APPENDIX A.

Yukon River Salmon Research and Management Fund
FY2017
Recommended Detailed Proposal Guidelines

For consideration in the Yukon River Salmon Research and Management (R&M) review process, applicants must prepare and submit a Detailed Proposal Packet as laid out in this document. The principle investigator has the lead for the project and is responsible for submission of information for all co-investigators involved in the project. The Technical Review Committee will review and evaluate the Detailed Proposals and develop a prioritized list of proposals that will be recommended for funding to the U.S. Delegation of the Yukon River Panel (Panel). The Panel will review the prioritized list and select proposals to be awarded funding for the 2017 federal fiscal year.

Proponents that submit Detailed Proposals that are approved for funding by the Yukon River Panel and the U.S. Fish and Wildlife will be required to have an active **CCR account** through SAM.gov (*System for Award Management*) and an **account in ASAP.gov** (*Automated Standard Application for Payments*) for the funding to be awarded.

Detailed Proposal Application Packages must be sent no later than January 6th, 2017, 11:59 p.m. (AKST), to matthew_keyse@fws.gov, or you can apply through Grants.gov Funding Opportunity # **F16AS00348**. If you need technical assistance or have any questions regarding writing and submitting these documents, please contact Matthew Keyse at (907) 456-0418, or email matthew_keyse@fws.gov.

DETAILED PROPOSAL SUBMITTAL CHECKLIST

<u>(All applicants expect Federal Entities; Federal Entities see checklist below</u>.)

- ☐ DUNS Registration (see requirement in Section III Basic Eligibility Requirements, A Duns Registration)
- ☐ SAM active registration (see requirement in Section III Basic Eligibility Requirements, B Entity Registration in SAM)
- ☐ **Evidence of non-profit status**: If a non-profit organization, a copy of their Section 501(c)(3) or (4) status determination letter received from the Internal Revenue Service.
- ☐ **SF 424, <u>Application</u> for Federal Assistance**: A complete, signed and dated SF 424, SF 424-Mandatory, or SF 424- Individual form
- ☐ **SF 424 <u>Budget</u> form**: A complete SF 424A or SF 424C Budget Information form
- ☐ **SF 424 <u>Assurances</u> form:** Signed and dated SF 424B or SF 424D Assurances form
- ☐ **Project summary**
- ☐ **Project narrative**
- ☐ **Timetable**
- ☐ **Description of key personnel qualifications if applicable**
- ☐ **Single Audit Reporting statement**: If a U.S. state, local government, federally-recognized Indian tribal government, or non-profit organization, statements regarding applicability of and compliance with 2 CFR 200, Subpart F, Audit Requirement
- ☐ **Budget justification**
- ☐ **Federally-funded equipment list**: If Federally-funded equipment will be used for the project, a list of that equipment

- ☐ **NICRA**: When applicable, a copy of the organization's current Negotiated Indirect Cost Rate Agreement
- ☐ **Conflict of Interest Disclosures**: When applicable, written notification of any actual or potential conflicts of interest that may arise during the life of this award.
- ☐ **SF LLL form:** If applicable, completed SF-LLL Disclosure of Lobbying Activities form

Federal Applicant Checklist (for Federal Applicants only)

- ☐ Project Summary, if applicable
- ☐ Conflict of Interest Disclosures: When applicable, written notification of any actual or potential conflicts of interest that may arise during the life of this award.
- ☐ Project Narrative
- ☐ Timetable
- ☐ Budget Justification and a detailed budget Table
- ☐ Description of key personnel qualifications, if applicable
- ☐ Federally funded equipment , if applicable

Failure to provide complete information may cause delays, postponement, or rejection of the application.

A. **Required Indirect Cost Statement**: All applicants except individuals applying for funds separate from a business or non-profit organization he/she may operate **must** include in the budget justification narrative one of the following statements and attach to their application any required documentation identified in the applicable statement:

"We are:

1. A U.S. state or local government entity receiving more than $35 million in direct Federal funding each year with an indirect cost rate of [insert rate]. We submit our indirect cost rate proposals to our cognizant agency. A copy of our most recently approved rate agreement/certification is attached.

2. A U.S. state or local government entity receiving less than $35 million in direct Federal funding with an indirect cost rate of [insert rate]. We are required to prepare and retain for audit an indirect cost rate proposal and related documentation to support those costs.

3. A [insert your organization type; U.S. states and local governments, please use one of the statements above or below] that has previously negotiated or currently has an approved indirect cost rate with our cognizant agency. Our indirect cost rate is [insert rate]. A copy of our most recently approved rate agreement is attached.

