I. Description of Funding Opportunity
The U.S. Fish and Wildlife Service (Service) requests interested entities to submit research, restoration, and Regional Project proposals for the restoration of the Great Lakes Basin fish and wildlife resources, as authorized under the Great Lakes Fish and Wildlife Restoration Act (16 USC 941c).

The purpose of the Great Lakes Fish and Wildlife Restoration Act (GLFWRA) is to provide assistance to States, Indian Tribes, and other interested entities to encourage cooperative conservation, restoration and management of the fish and wildlife resources and their habitats in the Great Lakes Basin.

All proposals should focus on the restoration of fish and/or wildlife resources and their habitats in the Great Lakes Basin and should be consistent with the goals of the Great Lakes Fish and Wildlife Restoration Act of 2016 and the recommendations of the Great Lakes Regional Collaboration’s “Strategy to Restore and Protect the Great Lakes.” Proposals should also be consistent with one or more of the following:

a. The Great Lakes Restoration Initiative Action Plan II;
b. The goals of the Great Lakes Water Quality Agreement;
c. The Non-indigenous Aquatic Nuisance Prevention and Control Act as reauthorized by the National Invasive Species Act;
d. The recommendations from the Great Lakes Fishery Resources Restoration Study of 1995;
e. The fish community objectives identified by the lake committees and the Council of Lake Committees;
f. The Convention on Great Lakes Fisheries;
g. The Joint Strategic Plan for Management of Great Lakes Fisheries;
h. The North American Waterfowl Management Plan;
i. Addresses research and/or monitoring priorities of the Upper Mississippi River and Great Lakes Region Joint Venture 2007 Implementation Plan;
j. Applicable State Wildlife Action Plans; and
k. Additional step down plans that further specify the implementation of the goals and objectives of the above plans at the state, tribal, watershed or local level.

Department of Interior’s Secretarial Priorities

The Secretary of the Department of Interior (DOI) developed a list of ten priorities noted below to support both the public purpose and Service and DOI missions. All but number 9 of the Secretarial priorities align with the six goals of the GLFWRA. During the development of your
proposals, consider how the Service’s GLFWRA funding will be used to support those nine Secretarial priorities:

1) Creating a conservation stewardship legacy second only to Teddy Roosevelt
2) Utilizing our natural resources
3) Restoring trust with our local communities
4) Ensuring sovereignty means something
5) Generating additional revenues to support DOI’s and National interests
6) Protecting our people and the border
7) Striking a regulatory balance
8) Modernizing our infrastructure
9) Reorganizing for the next 100 years
10) Achieving our goals and leading our team forward

Proposals submitted are reviewed and recommended for funding to the Service by the GLFWRA Proposal Review Committee (PRC). Since 1998, the Act has provided $26.3 million dollars in federal funding to 165 research, restoration and Regional projects, combined with required matching funds equates to $38.3 million worth of benefits to Great Lakes fish, and wildlife resources. More than 121 organizations have contributed nearly $12.1 million in matching non-federal partner support.


II. Award Information
Supported in part by the Great Lakes Restoration Initiative, we expect approximately $1.56 million to support projects this fiscal year. Available funding and project awards are subject to final Congressional appropriations for Fiscal Year 2018.

Up to 33 and one-third percent of the total Congressional appropriation to the GLFWRA is eligible to fund Regional Projects.

Successful restoration and research projects have ranged from $2,300 to $2,000,000 with the average project at $124,975. Number of grants awarded this fiscal year is expected to range between 5 and 8. Typically project period is 1 to 4 years.

Selected restoration and research proposals, and Regional Projects will be awarded funding for the duration of the project via a grant or cooperative agreement between the recipient and the Service. Funding will be made available once the official award letter has been received and the performance period has started. Continuation of projects funded in previous fiscal years is eligible but will be considered and reviewed as a new project.
For cooperative agreements, the Service anticipates to be substantially involved by performing one or more of the following activities:

- Participating and working closely with the recipient in carrying out the scope of work, including training recipient personnel or detailing Federal personnel to work on the project effort.
- Reviewing and approving one stage of work before the next stage can begin.
- Prior to award, reviewing and approving proposed modifications or sub-awards.
- Helping select project staff or trainees.
- Directing or redirecting the work because of interrelationships with other projects.
- Reserving the right to immediately halt an activity if detailed performance specifications are not met.
- Limiting recipient discretion with respect to scope of work, organizational structure, staffing, mode of operations and other management processes, coupled with close monitoring or operational involvement during performance under the award.

