

Office of Science Applications

North West Boreal Landscape Conservation Center (NWB LCC)

Catalog of Federal Domestic Assistance (CFDA) Number: 15.669

Funding Opportunity Announcement Number: **F16AS00286**

SUBMISSION DEADLINE: June 22, 2016 at 4:00 p.m. Alaska Standard Time (AKST) = GMT-9

Notice of Funding Opportunity

The US Fish and Wildlife Service, Region 7 intends to award a single source financial assistance agreement as authorized by 505 DM 2.14 (B) to Wildlife Management Institute, Inc. This notice is not a request for proposals and the Government does not intend to accept proposals.

I. Description of Funding Opportunity

U.S. Fish & Wildlife Service opportunity titled: "Support for the implementation of landscape conservation design through Alaska's LCC's" is being announced under the following authorities:

Fish and Wildlife Conservation Act, as amended, (16 USC 2901-2911) and the Fish and Wildlife Act of 1956, 16 USC 753a.

Alaska and Northwest Canada LCCs are seeking support for the implementation of landscape conservation design. This includes supporting stakeholder workshops; managing projects to assess current and future landscape condition and filling important science and information gaps; developing coordinated monitoring and evaluation; and communication.

The NWB LCC is made up of diverse partner organizations from across more than 330 million acres of boreal forests, alpine habitat, wetlands and rivers, spanning an altitudinal range from sea level to the highest point in North America. One of the largest LCCs in the LCC Network (lccnetwork.org), the NWB partnership includes the major metropolitan hubs and transportation infrastructure of the region, including the two largest cities in Alaska and the largest city in Yukon. The geographic region of the NWB LCC includes the boreal and boreal transition zones of Alaska, Yukon, northern British Columbia and westernmost Northwest Territories. The purpose of the NWB LCC is to support collaborative efforts.

II. Federal Award Information

- U.S. Fish & Wildlife Service expects this single source Cooperative Agreement would be between \$10,000 and \$500,000 annually and would be subject to availability of funds;
- The U.S. Fish & Wildlife Service would fund this project as a cooperative agreement, if applicant is successful.
- The initial funding period for the 2016 Federal Fiscal year, would cover activities/performance from July 1, 2016 to June 30, 2017.
- Additional funding periods for the next four years is possible depending on the availability of funds and future appropriations.

When a cooperative agreement award is made then substantial involvement on the part of the USFWS is required for the successful completion of the activities to be funded. The USFWS anticipates to be responsible for the following however final tasking will be determined before the official award is executed:

1. Assist in establishing and defining meeting and workshop objectives and meeting attendees in need of logistical or travel support.
2. Work with the recipient to oversee the development of a communications plan and social-ecological network analysis and to provide support to partners on both projects.
3. Work directly with the recipient on project management.

III. Eligibility Information

Eligible Applicants: Restricted – Only Wildlife Management Institute, Inc. is an eligible applicant for this grant.

U.S. non-profit, non-governmental organizations **must** provide a copy of their Section 501(c)(3) or (4) status determination letter received from the Internal Revenue Service.

Federal law mandates that all entities applying for Federal financial assistance must have a valid Dun & Bradstreet Data Universal Number System (DUNS) number and have a current registration in the System for Award Management (SAM). See Title 2 of the Code of Federal Regulations (CFR), Part 25 for more information. Exemptions: The SAM registration requirement does not apply to individuals submitting an application on their own behalf and not on behalf of a company or other for-profit entity, state, local or Tribal government, academia or other type of organization.

Federal Award may not be made to an applicant until the applicant has complied with all applicable unique entity identifier and SAM requirements additionally if an applicant has not fully complied with the requirements by the time the Service is ready to make the award, the Service may determine that the applicant is not qualified to receive a Federal award and use that determination as a basis for making a Federal award to another applicant.

A. DUNS Registration

Request a DUNS number online at <http://fedgov.dnb.com/webform>. U.S.-based entities may also request a DUNS number by telephone by calling the Dun & Bradstreet Government Customer Response Center, Monday – Friday, 7 AM to 8 PM CST at the following numbers:

U.S. and U.S Virgin Islands: 1-866-705-5711

Alaska and Puerto Rico: 1-800-234-3867 (Select Option 2, then Option 1)

For Hearing Impaired Customers Only call: 1-877-807-1679 (TTY Line)

Once assigned a DUNS number, entities are responsible for maintaining up-to-date information with Dun & Bradstreet.

