. Legacy funds natural and cultural resources projects with national, regional or other wide-scale DoD applications to support overall DoD conservation goals and military readiness.

Any individual, organization (public or private), institution or other entity can apply for Legacy Program funding, if requirements are met. A pre-proposal initiates the funding request. Legacy has the flexibility to enter into agreements with public and private agencies, organizations, institutions, individuals, or other entities to carry out Legacy's projects. Public Law 104-201, Section 2694 also describes the funding criteria for these projects, which are listed under the *Proposing Work* section of this document.

Each year the Legacy Program releases a Request for Proposals (RFP), which is posted for public view on the Defense Environmental Network & Information Exchange website (DENIX) at https://www.denix.osd.mil/legacy, on http://www.grants.gov, and on the Legacy Program's website at https://www.dodlegacy.org. The RFP initiates the call for proposals and stipulates the due date for pre-proposal submission.

The Legacy Program's Guiding Principles and Themes

Three general principles have guided the Legacy Program since its inception – stewardship, leadership, and partnership. Stewardship initiatives assist DoD in safeguarding its irreplaceable natural and cultural resources for future generations. Legacy's leadership role serves as a model for respectful use of natural and cultural resources. Through partnerships, Legacy also strives to access the knowledge and talents of individuals outside of DoD through partnerships, both with other federal agencies, and with private institutions and entities.

In order to support these principles, the Legacy Program emphasizes five themes:

1. The Program implements an interdisciplinary approach to resource stewardship that takes advantage of the similarities between DoD's natural and cultural resources programs. Often the same person is responsible for managing both natural and cultural resources plans on an installation. Legacy strives to take advantage of this by sharing management methodologies and techniques across natural and cultural resources initiatives.
2. The Program promotes understanding and appreciation for natural and cultural resources by encouraging greater awareness and involvement by the Military Departments or Services, other agencies, NGOs, and the general public.
3. The Legacy Program incorporates an ecosystem approach that assists DoD in maintaining biological diversity and the sustainable use of land and water resources for mission and other uses.
4. Additionally, the Program works to achieve common goals and objectives by applying resource management initiatives in broad regional areas. Legacy supports regionally-based projects such as the Sonoran Ecosystem Management Initiative, the Gulf Coast Plain Ecosystem Partnership, the Great Basin Initiative, the Chesapeake Bay Program, and Partners in Flight.
5. Finally, the Legacy Program pursues the identification of innovative new technologies that enable more efficient and effective management.

How much time do I have for my project?

The Legacy Program funds single year and multi-year projects each fiscal year. Because Legacy cannot guarantee subsequent funding for multi-year efforts, we consider each approved project as a stand-alone effort and require unique deliverables for each year funded, even if it's intended to be only part of a multi-phase effort. If you have a multi-year project and do not apply for the entire multi-year budget for the entire effort in your first year, you must submit a stand-alone proposal for each new phase.

Legacy projects do not necessarily have to be completed within one year. Legacy Projects must be completed by the date that you choose for your project completion date, i.e., the date which you anticipate finishing the work you describe in your scope of work for that funding cycle. You may choose up to 5 years from the date of the obligation of your funding (i.e., the signing of your contract), but this date must be decided in your proposal submittal.

There has been some confusion between the project completion date and funds expiration date. If you are a DoD entity awarded funding, you will have a limited time to expend your funds (likely to be within the fiscal year you receive them). While these funds must be expended (spent or sub-contracted) within the fiscal year, your project does not have to necessarily be completed within that timeframe. Awardees from other agencies, NGOs, educational institutions, or private companies receive their funds via a cooperative agreement. These project funds are good for the period of performance (i.e., until your expected completion date).

Proposing Work - Who and What Can be Funded

Eligibility

Any individual, organization (public or private), institution or other entity can apply for Legacy Program funding, if requirements are met.

Activities and projects eligible for Legacy Program funding must meet the following four criteria, as mandated by the Section 8102 of P. L. 101-511 (Defense Appropriations Act) and Section 332(a) (1) of P. L. 104-201, 10 U.S.C. 2694, Conservation and Cultural Activities.

Each project must:

- Have regional or DoD-wide significance and involve more than one Military Service;
- Be necessary to meet legal requirements or to support military operations;
- Be more effectively managed at the DoD level; and
- Not be an executive agent responsibility. (An executive agent is a Military Department with designated responsibility over an area. For example, the Navy is the executive agent for sonar issues. Therefore, any Legacy proposals directly relating to sonar are not fundable.)

The ODUSD (I&E) uses the Legacy Program to fund projects that support military mission needs and improve the management of natural and cultural resources, using the above criteria. These natural and cultural resources projects have national, regional or other wide-scale DoD applications to support overall DoD conservation and preservation goals and military readiness. **These projects support and benefit the military mission; there must be a clear correlation between a Legacy project and military readiness and training. Projects cannot simply relate to federal compliance requirements or other regulatory requirements.**

Also of importance to note, Legacy funds projects that assist current military mission needs. These needs change. The Legacy Program determines which projects to fund based on the timing of the funding request in relation to many factors that include, but are not limited to, Military Service interest, ODUSD (I&E) interest, funding allocations of the particular fiscal year, what related work is underway or already funded, and how the project related to the current Program Areas of Emphasis. Final determinations on project need and project funding rest exclusively with the Office of the Deputy Under Secretary of Defense for Installations and Environment. Legacy does not guarantee funding.

Using the above criteria, examples of projects **ineligible** for Legacy Program funding include:

- Projects with no benefit to natural or cultural resources and their management.
- Projects with no benefit to the current military mission or its needs.
- Installation-specific projects that are not a demonstration project, or that lack regional, Military Service-wide or DoD-wide applicability.
- Compliance-type projects and recurring requirement-type projects that are mandated under existing regulations and statutes (i.e. routine operation, repair, and maintenance of buildings, grounds, sites and landscaping, static displays, the standard restoration and rehabilitation of buildings, structures, or objects, or projects whose primary purpose is to promote fish or game management).

- Projects that would correct existing legal deficiencies.
- Those more suitably funded through other sources, such as non-appropriated funds, military construction, or environmental clean-up.
- Inventories and protective measures required to complete satisfactory National Environmental Policy Act (NEPA) documents or other actions required by Base Realignment and Closure (BRAC) if other funding sources are available. In general, Legacy-type projects on operational bases listed for closure should be funded by BRAC. However, projects on operational bases listed for closure may be eligible for Legacy funds if they meet other Legacy funding criteria.
- Basic research projects – Legacy may fund applications of proven research when in support of Program objectives and themes. For basic and applied environmental research relevant to DoD and its training mission, explore funding through the Strategic Environmental Research and Development Program (SERDP). For demonstration and validation projects, explore funding through the Environmental Security Technology Certification Program. Visit http://www.serdp.org for information on both Programs.

The following flow chart outlines the general Legacy Program proposal submission, review and funding process. What is shown in blue is undertaken by the applicant.

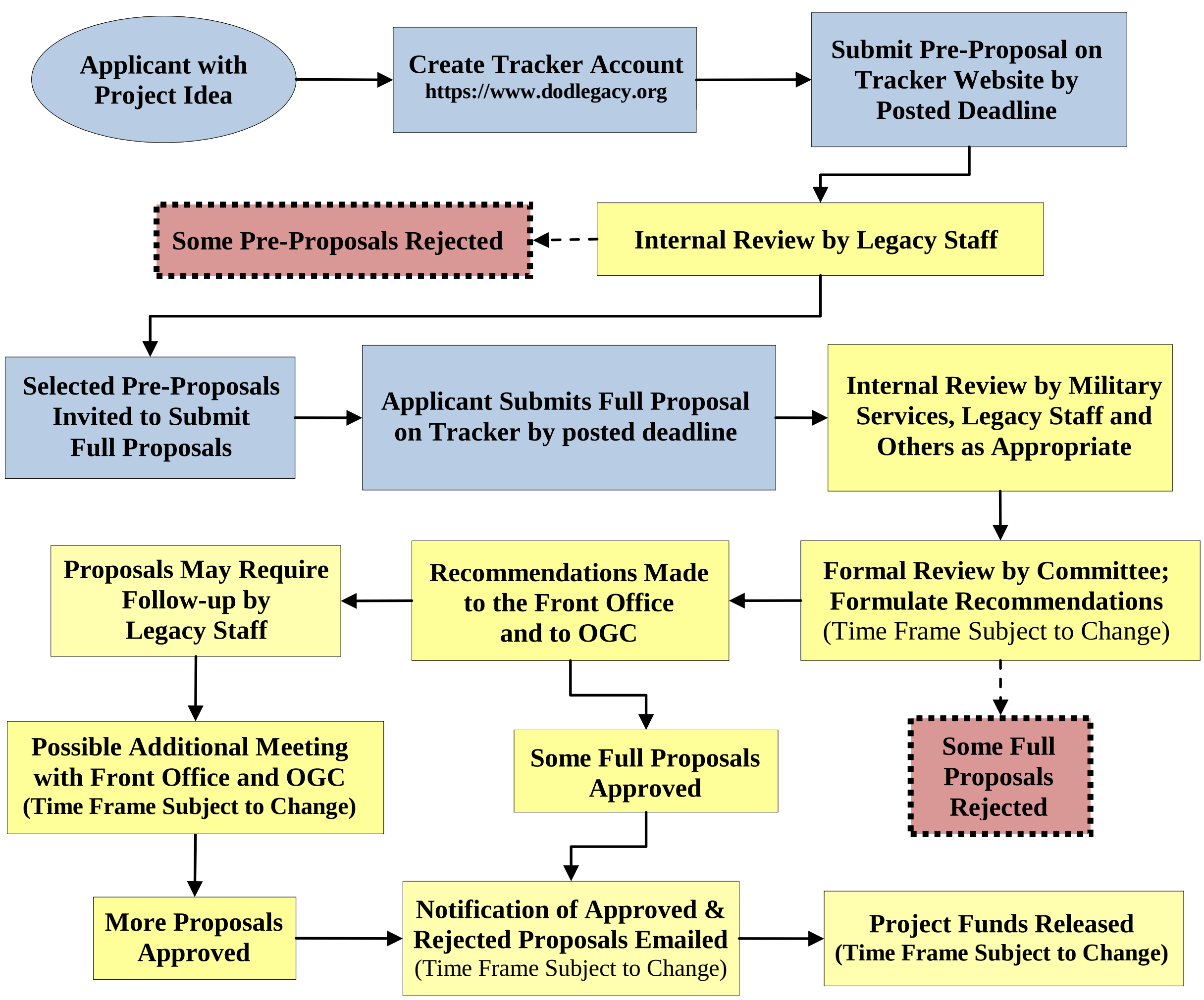


Figure 1. Generalized Legacy Funding Process Outline.

The above flow chart (Figure 1) ends with the release of funds for approved projects, **but the end result of all Legacy Program-funded projects is the creation of deliverables, also referred to as expected products.** The products will be disseminated (and posted on the Department of Defense Environmental, Safety, and Occupational Health Network and Information Exchange (DENIX) at www.denix.osd.mil for resource management professionals so that those products can be used to facilitate the protection and enhancement of resources under DoD management, while supporting the Department's mission. Recipients of funds are obligated to supply specific deliverables. Funds have expiration dates and projects have set periods of performance, with the end result being the submittal to the Legacy Program of project deliverables.

"The Rules"

Also, the following rules must be considered before applying for Legacy Program funds:

- Legacy Program funding is conditional on the agreed-upon project completion dates, periods of performance and delivery of expected products that must be satisfactorily met.
- Funding decisions are made by senior DoD policy makers within ODUSD (I&E).
- The Legacy Program must approve any changes to the project after funds are disbursed.
- It is the responsibility of the Project Author to meet project completion deadlines. A project must not become overdue.
- The Legacy Program will not accept any expected product submitted as "final" that has not received prior Legacy Program review and approval. Please refer to the *Submitting DRAFT Expected Products* section in this document.
- Project Authors and Project Investigators may only distribute public versions of expected products to those outside of DoD, and may only disseminate Legacy-approved final products. Please refer to the *Security Review* section in this document.
- The Legacy Program does not guarantee multi-year project funding.
- Funding recipients may only charge allowable costs resulting from obligations incurred during the funding period (from the date the funding document is signed to the expected completion date). Pre-award expenses are not funded.
- A project extension should only be requested due to extenuating circumstances.
- Biannual Progress Reports are required for all projects and must be submitted using the *Progress Report* tab on the Tracker. Failure to submit progress reports by the due date will be considered if future funding is requested.
- The Legacy Program only funds original work. Legacy will not provide monies to projects that have already been completed or are currently being undertaken.
- All deliverables that Project Authors agree to create as a part of the project must be created during the project's period of performance.
- The Project Author must notify Legacy staff whenever the telephone number, fax number, mailing address, and e-mail address changes for any project points of contact.
- No profit or fee may be included in the proposed budget.
- Project Authors that are DoD personnel that include a contractor as a Financial Point of Contact must list that contractor as co-author of the proposal. Please refer to the *Authorship* section of this document.

Sometimes during the period of performance, Project Investigators identify additional efforts that will enhance overall project goals. In this case, the Legacy Program welcomes the request for continuation funding during subsequent Legacy proposal cycles (subsequent fiscal years). However, due to the fiscal nature of Legacy Program funds, the Legacy Program does not guarantee funding for follow-on efforts. **Each Legacy Program project is treated as completely independent; there is an agreed upon period of performance, reflecting an agreed upon scope of work to produce defined expected products.** A project that will not produce stand-alone results will not receive Legacy funding.

The Pre-Proposal

The completion and submittal of a pre-proposal initiates an applicant's request for Legacy Program funds. Filling out the pre-proposal is a straightforward task, as the applicant accesses the form online via the Legacy Tracker and fills in the blank fields. This online form is available to applicants online only during the pre-proposal submission period specified in the Request for Proposals (RFP) announcement. (Appendix A provides an example of a pre-proposal.)

Each year, the Legacy releases a RFP, which is posted for public view on the Defense Environmental Network & Information Exchange website (DENIX) at https://www.denix.osd.mil/legacy and on http://www.grants.gov. The RFP is also made available to the general public on the Legacy Program's website at https://www.dodlegacy.org. The RFP initiates the call for proposals and stipulates the due date for pre-proposal submission.

The Legacy Program Tracker

Creating a Legacy Program Tracker account and filling out the pre-proposal form on the Tracker is the first step in the application for Legacy Program funds. The Legacy Program Tracker (Tracker), available at https://www.dodlegacy.org, is an online system designed to collect all Legacy Program proposal submissions and track project progress (see Figure 2). The Tracker provides registered users with a view of all proposals and projects on record, with the exception of some confidential information, and a means by which each Military Service can track the status of proposals and the progress of projects. The Tracker website (Figure 2) allows applicants to electronically submit proposals for review. Only registered users may submit pre-proposals and proposals for consideration via the Legacy Tracker, but registration takes only a few moments.

Figure 2. Tracker Login Screen.

Registration

To register, visit https://www.dodlegacy.org, click on *Request New User Account* and fill out the contact information fields. Complete the Legacy Tracker Registration Form accurately and completely. Once the user account request is received, Legacy Program staff will verify the account information and determine approval. Generally, within 24 hours of approval, the Legacy Tracker sends the new user an automated email notification of account approval, which will contain the user's login password. Having registered on the Tracker, users can now apply for Legacy Program funds.

Creating a Pre-Proposal

Filling out the pre-proposal is a straightforward task, as this form is provided to applicants online via the Tracker. To complete a pre-proposal in the Tracker, first login at https://www.dodlegacy.org then access the *Pre-Proposal* tab on the webpage's navigation bar. (Figure 3 illustrates the Pre-Proposal.) Locate and click on the "Add New" button.

Clicking on the "Add New" button (see Figure 3) opens a new pre-proposal form in the Legacy Tracker under the registered user's name. At this point, this registered user is now the Proposal Author *and* owner of the entry. The applicant may now fill out the new, blank pre-proposal form using the fields provided.

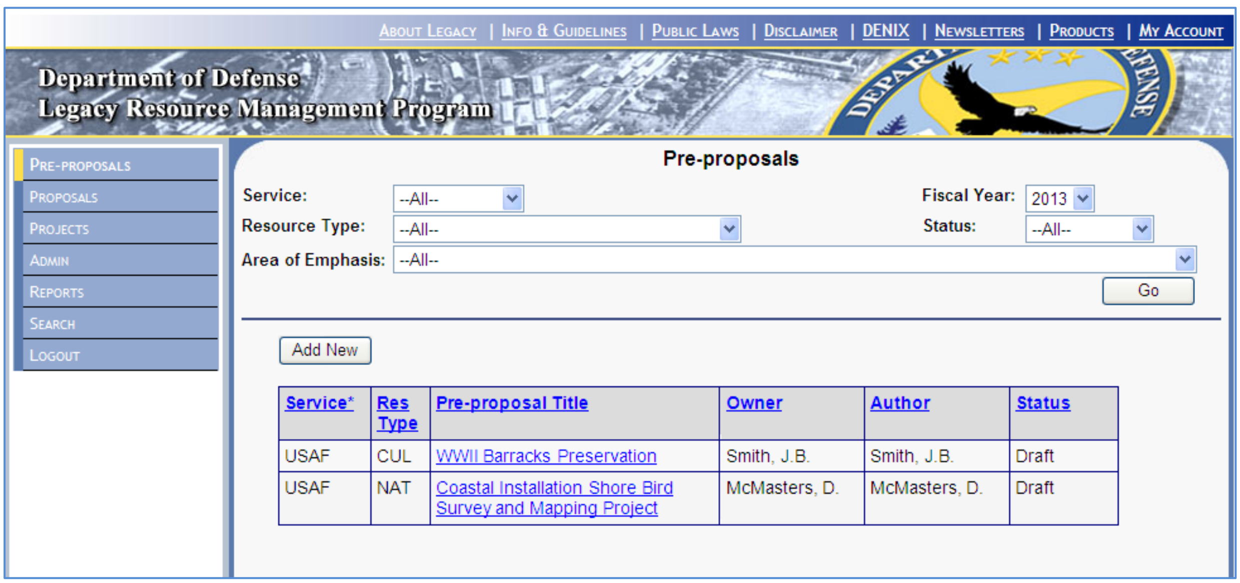
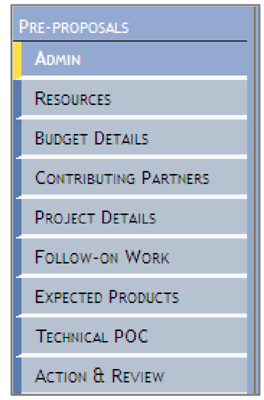


Figure 3. Sample Pre-Proposal Add/Edit Screen.

This new entry's status (Figure 3) is considered a working draft at this time. However, users must give the new pre-proposal a title, otherwise the new entry will not be recorded, and thus the pre-proposal will not be generated or saved in the system. (The title can be changed later but not after the pre-proposal or proposal has been officially submitted, unless approved by Legacy staff.) **NOTE: Please do not use colons, quotation marks, or other special characters in any part of the title.** The pre-proposal, once submitted to Legacy, can be accessed by a registered Tracker user; restricted fields are not visible, however.