### III. Basic Eligibility Requirements

**Eligible Applicants:** States, Federally Recognized Indian Tribal Governments, and Native American Treaty Organizations within the Great Lakes Basin are eligible. Local governments, non-governmental organizations, universities, and conservation organizations (either within or outside of the basin) may receive funding if sponsored by an institution listed above.

**Sponsorship:** During the development of the pre-proposal make sure you discuss your project with the natural resource agency (e.g., local staff) in the Great Lakes Basin that has management authority (State and/or Tribal natural resource agencies) where your project will take place on the ground or will potentially benefit. This is the first step in obtaining sponsorship for your project. Proof of sponsorship is not required at the pre-proposal stage.

If you get invited to submit a full proposal, contact information for a PRC member will be provided to you, so you can discuss your project, and obtain required sponsorship to be eligible to receive funding.

**Regional Projects:** Regional Project proposals must be submitted by a State Director and/or Tribal Chair (or a joint submission from the supervisors of the agency’s fish and wildlife programs on behalf of the Director or Tribal Chair). Regional Project proposals should impact multiple States and/or Tribes and consequently must include the signature or other written documentation of all State Directors and Tribal Chairs who support the project (or joint signatures or letter of support from the supervisors of the agency’s fish and wildlife programs on behalf of the State Director or Tribal Chair).

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.

Applicants must ensure that activities occurring outside the United States are coordinated as necessary with appropriate U.S. and foreign government authorities and that any necessary licenses, permits, or approvals are obtained prior to undertaking proposed activities. The Service
does not assume responsibility for recipient compliance with the laws and regulations of the country in which the work is to be conducted.

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.

A. DUNS Registration
Request a DUNS number at [http://fedgov.dnb.com/webform](http://fedgov.dnb.com/webform). For technical difficulties, contact Dun & Bradstreet by email at: [govt@dnb.com](mailto:govt@dnb.com), or by calling the Government Customer Resource Center at voice phone: 866-705-5711 or TTY line: 877-807-1679 (hearing impaired customers only). Once assigned a DUNS number, entities are responsible for maintaining up-to-date information with Dun & Bradstreet.

B. Entity Registration in SAM
Register in SAM at [www.sam.gov](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.

Note: The official U.S. government website address for SAM is [www.sam.gov](http://www.sam.gov). There is NO COST to register in or access SAM.gov. There are third-party vendors who charge a fee in exchange for registering entities in SAM; please be aware that you can register to do business with the U.S. government FOR FREE directly in SAM at [www.sam.gov](http://www.sam.gov).

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. The Service conducts a review of the SAM.gov Exclusions database for all applicant entities and their key project personnel prior to award.

D. Cost Sharing or Matching
Non-Federal Match Changes: The 2016 Reauthorization of the GLFWRA made some significant changes to allowable non-federal match as it relates to time period, and land and conservation easements.
**Time Period for Providing Non-Federal Match:** The non-federal share of the cost of implementing a proposal may be provided at any time during the 2 year period preceding January 1 of the year in which the Service receives the restoration and/or research pre-proposal or Regional Project proposal.

**Sources of Non-Federal Match:**
- The appraised value of land or a conservation easement connected with the project.
- The costs associated with securing a conservation easement; and restoration or enhancement of the conservation easement.
- Appraisal of conservation easement. The value of a conservation easement may be used to meet the non-federal share of the cost of implementing a proposal, as long as it meets the following:
  1. Within the 2 year time period for allowable match;
  2. Is acquired before the end of the proposal grant period;
  3. Is held in perpetuity for conservation purposes of Service programs, related to the Great Lakes Basin, and a) by an accredited land trust or conservancy or a Federal, State, or tribal agency; b) is connected either physically or through a conservation planning process to the proposal; and c) the appraisal valuation date shall not be later than 1 year after the price of the conservation easement was set under a contract.
  4. The appraisal shall conform to the Uniform Standards of Professional Appraisal Practice (USPAP) and completed by a Federal or State certified appraiser.
  5. All costs associated with securing a conservation easement and restoration or enhancement of that conservation easement may be used to meet the non-federal match of implementing a proposal. The costs may include cash, in-kind contributions, and indirect costs. The costs may not be associated with mitigation or litigation (other than costs associated with the Natural Resource Damage Assessment program).