B. Entity Registration in SAM

All applicants (unless the applicant is an individual or Federal awarding agency that is excepted from those requirements under 2 CFR §25.110(b) or (c) or has an exception approved by the Federal awarding agency under 2 CFR §25.110(d) is required to:

- i. Be registered in SAM before submitting its application;
- ii. Provide a valid unique entity identifier in its application; and

- iii. Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency.

Register in SAM online at <http://www.sam.gov/>. Once registered in SAM, entities must renew and revalidate their SAM registration at least every 12 months from the date previously registered. Entities are strongly urged to revalidate their registration as often as needed to ensure that their information is up to date and in synch with changes that may have been made to DUNS and IRS information. Foreign entities who wish to be paid directly to a United States bank account must enter and maintain valid and current banking information in SAM.

C. Excluded Entities

Applicant entities or their key project personnel identified in the SAM.gov Exclusions database as ineligible, prohibited/restricted or excluded from receiving Federal contracts, certain subcontracts, and certain Federal assistance and benefits will not be considered for Federal funding, as applicable to the funding being requested under this Federal program.

D. Cost Sharing or Matching:

Applicants may attribute some or all of their allowable indirect costs as cost-share/match, however recipients may only charge to the Federal award the indirect costs calculated against the allowable direct costs charged to the Federal award. Recipients may not charge to the Federal award indirect costs calculated against: 1) any portion of the recipient's direct costs; or 2) any portion of the direct costs charged to any other Federal or non-Federal partner.

IV. Application Requirements

To be considered for funding under this funding opportunity, an application must contain:

A. Application for Federal Assistance form

Applicants must submit a completed, signed and dated Application for Federal Assistance, i.e. Standard Form (SF) 424, Application for Federal Assistance

Do not include other Federal sources of funding, requested or approved, in the total entered in the "Federal" funding box on the Application for Federal Assistance form. Enter only the amount being requested under this program in the "Federal" funding box. Include any other Federal sources of funding in the total funding entered in the "Other" box.

B. Project Summary

Briefly summarize the project, in one page or less. Include the title of the project, geographic location, and a brief overview of the need for the project. Goal(s), objectives, specific project activities, anticipated outputs and outcomes can also be included in this section.

C. Project Narrative

1. **Statement of Need:** Describe why this project is necessary (significance/value) and include supporting information. Summarize previous or on-going efforts (of you/your organization, and other organizations or individuals) that are relevant to the proposed work. Explain the successes or failures of past efforts and how your proposed project builds on them. If you have received funding previously (from the Service or any other donor) for this specific project work or site, provide a summary of the funding, associated activities and products/outcomes.

2. **Project Goals and Objectives:** State the long-term, overarching goal(s) of the program/project. State the objectives of the project. Objectives are the specific outcomes to be accomplished in order to reach the stated goal(s). The project objectives must be specific, measurable, and realistic (attainable within the project's proposed project period).
3. **Project Activities, Methods and Timetable:** List the proposed project activities and describe how they relate to the stated objectives. Activities are the specific actions to be undertaken to fulfill the project objectives and reach the project goal(s). The proposed project activities narrative must be detailed enough for reviewers to make a clear connection between the activities and the proposed project costs. For projects being conducted within the United States, the narrative must provide enough detail so that reviewers are able to determine project compliance with the National Environmental Policy Act, Section 7 of the Endangered Species Act, and Section 106 of the National Historic Preservation Act. For projects being conducted on the high seas, the narrative should provide enough detail so that reviewers are able to determine project compliance with Section 7 of Endangered Species Act. Provide a detailed description of the method(s) to be used to carry out each activity. Provide a timetable indicating roughly when activities or project milestones are to be accomplished. Include any resulting tables, spreadsheets or flow charts within the body of the project narrative (do not include as separate attachments). The timetable should not propose specific dates but instead group activities by month for each month over the entire proposed project period.
4. **Stakeholder Coordination/Involvement:** As applicable, describe how you/your organization has coordinated with and involved other relevant organizations or individuals in planning the project, and detail if/how they will be involved in conducting project activities, disseminating project results and/or incorporating your results/products into their activities or if not applicable to your proposal please mark this is Not Applicable.
5. **Project Monitoring and Evaluation:** Detail the monitoring and evaluation plan for the project. Building on the stated project objectives, which must be specific and measurable, identify what you will measure (i.e., quantitative/quantifiable indicators) and how you will measure (i.e., methods, sample size, survey tools). 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 indicators). 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.
6. **Description of Entities Undertaking the Project:** Provide a brief description of the applicant organization and all participating entities and/or individuals. Identify which of the proposed activities each agency, organization, group, or individual is responsible for conducting or managing. Provide complete contact information for the individual within the organization that will oversee/manage the project activities on a day-to-day basis. If eligibility for funding is based in whole or in part on the qualifications of key personnel, provide for each key person a brief (1-2 pages) but descriptive overview of their education, experience and other skills that make them qualified to carry out the proposed project. 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.*