After creating and naming the pre-proposal, the Proposal Author may save the document and return to it later if necessary. To save a pre-proposal and return to it later, select the *Action & Review* tab on the webpage, then choose "Save with no Action" within the dropdown menu list of actions. This will save the pre-proposal as a draft in progress. The Proposal Author remains the owner of the pre-proposal until it is submitted. The budget detail information and the annotations in the *Action & Review* tab are **not** visible to anyone except the Proposal Author, Co-Author (if applicable), and Legacy Program staff.

Critical Fields within the Pre-Proposal



What the applicant writes in the pre-proposal document functions as a snap-shot of the total proposed project's endeavors. All fields are important on the pre-proposal document and all fields will be looked at when reviewed, but special attention should be paid to the ***Admin*, *Budget Details*, and *Project Details*** tabs. Within the *Project Details* tab, particular attention should be directed to the ***Synopsis*, *Abstract & Work Plan*, and *Military Mission Benefits*** fields.

Generally, successful pre-proposals will:

- Clearly define the benefit to the military mission, indicating Military Service benefit, regional benefit and/or DoD-wide significance.
- Present a *Project Synopsis* that clearly summarizes the proposed project in a few sentences.
- Present a brief *Abstract & Work Plan* of the proposed project, relating it to current Military Mission needs.
- Clearly define any relationship between the proposed work and other related or similar work completed or currently underway.
- Define *Expected Products* that will result from the current proposed effort's period of performance.
- Define an itemized budget that does not include profit or fee.
- Include (if applicable) an Electronic Installation Letter of Support. An Installation Letter of Support demonstrates that the proposed work is supported by the installation cultural or natural resource manager as appropriate. (See page 21 for more information as well as Appendix D to view a sample Installation Letter of Support.)

Again, a pre-proposal author will be invited to submit a full proposal for further review only if a pre-proposal meets the criteria and fulfills a current need of a Military Service and/or DoD.

Completing a Pre-Proposal

Filling out each field completely and correctly will enhance qualified pre-proposals' chances for further consideration during the review process. A description of all required fields denoted with a red asterisk (*) is available in Appendix B of this document. It is important that the pre-proposal be concise, yet clearly details the proposed project's benefits to the military mission. **Not all submitted pre-proposals will be asked to submit full proposals.**

Administrative Details (Admin) Tab

The *Administrative Details* tab (Figure 4) is where administrative information is entered and displayed including *Author*, *Co-Author*, *Project Title*, *Sponsor*, *Installation, and Expected Completion Date*, among others. (See Appendix B for descriptions of each field in the *Admin* tab.)

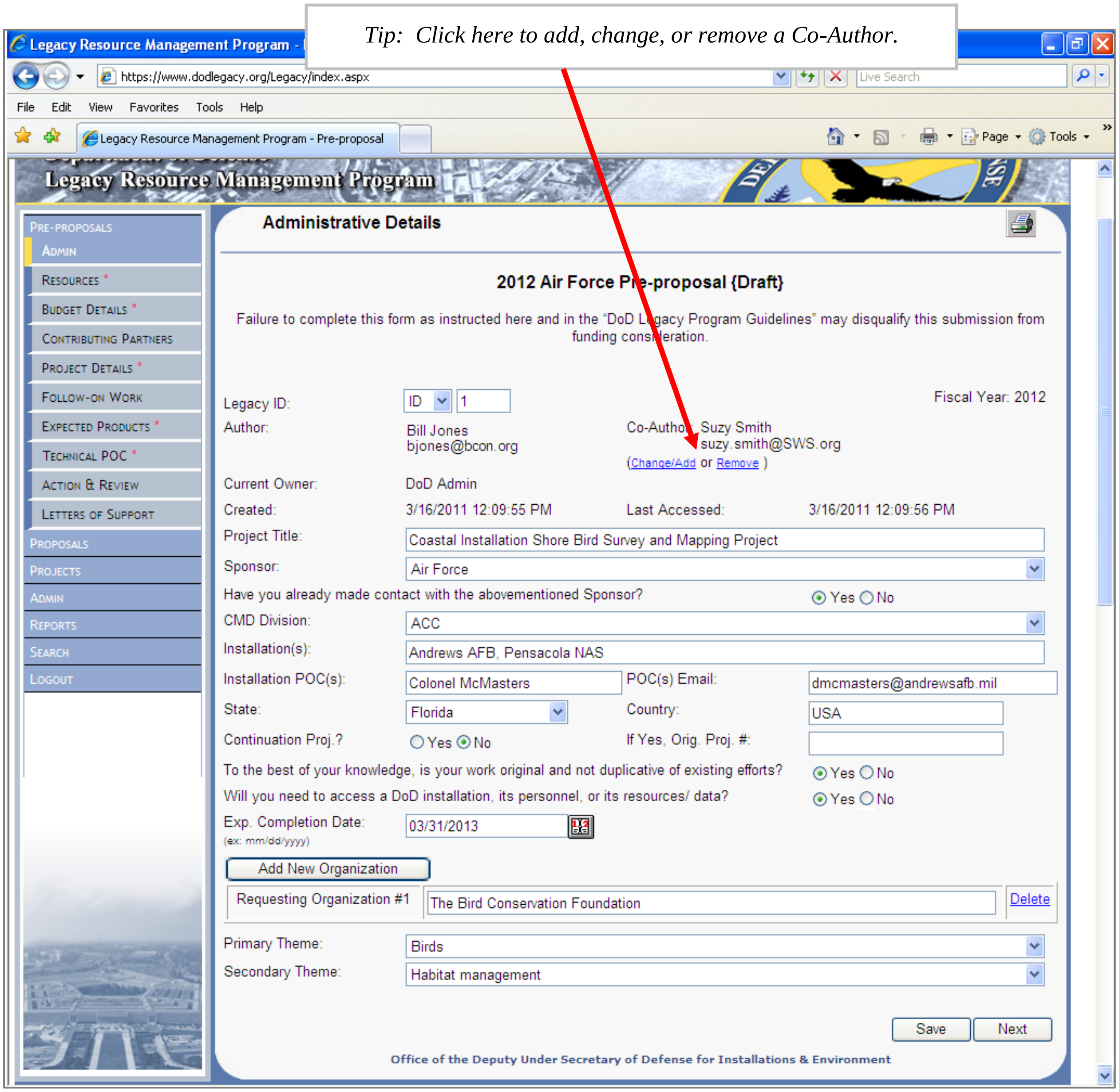


Figure 4. Administrative Details Tab.

Primary Authorship

Primary authorship does not necessarily belong to the representative of the organization requesting the largest amount of funding. The primary author is expected to be the main point of contact, responsible for coordinating all technical and financial aspects of the proposal. Taking into account these responsibilities, partnering organizations should decide who will be listed as the primary author. It is important to note that installation personnel should not be assigned as primary authors if the proposal is requesting funds for a third party. This will avoid the appearance of any ethical impropriety and/or conflict of interest. Contact Legacy Program staff to transfer authorship of a proposal after saving it in the Tracker system.

Who should be the author of a proposal? When do I add a co-author to my proposal?

- All entities requesting project funds must be named as authors of the proposal. (All other entities that will be affiliated with the project, but will not request funds, should be listed later in the form within the *Partners* field or the *Contributing Partners* field, as relevant.)
- The primary author of a Legacy proposal should be the main point of contact for the overall scope of work, not necessarily the entity that is requesting the largest amount of funding.
- Non-DoD partnering organization(s) that will not be the main point of contact for the overall scope of work, but that will also request funds, will be the co-author(s) of the proposal.
- If a DoD installation (via its personnel) partners with a non-DoD entity to request funds, the non-DoD entity should always be the primary author.
- Installation personnel can be the lone author only when they are requesting funds for their own installation, not on behalf of a partnering organization.

Click on the “Change/Add Co-Author” link in the *Admin* tab (Figure 4) to add/change a co-author. The *Co-Author Search and Selection* screen appears (Figure 5). Type in the last name of the individual and click *Search*. If the name is not found, it means that the Co-Author has not been registered with Tracker and must do so. (See *Registration* on page 6.)

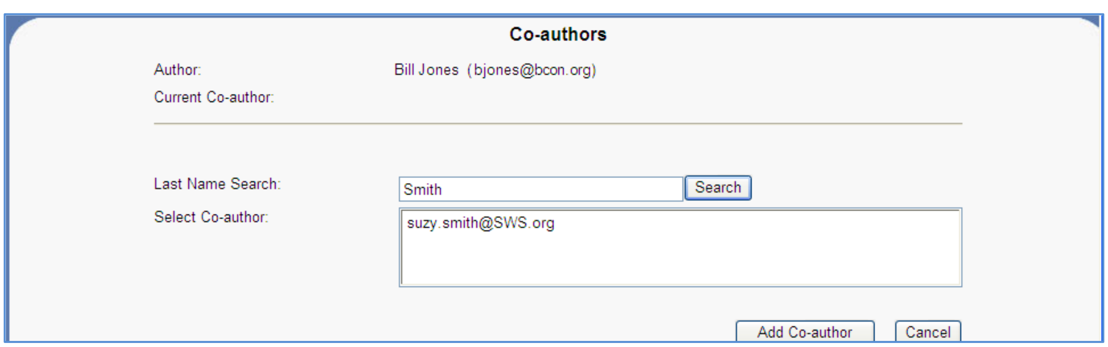


Figure 5. Co-author Search and Selection Screen.

Requesting Organization Tool

Use the “Requesting Organization” tool to enter the name of each organization requesting funds. The author of the proposal is automatically entered into the field “Recipient Organization #1” (see Figure 6 below). **Every entity that is requesting funds <u>must</u> be listed within the “Requesting Organization” section.** Click on the “Add New Organization” button (Figure 7) to add multiple entries.

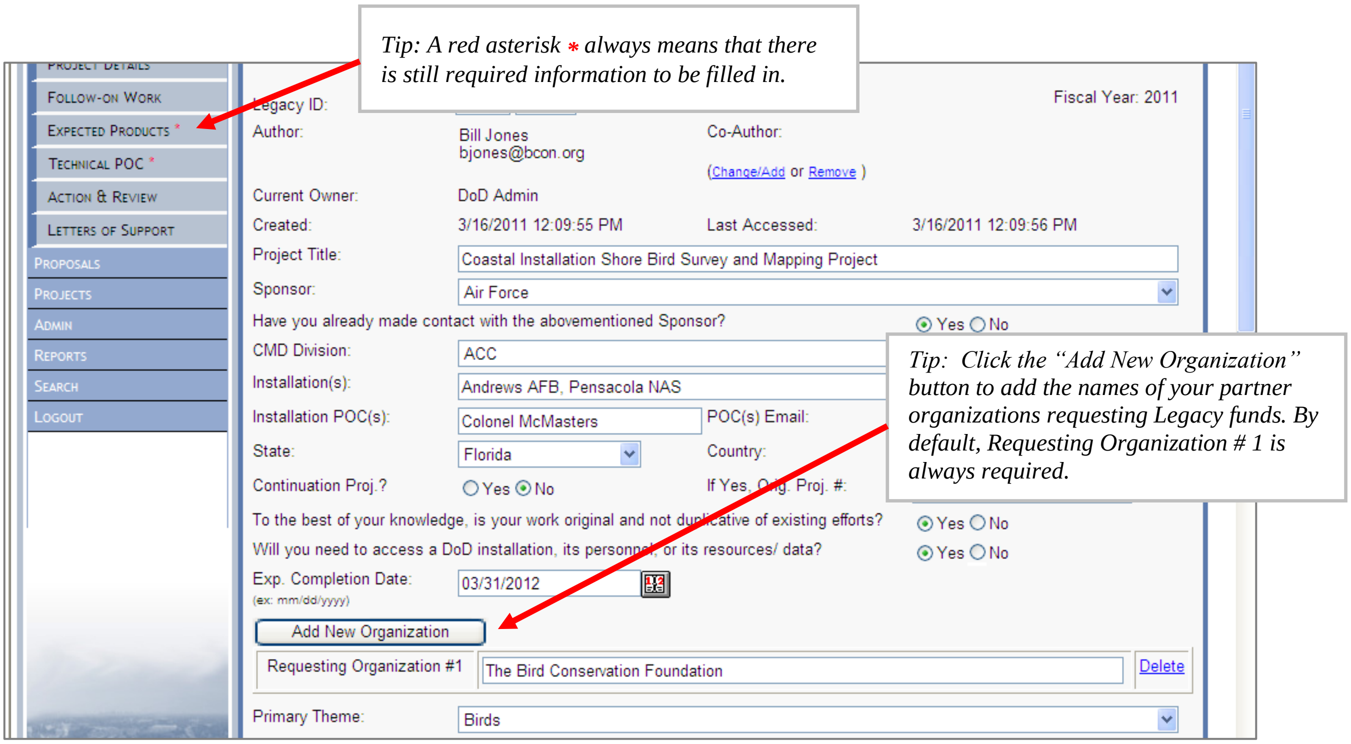
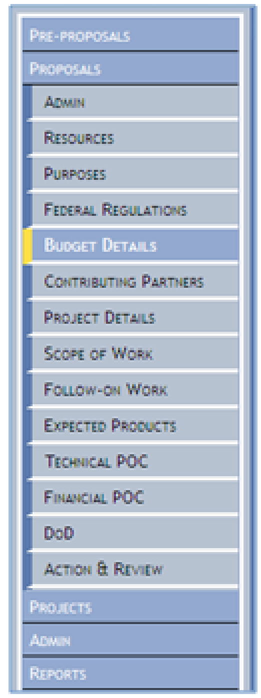


Figure 6. Administrative Details Tab.

Figure 7. Add New Organization Button.

Budget Details Tab

The *Budget Details* tab (Figure 8) should constitute a comprehensive cost estimate for the proposed effort with enough detail to promote efficient and meaningful evaluation (see Appendix B for detailed field descriptions). **No profit or fee may be included in the proposed budget**. The following *Budget Detail* areas must be included (as applicable):



- A complete detail of direct labor to include title, number of hours, rate, and total.
- Fringe benefits rate and base.
- An itemized list of equipment including quantity and unit cost.
- Description, quantity, unit cost, and total for all expendable supplies.
- Complete detail of travel to include reason/need for travel, number of travelers, destination, airfare, per diem, lodging, rental car, etc. (See Appendix H for links to government per diem rates.).
- Complete detail on any sub-recipients in the same detail as provided for the recipient.
- Other direct costs (photocopying, printing, computer, etc.) including quantity and unit cost as applicable.
- Indirect cost rates and bases with an indication whether rates are fixed or provisional and the time frame to which they are applied.

If the recipient proposes to conduct a workshop, the following additional items shall be provided, as necessary:

- Estimated number of attendees, and a breakdown of government vs. civilian attendees.
- Registration fees.
- Speaker fees, including detailed travel costs, if applicable.
- Workshop room fees and breakdown of included amenities (Note: refreshments and meals are generally prohibited with limited exceptions).
- Equipment/material fees.

The Legacy Tracker automatically generates a detailed budget table for each organization listed as a requesting organization in the *Administrative Details* tab. Each requesting organization will have its own dedicated section for submitting budget requests to the Legacy Program, which summarizes the **budget requested (funding)** by each requesting organization, as well as each recipient organization’s leveraged resources, including **cost sharing or matching contributions**.

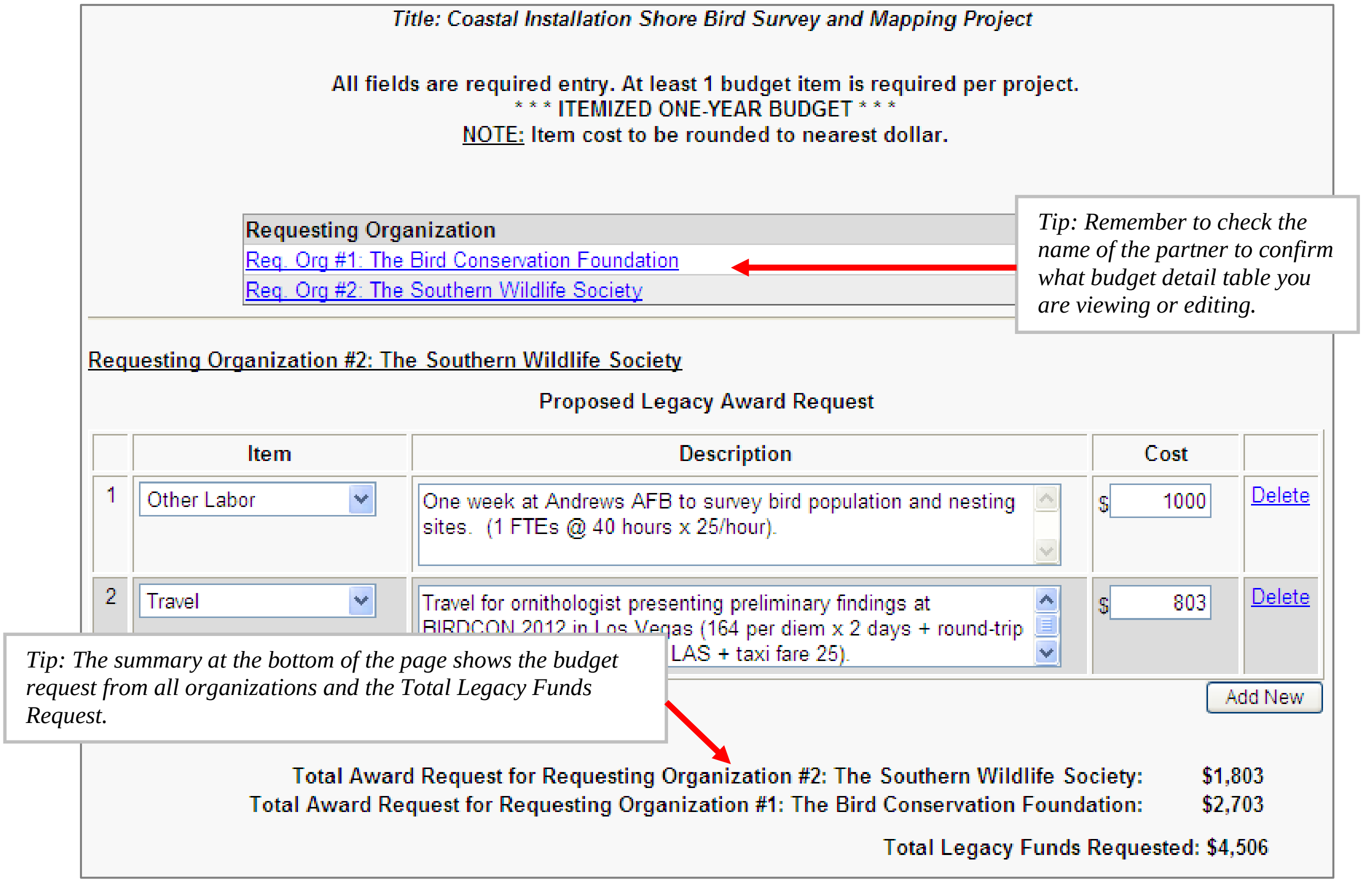


Figure 8. Budget Details Tab, Requesting Organization #2.