**Restoration and Research Proposals:** All proposals require a **25% non-federal match.** Not less than 25% of the **total cost** of implementing a proposal shall be paid in cash or in-kind contributions by non-Federal sources.

The required match is **25% of the total project costs** (funding request + non-federal match). For example, if the request for federal funding is for $50,000, the minimum required non-federal match is $16,666.66, and the total project costs would be $66,666.66. ($50,000 / 0.75 = $66,666.66 - $50,000.00 = $16,666.66).

Restoration and research pre-proposals without a 25% non-federal match will not be considered.

**Regional Projects:** Regional Project proposals selected shall be exempt from cost sharing or partner match if the Service’s Midwest Region Director determines that the authorization for the project does not require a non-federal cost-share.

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:

The request for restoration and research project pre-proposal, and Regional Project proposal templates can be downloaded at the Great Lakes Fish and Wildlife Restoration Act internet site or from Grants.gov under this opportunity.

Restoration and Research Pre-proposals: Restoration and research pre-proposals are limited to two pages and must include the following information: management implication or application, project title; project applicant(s); GPS coordinates, costs; project dates; rationale; relevancy, objectives; methods; deliverables/products and a one page only curriculum vitae or resume for each applicant involved in the project.

Restoration and Research Full Proposals: Those applicants invited to submit full proposals (during February 2018) will be required to submit the same information as included in the pre-proposals, but with more detail that may include providing a response to comments/suggestions from the PRC that will be sent via email. The following information must be included in detail: management implication or application, rationale; GPS coordinates; objectives; methods; deliverables; schedule for completion; past and current funding support; references; information on how each of the eight review criteria are addressed; one page resume or curriculum vitae for each person involved in the project; source of the non-federal match and budget sheet(s); and funding requested budget sheet(s) including direct and indirect costs. Letters of support are encouraged.

For restoration and research, and Regional Project proposals approved for funding, applicants will be required to provide further information as required by the Service to achieve compliance with the National Environmental Policy Act (42 USC 4321-4347), Endangered Species Act (16 USC 1531-1544), or other requirements as referenced in sections below.

Regional Projects: Final Service work plans for Regional Projects recommended for funding by the PRC will be developed among the applicants submitting the project and the identified Service project manager.

Funding Guidelines and Restrictions: The Proposal Review Committee has established the following guidelines and restrictions for funding provided through the Act.

- Not less than 25% of the total cost of implementing a proposal shall be paid in cash or in-kind contributions by non-Federal sources.
- Construction and engineering costs are allowed for restoration projects that directly benefit fish and wildlife resources in the Great Lakes Basin.
- Equipment purchases are allowable for those items necessary to meet the stated project objectives and shall follow the requirements within 2 CFR 200, including but not limited to 2 CFR 200.12, 2 CFR 200.313, and 200.407.
• The PRC recommends applicants limit indirect costs to 5% in order to put as much funding as possible into actual research or on the ground habitat restoration.

• Indirect Cost – You will need to do the one of the following related to indirect costs. Either Provide: 1). A copy of your current Negotiated Indirect Cost Rate Agreement (NICRA), and 2). A written statement signed by the official having the authority to negotiate indirect cost rates for the recipient organization notifying us that they will assess a reduced indirect cost rate. This statement must also specify to which project(s) the reduced rate will apply, or 3). A statement in the Budget Justification Narrative indicating recipient organization does not have a NICRA.

• Funding is not available for salaries of permanent or tenured staff; however, tenured staff on less than 12 month appointments are eligible for funding (e.g., 9 month tenured staff would be eligible for up to 3 months funding). Staff on soft money or with annual contracts are eligible for funding.

• The development of management plans is not eligible for funding; however, gathering important information for the development of management plans and implementing actions listed in management plans are eligible for funding.

• Travel funding to attend and present results at conferences is limited to $1,000 per person, up to a maximum of $2,000 per award.