7. **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.
8. **Literature Cited:** if not applicable to your proposal please mark this is Not Applicable.
9. **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 if not applicable to your proposal please mark this is Not Applicable.
10. **Statement(s) Regarding Single Audit Reporting:**
Input the applicable statement from Section F. Single Audit Reporting Statements of this document.

D. 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.

E. 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.

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@ibc.gov
 Internet address: <http://www.aqd.nbc.gov/Services/ICS.aspx>

- F. 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.

G. 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.

H. 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.

Application Checklist

(All applicants expect Federal Entities; Federal Entities see checklist below)

- 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, Application for Federal Assistance:** A complete, signed and dated SF 424, SF 424-Mandatory, or SF 424- Individual form
- SF 424 Budget form:** A complete SF 424A or SF 424C Budget Information form
- SF 424 Assurances 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

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

V. Submission Instructions

SUBMISSION DEADLINE: June 22, 2016 at 4:00 p.m. Alaska Standard Time (AKST) = GMT-9 (PERIOD: Second Sunday of March up to the First Sunday of November)

- i. Any deadline in terms of a date and local time. If the due date falls on a Saturday, Sunday or Federal Holiday, the reporting package is due the next business day.
- ii. The application must be electronically submitted and/or postmarked by **June 22, 2016 at 4:00 p.m. Alaska Standard Time (AKST) = GMT-9 (PERIOD: Second Sunday of March up to the First Sunday of November)**
- iii. Late applications are neither reviewed nor considered (or are reviewed and considered under some circumstances)
- iv. USFWS determines the proof of mailing or system-generated documentation of receipt date and time as acceptable.

Download the Application Package linked to this Funding Opportunity on Grants.gov to begin the application process. Downloading and saving the Application Package to your computer makes the required government-wide standard forms fillable and printable. Completed applications may be submitted by mail, by email, electronically through Grants.gov, or as otherwise described in the Grants.gov funding opportunity.

To submit an application by e-mail:

Format all of your documents to print on Letter size (8 ½" x 11") paper. Format all pages to display and print page numbers. Scanned documents should be scanned in Letter format, as black and white images only. Where possible, save scanned documents in .pdf format. E-mail your application to the Service program point of contact identified in the Grants.gov funding opportunity.

The required SF 424 Application for Federal Assistance and Assurances forms and any other required standard forms **MUST** be signed by your organization's authorized official. The Signature and Date fields on the standard forms downloaded from Grants.gov are pre-populated with the text "Completed by Grants.gov upon submission" or "Completed on submission to Grants.gov". Remove this text (manually or digitally) before signing the forms.

VI. Application Review

Criteria: To be considered for funding, applications must

1. Clear understanding of government needs.

Note: The following aspects will be taken into account:

Alaska and Northwest Canada LCCs are in need of support in the implementation of landscape conservation design. This includes supporting stakeholder workshops; managing projects to assess current and future landscape condition and filling important science and information gaps; developing coordinated monitoring and evaluation; and communication. (Max: **5 points**)

Comments:

2. Technical approach to performing work.

Note: The following aspects will be taken into account:

Strengthening Landscape Conservation Design by implementing successful stakeholder meetings, effective project management, improved communications. Effectiveness of the proposed measures to disseminate project results.

(Max: **5 points**)

Comments:

3. Technical approach to performing work.

Note: The following aspects will be taken into account:

Strengthening Landscape Conservation Design by implementing successful stakeholder meetings, effective project management, and improved communications. Effectiveness of the proposed measures to disseminate project results.