4. A [insert your organization type] that has never submitted an indirect cost rate proposal to our cognizant agency. Our indirect cost rate is [insert rate]. In the event an award is made, we will submit an indirect cost rate proposal to our cognizant agency within 90 calendar days after the award is made.

5. A [insert your organization type] that has never submitted an indirect cost rate proposal to our cognizant agency. Our indirect cost rate is [insert rate]. However, in the event an award is made, we will not be able to meet the requirement to submit an indirect cost rate proposal to our cognizant agency within 90 calendar days after award. We request as a condition of award to charge a flat de minimus indirect cost rate of 10% of modified total direct costs as defined in Title 2 of the Code of Federal Regulations Part 200, section 200.68. We understand that the

10% de minimus rate will apply for the life of the award, including any future extensions for time, and that the rate cannot be changed even if we do establish an approved rate with our cognizant agency at any point during the award period

6. A [insert your organization type] that is submitting this proposal for consideration under the [insert either "Cooperative Fish and Wildlife Research Unit Program" or "Cooperative Ecosystem Studies Unit Network"], which has a Department of the Interior-approved indirect cost rate cap of [insert program rate]. If we have an approved indirect cost rate with our cognizant agency, we understand that we must apply this reduced rate against the same direct cost base as identified in our approved indirect cost rate agreement. If we do not have an approved indirect cost rate with our cognizant agency, we understand that the basis for direct costs will be the modified total direct cost base defined in 2 CFR 200.68 "Modified Total Direct Cost (MTDC)".We understand that we must request prior approval from the Service to use the MTDC base instead of the base identified in our approved indirect cost rate agreement, and that Service approval of such a request will be based on: 1) a determination that our approved base is only a subset of the MTDC (such as salaries and wages); and 2) that use of the MTDC base will still result in a reduction of the total indirect costs to be charged to the award.

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

All applicants are hereby notified of the following:

- Recipients without an approved indirect cost rate are prohibited from charging indirect costs to a Federal award. Accepting the 10% *de minimus* rate as a condition of award is an approved rate.
- Failure to establish an approved rate during the award period renders all costs otherwise allocable as indirect costs unallowable under the award.
- Only the indirect costs calculated against the Federal portion of the total direct costs may be charged to the Federal award. Recipients may not charge to their Service award any indirect costs calculated against the portion of total direct costs charged to themselves or charged to any other project partner, Federal and non-Federal alike.
- Recipients must have prior written approval from the Service to transfer unallowable indirect costs to amounts budgeted for direct costs or to satisfy cost-sharing or matching requirements under the award.
- Recipients are prohibited from shifting unallowable indirect costs to another Federal award unless specifically authorized to do so by legislation."

Applicants who are individuals applying for funds separate from a business or non-profit organization he/she may operate are not eligible to charge indirect costs to their award. If you are an individual applying for funding, do not include any indirect costs in your proposed budget.

For more information on indirect cost rates, see the Service's **Indirect Costs and Negotiated Indirect Cost Rate Agreements** guidance document on the Internet at http://www.fws.gov/grants/.

Negotiating an Indirect Cost Rate with the Department of the Interior:
Entities that do not have a NICRA, must have an open, active Federal award before they can submit an indirect cost rate proposal to their cognizant agency. The Federal awarding agency that provides the largest amount of direct funding to your organization is your cognizant agency, unless otherwise assigned by the White House Office of Management and Budget (OMB). If the Department of the Interior is your cognizant agency, your indirect cost rate will be negotiated by the Interior Business Center (IBC). For more information, contact the IBC at:

Indirect Cost Services
Acquisition Services Directorate, Interior Business Center
U.S. Department of the Interior

2180 Harvard Street, Suite 430
Sacramento, CA 95815
Phone: 916-566-7111
Email: ics@nbc.gov
Internet address: http://www.aqd.nbc.gov/Services/ICS.aspx

B. Single Audit Reporting Statements: As required in Title 2 of the Code of Federal Regulations (CFR) 200, Subpart F, Audit Requirements , all U.S. states, local governments, federally-recognized Indian tribal governments, and non-profit organizations expending $750,000 USD or more in Federal award funds in a fiscal year must submit a Single Audit report for that year through the Federal Audit Clearinghouse's Internet Data Entry System.

All U.S. state, local government, federally-recognized Indian tribal government and non-profit applicants must provide a statement regarding if your organization was or was not required to submit a Single Audit report for the organization's most recently closed fiscal year. If required, state that the report is available on the Federal Audit Clearinghouse Single Audit Database website (http://harvester.census.gov/sac/) and provide the EIN under which that report was submitted.