Pay close attention to detailing the information listed within the requesting organization(s) areas. It is vital that this information is filled in correctly; not doing so may jeopardize the approval and awarding of funds. **Be sure to provide a full description for each budget line item requested, and avoid duplicate funding requests, or mixing funding requests from two separate organizations within the same budget detail table.** Also, remember that no profit or fee may be included in the proposal budget.

***Steps to fill out the Budget Details tab*:**

1. Click on the *Add New* button to add a new "Requesting Organization", if applicable.
2. Click on the blue link to toggle between requesting organization tables.
3. Select from the drop down menu the item that best describes the particular funding request.
4. Within the *Description* field, describe each budget line item with <u>as much detail as possible</u>. See the examples under *Budget Detail* tab in Appendix B.
5. Enter the amount of the funding request in the text box labeled *Cost*.
6. Click on the *Add New* button to add a new budget line item to the table.
7. If necessary, click on the *Delete* button to the right of each line item to remove unwanted entries.
8. **No profit or fee may be included in the proposal budget.**

Cost Sharing or Matching Contributions Tool

In the lower half of the *Budget Details* tab (Figure 9), **each of the requesting organizations** should specify any cost sharing and/or matching contributions each organization is providing towards the proposed effort. The "Cost Sharing or Matching Contributions" detail table appears directly below the budget request table of each respective organization requesting funds. Cost sharing and/or matching contributions are not required for project approval but are considered an added benefit of the project and are encouraged when feasible.

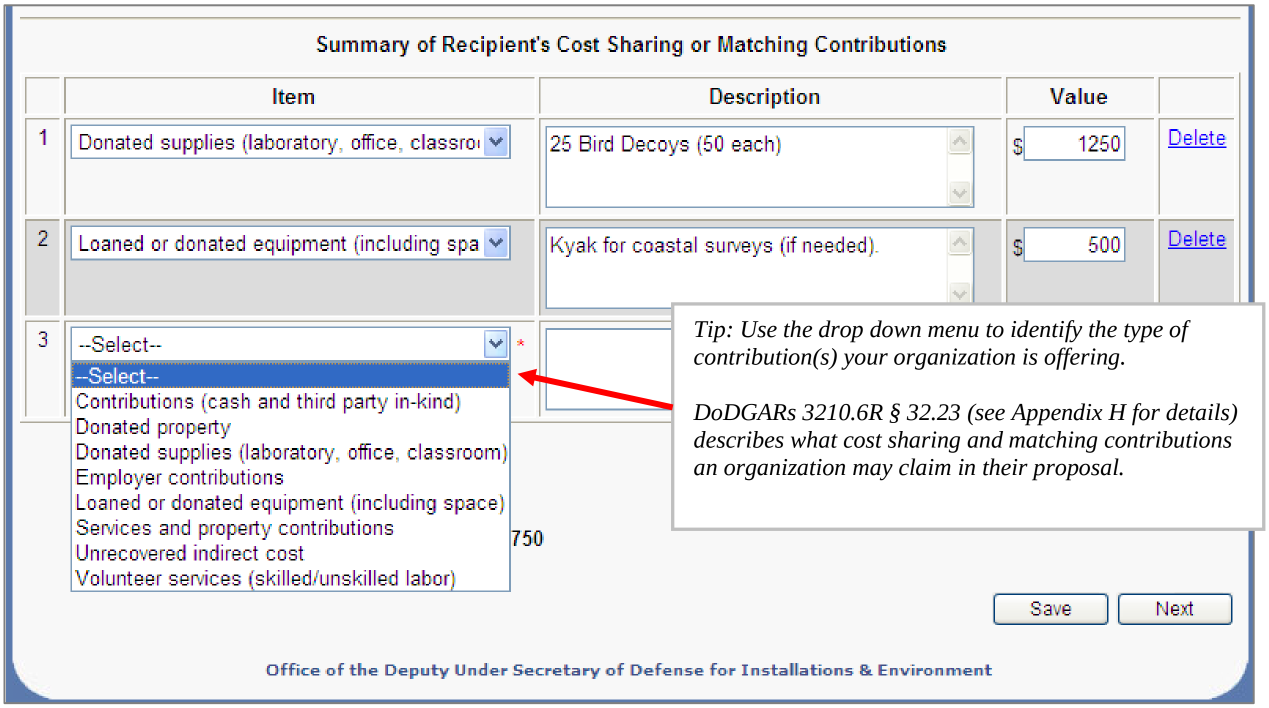


Figure 9. Budget Details Tab, Cost Sharing/Matching Funds (lower half of page).

This "Cost Sharing/Matching Contributions" section of the *Budget Details* tab allows applicants to detail all verifiable cost sharing and/or matching contributions. DoDGARs 3210.6R § 32.23 (Appendix I) stipulates which cost sharing or matching contributions may be reported and the reporting requirements. Here, the applicant selects the cost sharing/matching contribution from the type pull down menu on the left, fills in a detailed description of what's being shared/contributed within the "Description" field, and then enters an amount in the "Value" field (see Figure 9 above).

There are two important things to note about the "Cost Sharing/Matching Contributions" section of the *Budget Details* tab: 1) filling in this section is not required; and 2) only verifiable contributions may be reported. All applicants inputting cost sharing or matching contributions should be prepared to provide written proof upon request by Legacy staff or its contracting office. Figure 9 above shows the eight different types of cost sharing and/or matching contributions, as stipulated in DoDGARs 3210.6R § 32.23.

Steps to fill out the *Cost Sharing/Matching Contributions* field:

1. Retain documentation that will support contribution claims.
2. Select from the drop down menu; the types of contributions allowed by DoD Grant and Agreement Regulations (Appendix I) 3210.6R § 32.23 are listed.
3. Enter a brief description of the matching contribution in the description text box.
4. Enter the actual value of the reported contribution in the value text box.
5. Click on the “Add New” button to add a new line item to the table.
6. This section is NOT required.
7. Only verifiable contributions may be reported.

Contributing Partners Tab

This tab allows you to identify other sources of funding and contributions from **partnering organizations that are not requesting Legacy funds** and therefore, not requesting organizations. This tab is the best location to report cash awards from federal partners as stipulated in DoDGARs 3210.6R § 32.23 (a) (5). (See Figure 10.) The organizations listed in this tab are different from your partners listed in the *Administrative Details* tab because contributing partners are not requesting Legacy funding.

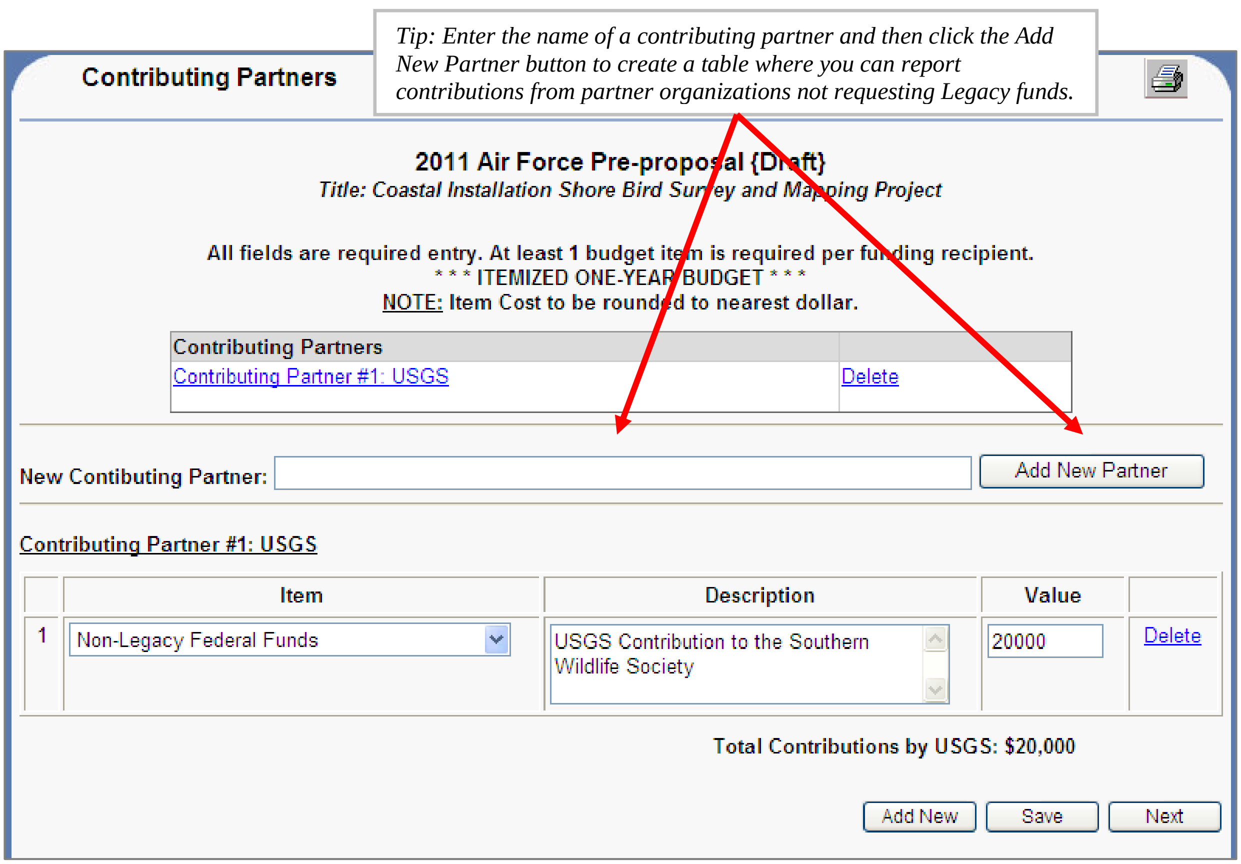


Figure 10. Contributing Partners Tab.

In the *Contributing Partners* tab (Figure 10), the applicant fills in the item, description and value for each contributing partner entered (if any). As with cost sharing/matching contributions, contributing partners are not required. Tracker uses the same categories of contributions used in the *Cost Sharing/Contributions* section of the *Budget Details* tab. Contributions from partners for the proposed effort may be in the form of funding, technical support, loaner equipment, donated supplies, etc. For each contribution entry listed, documented proof may be requested by Legacy staff or Legacy's contracting office.

Steps to fill out the Contributing Partners Tab:

1. Fill in the "New Contributing Partner" field with the name of the partner.
2. Click on the "Add New Partner" button.
3. Use the drop down menu to select the item that best describes the contribution received from this partner.
4. Enter a brief explanation of the contribution in the description text box.
5. Click on the "Add New" button to report additional contributions.
6. This section is NOT required.
7. Only verifiable contributions should be reported here.

Project Details Tab

The *Project Details* tab is where the author documents the *Project Synopsis, Abstract and Work Plan,* and *Military Mission Benefits* details for the proposed project.

Project Synopsis

The ***Project Synopsis*** is an abstract of your abstract, a summation of the entire proposed effort. It should be a short paragraph in length and should distill down the problem to be addressed, how the project will be of benefit to the military mission, and what will be done and where it will be done. The *Project Synopsis* is generally the only explanatory information that is sent up the DoD chain for final approval, so applicants are highly encouraged to spend the appropriate amount of time in writing up the Project Synopsis.

Below are two examples of well-written project synopses:

> *DoD Natural Resource Managers support the military mission by maintaining access to testing and training ranges while being faced with challenges due to changes in the natural world. One such challenge is the increased spread of invasive species. In the Western U.S., cheatgrass has degraded habitat, impacted wildlife, and increased fire risks on military and public lands restricting military training activities in some cases. Raptors, specifically burrowing owls, ferruginous hawks (both Utah Species of Concern), and golden eagles, are showing declining trends in the West possibly due to the invasion of cheatgrass. Through a partnership between HawkWatch International, Dugway Proving Ground, Hill Air Force Base and other state and federal agencies, we propose to assess the impact of cheatgrass cover on these species on DoD and public lands in the Great Basin of Utah. This project will benefit the mission by allowing continued use of training areas while avoiding encroachment and land restrictions.*
>
> *This project will provide a DoD-wide guidance document by analyzing new mandates and investigating new green technologies. This type of guidance does not currently exist for DoD. The*

report will also include information on economic return, and will assist installation personnel in determining the appropriate sustainable rehabilitation and re-use of existing facilities.

Abstract & Work Plan

The *Abstract & Work Plan* is comparable to an executive summary of the proposed work. It breaks out and completely details the *Project Synopsis*.

For the Abstract portion of the *Abstract & Work Plan*…

The Abstract must clearly state the <u>need</u> for the proposed work and the <u>objectives</u>. Cover the WHY question here. Remember, the proposed work must address a current DoD need. Describe the need and how the proposed work relates. Describe how the need was determined. Discuss all conversations you may have had with DoD personnel that contribute to illustrating the necessity and value of the proposed work. Also, describe the overall effort planned and its objectives. **Be specific in what is to be done and addressed, tying it back to the need and the military mission. Describe the expected products or deliverables of the proposed work here**. Also note here if the proposed work relates to any other projects conducted by DoD or another agency, organization or firm (this includes projects that the Legacy Program has already funded). If this is a continuation project, discuss what needs have so far been addressed in past funding years.

For the Work Plan portion of the *Abstract & Work Plan*…

Within the same field, complete a numbered list of overall planned work phases and methodology (include planning, execution and analyses phases). This will constitute the **Work Plan**. Cover the WHAT and WHERE description here. Fully correlate the production of expected products within the Work Plan's phases. If this is a continuation project, discuss the phases and products so far achieved in past funding years. (Note that an expansion of the *Abstract & Work Plan* is expected in the full proposal, if applicants are invited to submit a full proposal. This expansion will be written in the *Approach* field found in the *Scope of Work* tab of the full proposal.)

Below is an example of an *Abstract & Work Plan*:

> *Currently landscape management practices in the DoD often employ a high degree of maintenance, the use of non-sustainable plants, and an unnecessary amount of water and energy. The uniformity and precision of manicured lawns and landscaping is inherently linked to the military culture. In addition, many parts of historic military installation districts are high profile areas which are carefully maintained to present a manicured, impressive image and/or preserve their historic integrity. This project will provide recommendations to: reduce the need for each installation to complete individual historic planting designs, plant lists and management recommendations on a case-by-case basis; and, produce historically compatible planting designs accessible to all branches of the military for different eco-regions of the U.S offer recommendations, designs, and plant lists that promote sustainable, non-invasive, and cost effective planting suggestions. This project will feature one DoD installation in each of four different eco-regions across the country and services. The final product will be a web-based guide with illustrative drawings showing sustainable planting designs, plant lists, and recommendations for care and maintenance.*

Task 1: Finalize project methodology and confirm project sites (Portsmouth or New London), southeast (Eglin, Pensacola, or Barksdale), the northwest (Bremerton or McChord), and southern California (MCRD).
Task 2: Review and evaluate for adequacy existing information relevant to establishing environmental zones from which archaeological sites will be selected for the development of site signatures.
Task 3: Collect additional information for the development of environmental zones as needed.
Task 4: Review and evaluate for adequacy existing information relevant to locations and types of archaeological sites. Locations to sub-meter accuracy are required for 15 archeological sites of each type to be inventoried per environmental zone.
Task 5: Collect sub-meter reference points for archaeological sites as needed.
Task 6: Determine the availability of pertinent signature development features: i.e., the multispectral, hyper spectral, LIDAR, and synthetic aperture images (SAR) that have been collected for the demonstration area.
Task 7: Develop a geographical information system (GIS) database for the project area.
Task 8: Complete Progress Report on Legacy website.

Military Mission Benefits

The proposed project *must* support military readiness and training (i.e. support the DoD mission). You must correlate your proposed work with cultural resource preservation and/or natural resource conservation <u>and</u> specifics of current military mission objectives. Applicants should detail exactly how and exactly where their project will benefit the military. Clearly define the benefit to the military mission, indicating Military Service benefit, regional benefit and/or DoD-wide significance. Also, list all known installations or specific regions that would directly benefit from the proposed work. Also, discuss all conversations you've had with installation contacts that contribute to illustrating the necessity and value of the proposed work and how it benefits the mission. If this is a continuation project, discuss the military benefit so far achieved in past funding years.

The lack of a clear *Military Mission Benefits* write-up will adversely affect the chances of the proposed work getting funded. Be specific. **Do not simply relate the proposed work to federal compliance requirements or other regulatory requirements.**

Below are examples of how to correlate resource management projects with a specific military mission benefit:

The proposed work will allow for increased stabilization of cultural resources on southwestern installations, which will promote military training operations in that region.

This project will have applicability to not only Installation X, but also Installations Y and Z, which also contain similar resources and therefore similar management challenges.

The project will enhance military training by providing a creative mitigation strategy for inadvertent archaeological resource discoveries.

This project sustains the training areas at Installation X, Y and Z by quantifying the effects of military training vehicles on soil disposition and associated cultural resources.

Expected Products Tab

The Legacy Tracker will retrieve the names of each requesting organization identified in the *Administrative Details* tab and require a mandatory expected product list for each organization in the *Expected Product* tab (Figure 11). By default, all the deliverables listed in the pre-proposal will be assigned to Requesting Organization # 1. **It is your responsibility to revise and reallocate all promised deliverables so that each requesting organization will have its unique list of deliverables.** Expected products/ deliverables must be listed only once, despite the fact that there will be more than one list if there are multiple requesting organizations.

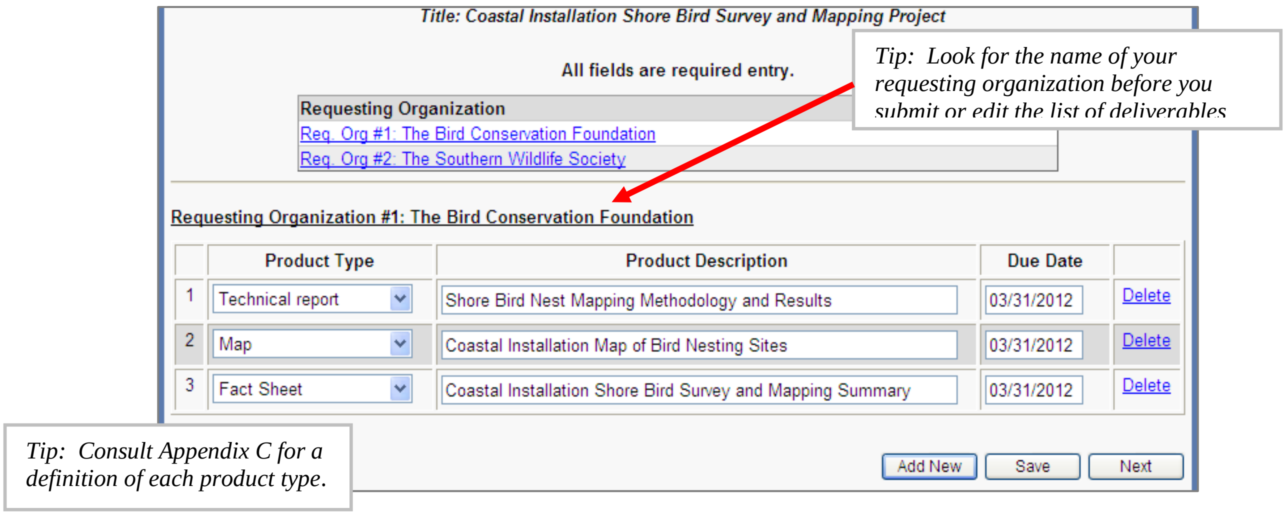


Figure 11. Expected Products Tab, Requesting Organization #1.