(Max: **5 points**)

Comments:

4. Quality and efficiency of the implementation

Note: The following aspects will be taken into account:

Coherence and effectiveness of the work plan, including appropriateness of the allocation of tasks and resources; Cooperativeness and leveraging of resources among the participants within the Alaska Landscape Conservation Cooperatives. (Max: **5 points**)

Comments:

5. Past performance with work that is similar in scale and scope.

Note: The following aspects will be taken into account:

Provide past performance information. Include an example of current or recently completed projects that are similar in scale/scope; include quality of service, timeliness/responsiveness, resolving customer satisfaction problems, and cost control. (Max: **5 points**)

Comments:

Review and Selection Process:

Scoring

Scores must be in the range 0-5. Half marks may be given. Evaluators will be asked to score proposals as they were submitted, rather than on their potential if certain changes were to be made. When an evaluator identifies significant shortcomings, he or she must reflect this by awarding a lower score for the criterion concerned.

Interpretation of the scores

- 0** — The **proposal fails to address the criterion** or cannot be assessed due to missing or incomplete information.
- 1** — **Poor** - The criterion is inadequately addressed, or there are serious inherent weaknesses.
- 2** — **Fair** - The proposal broadly addresses the criterion, but there are significant weaknesses.
- 3** — **Good** - The proposal addresses the criterion well, but a number of shortcomings are present.
- 4** — **Very Good** - The proposal addresses the criterion very well, but a small number of shortcomings are present.
- 5** — **Excellent** - The proposal successfully addresses all relevant aspects of the criterion. Any shortcomings are minor.

Prior to participating in any review or evaluation process, all staff and peer reviewers, evaluators, panel members, and advisors must sign and return to the program office point of contact the “Department of the Interior Conflict of Interest Certification” form. For a copy of this form, contact the Service point of contact identified in the Agency Contacts section below.

Risk Assessment:

As part of the review process, the U.S. Fish and Wildlife Service is required in accordance with the Department of Interior Guidance (DIG 2011-03), to conduct a risk assessment prior to the award of an Financial Assistance Agreements or a revision to increase funding.. The requirement states that once a Fiscal Year (FY) each recipient, who will be awarded one or more grant or cooperative agreement award(s), will have a risk assessment conducted. The risk assessment will include, but is not limited to the following areas:

- Potential for Implementation problems
- Financial Management Systems and Funds Management Records
- Performance Track Record
- Staff Level and Key Qualifications
- Project Delivery Experience
- Award Administration and Reporting Compliance
- Single Audit Submissions and Results
- Other Factors that may Impact Risk Level

The results of the assessment will determine the appropriate level of monitoring activities that the Service will require for successful project/award completion. If you are selected for award under this NOFO, all applicable monitoring protocols will be incorporated into your Notice of Award Letter (NOAL).

VII. Federal Award Administration

Federal Award Notices: Following review, applicants may be requested to revise the project scope and/or budget before an award is made. You may receive an information notice of intent from the Service program Project Officer stating that your application has been selected for the intent to award, this is not

the official Notice of Award. Successful applicants will receive written notice in the form of a notice of award document. Notices of award are typically sent to recipients by e-mail. If e-mail notification is unsuccessful, the documents will be sent by courier mail (e.g., FedEx, DHL or UPS). Award recipients are not required to sign/return the Notice of Award document. Acceptance of an award is defined as starting work, drawing down funds, or accepting the award via electronic means. Awards are based on the application submitted to, and as approved by, the Service. The notice of award document will include instructions specific to each recipient on how to request payment. If applicable, the instructions will detail any additional information/forms required and where to submit payment requests. Applicants whose projects are not selected for funding will receive written notice, most often by e-mail, within 30 days of the final review decision.

Administrative and National Policy Requirements:

- i. **Domestic Recipient Payments:** Prior to award, the Service program office will contact you/your organization to either enroll in the U.S. Treasury's Automated Standard Application for Payments (ASAP) system or, if eligible, obtain approval from the Department of the Interior to be waived from using ASAP.