See the following statements **and include all applicable statements at the end of the Project Narrative in number 10, titled: Statement(s) Regarding Single Audit Reporting**

Single Audit Report **was** required**:**
My organization was required to submit a Single Audit report last year. The reporting period covered was from (insert date) to (insert date). This report, filed under EIN #(insert EIN), is available on the Federal Audit Clearinghouse Single Audit Database website (http://harvester.census.gov/sac/) or will be by (insert date).

OR

Single Audit Report **was not** required**:**
My organization was not required to submit a Single Audit report last year.

C. Assurances
Include the appropriate signed and dated Assurances form available online at http://apply07.grants.gov/apply/FormLinks?family=15. Use the **Assurances for Construction Programs (SF 424D)** for construction and land acquisition projects. Use the **Assurances for Non-Construction Programs (SF 424B)** for all other types of projects. Signing this form does not mean that all items on the form are applicable. The form contains language that states that some of the assurances may not be applicable to your organization and/or your project or program.

D. Certification and Disclosure of Lobbying Activities:

Under Title 31 of the United States Code, Section 1352, an applicant or recipient must not use any federally appropriated funds (both annually appropriated and continuing appropriations) or matching funds under a grant or cooperative agreement award to pay any person for lobbying in connection with the award. Lobbying is defined as influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress connection with the award. Submission of an application also represents the applicant's Certification Regarding Lobbying. If you/your organization have/has made or agrees to make any payment using non-appropriated funds for lobbying in connection with this project AND the project budget exceeds $100,000, complete and submit the **SF LLL, Disclosure of Lobbying Activities** form. See 2 CFR 200.245, Lobbying and 2 FR 200.415, Certifications, for additional information.

FY2017 Detailed Proposal Template

Note: **Limit Detailed Proposal to no more than 10 pages** **(not including references and appendices)**. *Pages beyond the allowed amount will not be reviewed.* Prepare and submit your proposal in Microsoft Word using Garamond and size 11 font.

Project Number: Number assigned by fund administrator
Project Title: Use the following format for titles: Location, Species, Method;
Ex: Black River Chinook Salmon Genetic Sample Collection

Project Leader or Principal Investigator: For the Principal Investigator, include name, agency or organization, address, phone number, email (if available), FAX number.

Project Partner: For each co-investigator identify the name, agency or organization.

List one Category and its corresponding Factor from the R&M Priority List within the Notice of Funding Availability and Application Instructions that best fits the intent of your project.

Stock: Identify the stock or stock group being addressed (specify the unit identified e.g. population, stock grouping, etc.).

Is this a continuing project or does it require multiple years of funding? **Yes / No**
If so, provide the number of years this project has been funded and/or would need funding.
Year ____ of ____.

Justification for Project Duration: Describe the biological, ecological, and/or social reasoning behind your selection of the duration necessary for the project to be completed if it is a multi-year project. *Note* An answer from proponents stating the project will continue until the Panel decides otherwise will not be accepted.*

Project Period of Performance: Start (beginning month, year) and End (submission of approved Final Report- month, year). The start is the date the funding instruments would be completed, signed and work is to begin.

I. INTRODUCTION:

1. Introduction:

Project Justification*:* Describe in detail why there is a need for your project and why it should receive funding from the R&M fund. The specific issue being addressed must be related to one or more of the following specific needs: developing or refining current management techniques, improving public support/participation in management, filling gaps in knowledge of biology and ecology; or improving aquatic habitat.

Project Relevance*:* Briefly explain the goal and value of the proposed project and describe how the proposed project will address: specific management needs; improving aquatic habitat; gaps in knowledge of biology and ecology; or improving public support/participation in management of Yukon River salmon within the Alaskan portion of the Yukon River Basin. To earn a higher ranking under this criteria, investigators should clearly describe how the information collected would ultimately be applied to conservation and regulation of the Yukon River salmon fisheries within the Alaskan portion of the Yukon River Basin.

Project Objectives and Hypotheses: Provide a numbered, annotated listing of your project objectives in the sequence they would be completed; this should not be a narrative in paragraph form. Objectives are the specific outcomes to be accomplished in order to reach the stated goal(s). The project objectives must be specific, measurable, achievable, repeatable, and time bound. If there are multiple investigators, clearly describe which investigator(s) would be responsible for each objective.

