

Utah Geological Survey Board Policy

Policy for Proposal Feasibility Review and Consideration of Externally Funded Proposals

Effective Date 1/7/00

Amended 4/27/01; 01/11/2002; 01/22/15

Proposal Feasibility Review

Under Section 79-3-202 (4) of the Utah Code Annotated, the Board of the Utah Geological Survey is charged with approving any cooperative agreements the Survey may enter into.

Prior to entering into any cooperative agreements, the UGS director will submit a one-page summary of the proposed project to the Board. The Board will consider for approval proposals that commit \$5,000 or more of UGS funding. For informational purposes, the Board will receive a copy of all pre-proposals. The summary will include a brief financial analysis of the project and a statement of how the project relates to the mission of the Survey.

The Board will review the summary information and vote, at its next meeting or via written/verbal correspondence, whether to approve the proposal. A majority of the Board (four members) is needed for approval. After approval by the Board, the proposal will be submitted to the Department of Natural Resources executive director, or designee, for approval.

Externally Funded Proposals

This Policy provides specific guidelines regarding the nature and funding of work proposals submitted by the UGS that involve externally funded support.

Background

Utah State Code (respectively 79-3-202[1a and 1g]) stipulates that the UGS shall “assist and advise state and local agencies and state educational institutions on geologic, paleontologic, and mineralogic subjects” and “cooperate with state agencies, political subdivisions of the state (definition given in 17B-1-102[19]), quasi-governmental agencies, federal agencies, schools of higher education, and others in fields of mutual concern...” In addition, Utah State Code (79-3-202[4b]) stipulates that the UGS “may undertake joint projects with private entities if (i) the action is approved by the Board, (ii) the projects are not inconsistent with the State’s objectives, and (iii) the results of the projects are available to the public.” Below are guidelines to better define the nature of UGS assistance to and cooperation with, these agencies and entities.

Federal Funding Agencies

UGS proposals for federally funded work should generally be limited to projects predominantly within Utah geographic boundaries that are beneficial to the citizens of Utah and within the powers and

duties of the UGS as outlined in Utah State Code (79-3-202). Exceptions may be considered if the work is in surrounding states but has direct geologic implications for Utah. Cost share and indirect cost (overhead) rates for federal grants are generally stipulated in the request for proposal (RFP) guidelines for each particular grant opportunity.

State and Local Government Funding Agencies

Proposed work for state and local government funding agencies should be beneficial to the citizens of Utah and within the powers and duties of the UGS as outlined in Utah State Code (79-3-202). The following additional considerations apply:

1. Because UGS general funds are limited, agencies requesting UGS assistance may be required to provide matching funds for the proposed projects. Generally those matching funds should be at least 50% of total anticipated project costs. Federally negotiated indirect cost (overhead) rates should be applied to proposed budgets.
2. The UGS will assist and advise local and state governments when directly requested to do so as time and funding permit. The UGS will not, however, respond to RFPs for specific projects that are open for bid by private consultants.
3. The UGS will typically not prepare proposals for requesting agencies for whom the UGS is aware are applicants/protestants or defendants/plaintiffs in active adjudication/litigation. However, the UGS may prepare proposals to work for adjudicating (generally state) agencies to help the requesting agency reach decisions in ongoing adjudication, even if these agencies are a party in active litigation. UGS staff generally will not act as expert witnesses in adjudication/litigation, but may be required to do so through subpoena.

Private Sector Funding

Costs of Board-approved UGS work for private entities should be fully funded by the private entity. Where the UGS is a cooperative partner or subcontractor in a multi-agency private-sector project, UGS cost-share may be offered upon approval of the Board. Federally negotiated indirect cost (overhead) rates should generally be applied to proposed budgets.