Domestic applicants subject to the SAM registration requirement (see Section III B.) who receive a waiver from receiving funds through ASAP must maintain current banking information in SAM. Domestic applicants exempt from the SAM registration requirement who receive a waiver from receiving funds through ASAP will be required to submit their banking information directly to the Service program. However, *do NOT submit any banking information to the Service until it is requested from you by the Service program!*

- ii. **Transmittal of Sensitive Data:** Recipients are responsible for ensuring any sensitive data being sent to the Service is protected during its transmission/delivery. The Service strongly recommends that recipients use the most secure transmission/delivery method available. The Service recommends the following digital transmission methods: secure digital faxing; encrypted emails; emailing a password protected zipped/compressed file attachment in one email followed by the password in a second email; or emailing a zipped/compressed file attachment. The Service strongly encourages recipients sending sensitive data in paper copy to use a courier mail service. Recipients may also contact their Service Project Officer and provide any sensitive data over the telephone.
- iii. **Award Terms and Conditions:** Acceptance of a financial assistance award (i.e., grant or cooperative agreement) from the Service carries with it the responsibility to be aware of and comply with the terms and conditions applicable to the award. Acceptance is defined as the start of work, drawing down funds, or accepting the award via electronic means. Awards are based on the application submitted to and approved by the Service and are subject to the terms and conditions incorporated into the notice of award either by direct citation or by reference to the following: Federal regulations; program legislation or regulation; and special award terms and conditions. The Federal regulations applicable to Service awards are available on the Internet at <http://www.fws.gov/grants/>. If you do not have access to the Internet and require a full text copy of the award terms and conditions, contact the Service point of contact identified in the Agency Contacts section below.

Recipient Reporting Requirements:

- i. **Financial and Performance Reports:** Interim financial reports and performance reports may be required. Interim reports will be required no more frequently than quarterly, and no less frequently than annually. A final financial report and a final performance report will be required

and are due within 90 calendar days of the end date of the award. Performance reports must contain: 1) a comparison of actual accomplishments with the goals and objectives of the award as detailed in the approved scope of work; 2) a description of reasons why established goals were not met, if appropriate; and 3) any other pertinent information relevant to the project results.

ii. **Significant Development Reports:**

Events may occur between the scheduled performance reporting dates that have significant impact upon the supported activity. In such cases, recipients are required to notify the Service in writing as soon as the following types of conditions become known:

- Problems, delays, or adverse conditions that will materially impair the ability to meet the objective of the Federal award. This disclosure must include a statement of any corrective action(s) taken or contemplated, and any assistance needed to resolve the situation.
- Favorable developments that enable meeting time schedules and objectives sooner or at less cost than anticipated or producing more or different beneficial results than originally planned.

The Service will specify in the notice of award document the reporting and reporting frequency applicable to the award.

iii. **Conflict of Interest Disclosures:**

The recipient must establish safeguards to prohibit its employees and subrecipients from using their positions for purposes that constitute or present the appearance of a personal or organizational conflict of interest. The recipient is responsible for notifying the Grants Officer in writing of any actual or potential conflicts of interest that may arise during the life of this award. Conflicts of interest include any relationship or matter which might place the recipient or its employees in a position of conflict, real or apparent, between their responsibilities under the agreement and any other outside interests. Conflicts of interest may also include, but are not limited to, direct or indirect financial interests, close personal relationships, positions of trust in outside organizations, consideration of future employment arrangements with a different organization, or decision-making affecting the award that would cause a reasonable person with knowledge of the relevant facts to question the impartiality of the recipient and/or recipient's employees and subrecipients in the matter.

The Grants Officer and the servicing Ethics Counselor will determine if a conflict of interest exists. If a conflict of interest exists, the Grants Officer will determine whether a mitigation plan is feasible. Mitigation plans must be approved by the Grants Officer in writing. Failure to resolve conflicts of interest in a manner that satisfies the government may be cause for termination of the award.

Failure to make required disclosures may result in any of the remedies described in 2 CFR 200.338; including suspension or debarment (see also 2 CFR part 180).

iv. **Other Mandatory Disclosures:**

Recipients and their subrecipients must disclose, in a timely manner, in writing to the Service or pass-through entity all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting this award. Non-Federal entities that have received a Federal award including the term and condition outlined in 2 CFR 200, Appendix XII—Award Term and Condition for Recipient Integrity and Performance Matters are required to report certain civil, criminal, or administrative proceedings to SAM. Failure to make required disclosures can result

in any of the remedies described in 2 CFR 200.338, Remedies for noncompliance, including suspension or debarment (See 2 CFR 200.113, 2 CFR Part 180, 31 U.S.C. 3321, and 41 U.S.C. 2313).

VIII. Federal Awarding Agency Contact(s)

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