This section must also provide a list of clear hypotheses that will be addressed through the project if a research component exists.

a. ***Objective 1:***
    a. ***Hypothesis:***
b. ***Objective 2:***
    a. ***Hypothesis:***

II. TECHNICAL IMPLEMENTATION DETAILS:

2. Methods and Technical Merit:
To improve clarity, please divide this section into the following subsections that represent different components of the project:

a. **Study Area:** List the nearest communities, major watershed and land status (e.g. village or native corporation, state, National Park/Preserve, National Wildlife Refuge, etc.) of project area. Include map of project area. Map should clearly delineate the project area and be large enough to be legible. Label any sites referenced in the project narrative or <u>if **not** applicable to your proposal please mark this is Not Applicable and justify why.</u>

b. **Methods**: Provide details <u>(sampling procedures, etc.)</u> on the methods you will use to address each of the objectives listed above. Demonstrate that you have evaluated or established the most appropriate methods to meet your objectives. That is, what have you already done to prepare for this project (i.e. pilot studies, conducted project in previous years)? Descriptions of the methods employed should be detailed enough to enable reviewers to fully assess the technical components of the project. Provide justification and support for the methodology that you will use

c. **Project Design**: Describe and justify the experimental design, assumptions, required sample size, and/or the type of analyses that will be used for the proposed project. In projects that have a sample size component, please articulate the reasoning for your selected size (i.e. results of power analyses). If project does not contain a statistical design, explain your reasoning for designing the project the way it is. Concisely state the analytical approach.

d. **Project Monitoring and Evaluation:** This section should include the vision of this project beyond this current funding year. Describe how the results of your project will help manage and conserve Yukon River salmon stocks. Describe the anticipated outcomes and/or benefits of the project and identify how you will monitor and/or evaluate the short-term and long-term success of your project. Identify what you will measure and how you will measure if you have achieved your stated objectives. Reference the stated project timetable (i.e., process indicators) and budget information (i.e., input indicators). Identify the products/services to be delivered and how/to whom they will be delivered (i.e., output indictors). Detail the expected direct effect(s) of the project on beneficiaries (i.e., outcome indicators). Include any available questionnaires, surveys, curricula, exams/tests or other assessment tools to be used for project evaluation. Describe the resources and organizational structure available for gathering, analyzing and reporting monitoring and evaluation data. If applicable, describe how project participants and beneficiaries will participate in monitoring and evaluation activities. Describe how findings will be fed back into decision making and project activities throughout the project period.

e. **Sustainability:** As applicable, describe which project activities will continue beyond the proposed project period, who will continue the work or act on the results achieved, and how and at what level you expect these future activities will be funded or if **not** applicable to your proposal please mark this is Not Applicable.

3. ***Project Operation Schedule***: Provide a date (mm/dd/year) of when each project objective will begin and end and who will be responsible for achieving the objective if multiple proponents are involved.
   a. ***Objective 1***:
   b. ***Objective 2***:

   In addition, please complete the table below with timing of when specific portions of your project will be completed.

Task	***May-June***	***July – Aug***	***Sept – Oct***	***Nov – Dec***	***Jan-Feb***	***Mar-Apr***
Project Start						
Sampling						
Data Analysis						
Performance Report				11/06/17		
Report Writing						
Draft Final Report	6/30/2018					
Final Report		8/30/2018				

III. CAPACITY TO DELIVER

4. **Description of Entities Undertaking the Project**: Provide a brief description of the applicant organization and all cooperating entities and/or individuals. Identify which of the proposed activities each agency, organization, group, or individual is responsible for conducting or managing. To prevent unnecessary transmission of Personally Identifiable Information, ***do not include Social Security numbers, the names of family members, or any other personal or sensitive information including marital status, religion or physical characteristics on the description of key personnel qualifications.***

a. Provide the following information in each description:
   i. Education and training
   ii. Duties of current position
   iii. Experience in duties related to the proposal
   iv. Past work on R&M projects

6. **Partnerships and Capacity Building:** Describe the ways in which this project would develop partnerships and build the capability and expertise of members of the communities this project would be occurring in or near. Describe specific plans to hire and train local residents and the type of skills that would be taught. Summarize how the project would promote interaction among rural residents, agencies and other organizations in information gathering, data analysis, reporting, and information sharing.

7. ***Required Licenses and Permits:*** Demonstrate that you have considered what permits or licenses you may be required for this study.

IV. BUDGET

8. **Budget Form**
   Complete the **Budget Information for Non-Construction Programs (SF 424A)** or **Budget Information for Construction Programs (SF 424C) form**. Use the SF 424A if your project does

not include construction and the SF 424C if the project includes construction or land acquisition. The budget forms are available on the Internet at http://apply07.grants.gov/apply/FormLinks?family=15. When developing your budget, keep in mind that financial assistance awards and subawards are subject to the Federal cost principles in Title 2 of the Code of Federal Regulations Part 200, as applicable to the recipient organization type.