• All funded projects are required to document compliance with the National Environmental Policy Act (NEPA). Pursuant to this, successful applicants must complete a series of environmental checks and/or documents to ensure compliance. Depending on the scope and scale of the project this may be as simple as a NEPA checklist or as complex as the preparation of an Environmental Impact Statement. Service funds cannot be used to complete on the ground work until NEPA compliance has been documented.

• **Grant funds may be used** for project activities that occur after the receipt of the full proposal (March 30, 2018), however, costs must be authorized and approved by the Service per 2 CFR 200 and costs will NOT be reimbursed if the proposal is not approved for funding. Project activities that occur before the receipt of the full proposal (March 30, 2018) are ineligible as a grant activity and will not be reimbursed with grant funds.

• Successful applicants will be expected to provide performance and financial reporting in accordance with the due dates described in the Notice of Award document they will receive from the Service. Failure to meet these due dates can result in suspension of the ability to withdraw funds, termination of the award, withholding of other federal awards, and will be noted for future Service funding decisions.

**NOTE:** The following information starting below with “A. Application for Federal Assistance Form” through “Application Checklist” is required if you are submitting a Regional Project proposal. If you are submitting a restoration or research Pre-Proposal this information is not required at this time, but will be required if you get invited to submit a full proposal.

### A. Application for Federal Assistance Form

A completed, signed and dated SF 424 Application for Federal Assistance form ([http://www.grants.gov/web/grants/forms/sf-424-family.html#sortby=1](http://www.grants.gov/web/grants/forms/sf-424-family.html#sortby=1)). 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. 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://www.grants.gov/web/grants/forms/sf-424-family.html#sortby=1](http://www.grants.gov/web/grants/forms/sf-424-family.html#sortby=1). 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/](http://www.ecfr.gov/).

Note on Multiple Federal Funding Sources: If the project budget includes multiple Federal funding sources, you must show the funds being requested from this Federal program on the budget form separately from any other requested/secured Federal sources of funding. 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.

C. 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: Recipients that do not have an approved indirect cost rate cannot charge indirect costs to their Federal award. 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]. [Insert either: “A copy of our most recently approved but expired rate agreement is attached. In the event an award is made, we will submit an indirect cost rate proposal to our cognizant agency within 90 calendar days after the award is made.” or “A copy of our current, approved rate agreement(s) 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 and has an indirect cost rate that is lower than 10%. Our indirect cost rate is [insert rate; must be lower than 10%]. 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 indirect cost rate of [insert rate; must be lower than 10%] of [insert a clear description of the direct cost base against which your rate is charged (e.g., salaries; salaries and fringe benefits; or modified total direct costs). However, please note that your organization cannot charge indirect costs in excess of the indirect costs that would be recovered if applied against modified total direct costs as defined in 2 CFR 220.68]. We understand that we must notify the Service in writing immediately if we establish an approved rate with our cognizant agency at any point during the award period.

6. A [insert your organization type] that has never submitted an indirect cost rate proposal to our cognizant agency and has an indirect cost rate that is 10% or higher. Our indirect cost rate is [insert your organization’s indirect rate; must be 10% or higher]. However, 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 minimis indirect cost rate of 10% of modified total direct costs as defined in 2 CFR 200.68. We understand that we must notify the Service in writing immediately if we do establish an approved rate with our cognizant agency at any point during the award period. We understand that additional Federal funds may not be available to support an unexpected increase in indirect costs during the project period and such changes are subject to review, negotiation, and prior approval by the Service.

7. 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. In accordance with 2 CFR 200.405, we understand that indirect costs not recovered due to a voluntary reduction to our federally negotiated rate are not allowable for recovery via any other means.

8. 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 a flat _de minimis_ 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.
- Recipients may not charge to their Service award any indirect costs calculated against the portion of total direct project costs paid by any other Federal funding source or non-Federal partner.
- 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 [https://www.fws.gov/grants/utc.html](https://www.fws.gov/grants/utc.html).

Negotiating an Indirect Cost Rate with the Department of the Interior: Entities that do not have a NICRA must first 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
- 650 Capitol Mall, Suite 7-400
- Sacramento, CA 95814
- Phone: 916-930-3803
- Email: Through https://www.doi.gov/ibc/contactus/ibcfeedback web form
- Internet address: https://www.doi.gov/ibc/services/finance/indirect-cost-services

D. Single Audit Reporting Statements: As required in Title 2 of the Code of Federal Regulations Part 200, Subpart F, 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/was not required to submit a Single Audit report for the organization’s most recently closed fiscal year and, if so, state if that report is available on the Federal Audit Clearinghouse Single Audit Database website (https://harvester.census.gov/facweb/) and provide the EIN under which that report was submitted. Include these statements at the end of the Budget Justification Narrative in a section titled “Single Audit Reporting Statements”.