Figure 12. Expected Products Tab, Requesting Organization #2.

Each requesting organization has a dedicated table for listing all of its promised deliverables (Figure 12). Coordinate with all partners to make sure that each listed deliverable does not duplicate the deliverables from a different partner. However, an organization with a supporting role for the production of a specific deliverable must identify the same product and the extent of their support activity related to that deliverable.

The primary organization is responsible for the mandatory fact sheet. The Tracker will automatically add this to the list of deliverables. Please contact Legacy staff if a different applicant will assume responsibility for the fact sheet.

Steps to fill out the Expected Products Tab:

1. Identify the table belonging to the requesting organization that will be producing the expected product in question. (Click on the blue link to toggle between tables.)
2. Using the drop down menu, select the item that best describes the type of deliverable.
3. Describe each expected product by filling out the *Description* field with as much detail as possible.
4. Enter the expected product due date in the *Due Date* field. The due date must not exceed the overall project completion date listed in the *Admin* tab.
5. Click on the *Add New* button to add a new line item on the table.
6. Click on the *Delete* button to the right of each line item to remove that entry, if needed.

Technical POC and Financial POC Tabs

Each requesting organization must list a technical and financial point of contact within the *Technical* and *Financial Point of Contact* (POC) tabs (Figure 13). Toggle between the requesting organizations to complete the Technical POC field required for each of the listed partners. Do the same for the Financial POC field.

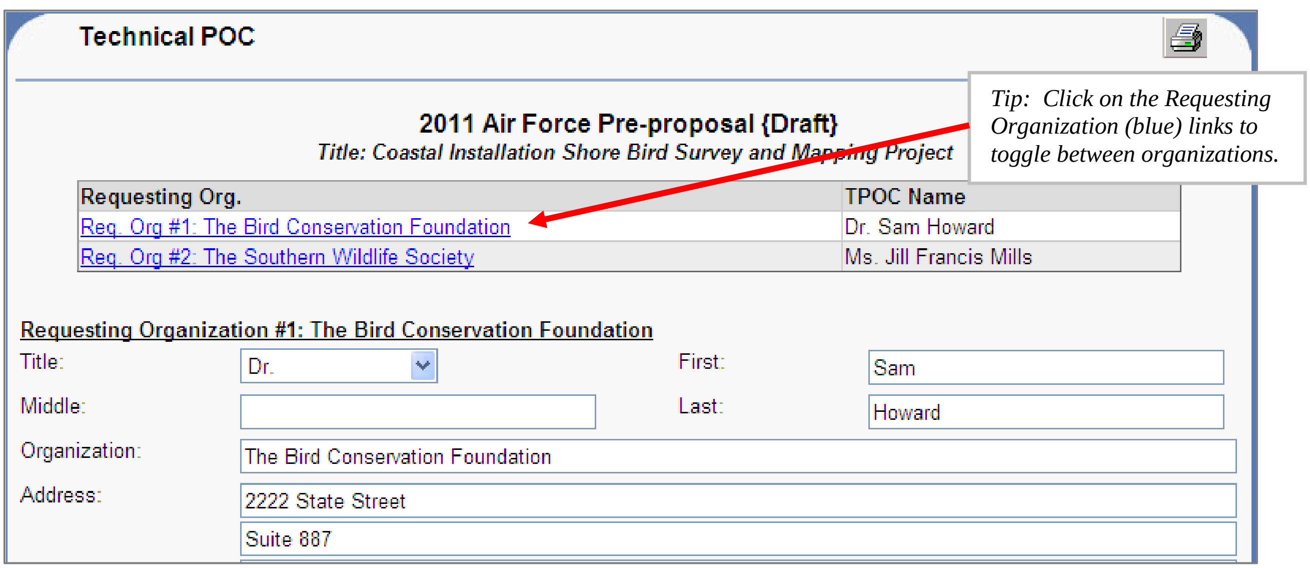


Figure 13. Technical POC (Point of Contact) Tab.

Letters of Support versus Letters of Endorsement

There are two different types of letters that illustrate support of a proposal: one is designed specifically to be replicated in format and is intended for DoD installation use, the Electronic Letter of Support for DoD Installation Use. The other, the Letter of Endorsement, is for all other parties. Note that Letters of Support and Letters of Endorsement are uploaded by Legacy Program staff only; they are also only uploaded at the discretion of Legacy staff.

Electronic Installation Letter of Support (DoD)

If your proposal involves planned research, data collection, or contacting personnel for information on one or more DoD Installations; an Electronic Installation Letter of Support is required. The purpose of the Electronic Installation Letter of Support is to demonstrate that the proposed work is supported by the installation cultural or natural resource manager (as appropriate), and whomever is also required by Service-specific or installation-specific requirements (e.g. the environmental branch chief *and* the commanding officer).

Please note that it is not the Legacy Program's obligation to obtain proper authorization from or coordination with the appropriate Service point of contact(s). Acquisition and submission of properly authorized Electronic Installation Letter(s) of Support is solely the PI's responsibility.

The Installation Letters of Support must be signed in ink, scanned, and sent via email (please include the title of the proposed project in the subject line) to Legacy@osd.mil **prior to the full proposal submittal deadline. Hard copies will not be accepted.** Please see Appendix D of this document for a template of the Electronic Letter of Support. A template is also available at www.dodlegacy.org. Please use the same format and text as provided in the template (Appendix D).

The Legacy Program reserves the right to not include in the review process any incomplete or illegible letters received. Also, all Electronic Letters of Support received by the DoD Legacy Program are the property of the DoD Legacy Program and may not be returned to submitters.

Letters of Endorsement

Legacy welcomes proposal endorsements from relevant stakeholders and interested parties. Letters of Endorsement are not a requirement. PDFs of Letters of Endorsement should be emailed directly to the Legacy Program, must be dated, contain a signature and title of signee and should be written on organizational letterhead. (See the example provided in Appendix E.) **A Letter of Endorsement should briefly, but specifically, state the need and value of the proposed work, and any foreseen benefit.** There is no limit to the amount of Letters of Endorsement that can be sent to Legacy.

Completed Letters of Endorsement must be sent electronically as email attachments to Legacy staff, prior to, or on the full proposal submittal deadline. Hard copies will not be accepted. Note that the Legacy Program reserves the right to not include in the review process any incomplete or illegible Letter of Endorsement received. All Letters of Endorsement received by the DoD Legacy Program are the property of Legacy and will not be returned to submitters. Also, please note that Letters of Endorsement will be kept on file, but will only be uploaded to the Tracker file if time permits.

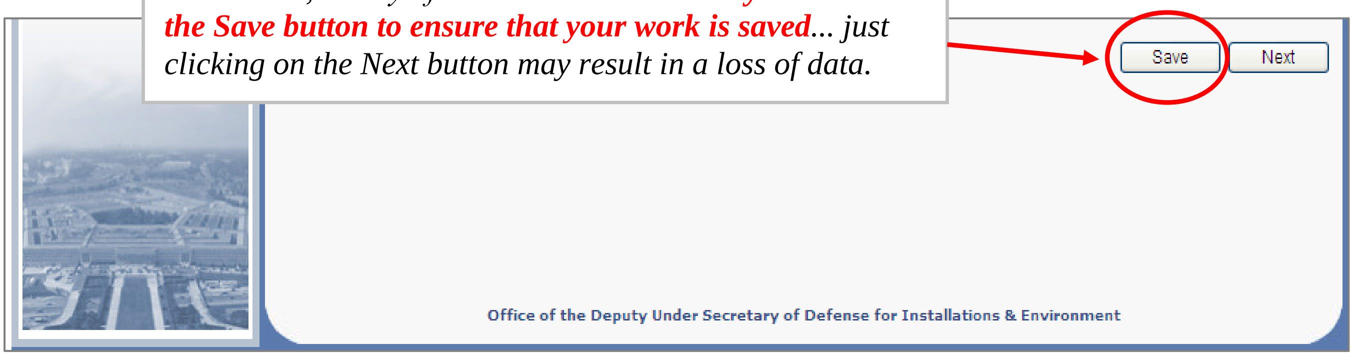
Submitting a Pre-Proposal

Please note that pre-proposal submission deadlines may vary each fiscal year. After submittal, ownership of the pre-proposal changes from the Proposal Author to the Legacy Program. **Submission initiates both the Legacy Program and Military Service review process.** However, note that the Military Service review at the pre-proposal stage is not required. It is the Legacy Program that will review pre-proposals (submitted by the deadline) for, but not limited to, funding applicability and need for the project. **At this stage, no changes can be made to the document by the Project Author.** Also, all registered users of the Tracker can view basic pre-proposal information at this time, excluding budget information and comments from Reviewers. The contact information shown is also limited to Proposal Author name and email address, in accordance with the Privacy Act.

After an applicant completely fills out the pre-proposal document and is satisfied with its content, the pre-proposal must be submitted if it is to be considered for funding. To submit a pre-proposal, the applicant must access their pre-proposal by logging onto the Tracker's website, locating the *Pre-Proposals* tab on the webpage's navigation bar and clicking on the pre-proposal's title to open the pre-proposal document. Prior to submittal, the pre-proposal is still considered a working draft. To submit a pre-proposal for Legacy Program funding consideration, select the *Action & Review* tab on the webpage, and then choose *Submit Pre-Proposal* from the dropdown menu list of actions.

After the author of the pre-proposal submits the pre-proposal, it is important that she or he **verify its submittal**. To do this, the applicant clicks on the *Pre-Proposals* tab and ensures that the pre-proposal title is listed and that its status reads as "In Review" under the *Status* column. Reviewers will not consider pre-proposals for funding that show "Draft" in the status column. Applicants must visit the Legacy Tracker website regularly to check on the status of their pre-proposal and see if any comments or questions were posted by the reviewers in the *Action and Review* tab.

*Tip: When entering data into the Admin tab, Project Details tab, or any of the Tracker tabs…**always click on the Save button to ensure that your work is saved**... just clicking on the Next button may result in a loss of data.*



The Full Proposal

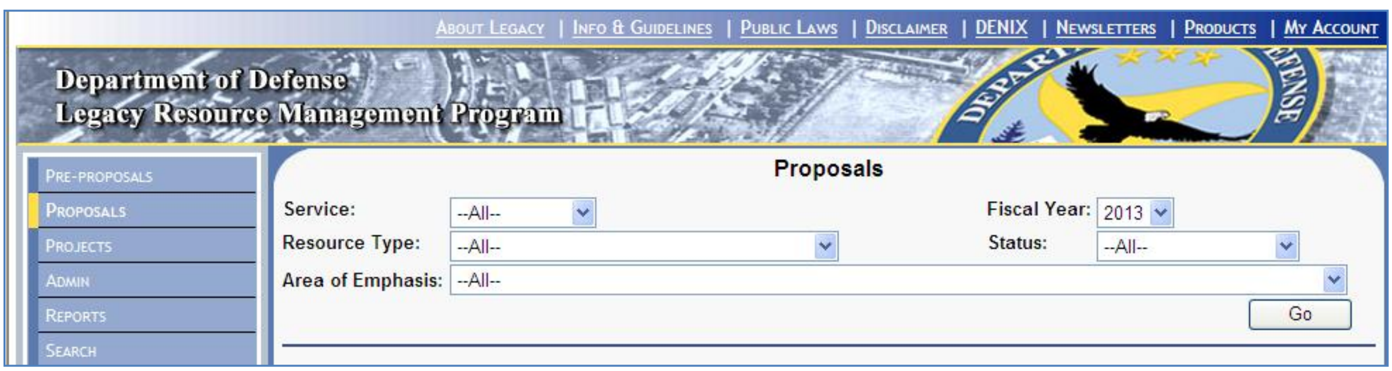
Authors of approved pre-proposals are notified of approval via an automated email and invited to submit full proposals online. Often this email notification will have requests specific to the applicant that the review committee will want to see addressed in the full proposal, so the recipient needs to read this notification carefully. Not addressing specifics in the notification could impact the review of the subsequent full proposal.

Full proposals are submitted using the same process as the pre-proposal, using the Legacy Tracker website. **The full proposal is an expansion of the pre-proposal**. Fields are added to the final, approved pre-proposal form and the applicant must return to the document to complete these newly added fields.

Completing a Full Proposal

The full proposal and the pre-proposal have the same look and feel, and the same general format. However, more detail is required from the applicant in the full proposal document, as compared to the pre-proposal. In the full proposal, the applicant must expand upon what was drafted in the pre-proposal. **The applicant's review of what was written in the pre-proposal fields is expected**, particularly pertaining to the *Expected Products* and the itemized *Budget Detail*. **Any and all feedback from the pre-proposal review must be addressed by the author in the full proposal**. This feedback is found in the *Action & Review* tab.

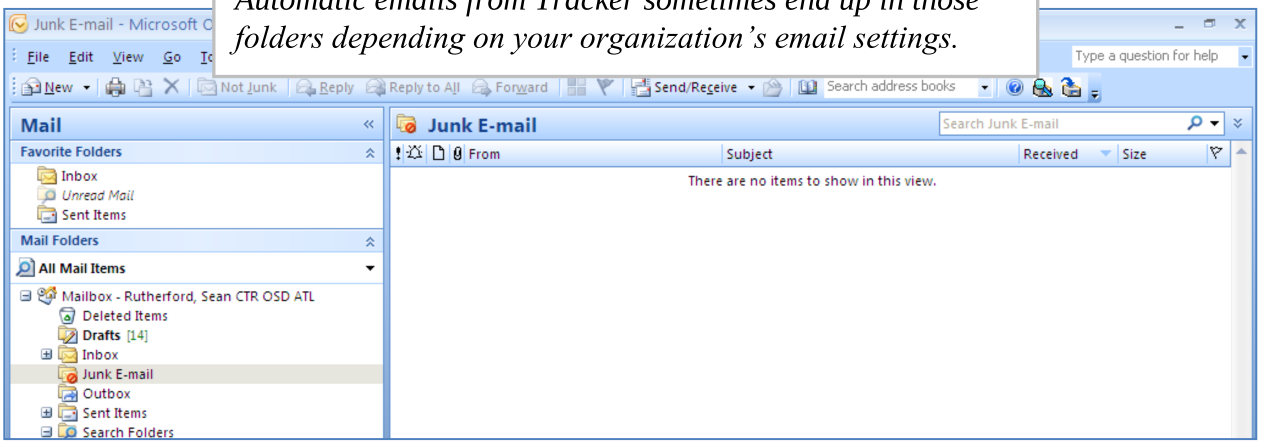
To open a full proposal, applicants must log-into the Legacy Tracker, click on the *Proposals* tab on the left-hand side navigation bar, and then search for the title that was used on the pre-proposal. Once the desired title is located, click on it to open the proposal form. The full proposal form will show the information the applicant provided in the pre-proposal stage, as well as newly added full proposal fields. The applicant is required to complete all new full proposal fields **and** review the previously completed pre-proposal entries.



Each required field must be clearly and correctly filled in for the full proposal to be considered during the review process. Required fields are denoted with a red asterisk (*). (See Appendix B for a description of all fields.) Please ensure that the designated Financial Point of Contact is authorized to sign the appropriate funding documents (MIPR, cooperative agreement, or project order). Also, it is the Proposal Author's responsibility to ensure that all address information, telephone numbers, fax numbers, and e-mail addresses for **all** of the project points of contact are correct and current. (If any of this information changes during the duration of the project's period of performance, the Project Author(s) must notify the Legacy Program directly and immediately.)

To save the full proposal and return to complete it later, select the *Action & Review* tab, then choose "Save with no Action" within the dropdown menu list of actions. At this stage, the proposal is considered a Proposal Author's draft and a work in progress. Drafts are visible to the public.

Tip*: *Be sure to check your spam or junk email folder. Automatic emails from Tracker sometimes end up in those folders depending on your organization's email settings.



Background Field, Project Details Tab

Once the Pre-Proposal becomes a full proposal, the *Background* field is added by Tracker automatically to the *Project Details* tab. In this field, summarize the origins of the proposal and describe to the best of your knowledge any previous efforts undertaken by the submitter and/or any background research which is relevant to the current project. Also, note if the proposed work relates to any other projects conducted by DoD or other agency, organization or firm. This includes projects that the Legacy Program has already funded. Please note that Proposals for continuation projects must include in the *Background* field what's been completed during the previous funding year(s).

Funding Document Selection

Prior to submitting the full proposal, federal requesting organizations must specify in advance what funding instrument will be required (MIPR or Project Order) to successfully complete the project. Please contact the Legacy Program to provide notification of your preference. (Funding document types are discussed in detail in the *Disbursement of Funds* section of these guidelines on page 29.)

Scope of Work Tab

One of the new tabs to be completed is the *Scope of Work* (Figure 14). Remember that within the pre-proposal, applicants were asked to complete the *Work Plan* as a description of the overall proposed work effort in a numbered list. Here within the *Approach* field of the full proposal's *Scope of Work* tab, the applicant must detail each step that was listed within the *Work Plan* for **each** requesting organization. All planning, execution and analyses phases must be detailed here.

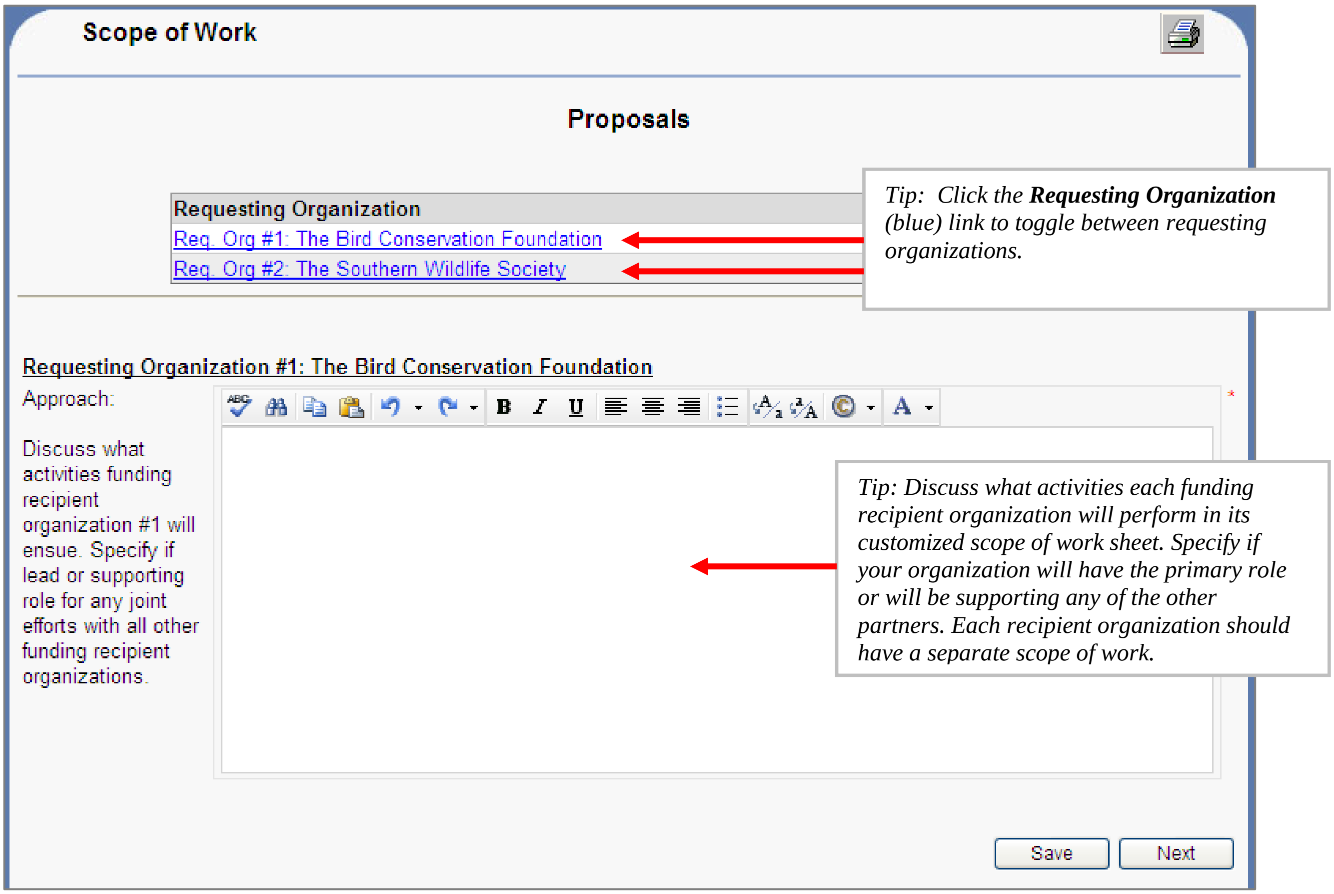


Figure 14. Scope of Work Tab, Requesting Organization #1.