Links to the full text of the Federal cost principles are available on the Internet at http://www.ecfr.gov/

Multiple Federal Funding Sources: If the project budget includes multiple Federal funding sources, you must show the funds being requested from this Federal program *separately* from any other requested/secured Federal sources of funding on the budget form. For example, enter the funds being requested from this Federal program in the first row of the Budget Summary section of the form and then enter funding related to other Federal programs in the subsequent row(s). Be sure to enter each Federal program's CFDA number in the corresponding fields on the form. The CFDA number for this Federal program appears on the first page of this funding opportunity.

9 Budget Justification

In a separate narrative titled "**Budget Justification**", explain and justify all requested budget items/costs. Detail how the SF 424 Budget Object Class Category totals were determined and demonstrate a clear connection between costs and the proposed project activities. For personnel salary costs, include the base-line salary figures and the estimates of time (as percentages) to be directly charged to the project. Describe any item that under the applicable Federal cost principles requires the Service's approval and estimate its cost.

If Federally-funded equipment will be used for the project, provide a list of that equipment including the Federal funding source. [Insert any other specific information for applicants to detail in their budget justifications].

V. LITERATURE CITED: Provide complete citations for published literature referenced in the above sections. If **not** applicable to your proposal please mark this is Not Applicable.

VI. STATEMENT(S) REGARDING SINGLE AUDIT REPORTING: Input the applicable statement from Section B. Single Audit Reporting Statements of this document.

APPENDIX B. Yukon River Salmon Research and Management Fund Detailed Proposal Scoring Rubric for FY2017.

Section	Score	Description
Overview (4 pts)	**Category Priority (0.5-2)**	
	2	Category: Assess and achieve fishery management objectives
	1.5	Category: Build and maintain public support of, and meaningful participation in, salmon resource management
	1	Category: Improve understanding of salmon biology and ecology
	0.5	Category: Assess, conserve and restore salmon habitats
	Near Term Priority (0-2)	
	2	Results of the proposed project will directly address both of the near term priorities upon completion.
	1	Results of the proposed projecct will directly address one of the near term priorities up completion.
	0	Proposal does not address either of the near term priority needs.
Introduction (8 pts)	**Justification (0-2)**	
	2	Clearly describes how the information collected would ultimately be applied to conservation and regulation of Alaskan Yukon River salmon.
	0	Did not describe how the information collected would ultimately be applied to conservation and regulation of Alaskan Yukon River salmon.
	Relevance (1-3)	
	3	Project contributes to addressing or improving knowledge towards crucial data gaps and/or management needs of Yukon River salmon species.
	1	Project is unlikely to improve knowledge towards the understanding and/or management of Yukon River salmon species.
	Objectives (1-3)	
	3	Objectives are well described, address the needs of the Panel, and are achievable as presented.
	1	Objectives are poorly described making it difficult to know if they address the needs of the Panel.
Technical Implementation Details (10 pts)	**Methods (0-3)**	
	3	Methods were adequately detailed with sound explanations and reasoning.
	1.5	Methods were presented but lacked detail.
	0	Nothing was provided regarding montitoring or evaluation methods or information was not applicable to the project objectives;
	Monitoring and Evaluation (0-3)	
	2	Descriptions were detailed and complete with sound reasoning and consistent with project objectives
	1	Minimal explanation or information provided to understand how monitoring or evaluation would be completed and reported
	0	Nothing was provided regarding montitoring or evaluation methods or information was not applicable to the project objectives;
	Sustainability (0-2)	
	2	The results of this project will aid in the conservation and management of Yukon River salmon beyond this year of funding.
	1	The results of this project will only assist in the conservation and management of Yukon River salmon during this year.
	Operation (0-2)	
	2	Objectives and project milestones are well described and appear to be achievable.
	1	Objectives and project milestones are poorly described making it difficult to know if they are achievable as presented.
Capacity to Deliver and Cost(7.5 pts)	**Description of Organizations (0-1.5)**	
	1.5	Clearly identifies the roles of the Project Leader and other participants.
	0	Does not identify the Project Leader or the roles of the Principal Project Participants.
	Labor (1-2)	
	2	Wages are appropriate for the level of work being conducted.
	1	Wages are excessive for the level of work being conducted
	Administration (0-2)	
	2	Overhead costs are 0<15% of the total project costs
	1	Overhead costs are 15-30% of the total project costs
	0	Overhead costs >30% of the total project cost
	Budget Justification (1-2)	
	2	Project costs are consistent with other similar projects.
	1	Project costs are excessive when compared to other similar projects.