E. Assurances: Include the appropriate signed and dated Assurances form available at http://www.grants.gov/web/grants/forms/sf-424-family.html#sortby=1. 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 projects. The form includes a statement that some of the assurances may not be applicable to your organization and/or your project or program. Signing this form does not make you or your organization subject to laws that are otherwise not applicable to you or your organization. Changing, crossing out, or making notations on the form before signing has no impact on the applicability of law.

F. 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 of the statements in 43 CFR Part 18, Appendix A-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 proposal AND the Federal share exceeds $100,000, complete and submit the SF LLL, Disclosure of Lobbying Activities form available at
http://www.grants.gov/web/grants/forms/post-award-reporting-forms.html#sortby=1. See 43 CFR, Subpart 18.100 for more information on when additional submission of this form is required.

G. **Conflict of Interest Disclosures:** Applicants must notify the Service in writing of any actual or potential conflicts of interest that are known at the time of application or that may arise during the life of this award, in the event an award is made. Conflicts of interest include any relationship or matter which might place the recipient, the recipient’s employees, or the recipient’s subrecipients in a position of conflict, real or apparent, between their responsibilities under the award 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 applicant, the applicant’s employees, or the applicant’s future subrecipients in the matter. Upon receipt of such a notice, the Service Project Officer in consultation with their Ethics Counselor will determine if a conflict of interest exists and, if so, if there are any possible actions to be taken by the applicant to reduce or resolve the conflict. Failure to resolve conflicts of interest in a manner that satisfies the Service may result in the project not being select for funding.

H. **Required Overlap/Duplication Statement:** Applicants must provide a statement that addresses if there is any overlap between the proposed project and any other active or anticipated projects in terms of activities, costs, or time commitment of key personnel. If any overlap exists, applicants must provide a description of the overlap in their application. Applicants must also state if the proposal submitted for consideration under this program is/is not in any way duplicative of any proposal that was/will be submitted for funding consideration to any other potential funding source (Federal or non-Federal). If such a circumstance exists, applicants must detail when the other duplicative proposal(s) were submitted, to whom (entity name and program), and when funding decisions are expected to be announced. If at any time a proposal is awarded funds that would be duplicative of the funding requested from the Service, applicants must notify the Service point of contact for this funding opportunity immediately.

**Application Checklist**

- **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.
- **Proposal Application:** In Word format. Budget sheets can be submitted separately in Excel or in the Word Proposal Application Template (see for more information).
- **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 Single Audit reporting requirements.
- **SF 424 Budget Form:** A complete SF 424A or SF 424C Budget Information form.
□ **Budget Justification or Budget Justification Non-Construction Projects.**
□ **Federally-funded equipment list:** If Federally-funded equipment will be used for the project, a list of that equipment.
□ **Indirect Cost Statement.** Include in Budget Justification Narrative or Budget Justification Non-Construction Projects.
□ **NICRA:** When applicable, a copy of the organization’s current Negotiated Indirect Cost Rate Agreement.
□ **NICRA Waiver Letter:** When applicable, a letter stating that you will accept a reduced indirect cost rate on this proposal only. Must be signed by the person who negotiated your NICRA.
□ **SF 424 Assurances Form:** Signed and dated SF 424B or SF 424D Assurances form.
□ **SF LLL Form:** If applicable, completed SF-LLL Disclosure of Lobbying Activities form.
□ **Conflict of Interest Disclosure,** when applicable.
□ **Overlap/Duplication Statement**

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

V. **Submission Instructions**
**SUBMISSION DEADLINE:** Monday, January 8, 2018 by 5:00 PM EST.

Restoration and research pre-proposals and Regional Project proposals are due on Monday, January 8, 2018 by 5:00 PM EST. An email will be sent to confirm receipt of the proposal. Proposals received after this deadline will not be considered.