If there is more than one requesting organization, be sure to specify the role (lead or supporting) for each. Toggle between the different requesting organization links to add/view/edit the *Scope of Work* fields for each requesting organization.

Reviewers must get a good sense of how the proposed work will be carried out, who will be carrying it out, and how funds are proposed to be obligated to the specified organizations for work on the various project phases. Note that these organizations must also be listed under the "Primary Personnel" field found within the *Project Details* tab.

Submitting a Full Proposal

Please note that full proposal submission deadlines to the Legacy Program may vary each fiscal year and internal review deadlines may vary each fiscal year among the Military Services. The Military Services may have their own internal deadlines that precede those of the Legacy Program. **Please consult with the appropriate Military Service representative early in the RFP process to confirm full proposal submittal deadlines.** Military Service representative contact information is listed on the "Contact Us" link on the Legacy Program website homepage (https://www.dodlegacy.org).

After an applicant completely fills out the full proposal document and is satisfied with its content, the full proposal must be submitted if it is to be considered for funding. To submit a full proposal select the *Action & Review* tab on the webpage, and then select "Submit Proposal" within the dropdown menu list of actions. Then click on the "Submit" button to the right. (The Tracker will not allow the submission of full proposals without all required fields properly completed. Required fields that are not correctly filled in will be denoted by a red asterisk on the left side bar of the webpage.)

After submittal, the proposal is no longer owned by the Proposal Author. This will initiate both Legacy Program and Military Service review. All registered users of the Tracker can view basic proposal information at this time, excluding budget information and comments that will be made by Reviewers. (Also, the contact information shown is limited to Proposal Author name and email address, as per the Privacy Act.)

After the author submits the full proposal, it is important that she or he **verify its submittal**. To do this, the applicant clicks on the *Proposals* tab and ensures that the full proposal title is listed and that its status reads as "In Review" under the "Status" column. Reviewers will not consider proposals for funding that show "Draft" in the status column. If at any time you have concerns about the status of your submittal, you may contact the Legacy staff for assistance.

Generally, successful full proposals will:

- Clearly define the direct benefit to the military mission, indicating Military Service benefit, regional benefit and/or DoD-wide significance.
- Present a *Project Synopsis* that clearly defines the proposed project's objective and the need for the proposed work.
- Clearly outline the *Project Approach* to include planning, execution, and analysis phases.
- Clearly define any relationship between the proposed work and other related or similar work completed or currently underway.
- Define *Expected Products* that will result from the current proposed effort's period of performance.
- Define, in detail, an itemized budget as described in the *Budget Details* section.
- Include an *Electronic Installation Letter of Support*. (See the instructions in the *Letters of Support* section of this document or Appendix D.)

After Full Proposal Submittal

Final project funding determinations rest exclusively with the Office of the Deputy Under Secretary of Defense for Installations and Environment (DUSD - I&E). Military Service representatives and others as appropriate will provide feedback, make recommendations and often make compelling arguments for or against a proposal, but reviewers do not make the final funding determinations. Funding decisions are made by senior policy makers within the Office of the ODUSD (I&E).

For both pre-proposals and full proposals, a proposal moves forward for internal Military Service review after the author officially submits the proposal. Ownership changes from the author to the first person in the internal Military Service review chain. Military Service reviewers are responsible for reviewing the proposal, then submitting it to the next level in the review chain. When, for example, an author submits an Army-sponsored proposal, it moves forward for Military Service review, and the Army's internal review process begins for that proposal (and all other Army-sponsored proposals). Likewise, the other Military Services will conduct an internal review of the proposals sponsored by that Military Service. (Each Service has its own designated review chain for its internal reviews, which may differ from Service to Service.)

The Legacy Tracker functions as a common information exchange arena between the proposal authors, members of the review chain, and Legacy Program staff to track the proposal review progress. The Tracker updates each proposal's ownership status (i.e. Army Staff Reviewer, Army Secretariat Reviewer, etc.) based on a completed review action taken by each Reviewer. Each Military Service Reviewer receives an automated email notifying her or him that a new proposal is ready for his or her review, as the proposal moves from one person (or office) to the next.

During this internal Military Service review, reviewers have access to all completed proposals via the Tracker, regardless of Military Service sponsorship. A Military Service internal review focuses on proposals sponsored by that Service (i.e. Air Force focuses on reviewing Air Force-sponsored proposals), but each Military Service is asked to perform a general review at some point in their internal review process of all proposals, regardless of Military Service sponsorship. This allows all reviewers to look at all proposals before the Proposal Review Meeting convenes. It also allows the Military Services to see interest in potentially sponsoring a "DoD-sponsored" proposal. (A Project Author designates a specific Military Service or DoD as the "sponsor" of the proposed work. This designation is written into one of the fields on the proposal Tracker entry.)

Proposals are reviewed for, but not limited to, content, value, need, ODUSD (I&E) priorities, Legacy Program priorities, Military Service priorities, clarity, relevance to DoD and/or Military Service mission requirements, etc.

Each Military Service Reviewer in the review chain is responsible for reviewing and choosing the appropriate action for each proposal in a timely manner to ensure that Military Service headquarters and OSD (including Legacy) receive proposals by the specified due dates, as noted in the RFP. The last Military Service Reviewer in the chain will send the proposal to "OSD Reviewers". This is the final step in a proposal's review chain. A proposal has moved forward through the entire review chain when the proposal ownership is "OSD Reviewers".

Action and Review Tab

The Legacy Tracker *Action and Review* tab has a *Comments* field available to all reviewers. In this *Comments* field, Legacy Program staff and all Military Service reviewers can concurrently comment at-will on any proposal submitted and in the "In Review" status on the Tracker.

If the proposal needs major modifications or is otherwise unacceptable, reviewers may contact Legacy Program staff.

All full proposals that have reached "OSD Reviewers" status in the overall review chain prior to the due date as noted in the RFP will be reviewed in the Proposal Review Meeting. Each proposal is subjected to a uniform review process. A committee comprised of the Legacy Program Director and staff, Military Service headquarters' representatives, technical experts, other OSD personnel and other relevant individuals (as decided by OSD and the Legacy Program) will review those proposals judged to have merit and that meet applicability requirements. The committee ranks each proposal based on overall military mission benefit and need, among other factors to include, but not limited to budget and methodology, each Military Service's priority projects, the need for the project, regional applicability, what the project will deliver in terms of Expected Products, and if the project is supported with additional, outside funds.

The Legacy Proposal Review Meeting is conducted with Military Service headquarters staff only. Therefore, it is vital that Military Service reviewers not present at the Review Meeting utilize the Legacy Tracker and the *Action/Review* tab to record comments and ensure an objective review.

Later, recommended project proposals are reviewed by OSD's Office of General Counsel (OGC) and presented to the Director for Environmental Management. The Director for Environmental Management may approve the proposals to go forward, reject proposals, or have additional questions which require Legacy Program staff follow-up. Tentatively approved proposals at this stage may move forward to the Office of the Assistant Deputy Under Secretary of Defense for Installations and Environment, where they are presented by the Legacy Program Director. If approved at this stage, funds can then be released by Washington Headquarters Service to Legacy's contracting office in the US Army Corps of Engineers' Engineer Research and Development Center, Construction Engineering Research Laboratory (USACE-ERDC-CERL). At this point, Legacy staff posts official announcements of project approvals in the Legacy Tracker and the applicants receive email notification of proposal approval or rejection.

DoD budget availability limits the number of projects that can be funded and is factored into offers of full or partial project funding. Again, final decisions on funding approval rest exclusively with the Office of the Deputy Under Secretary of Defense for Installations and Environment and the DoD Legacy Program.

Turned down proposals will no longer be considered for funding for that particular fiscal year. With this action, the Legacy Tracker informs the Project Author of the decision to turn down the proposal via an automated email with the subject line "Proposal Declined". Ownership of the proposal then reverts back to the Project Author. The Legacy Program will not automatically reconsider turned down proposals in subsequent fiscal years. The Project Author will have to resubmit the proposal during the next available pre-proposal submission period for reconsideration. **Under no conditions does the Legacy Program guarantee funding in subsequent years.**

Project Approval

After the final determination is made to make a full proposal a Legacy Program-funded project, the statuses of those proposals are updated in the Legacy Tracker from “Proposal” to “Project”. Thereafter, only non-approved proposals will still be listed under the *Proposal* tab.

The Legacy Program is a source of conservation and preservation management funds for projects that directly relate to the DoD mission. The Legacy Program is **NOT** a grants program. Program funding requires the recipient(s) to enter into a bilateral agreement with DoD (or designee). When approved, **Legacy Program funding is conditional on the agreed-upon project completion dates, periods of performance and delivery of expected products that must be satisfactorily met.**

Recipients of Legacy Program funding who fail to meet the terms of their project (i.e. expected products’ due dates, deadlines, project completion dates) as agreed-upon at the time of disbursement will be subject to appropriate corrective actions. **Any** proposed changes to the project after funds are disbursed by the Legacy Program must be approved by the Legacy Program and must be authorized by Legacy’s contracting office, the US Army Corps of Engineers’ Engineer Research and Development Center, Construction Engineering Research Laboratory (USACE-ERDC-CERL), as they manage the disbursement of most Legacy Program funds. Changes made to the project by the Project Author (PA), Technical Point of Contact (TPOC), Financial Point of Contact (FPOC), and or Project Investigators (PI) without approval from the Legacy Program is not permitted.

Please contact Legacy Program staff if you have any questions concerning the types of funding and the obligations. See the “Contact Us” link on the Legacy Program website homepage (https://www.dodlegacy.org) for contact information.

Once a proposal becomes a project, the Legacy Tracker becomes a tool for monitoring project progress, including submittal of Progress Reports and the status of expected products/ deliverables.

At this stage, Project Author responsibilities include making sure that:

- All expected products and progress reports are submitted on time.
- They provide Legacy staff with a draft deliverable for review and comment before the final expected product due date.
- All Legacy comments are addressed in the final draft of each expected product.
- All expected products/deliverables are submitted according to Legacy requirements.
- **Any change to personnel (Project Author, Technical POC, or Financial POC) or project scope of work is approved by Legacy and authorized by ERDC-CERL.**

Disbursement of Funds

USACE-ERDC-CERL manages the disbursement of most Legacy Program funds. Prior to funds disbursement, recipients of Legacy Program funding will receive their funding document (i.e. cooperative agreement, MIPR, Project Order, etc.) from ERDC-CERL. The agreement contains all terms and conditions. The recipient must review the agreement prior to signing it for concurrence of the stipulated terms and conditions, particularly reviewing the area of project completion dates, expected product dates, personnel contact information and budget stipulations/ breakdowns, as these may have changed from the Project Author’s original proposal request. Any changes made at this stage must be coordinated with the Legacy Program.

There may be a lag time between project approval and disbursement of funds. (The Legacy Program may receive its budgetary funds at different times each fiscal year due to fluctuations in Department fiscal budget releases.) In any case, **Project Authors must ensure that any adjustments to project completion dates and expected products' due dates are made prior to the signing of their final contractual agreement with ERDC-CERL and that those changes are coordinated with the Legacy Program.** Projects awarded partial Legacy Program funding will require budget and scope of work adjustments in the Tracker.

ERDC-CERL may make initial updates or changes to the pre-signed, pre-finalized agreements in the course of their review of budget-related matters. ERDC-CERL will ensure that the recipients are aware of these possible updates or changes before the recipients sign the agreement. This relates particularly to possible changes to the due date stipulated for deliverables and the date associated with the project's overall completion. If the recipient or ERDC-CERL proposes changes to the pre-finalized agreement, ERDC-CERL will coordinate the revision with Project Authors and Legacy Program staff prior to settling on updated project and deliverable completion dates and prior to finalizing the agreement. The changes or updates will be reflected in the Tracker.

ERDC-CERL primarily uses three funding vehicles to distribute Legacy funds and these are described in the following sections.

Cooperative Agreements (CA)

A Cooperative Agreement is a legal instrument which, consistent with 31 U.S.C. 6305, is used to enter into the same kind of relationship as a grant, except that substantial involvement is expected between the DoD and the recipient when carrying out the activity contemplated by the Cooperative Agreement. A Cooperative Agreement is intended to be used with non-federal entities, for instance educational, non-profit, or for-profit organizations.

A non-federal entity signs a Cooperative Agreement (CA) with the designated organization representing DoD, on behalf of the Legacy Program. When both parties sign the bilateral agreement, project funds are considered obligated. The agreement's period of performance will begin on the day the agreement is ratified and will end on the date listed in the Legacy Tracker as the project's completion date.

Military Interdepartmental Pay Requests (MIPR)

A Military Interdepartmental Pay Request (MIPR) is a type of interagency agreement used by Legacy to place orders for supplies and non-personal services with a Military Department or other Federal entities under the authority of the Economy Act. MIPRs only apply to orders for contract services and do not apply to "in-house" labor and travel.

Those that receive their funds via MIPRs (federal entities) must expend those funds before the end of the current fiscal year. MIPR funds can be obligated by the end of the fiscal year by means of an awarded contract to allow for funds to be expended in a following fiscal year. Contract awards are for contract services only and do not apply to "in-house" labor and travel. Awarding the funds received via a MIPR to a contract would make it possible to continue the project work beyond the end of the fiscal year.

Project Orders

A Project Order is essentially a MIPR with the ability to "carry-over" some orders from one fiscal year to the next. This provides freedom from the fiscal year-end accounting adjustments for ongoing, but unfinished work. Project Orders require recipients (all DoD components, except the Army Corps of Engineers) to perform at least 51% of the proposed work in-house. Definitive statements of work and a schedule are required.

During the Project's Period of Performance

The Legacy Program awards funds each fiscal year. The period of performance begins the day ERDC-CERL signs the bi-lateral agreement with the project author (or relevant party) and ends on the day listed on that agreement as the "period of performance". Funding recipients may only charge allowable costs resulting from obligations incurred during the period of performance. Pre-award expenses are not funded.

It is the responsibility of the Project Author not to let a project become overdue. Recipients of Legacy Program funding who fail to meet the terms of their project (expected products deadlines, project completion deadlines, etc.) as agreed just prior to the time of disbursement and stipulated in the signed agreement will be subject to appropriate corrective actions. Also, any overdue deliverables for previously-funded efforts will jeopardize positive consideration for continuation funding by the Legacy Program.

If telephone numbers, fax numbers, and e-mail addresses for **any** project Points of Contact (POCs) change during the duration of the project's period of performance, the Project Authors must notify the Legacy Program directly and immediately.

Project Extension Requests

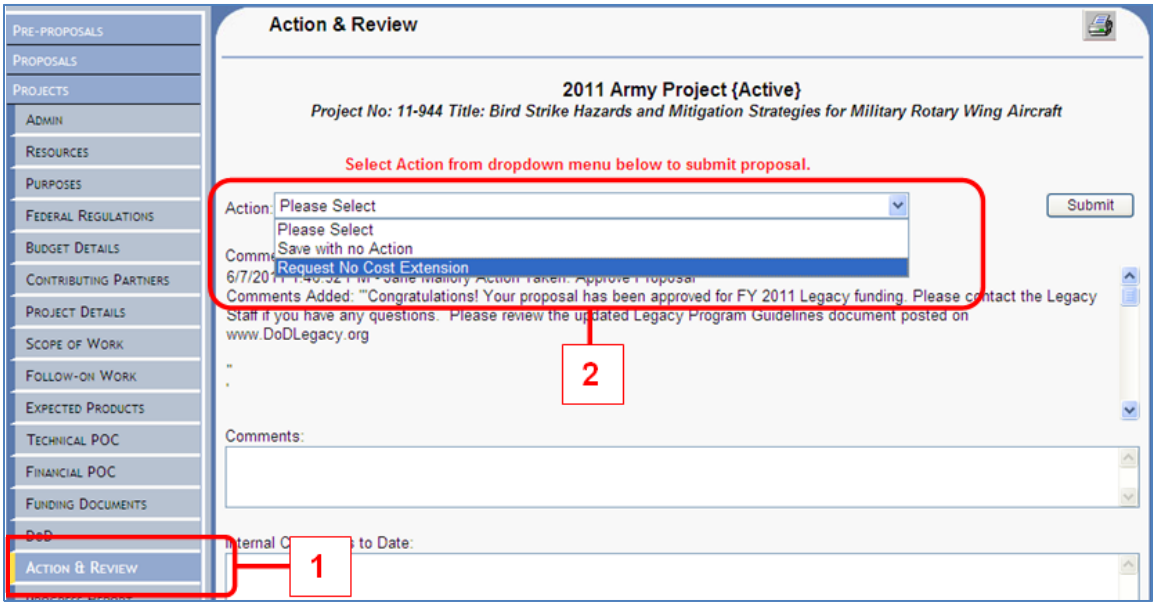
Occasionally, extenuating circumstances prohibit a project from being completed within the originally agreed-upon date. When this occurs, a project completion date extension may be requested by the Project Author to the Legacy Program. All project extensions <u>**must**</u> be approved by the Legacy Program and also <u>**must**</u> be authorized by ERDC-CERL. Please note that **only due to extenuating circumstances should a project extension be requested**.

Project extension requests <u>**must**</u> be made via the Legacy Tracker. After logging into the Tracker and locating the project's file, click on the ***Action and Review*** tab and then choose ***Request No-Cost Extension*** from the dropdown menu options. <u>Please note that the Project Author must clearly define the justifications for the extension request and provide new, realistic completion dates for both the project AND the expected products</u>.