An electronic copy of the restoration and research pre-proposal and Regional Project proposal (in Microsoft Word format) must be submitted to the Service via email to Rick_Westerhof@fws.gov.

**Intergovernmental Review:** Before submitting an application, U.S. state and local government applicants should visit the following website (https://obamawhitehouse.archives.gov/omb/grants_spoc) to determine whether their application is subject to the state intergovernmental review process under Executive Order (E.O.) 12372 “Intergovernmental review of Federal Programs.” E.O. 12372 was issued to foster the intergovernmental partnership and strengthen federalism by relying on state and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The E.O. allows each state to designate an entity to perform this function. The official list of designated entities is posted on the website. Contact your state’s designated entity for more information on the process the state requires to be followed when applying for assistance. States that do not have a designated entity listed on the website have chosen not to participate in the review process.
VI. Application Review Information

Criteria: Restoration and research pre-proposals and Regional Project proposals will be reviewed and evaluated based on the following eight criteria as described in Table 1 (see the end of this document for more information):

Management Significance and Relevancy to the Act:
Importance of Problem or Opportunity
Project Impact and Scale
Target Species/Habitats
Impacts both Fish and Wildlife

Project Characteristics:
Objective and Methods
Cost or Value
Likelihood of Success
Potential for Negative Impacts

All proposals should focus on the restoration of fish and/or wildlife resources in the Great Lakes Basin and should be consistent with the goals of the Great Lakes Fish and Wildlife Restoration Act of 2006 and the recommendations of the Great Lakes Regional Collaboration’s “Strategy to Restore and Protect the Great Lakes.” When appropriate, all proposals should be consistent with:

a. The Great Lakes Restoration Initiative Action Plan II;
b. The goals of the Great Lakes Water Quality Agreement;
c. The Non-indigenous Aquatic Nuisance Prevention and Control Act as reauthorized by the National Invasive Species Act;
d. The recommendations from the Great Lakes Fishery Resources Restoration Study of 1995;
e. The fish community objectives identified by the lake committees and the Council of Lake Committees;
f. The Convention on Great Lakes Fisheries;
g. The Joint Strategic Plan for Management of Great Lakes Fisheries;
h. The North American Waterfowl Management Plan;
i. Addresses research and/or monitoring priorities of the Upper Mississippi River and Great Lakes Region Joint Venture 2007 Implementation Plan; and
j. Additional step down plans that further specify the implementation of the goals and objectives of the above plans at the state, tribal, watershed or local level.

Review and Selection Process:

Proposal Review Committee: The Proposal Review Committee (PRC) is comprised of two representatives of each of the State Directors (New York, Ohio, Indiana, Illinois, Michigan, Wisconsin, Minnesota and Pennsylvania) and Indian Tribes (Chippewa Ottawa Resource Authority, Great Lakes Indian Fish and Wildlife Commission, Keweenaw Bay Indian Community, Seneca Nation, Oneida Nation, and Fond du Lac Band of Lake Superior Chippewa) in the Great Lakes Basin. The two representatives (one fishery expert and one wildlife expert)
are appointed by the State Director or Indian Tribe to serve on the PRC. The PRC is responsible for review of research, restoration and Regional Project proposals and provides recommendations to the Midwest Region Director on which proposals should be funded and implemented. The PRC operates under the guidance of the Service.

Pre-Proposals and Full Proposals Restoration and Research: Restoration and research pre-proposals are reviewed, scored and ranked by the PRC using the criteria in Table 1. Successful applicants are invited to submit full proposals based on the merit of the pre-proposal. Full proposals have a minimum of two peer reviewers and each peer reviewer completes an evaluation form and signs a conflict of interest form. Peer reviewers are selected by the GLFWRA Coordinator on the basis of their technical expertise. Applicants are not required to provide a list of peer reviewers for their proposal. The PRC receives a peer reviewer summary for each proposal for use during their scoring and ranking process. The PRC recommends full proposals to be funded to the Midwest Region Director.

Regional Project Proposals: The PRC reviews the Regional Project proposals using the criteria in Table 1. Each proposal is scored and ranked by the PRC. Applicants are invited to give a presentation on their proposal to the PRC. The PRC makes recommendations to the Midwest Region Director on how much of the annual appropriations should be allocated to Regional Projects and which projects should be developed into final Service work plans for funding.

All Proposals: 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.