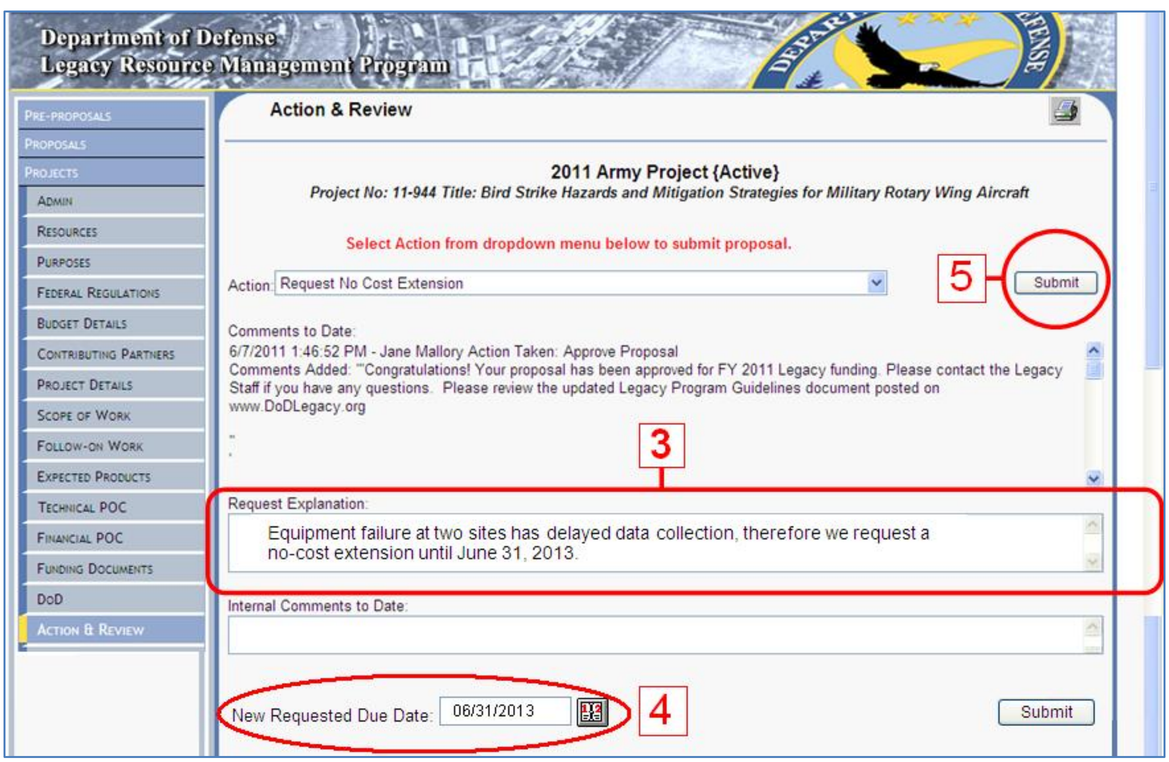
After providing the justifications within the *Comments* field just below the dropdown menu and clicking the *Submit* button at the bottom of this Tracker tab. The Legacy Program will review the request and justifications. If the No-Cost Extension is approved, Legacy Program staff will contact ERDC who will proceed to authorize the project extension, making the necessary changes to the agreement. That project's file in Tracker will also be updated to reflect the changes.

No-Cost Extension Instructions

1. Login to Tracker, access the project requiring the No-Cost Extension, and click on the ***Action and Review*** tab.
2. Select ***Request No Cost Extension*** from the ***Action*** pull-down menu.



3. Enter the reason for the No-Cost Extension into the ***Request Explanation*** field.
4. Scroll to the bottom of the page and enter the ***New Requested Due Date***.
5. Review what you've entered, and if satisfactory, click on the ***Submit*** button.



Biannual Progress Reports

Biannual Progress Reports are **required** for all projects and must be submitted using the *Progress Report* tab on the project Tracker file. The report is completed by filling in the blank fields provided on the Tracker's *Progress Report* tab. The first Progress Report is due six months after the date the funding documents are finalized.

Project Authors or Project Investigators must complete this report form online on the Tracker and submit it to Legacy Program staff by clicking on the *Submit* button. The form includes a dropdown menu option for the Project Authors or Project Investigators to plug in the project completion date; please ensure this "Due Date" portion of the form is completed with the rest of the questions. Also, please ensure that the amount of funds (spent at the time of the Progress Report write-up) is noted in the Report. Project Authors or Project Investigators will receive an automated email when the report is due and will have 30 days to complete and submit the report accordingly. Failure to stay current in Progress Reports may adversely affect future funding opportunities.

Submission of Expected Products

The end result of all Legacy Program-funded projects is the creation of deliverables, or expected products. The products will eventually be disseminated to resource management professionals so that those products can be used to facilitate the protection and enhancement of resources under DoD management, while supporting the Department's mission.

Recipients of funds are under contractual obligation with DoD to supply specific deliverables. Funds have expiration dates and projects have set periods of performance, with the end result being the submittal to the Legacy Program of approved project deliverables. High-quality, professionally executed expected products are the conduit through which the results of a project are shared inside and outside DoD. These products represent the Legacy Program and DoD, the Military Service for which it is executed, and the Project Author(s) and Project Investigator(s).

The aim is that all expected products are made accessible to all DoD personnel via a clearinghouse website, the Department of Defense's Environmental, Safety and Occupational Health Network and Information Exchange (DENIX) at https://www.denix.osd.mil. The aim is to also make these deliverables assessable to the general public on the same website. Specifically, many Legacy Program products are located within the "Programs" tab of DENIX, within the Natural Resources and Cultural Resources home pages. Posting of expected products to DENIX is done by Legacy Program staff.

At times it may be necessary for Project Authors to create and to submit to the Legacy Program a public version of an expected product **and** a DoD-only version of the same expected product. This occurs when the expected product contains specific information on resource locations or contains information that is otherwise sensitive or classified. For documents with sensitive information, the original expected product may be posted on the DoD-only side of DENIX, while a public version will be posted on the publicly accessible side of DENIX. The determination of whether or not information may need to be restricted is determined by the OSD Office of Security Review (OSR) and/or the Legacy Program. Legacy will work with the Project Authors to develop the required versions. Legacy staff submits all FINAL expected products to OSR for review prior to dissemination.

It is important to note that any deliverables that the Project Author agrees to create as a part of her or his project **must be created in the course of the project's period of performance**. Products already produced prior to the start of Legacy Program funding are not acceptable and violate the contractual agreement.

Ownership and Rights to Expected Products

Project Authors and Project Investigators must ensure that all audio and visual media is free of license restrictions, copyrights, or other encumbrances. As per DoD Grant and Agreement Regulation 3210.6-R §33.34 (see Appendix F), the Legacy Program reserves the right for royalty-free, nonexclusive, and irrevocable license to reproduce, publish or otherwise use, and to authorize others to use, for official purposes, the copyright in any work developed under a Legacy project. Materials produced using Legacy Program funding will not be sold for a profit. Project Authors and Project Investigators can **only** disseminate approved FINAL expected products, and only after the Legacy Program has deemed them complete and delivered satisfactorily.

Furthermore, **Project Authors and Project Investigators must not disseminate "DoD-only" products to individuals who are not DoD personnel.** (Those interested in "DoD-only versions" must make their request directly to the Legacy Program.)

A Note on Some Types of Expected Products

As mentioned, Project Authors fill in the *Expected Product* tab on the Tracker at the time of writing the pre-proposal. It is at that time that the types of Expected Products are chosen, listed and described. The "Fact Sheet" is one expected product that is required of each Legacy-funded project and is the only expected product that will be automatically added to a project's list of deliverables.

Fact Sheets

Each project is required to produce a Project Fact Sheet at the completion of their project. A project fact sheet is automatically added to the expected products list upon submission of the pre-proposal.

Fact Sheets are one or two page project summaries and are created using a template found at https://www.dodlegacy.org on the *Info and Guidelines* tab. The template describes required sections, font size, etc. The Legacy Program encourages the use of photos and other relevant graphics to illustrate projects. (Visit "Fact Sheet Frequently Asked Questions" at https://www.dodlegacy.org for more information.) Fact Sheets are used in Legacy outreach as they are concise highlights of successful conservation and preservation efforts on DoD lands.

Fact Sheets must be reviewed and approved as any other deliverable and must follow the given template. They are due at the completion of the project with the other approved FINAL expected products. The expected due date of the final Fact Sheet is the same as the expected project completion date.

For continuation projects, Fact Sheets are due each year and must detail that year's project results. Remember, each project must produce results that are stand-alone, even if the project is a continuation project. Fact Sheets may include findings from previous years if inclusion helps to clarify results, but they must detail the current project's scope of work.

Fact Sheets must conform to the template. However, Fact Sheets may be one or two-sided, depending on the space required. When deciding the length of a Fact sheet, authors should be cognizant of not only content, but white space and gaps. Fact Sheets are used as public outreach tools and should be as professional in appearance as possible.

Products Delivered on CD/DVD

An electronic version of all deliverables is required for submission (in addition to the one required hard copy of each final expected product). **Portable Document Format (PDF) and Microsoft (MS) WORD are the required formats for submitting both DRAFT and FINAL deliverables.** In other words, each draft should be submitted in both PDF and MS WORD. (Electronic photographs are also highly desirable for inclusion in the project file.)

CDs need to be properly labeled. Labels can be printed or hand-written but must contain: DoD Legacy Program, Project Number, Project Title, Expected Product Type, Submitter, Date, and a description of what is included on the CD. (Or this information can be included within a cover letter submitted with the CD.)

GIS Data

Submission of Global Information Systems (GIS) data must follow all current Federal Geographic Data Committee (FGDC) content standards and any DoD-specific standards or regulations. The Legacy Program requires GIS data delivered on a CD/DVD without licensing or usage restrictions. All GIS data collected during the duration of a Legacy Program project's period of performance becomes the property of the Office of the Secretary of Defense.

How to Submit DRAFT Expected Products

High quality, professional expected products that meet the expectations of the project's scope of work are required. Project Authors are required to coordinate, for each expected product, a draft review conducted by the relevant Legacy Program staff member. **The Legacy Program will not accept any product submitted as "final" that has not received prior Legacy Program approval in "draft" form.** All expected products must first be sent in DRAFT form for review to the Legacy Program before any FINAL version will be accepted. All timelines for review of the draft product(s) must be coordinated with Legacy Program staff in anticipation of final expected product submission. **Legacy Program staff must have at least one month to review each expected product**, so Project Authors must plan their submissions accordingly, relevant to the completion date of projects and the time it will take for product review.

The Legacy Program is to receive the finalized draft deliverable for review, **after** all potential other parties have completed their review. If Project Authors want project draft products to be reviewed by others (colleagues, etc.), that review needs to take place in advance of Legacy Program review so that the Program can ensure that the draft in hand will not be edited after Legacy approval. The review of expected products by parties outside of the Office of Secretary of Defense (OSD) is **not** required.

The Legacy Program prefers, when practicable, to receive **DRAFT documents ELECTRONICALLY ONLY** (not in hard copy/paper copy). These electronic draft documents should be sent in PDF **and** Microsoft Word format as email attachments to the Legacy Program project lead. Legacy project leads are listed on the Tracker's *Admin* tab of each project file. The Legacy project lead will coordinate with the author all recommended edits to the draft, often involving several iterations, before the deliverable is up for final review. Once the review is completed, an electronic mark-up with any questions, comments, suggested edits, and/ or required edits is sent back to the Project Author.

After the Project Author incorporates the required Legacy Program edits and possibly the suggested edits, the document constitutes the FINAL. It is then sent back to the appropriate Legacy Program project lead who will ensure the appropriate edits were made and at that time can approve the document as the FINAL expected product. **All expected products must be standardized as instructed below before they will be approved as FINAL.**

Standardization of Expected Product Presentation

The following conditions must be met prior to final product acceptance by the Legacy Program:

- Only refer to the Legacy Program as "the Department of Defense Legacy Resource Management Program" or the "DoD Legacy Program".
- The Legacy Program Project Number will be clearly displayed on **all** materials. (The project number is the number assigned to each project at the approval stage. The number is located on the *Admin* tab of each project Tracker file and consists of a 5 digit hyphenated number, with the first 2 digits indicating the year of the project. For example: 12-409 represents project # 409 that was funded in fiscal year 2012. Cooperative Agreement Numbers and MIPR numbers are NOT analogous to the Legacy project number.)
- The MIPR, Cooperative Agreement, or other funding document reference number will be included, at a minimum, in the introduction/executive summary section of any product/report but is not to be used in lieu of the Legacy Project Number.
- A standardized Expected Product Cover Sheet will be used for **each** product, except the Fact Sheet.
- In addition to the standardized Cover Sheet, the Legacy Program logo will be appropriately placed appropriately on each PowerPoint, display, poster, pamphlet, publication, DoD specific web page, etc.

You can find Fact Sheet, Cover Sheet, and Tech Note templates, our program logo (in GIF and EPS formats), as well as links to posted fact sheets and other completed products on the *Legacy Program Info and Guidelines* tab: https://www.dodlegacy.org/Legacy/intro/guidelines.aspx.

The Legacy Program will be credited with full or partial funding of the project, as appropriate. The Legacy Program will be credited in: the introduction/executive summary section of any product that contains such sections; any acknowledgements section of any product; and, any presentation about the project in any form, such as articles, lectures, workshops, etc.

Please note, Expected Product Cover Sheets do not need to be physically bound to the final product, but must be included in the submittal package. This is to ensure that when Legacy Program staff receives multiple products at the same time, it is understood which products constitute what. (For example, if there is to be more than one type of report to be submitted, the Legacy Program project lead needs to have a cover sheet to inform her or him of which report from the list of products this constitutes.) A cover sheet template is available in Word Document Format and a sample cover sheet is available in PDF. Both documents are available at https://www.dodlegacy.org.

The Legacy Program logo, available on the Legacy Program website in GIF and EPS format on the *Info & Guidelines* tab on the website, will be used as noted above. Further use of the logo will be considered on a case-by-case basis in consultation with the Legacy Program.

Reports should be formatted and presented in a professional manner, complete with pagination, table of contents, and standard report sections.

How to Submit FINAL Expected Products

After the Legacy Program has reviewed and approved draft expected products, the final drafts need to be sent to the Program. **The Legacy Program requires one hard copy and one electronic copy on CD be sent to the Program office for each FINAL expected product**. Please note that if there is a "DoD-only" version of an expected product, an electronic and hard copy of that version must be sent to the Legacy Program in addition to the "public" version copies of the same expected product.

When submitting final products, all correspondence must be accompanied by the Product Submission Report form. The Project Author generates this form on the Tracker and provides a print copy. Project Authors should follow the following steps prior to delivering all final expected products:

1. Inform the Legacy Program project lead that you are delivering the FINAL expected products.
2. Access the project's file in the Tracker and click on the *Expected Products* tab.
3. For each expected product to be delivered, select the *Submit* box.
4. Ensure that the listed title name matches the title used in the final document. Change the title if necessary to reflect the final document's title. After this, the Legacy Tracker automatically populates the *Submission Date* field using the current date as the date of product submission.
5. Enter any necessary comments to the Legacy project lead.
6. Repeat this process for each expected product being delivered.
7. Once all information relating to all products being delivered has been entered, click on the *Submit Expected Product* button to generate the report. The form includes the address and detailed mailing instructions to the Legacy Program.
8. Print a copy of the report for each product. Expected products delivered without the Submission Report form may be returned to the sender with a request to resubmit with the form.

Please submit FINAL Expected Products (one printed copy of each) to:

DoD Legacy Resource Management Program
AT&L, Installations and Environment (I&E) Box #56
4800 Mark Center Drive
Alexandria, VA 22350
ATTN: (*Natural* or *Cultural Resources Management Specialist*)

And, an electronic copy via email:

to: Jane.Mallory.ctr@osd.mil, including a CC to: Legacy@osd.mil and Sean.Rutherford.ctr@osd.mil

Project Completion

When all expected products are approved and final products are in-hand at the Legacy Program, Program staff will update the project file to “Completed” in the Tracker. The Legacy Program will then request for the processing of funding invoices and the release of final payments if appropriate.
Security Review

After the Legacy Program receives the approved final expected products, those products are sent to the OSD Office of Security Review (OSR). All deliverables will be reviewed by this Office prior to public dissemination, including the posting of those documents on DENIX.

IMPORTANT REMINDERS REGARDING FINAL PRODUCTS

- Project Authors and Project Investigators must **NOT** disseminate expected products before official project completion.
- Project Authors and Project Investigators can only disseminate “public versions” of expected products to non-DoD personnel.
- In the spirit of professional courtesy, please offer to provide an electronic copy of any completed **Legacy-approved**, **Final** product to each installation POC who contributed data or otherwise supported your project.

Full Expenditure of Project Funds/Surplus Funds

As your project winds down, please make every effort to invoice ERDC-CERL in an accurate and timely manner. This is very important because surplus funds, although eventually returned, do not return to the program and do not help the Legacy overall because of the increase in program overhead costs that result.

Please contact Legacy if at any point in the project it appears that there might be un-expended or surplus funds. We will be happy to discuss the options available.

Changes

Per DoD Grant and Agreement Regulation 3210.6-R §33.30, except as stated in other regulations or the award document, grantees must obtain the prior approval of the grant officer at ERDC-CERL whenever one or more of the following changes is anticipated:

- Revisions to the project’s scope or objective.
- Revisions resulting in the need for additional funding.
- A need to extend the period of funds availability (No-Cost Extension).
- Changes in key personnel.

Funding Reallocations

Changes that don't require prior approval from the grants officer at ERDC-CERL (except as stated in other applicable regulations or the award document) include transferring amounts budgeted for indirect costs to absorb increases in direct costs, or vice versa; and, transferring of funds among direct cost categories, functions, and activities.

Keep in mind that the aforementioned changes still have to be approved by Legacy and they will only be permitted as long as the proposed changes maintain the project's continuity with the original intent of the award.

Technical Issues

A Note on Pop-up Blockers and the Tracker

"Pop-ups" are a form of online advertising on the World Wide Web intended to increase web traffic or capture email addresses. This marketing strategy has prompted the creation of several software solutions to limit or block internet pop-ups. The Legacy Tracker does not collect any private information or capture mail addresses from users. However, the Legacy Program Tracker's performance may be undermined by pop-up blockers. Sometimes, depending on a pop-up blocker's settings activated by the user, some of the features of the Legacy Tracker, like reports and forms, may not display and require further action by the user. If you face this problem, it is recommended that the user press and hold the Control (ctrl) keyboard key for at least a second prior to clicking on the action button (generally the "submit") on the Legacy Tracker. Pressing the Control key will bypass the pop-up blocker and effectively display the Legacy form being requested.

Security Certificate Errors

If you receive a message upon accessing the Tracker webpage that states "there's a problem with your security certificate(s)", you may need to refresh your security certificates. To do so, contact your organization's IT representative. Also, ensure that you are accessing the Tracker via a secure connection (**https://www.dodlegacy.org**, not HTTP). If none of these steps work, please contact Legacy Program staff.

Appendix A: Full Proposal Example*

*The Pre-proposal would be identical in form to what is shown here but does NOT contain the following sections, found in the Full Proposal: Purpose, Federal Regulations, Background, Approach, Work Description, Primary Personnel and Partners.

2011 Air Force Proposal {Sample}

Legacy Internal Track Number: ID - 555

3/16/2012

Administrative

Author:	Doug McMasters dmcmasters@bcf.org	**Created:**	03/16/2012
Coauthor:		**Last Accessed:**	03/16/2012
Current Owner:	DoD Admin		
Project Title:	Coastal Installation Shore Bird Survey and Mapping Project		
Sponsor:	Air Force	**Division:**	ACC
Have you already made contact with the abovementioned sponsor?			Yes
Installation(s):	Andrews AFB, Pensacola NAS		
Install. POC(s):	Major Kennick	**Inst. POC(s) Email:**	rkennick@airforce.mil
State:	FL	**Country:**	USA
Cont. Proj.:	No		
To the best of your knowledge, is your work original and not duplicative of existing efforts?			Yes
Will you need access to a DoD installation?			Yes
Resource Type:	Natural Resources	**Exp Compl. Date:**	03/31/2016
Primary Theme:	Birds		
Sec. Theme:	Habitat management		

Areas of Emphasis

Area of Emphasis

Monitoring and Predicting Migratory Patterns of Birds

Budget Items

Requesting Organization #1: American Bird Conservancy :

Item	Description	Item Cost ($)
Equipment	Computer for data analysis	$2,000
Overhead/Admin	Overhead, 17.5%	$7,145
Salary	Database programmer/biologist/writer, 38.85/hour x 1000 hours	$38,850
	Total Award Request by Requesting Organization #1: American Bird Conservancy :	**$47,995**
	Total Legacy Funds Requested:	**$47,995**

Item	Description	Value
	Total Contributions:	

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Expected Products

Prod. Type	Description	Due Date
Final Report	Results of Survey	03/31/2014
Fact Sheet	The Fact Sheet is a required Product for all Legacy Projects	03/31/2014
Nesting Map	Map of nest sites for each Installation surveyed	03/31/2014

Contributing Partners

Item	Description	Value
N/A	N/A	N/A

Project Detail

Project Synopsis: Two-line project summary. NOTE: Do NOT copy the Proposal/Project Title into this section.

Abstract and Work Plan: The abstract must clearly state the need for the proposed work and the objectives. After writing the abstract here and in the same field, complete a numbered list of overall work phases and methodology (include planning, execution and analyses phases), which will constitute the Work Plan. If this project is a continuation project, list what has been accomplished in past funding years as a part of the Work Plan. See the DoD Legacy Guidelines for further instructions.

Military Mission Benefits: The proposed project must support and benefit the military mission. Applicants should be specific in exactly how and exactly where their project will benefit the military. Clearly define the benefit to the military mission, indicating military Service benefit, regional benefit and/or DoD-wide significance. Also, list the specific installations or specific regions that would directly benefit. Do not simply relate your proposed work to Federal compliance requirements or other regulatory requirements. See the DoD Legacy Guidelines for further instructions.

Follow-on Work: Project has no foreseen need to request funding for future years.

Technical POC

Requesting Organization #1: Bird Conservation Foundation
TPOC Name: Freida Fowler
Address: 3040 Narwal Road, Suite 226
Miami, FL 23003
Email: ffowler@bcf.org
COM Phone: 555-555-1212
DSN:

COM Phone:
DSN:
Email:

Review Comments

Comments:

Int. Comments:

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Appendix B: Legacy Tracker - Project Field Descriptions

ADMINISTRATIVE or ADMIN TAB

Author: The primary author of the proposal, the main point of contact for the overall scope of work, and the project's lead investigator and coordinator. This individual is not necessarily the entity that is requesting the largest amount of funding.

Co-author: The individual from a partnering organization that will not be the main point of contact for the overall scope of work, but who will also request funds.

Owner: This locked field indicates who has edit rights to the document at various stages. The owner value changes only when the current owner saves the proposal with an action to send the document to the next person in the proposal review chain during proposal review and after submission by the applicant.

Project Title: Title given to the project at the time of creation or updated during applicant drafting, prior to submission. Project Titles should not be changed by the applicant after submission without Legacy Program coordination.

Sponsor: The Military Service that has agreed to sponsor and is coordinating the proposal. This field can have a value of one specific Military Service name **or** DoD. Some projects are more appropriately coordinated at the OSD level, and are therefore "sponsored" by DoD and not one specific Military Service.

CMD Division: The Military Service Command name responsible for project oversight. If you are unsure of what CMD Division applies, if any, contact the appropriate Military Service representative to inquire or the Legacy Program for assistance. Use the *Contact Us* link on the Legacy website homepage to access Military Service representative contact information.

Installation: The primary DoD installation, if applicable, on which the project work will take place or that has supported the proposal.

Secondary Installation: A secondary DoD installation is noted when proposals are submitted as a joint effort between two installations, or when the project's scope of work requires support from an additional installation other than the primary installation.

State: The state where the primary installation is located.

Service Reviewer: Each Military Service has its own chain of reviewers. The Military Service individual reviewing the proposal will vary depending on the stage in the review process.

Country: The country where the primary installation is located.

Continuation Project: Provide the previous Legacy project number if the current proposal is considered a continuation of a previously Legacy-funded project.

Expected Completion Date: The completion date of the project, including all FINAL deliverables.

Field Location: The location(s) where the project will be executed. This could be a site location, state name, region, or the primary installation name. This field is visible only to the project owner and to the Legacy Program.

Theme: The Program theme which most closely matches the project's focus. Theme options are provided in a dropdown menu.

Secondary Theme: A project's secondary focus (optional).

Project Category: Reiterates the type of resource or resources that the project would address.

Other Funds Available: Is the project currently funded or intended to be funded by sources other than the Legacy Program? This applies to direct funding from outside sources and also in-kind support. (See the next definition for more on "in-kind" support.)

Describe Funds: Describe outside funding sources, funding amounts, and the specific objectives (including deliverables) to be executed using outside funding. While other funding is not required for a successful proposal, it is a plus and should be quantified during the proposal phase. "In-kind" support is the value of non-cash contributions provided by non-Federal third parties. Third party in-kind contributions may be in the form of real property, equipment, supplies, and the value of goods and services directly benefiting and specifically identifiable to the project or program.

RESOURCES TAB

Resource Type: Resource type can be Natural, Cultural, or Integrated (Natural and Cultural).

Area of Emphasis: From the options provided, choose the single most relevant project area of emphasis. Areas of Emphasis are listed on the Request for Proposals announcement for a given fiscal year, as well as the Legacy website. They are provided as well within the dropdown menu box on the proposal form itself.

PURPOSES TAB

Legacy Program legislative purposes outlined by Congress in 1991 and revised in 1997 via the National Defense Authorization Act (Public Law 104-201, Section 2694. Please select all purposes which pertain to the current proposed work.

FEDERAL REGULATIONS TAB

Natural and cultural resource regulations, statutes and Executive Orders that the project supports, federal or DoD-specific, for example, the Sikes Act, National Environmental Policy Act (NEPA), Archeological Resources Protection Act (ARPA), etc.

BUDGET DETAIL TAB

This section indicates how funding is intended to be allocated for the project. Budget allocations for items more than $1000 must be listed here. (ENTER BUDGET ITEMS ONLY FOR THE CURRENT FISCAL YEAR. Address future budget items in the "Describe Follow-on" field.)

NOTE: No profit or fee may be included in the budget.

The fields to be filled in are:

Item: Choose the most appropriate budget item listed in the given dropdown list---

Equipment – Equipment to be purchased for the proposed project.
Materials/Supplies – Supplies and/or materials required for the proposed project.
Salary – Salary, including number of hours and rate, for the primary project investigator(s).
Other Labor – Other, non-salary labor, including number of hours and rate
Overhead/Admin – Rate for overhead/administrative costs not to exceed the Federally-approved maximum rate of 17.5%.
Travel – All travel costs associated with the proposed project (i.e. airfare, lodging, per diem, car rental, parking, mileage, etc.).
Other – Costs that don't fall under any of the other categories.

Description: A detailed description of the budget item, including specific information on how each subtotal was calculated. For salary, include position, total number of hours, and rate. For equipment, include what's being purchased, the quantity, and unit cost as applicable. For Travel include all details associated with the cost, such as reason for trip, number of travelers, what type of cost (lodging, airfare, parking, car rental, etc.), and rate(s).

Cost: Requested total amount for each budget item.

The following is an example of a detailed proposal budget field. Note that the rates shown below are only examples for illustration purposes.

Item	**Description**	**Cost**
Salary	Researcher (20%) for 3 months @ $80/hr for 100 hrs	$8,000
Salary	Research Assistant for 3 months @ $70,000/ yr. @ $30/hr for 300 hours	$9,000
Travel	Lodging for 2 persons at the Kodiak Days Inn, 30 days at $50/ person per day	$3,000
Travel	Airfare for 2 persons from Washington, D.C. to Fairbanks, Alaska $500/ person	$1,000
Equipment	1 GPS tracking receiver	$200
Materials/ Supplies	5 tracking collars $20 each.	$100
Other Labor	Guide/Bear tracking expert, 2 weeks, $40.00/hour x 80 hours	$3,200
Other	Grizzly nature reserve research fee $25 (x 2 researchers)	$50
Total		$24,550

CONTRIBUTING PARTNERS TAB

The Contributing Partners tab is where the dollar value of partner contributions to your project (if applicable) is documented. If a Contributing Partner is added, all fields are required entry. In the case of multiple Contributing Partners, at least one budget item is required per funding recipient. The Item Cost should be rounded to nearest dollar.

The fields to be filled in are:

New Contributing Partner: Name of Contributing Partner.

Item: Items/services being contributed (example: donated property, equipment, volunteer services, etc.)

Description: Description of Items/services being contributed.

Value: Dollar value of Items/services being contributed.

PROJECT DETAIL TAB

This section records the detailed description of the project. The fields to be filled in are:

Project Synopsis: A project summary not to exceed 1024 characters (including spaces) in length; an abstract of the abstract.

Abstract & Work Plan: A brief summary that clearly states why, what, and where. This includes the need for the proposed work and the objectives, the overall planned work phases and methodology (include planning, execution, and analysis phases).

Background: Describe, to the best of your knowledge, any previous efforts undertaken by the submitter and/or any background research which is relevant to the current project. Also, note if the proposed work relates to any other projects conducted by DoD or other agency, organization or firm. This includes projects that the Legacy Program has already funded.

Military Mission Benefits: Describe how the proposed project enhances environmental security (provides for the management of natural and cultural resources), supports the current military mission, and the overall benefit to DoD. Do not simply relate the proposed work with regulatory requirements. Note the exact installations and/or regions that the proposed work would benefit. This section should be as specific as possible.

Primary Personnel: Provide the full name, company, and position of each primary team member that will work on the proposed effort. This should correlate with salary request in the budget detail field.

SCOPE OF WORK TAB

Using the *Scope of Work* tab, the applicant must expand upon each step that was listed within the Work Plan for each of the Funding Recipient Organizations listed in their Pre-Proposal.

Approach: List the activities for each Funding Recipient organization. Specify if lead or supporting role for any joint efforts with each funding recipient organization. Discuss how the proposed work will be carried out, who will be carrying it out, and how funds are proposed to be obligated for each Funding Recipient organization as applicable.

FOLLOW-ON WORK TAB

The *Follow-On Work* section is where the Author selects one of the following three options that best describes applicable follow-on funding requirements for the project.

- Project has no foreseen need to request funding for future years.

- Project has follow-on work necessary to complete current proposed effort.
  (user has explicit intention to request more funding to complete current proposed project)

- Potential proposal ideas that could be submitted as new projects in the future.
  (user would recommend this activity for furthering scope of proposed project in future)

EXPECTED PRODUCTS TAB

This section records all expected products/ deliverables which will accompany the completion of the project as funded during the specific period of performance. List all expected products that will be delivered for the particular project.

The fields to be filled in are:

Product Type: Choose the most appropriate product type from the dropdown menu list. See Appendix C for a list of definitions.

Brief Description: A single sentence describing the expected product.

Date Due: The intended delivery date of the expected product. This value must be the same or a date prior to the listed project's completion date.

TECHNICAL POINT OF CONTACT (TPOC) TAB

This is the contact information for the person responsible for submitting the project proposal and ensuring its successful completion. This tab must be kept current throughout the project's period of performance. Contact Legacy Program staff to update the name, phone, fax, email, etc. of the Technical POC.

FINANCIAL POINT OF CONTACT (FPOC) TAB

The contact information for the person who is authorized by the recipient organization to sign the appropriate funding documents (MIPR, cooperative agreement, or project order). This tab must be kept current throughout the project's period of performance. Contact Legacy Program staff to update the name, phone, fax, email, etc. of the Financial POC.

DoD TAB

This section of Tracker is for internal Legacy Program staff use only.

ACTION & REVIEW TAB

General announcements and requests are made in this section. Project authors must request for project extensions using the “Request No Cost Extension” option listed in the dropdown menu and must provide justifications in the “Comments” field just below the dropdown menu.

COMMENTS TAB (Only used during a proposal’s review stages)

This section is used during the proposal review stages in order to provide comments on the proposal at each stage of review. This section lists comments between Legacy Program staff, Military Service reviewers and the project authors/ investigators. A comment can be listed here that would require follow-up from one of the aforementioned individuals. When “returning” a proposal to the sender, the reviewer should use this section to explain why the proposal was not passed up the chain for submission. To add a comment, select “Proposal Comment” from the toolbar at the top of the proposal or click on an existing comment and click “Add Response”. One may edit existing proposals only if the owner of the proposal.

Appendix C: Expected Product Type Definitions List

Admin Support: The set of measures undertaken in support of a project with relevance to a DoD supported initiative. Typically, this does not include normal labor in the execution of a project.

Agreement Document Development: The development or assistance in development of a policy agreement, such as an Memorandum of Understanding (MOU) or Memorandum of Agreement (MOA) or Candidate Conservation Agreement with Assurances (CCAA).

Audio Recording: Audio media that can be replayed successfully. (Must be delivered in digital format only.)

Best Practices: A set of prescriptive measures that are proven and can be employed by others.

Book or Chapter: A written work or composition that is intended for scholarly publication and as a compilation of known facts regarding something or someone.

***Brief/ White Paper**:* An authoritative report or guide that helps solve a specific problem. White Papers are used to educate, and inform, and assist in decision-making.

Case Studies: An in-depth investigation of a single individual, group, or event. Case studies may be descriptive or explanatory.

Conference Exhibit: Showing a booth or display at an established conference or meeting.

Conference Presentation: Giving an oral presentation on a specific topic or project, usually aided by a PowerPoint presentation and presented at an established conference or meeting.

***Conference Poster**:* A graphic depiction of a project or issue, displayed at an established conference or meeting usually accompanied by the poster author.

Curriculum: A program of courses, a structured teaching plan, and/or the actions, resources, objectives, and topics of learning. It must be both the content and process of learning.

Data Requirements: Would aid in the development of improved data elements and data standards, to include representations, formats, and definitions of data.

***Data Spreadsheet**:* Research information presented in tabular form, in a program that allows for manipulations, calculations, and transferability. MS Excel is preferred.

Drawings: A graphical representation or illustration. This includes an engineering computer-aided design (CAD) drawing and digital illustrations.

Evaluation Criteria: A set of standards on which a judgment or decision on the various alternatives may be based.

Fact Sheet: A one or two full-page document to be used primarily for outreach as well as to respond to any applicable calls for success stories. Typically, a Fact Sheet provides a brief overview of a project and a summary of the project findings, undertakings, stepping stones, and outcome. (There is a required format; utilize the template on the website.)

Final Report: A comprehensive document that reports on the cumulative project activities accomplished during the period of performance, including a complete description of results and analyses. (See Legacy Program FAQs, Do's and Don'ts on the Legacy Website Info and Guidelines tab for more information regarding format.)

GIS Data: FGDC content standard compliant digital data that capture, verify, store, manipulate, query, analyze, and display geospatial data referenced to their location on earth. Thematic and attribute GIS Data delivery must follow all current, strict quality control and assurance outlined and commonly known as FGDC Metadata standards. Typically, GIS data refers to data that is compatible with or equivalent to ESRI 8.x data format. (Legacy has 9.x capability and this is the recommended format for submittal.)

Guidance Development: A document that describes an interpretation of or recommendations related to an established policy on a regulatory issue, or a document that would add to an existing policy or that would aid in the creation of new policy or framework.

Guidebook: Handbook of prescriptions, directions, and/or authoritative recommendations. A guidebook would also include an explanatory context to the prescriptions being provided.

Hardware: A physical device developed with the intention to be used for a specific purpose. (Examples include: specific radio collar, hardware for remote sensing, devise for alerting manatees, etc.)

Historic Context: An explanatory document that assists planning purposes and evaluations for National Register of Historic Places eligibility determinations. The document groups information about historic properties on shared themes, a specific time period and specific geographical area, and includes illustrative and analytical depictions of the historic properties being contextualized. The document must clearly relate the context back to planning purposes and evaluations for NRHP eligibility determinations, and it must include both a conclusion and a ways forward section.

Information Sheet: A single, highly-focused, one-sided or two-sided page with detailed information on a specific topic. May be used as an outreach tool or briefing tool.

Interview Script: Written version of the communication transcending from an interview or from the transcription of narration.

Inventory: Tabulation of natural and/or cultural resources within an installation, habitat, site, area, or region. An inventory must be produced in conjunction with other deliverables, or as a part of another deliverable. An inventory must be software transferable.

Journal Article: Nonfictional prose written during the period of performance that is meant to be published in an established scholarly publication.

Lessons Learned: Generally applicable guidance derived from the conclusions of an evaluation of a topic, event or project, to include both positive feedback and constructive criticism.

Management Plan: A fully-formatted, organized document with the purpose of outlining course of action when implementing best practices recommendations for a specific objective. Typically, a management plan states details of best practices and procedures to be implemented during a project or scheduled action.

Map: Detailed plane surface representation of a region or study area.

Meeting Minutes: An official record of the proceedings of a meeting.

Model: Mathematical tools used to understand large scale processes that can't be observed directly in their entirety.

Monitoring Results: Compilation, tabulation, listing, etc. of data as a direct result of monitoring the presence, recurrence, availability, composition, quality, quantity, etc. of a study subject.

Outreach Tool: An item produced with the primary purpose of disseminating valuable information among different parties on a specific subject. Outreach tools are used to educate DoD personnel and/or the general public on a specific subject.

Pamphlet: A brochure intended as a quick reference, or brief publication of a specific subject.

Photos/ Slides: Graphical illustration in the form of a still image or a computerized rendition of an object, preferably in color. Delivery is required to be both printed and electronically (uncompressed) in non-proprietary format (JPG, TIFF, or PNG) and with a minimum resolution of 5 megapixels (800 x 600 pixels rendition). Note: Film negatives may not replace the required electronic submittal.

Poster for Outreach: A graphic representation of an issue or topic that is specifically given out to the public as outreach material.

Program Alternative: Development of one or a combination of up to the five different actions that the Advisory Council on Historic Preservation can establish to assist Federal agencies in meeting their responsibility under Section 106 of the National Historic Preservation Act. These actions include a Program Comment and Standard Treatments.

Protocol: A concise and accurate document that prescribes the order, methodology, logic, and steps to accomplish any number of tasks.