Prior to award, the Service reviews the selected applicant’s statement regarding potential overlap or duplication in terms of activities, funding, or time commitment of key personnel and makes a determination regarding Service funding. Depending on the circumstances, modification of the application, other pending applications, or an active award may be necessary, or the Service might choose to not fund the proposed project.

Each fiscal year, for every entity receiving one or more awards in that fiscal year, the Service conducts a risk assessment based on eight risk categories. The result of this risk assessment is used to establish a monitoring plan for all awards to the entity in that fiscal year. For a copy of the Service’s risk assessment form, go to https://www.fws.gov/grants/atc.html.

Prior to approving an award with a Federal funding amount that exceeds or is expected to exceed the simplified acquisition threshold, as adjusted (see 2 CFR 200.88), the Service must review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently FAPIIS; https://www.fapiis.gov/fapiis/index.action) to determine if, at a minimum, the information found in the system for the applicant demonstrates a satisfactory record of Federal award performance and integrity and business ethics (see 2 CFR 200.205(a)(2)). The Service must also report to FAPIIS if an applicant subject
to this review is found not qualified for a particular award due to its prior record of integrity or performance under Federal awards (see 2 CFR 200.212).

VII. Award Administration
Depending on approval by the Midwest Region Director and available funding, successful restoration and research and Regional Project applicants can anticipate receiving an official grant or cooperative agreement by August or September 2018. The agreement serves as the official notice of award to the applicant and provides important information on the details of the agreement and expectations of both the Service and recipient for the life of the agreement.

Award Notices: Following review, applicants may be requested to revise the project scope and/or budget before an award is made. 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.

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!

Foreign Recipient Payments: Foreign recipients receiving funds to a bank outside of the United States will be paid electronically through U.S. Treasury’s International Treasury Services (ITS) system.

Foreign recipients receiving funds electronically to a bank in the United States will be paid by Electronic Funds Transfer (EFT) through the Automated Clearing House network. Foreign recipients who wish to be paid to a bank account in the United States must enter and maintain current banking information in SAM (see Section III).
The Notice of Award document from the Service 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.

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.

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 Service’s Standard Award Terms and Conditions are available on the Internet at https://www.fws.gov/grants/atac.html. 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 Financial and Performance Reporting Requirements:

Final Reports: Recipients are required to submit final financial and performance reports no later than 90 calendar days after the award period of performance end date or termination date, whichever comes first. For awards lasting 12 months or less, the final reports will be the only financial and performance reports required, except in unusual circumstances or if waived.

Interim Reports: For awards that last longer than 12 months, recipients are required to submit interim financial and performance reports no less frequently than annually and no more frequently than quarterly, except in unusual circumstances or if waived. Requiring a higher frequency of reporting than annual reporting will be based on the Service’s assessment of higher or other unusual circumstance. Quarterly and semiannual interim reports are due within 30 calendar days of the reporting period end date. Annual interim reports are due within 90 calendar days of the reporting period end date.

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.

**Significant Developments 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.

**Conflict of Interest Disclosures:** Recipients are responsible for notifying the Service Project 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, the recipient’s employees, or the recipient’s subrecipients in a position of conflict, real or apparent, between their responsibilities under this award 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, the Recipient’s employees, or the Recipient’s subrecipients in the matter. Upon receipt of such a notice, the Service Project Officer in consultation with their Ethics Counselor will determine if a conflict of interest exists and, if so, if there are any possible actions to be taken by the Recipient, the Recipient’s employee(s), or the Recipient’s Subrecipient(s) that could reduce or resolve the conflict. Failure to resolve conflicts of interest in a manner that satisfies the Service may result in any of the remedies described in 2 CFR 200.338, Remedies for Noncompliance, including termination of this award.

**Other Mandatory Disclosures:** The non-Federal entity or applicant for a Federal award must disclose, in a timely manner, in writing to the Federal awarding agency or pass-through entity all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award. Non-Federal entities that 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 also 2 CFR Part 180, 31 U.S.C. 3321, and 41 U.S.C. 2313.)

2 CFR Part 200, Appendix XII—Award Term and Condition for Recipient Integrity and
Performance Matters is applicable to awards with a total Federal share of more than $500,000,
except those to individuals and foreign public entities.

VIII. Agency Contacts
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