Prototype: An original type, form, or instance of a model that is the basis for which later stages or versions of the model are based upon.

Publication: Nonfictional prose written during the period of performance that is meant to be published in a DoD publication, or in a reputable and established newspaper media, or a pre-approved showcase of a project in reputable television news media.

Restoration: For a natural resources project: improvement of ecological conditions of a landscape, natural habitat, etc. (natural resources). (Generally, restorations are not applicable for cultural resource project funding.)

Software: MUST ACQUIRE APPROVAL FROM LEGACY. Generally, the complete production of software is not applicable for funding.

Software Development: The development of a computer-based program or routine with a specific purpose and to be used on a DoD designated target platform (Windows operating systems). Only the development of prototype software is acceptable; generally, the complete production of software is not applicable for funding. Typically, the software prototype is to be developed so that it may be distributed to users on a CD-ROM or accessed via the internet (platform independent).

Strategic Plan: An organized document with the purpose of charting a scope and recommending specific goals and objectives following close attention to best management practice recommendations for a specific project. Typically, a strategic plan details recommended procedures and overall goals best suited for the region or subject and establishes transferability.

Survey Results: The findings of a poll OR may also be the results and analysis of a collection of biological, archaeological, geophysical, and/or historic built environmental data. Survey results must be produced in conjunction with other deliverables, or as a part of another deliverable. Survey results must be software transferable.

Technical Note: A document showcasing a specific project with the intention to provide an overview of the work's accomplishments and to encourage similar projects with similar attributes elsewhere. Typically a technical note is a requested document, by invitation, from the Legacy Program. There is a standardized format; the template is available on the website.

Technical Analysis: An organized document with the purpose of affirming categorically the findings or conclusions of an investigation. Typically, a technical analysis provides a professional evaluation of a study or project accompanied by a list of best practices recommendations and/or next steps.

Technical Report: An organized, explanatory document with the purpose of presenting facts and conclusions about the project. Typically, a technical report includes details about the tasks engaged, procedures, technical concepts, background and context of the study, as well as graphical depictions of designs and data. Must include an executive summary, a conclusion and a ways forward section.

Template/ 'How To': A document that can be used by more than one person to fill in information within a provided framework.

Tool Development: The development of an interfacing entity (to exclude an Outreach Tool, as this is another option on this list).

Training Curriculum: A set of course topics for instruction for a particular discipline designed to provide specialized knowledge and skills for the benefit of establishing a training program or for enhancing an existing training program.

Training Pilot: A demonstrative event in which practical, hands-on experience or technical instruction is provided to a group or individuals. The aim is for the training pilot to lead to formalized course development.

Transfer Plan: Defines how transferability can take place through the detailing of methodologies, best management practices and/or lessons learned with the intention to transfer plans to other installations who may want to replicate efforts.

Video Footage: Includes all graphical imagery (including still imagery) in either raw format or edited for publication and includes rough footage (before editing and production).

Workshop: A gathering for the purpose of emphasizing hands-on training, demonstration of techniques or procedures, problem-solving discussions, or involvement of the participants in an open discussion of related topic. Workshop should include proceedings or an outcome document that details what was done at the workshop, who attended, and any evaluations or assessments made.

Workshop Development: Devising the topics, instructors or presenters and all other logistics for a proposed workshop. Workshop development should include a document that details each step in the development of the workshop elements and the rationale for each step.

Appendix D: Electronic Installation Letter of Support Template

[IMPORTANT: Letter must be on letterhead]

[Date]

Jane Mallory [or appropriate Legacy Program representative]
Legacy Resource Management Program
Department of Defense, ODUSD-I&E/EM
[IMPORTANT: Only submit via email - do not mail hard copy]

RE: [Name of the proposal or proposed project title as it appears on the Legacy proposal form]

Ms. Mallory [or appropriate Legacy Program representative],

The proposed work is supported by the installation cultural or natural resource manager [as appropriate], *and* the environmental branch chief *and* the commanding officer [or name of other individuals as appropriate]. We have also informed our Service HQ of our support of this proposal. If funded, I will be the POC for coordination between installation personnel and the project proponents.

The proposed work is needed. The project would directly benefit the mission specifically by __________ ______________________.

Thank you for your time,

[Ink signature of submitter of this letter/ no electronic signatures]

[Printed name of submitter]
[Title]
[Name of installation]
[Email address of submitter]
[Phone]

Appendix E: Letters of Endorsement

United States Department of the Interior

U. S. GEOLOGICAL SURVEY
Coastal and Marine Geology
400 Natural Bridges Drive
Santa Cruz, California 95060-5792

August 15, 2011

DoD Legacy Resource Management Program
Email: Legacy@osd.mil
Re: Kvitek Proposal

DoD Legacy Staff:

I am writing to express my support for the DoD Legacy proposal authored by Rikk Kvitek, 'A novel technique for seamless shore-to-sea bathymetric habitat mapping in support of military mission readiness and range sustainment at San Clemente and San Nicolas Islands.' I have been collaborating with Dr. Kvitek for 7 years on a series of seafloor mapping projects in California. My own research on beach and nearshore processes has benefitted greatly from the tremendous technical expertise and exceptional data produced by the California State University, Monterey Bay Seafloor Mapping Lab. As head of that group, Dr. Kvitek is always pushing mapping technology to new heights, and their recent development of the KelpFly to map previously unmappable areas in the surf zone and kelp forests is no exception. This advance is an extremely exciting development for scientists like myself who have been constantly plagued by a lack of quality data in the most active and important zone in a coastal system. With this breakthrough there is renewed hope that we can better understand the processes that shape beaches and nearshore systems, enabling us to better manage these sensitive ecosystems, especially as climate change is likely to add additional stresses to our coastlines.

I have the utmost confidence that this DoD Legacy proposal would be a huge success, not only for DoD, but for advancing mapping of the seafloor in California and throughout the world. Dr. Kvitek will bring unparalleled determination, technical skill, and professionalism to this effort. If you have any further questions, doesn't hesitate to contact me.

Sincerely,

Patrick Barnard

Patrick L. Barnard, Ph.D.
Research Geologist

Appendix F: Purchased Equipment, Copyrights

Purchased Equipment

Applicants must reference DoD Grant and Agreement Regulation 3210.6-6, paragraph § 32.34 (Appendix I) for details on ownership of equipment purchased with Legacy Program funding. The title for equipment purchased with Legacy Program funding is vested in the recipient of funding. However, if the equipment is valued at more than $5,000 and is no longer needed after the project's completion, several steps must be followed according to subparagraph (g) of the Regulation, to include returning the equipment, title transfer, etc. to the Legacy Program.

See the *References* section of Appendix H for a link to the actual cited DoD Regulation - 3210.6-6, paragraph § 32.34.

Ownership and Rights to Expected Products

DoD Grant and Agreement Regulation 3210.6-R §33.34:

The Federal awarding agency reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish or otherwise use, and to authorize others to use, for Federal Government purposes:

> (a) The copyright in any work developed under a grant, subgrant, or contract under a grant or subgrant; and
> (b) Any rights of copyright to which a grantee, subgrantee or a contractor purchases ownership with grant support.

DoD Grant and Agreement Regulation 3210.6-R §32.36, Intangible Property:

> (a) The recipient may copyright any work that is subject to copyright and was developed, or for which ownership was purchased, under an award. The Federal awarding agency(ies) reserve a royalty-free, nonexclusive and irrevocable right to reproduce, publish, or otherwise use the work for Federal purposes, and to authorize others to do so.
>
> (b) Recipients are subject to applicable regulations governing patents and inventions, including government-wide regulations issued by the Department of Commerce at 37 CFR part 401, "Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements."
>
> (c) The Federal Government has the right to:
>
>> (1) obtain, reproduce, publish or otherwise use the data first produced under an award; and
>>
>> (2) authorize others to receive, reproduce, publish, or otherwise use such data for Federal purposes.
>
> (d) (1) In addition, in response to a Freedom of Information Act (FOIA) request for research data relating to published research findings produced under an award that were used by the Federal Government in developing an agency action that has the force and effect of law, the Federal awarding agency shall request, and the recipient shall provide, within a reasonable time, the

research data so that they can be made available to the public through the procedures established under the FOIA. If the Federal awarding agency obtains the research data solely in response to a FOIA request, the agency may charge the requester a reasonable fee equaling the full incremental cost of obtaining the research data. This fee should reflect costs incurred by the agency, the recipient, and applicable subrecipients. This fee is in addition to any fees the agency may assess under the FOIA (5 U.S.C. 552(a)(4)(A)).

(d) (2) The following definitions apply for purposes of paragraph (d) of this section:

(i) Research data is defined as the recorded factual material commonly accepted in the scientific community as necessary to validate research findings, but not any of the following: preliminary analyses, drafts of scientific papers, plans for future research, peer reviews, or communications with colleagues. This "recorded" material excludes physical objects (e.g., laboratory samples). Research data also do not include:

(A) Trade secrets, commercial information, materials necessary to be held confidential by a researcher until they are published, or similar information which is protected under law; and

(B) Personnel and medical information and similar information the disclosure of which would constitute a clearly unwarranted invasion of personal privacy, such as information that could be used to identify a particular person in a research study.

(ii) Published is defined as either when:

(A) Research findings are published in a peer-reviewed scientific or technical journal; or

(B) A Federal agency publicly and officially cites the research findings in support of an agency action that has the force and effect of law.

(iii) Used by the Federal Government in developing an agency action that has the force and effect of law is defined as when an agency publicly and officially cites the research findings in support of an agency action that has the force and effect of law.

(e) Title to intangible property and debt instruments acquired under an award or subaward vests upon acquisition in the recipient. The recipient shall use that property for the originally-authorized purpose, and the recipient shall not encumber the property without approval of the Federal awarding agency. When no longer needed for the originally authorized purpose, disposition of the intangible property shall occur in accordance with the provisions of §32.34(g).

See the *References* section of Appendix H for a link to the actual cited DoD Grant and Agreement Regulations - 3210.6-R §33.34 and 3210.6-R §32.36 in their entirety.

Appendix G: Overhead Rates

REGULATIONS:

Applicants must reference DoD Regulation 3210.6-6, paragraph 32.27, "Allowable Cost" section for detailed information on overhead rates. Allowable costs are determined by the entity incurring the cost.

a. Government Organizations - refer to OMB Circular A-87
b. Non-profit organizations - refer to OMB Circular A-122
c. Higher educational institutions - refer to OMB Circular A-21
d. For-profit organizations - refer to OMB Circular A-122, attachment C

LEGACY PROGRAM PREFERRED OVERHEAD RATE:

To keep in line with the Cooperative Ecosystem Studies Unit (CESU) Program, the Legacy Program's goal is to cap project overhead rates at 17.5%. This rate helps the Legacy Program maximize the Program budget, allows the Program to fund as many projects as possible, and encourages partnerships and cost sharing.

Appendix H: Web Links

Legacy Program Resources, Service Reviewers, Sample Documents, Templates, Logos, etc:

All listed on: www.dodlegacy.org

Online Resources:

Defense Environmental Network Information Exchange (DENIX): www.denix.osd.mil

DENIX Natural Resources Webpage: https://www.denix.osd.mil/nr/

DENIX Cultural Resources Webpage: https://www.denix.osd.mil/cr/

DENIX Environmental Directorate Webpage:
https://www.denix.osd.mil/portal/page/portal/Announcements/EM

Legacy Resource Management Program Website: https://www.dodlegacy.org

Per Diem Rates and other handy travel data: http://www.gsa.gov/portal/category/21287 or
http://www.defensetravel.dod.mil/site/perdiemCalc.cfm

References:

DoD Regulation 3210.6-R 32 http://www.dtic.mil/whs/directives/corres/pdf/321006r32p.pdf or

DoD Grant and Agreement Regulation 3210.6-R 33
http://www.dtic.mil/whs/directives/corres/pdf/321006r33p.pdf

Main Search Page
http://www.dtic.mil/whs/directives/corres/html/321006r.htm

OMB Circulars for Educational and Non-Profit Institutions:
http://www.whitehouse.gov/omb/circulars/index-education.html

OMB Circulars for State and Local Governments:
http://www.whitehouse.gov/omb/circulars/index-slg.html

The Official DoD Issuances Website
http://www.dtic.mil/whs/directives/#

Appendix I: DoD Grant and Agreement Regulations (DODGARs) 3210.6R § 32.23

§32.23 Cost sharing or matching.

(a) All contributions, including cash and third party in-kind, shall be accepted as part of the recipient's cost sharing or matching when such contributions meet all of the following criteria:

(1) Are verifiable from the recipient's records.

(2) Are not included as contributions for any other federally-assisted project or program.

(3) Are necessary and reasonable for proper and efficient accomplishment of project or program objectives.

(4) Are allowable under the applicable cost principles.

(5) Are not paid by the Federal Government under another award, except where authorized by Federal statute to be used for cost sharing or matching.

(6) Are provided for in the approved budget when required by the DoD Component.

(7) Conform to other provisions of this part, as applicable.

(b) Unrecovered indirect costs (see definition in §32.2) may be included as part of cost sharing or matching.

(c) Values for recipient contributions of services and property shall be established in accordance with the applicable cost principles. If a DoD Component authorizes recipients to donate buildings or land for construction/facilities acquisition projects or long-term use, the value of the donated property for cost sharing or matching shall be the lesser of:

(1) The certified value of the remaining life of the property recorded in the recipient's accounting records at the time of donation; or

(2) The current fair market value. However, when there is sufficient justification, the DoD Component may approve the use of the current fair market value of the donated property, even if it exceeds the certified value at the time of donation to the project. The DoD Component may accept the use of any reasonable basis for determining the fair market value of the property.

(d) Volunteer services furnished by professional and technical personnel, consultants, and other skilled and unskilled labor may be counted as cost sharing or matching if the service is an integral and necessary part of an approved project or program. Rates for volunteer services shall be consistent with those paid for similar work in the recipient's organization. In those instances in which the required skills are not found in the recipient organization, rates shall be consistent with those paid for similar work in the labor market in which the recipient competes for the kind of services involved. In either case, paid fringe benefits that are reasonable, allowable, and allocable may be included in the valuation.

(e) When an employer other than the recipient furnishes the services of an employee, these services shall be valued at the employee's regular rate of pay (plus an amount of fringe benefits that are reasonable, allowable, and allocable, but exclusive of overhead costs), provided these services are in the same skill for which the employee is normally paid.

(f) Donated supplies may include such items as office supplies, laboratory supplies or workshop and classroom supplies. Value assessed to donated supplies included in the cost sharing or matching share shall be reasonable and shall not exceed the fair market value of the property at the time of the donation.

(g) The method used for determining cost sharing or matching for donated equipment, buildings and land for which title passes to the recipient may differ according to the purpose of the award, if the purpose of the award is to:

(1) Assist the recipient in the acquisition of equipment, buildings or land, the total value of the donated property may be claimed as cost sharing or matching; or

(2) Support activities that require the use of equipment, buildings or land, normally only depreciation or use charges for equipment and buildings may be made. However, the full value of

equipment or other capital assets and fair rental charges for land may be allowed, provided that the DoD Component has approved the charges.

(h) The value of donated property shall be determined in accordance with the usual accounting policies of the recipient, with the following qualifications.

(1) The value of donated land and buildings shall not exceed its fair market value at the time of donation to the recipient as established by an independent appraiser (e.g., certified real property appraiser or General Services Administration representative) and certified by a responsible official of the recipient.

(2) The value of donated equipment shall not exceed the fair market value of equipment of the same age and condition at the time of donation.

(3) The value of donated space shall not exceed the fair rental value of comparable space as established by an independent appraisal of comparable space and facilities in a privately-owned building in the same locality.

(4) The value of loaned equipment shall not exceed its fair rental value.

(i) The following requirements pertain to the recipient's supporting records for in-kind contributions from third parties:

(1) Volunteer services shall be documented and, to the extent feasible, supported by the same methods used by the recipient for its own employees.

(2) The basis for determining the valuation for personal service and property shall be documented.

Please see http://www.dtic.mil/whs/directives/corres/pdf/321006r32p.pdf for full version.

Appendix J: DoD Grant and Agreement Regulations (DODGARs) 3210.6R § 33.30

§ 33.30 Changes, Property, and Subawards

(a) General. Grantees and subgrantees are permitted to rebudget within the approved direct cost budget to meet unanticipated requirements and may make limited program changes to the approved project. However, unless waived by the awarding agency, certain types of post-award changes in budgets and projects shall require the prior written approval of the awarding agency.

(b) Relation to cost principles. The applicable cost principles (see §33.22) contain requirements for prior approval of certain types of costs. Except where waived, those requirements apply to all grants and subgrants even if paragraphs (c) through (f) of this section do not.

(c) Budget changes

(1) Nonconstruction projects. Except as stated in other regulations or an award document, grantees or subgrantees shall obtain the prior approval of the awarding agency whenever any of the following changes is anticipated under a nonconstruction award:

(i) Any revision which would result in the need for additional funding.

(ii) Unless waived by the awarding agency, cumulative transfers among direct cost categories, or, if applicable, among separately budgeted programs, projects, functions, or activities which exceed or are expected to exceed ten percent of the current total approved budget, whenever the awarding agency's share exceeds $100,000.

(iii) Transfer of funds allotted for training allowances (i.e., from direct payments to trainees to other expense categories).

(2) Construction projects. Grantees and subgrantees shall obtain prior written approval for any budget revision which would result in the need for additional funds.

(3) Combined construction and nonconstruction projects. When a grant or subgrant provides funding for both construction and nonconstruction activities, the grantee or subgrantee must obtain prior written approval from the awarding agency before making any fund or budget transfer from nonconstruction to construction or vice versa.

(d) Programmatic changes. Grantees or subgrantees must obtain the prior approval of the awarding agency whenever any of the following actions is anticipated:

(1) Any revision of the scope or objectives of the project (regardless of whether there is an associated budget revision requiring prior approval).

(2) Need to extend the period of availability of funds.

(3) Changes in key persons in cases where specified in an application or a grant award. In research projects, a change in the project director or principal investigator shall always require approval unless waived by the awarding agency.

(4) Under nonconstruction projects, contracting out, subgranting (if authorized by law) or otherwise obtaining the services of a third party to perform activities which are central to the purposes of the award. This approval requirement is in addition to the approval requirements of §33.36 but does not apply to the procurement of equipment, supplies, and general support services.

(e) Additional prior approval requirements. The awarding agency may not require prior approval for any budget revision which is not described in paragraph (c) of this section.

(f) Requesting prior approval.

(1) A request for prior approval of any budget revision will be in the same budget format the grantee used in its application and shall be accompanied by a narrative justification for the proposed revision.

(2) A request for a prior approval under the applicable Federal cost principles (see §33.22) may be made by letter.

(3) A request by a subgrantee for prior approval will be addressed in writing to the grantee. The grantee will promptly review such request and shall approve or disapprove the request in writing. A grantee will not approve any budget or project revision which is inconsistent with the purpose or terms and conditions of the Federal grant to the grantee. If the revision requested by the subgrantee would result in a change to the grantee's approved project which requires Federal prior approval, the grantee will obtain the Federal agency's approval before approving the subgrantee's request.

Please see http://www.dtic.mil/whs/directives/corres/pdf/321006r33p.pdf for full version.