



519 FW 2

Compliance Requirements Summary

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Fish Restoration

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2.1 What is the purpose of this chapter?

A. This chapter summarizes compliance requirements for the most common statutes, Executive Orders (EOs), and policies applicable to the grants that the Wildlife and Sport Fish Restoration (WSFR) Program administers.

B. We use this summary to:

- (1) Carry out the Service's responsibilities for grants,
- (2) Determine what information we need from grant applicants and from grantees who request amendments,
- (3) Inform grantees of their legal responsibilities, and
- (4) Monitor compliance.

2.2 To which grant programs does this chapter apply?

A. This chapter applies to all grant programs for which WSFR ensures compliance with law, regulation, and policy.

B. This chapter does not apply to grant programs managed by other Service offices and administrative units unless indicated in the terms of the award.

C. See [518 FW 1](#) for a list of the financial assistance programs and subprograms that the WSFR Program administers in whole or in part. This list also has the Catalog of Federal Domestic Assistance number and the establishing authorities for each program.

2.3 What compliance documentation does WSFR need before it approves a grant? WSFR needs the following compliance documentation before it approves a grant:

A. We must receive signed forms from each applicant ensuring it will comply with applicable legal and administrative requirements. These forms are:

- (1) "Assurances – Non-Construction Programs" ([SF 424B](#)), for a project that does not include construction, land acquisition, or land development.
- (2) "Assurances - Construction Programs" ([SF 424D](#)), for a project that includes construction, land acquisition, or land development.

(3) “Disclosure of Lobbying Activities” ([SF LLL](#)) and its continuation sheet ([SF LLL-A](#)) for a grant or cooperative agreement exceeding \$100,000 when the applicant has used or intends to use non-Federal funds to influence or try to influence an officer or employee of any agency or an employee or Member of Congress. The attempt to influence must have been in connection with the grant or cooperative agreement that is the subject of the application. See [Exhibit 1](#), section 2e.

B. The following forms must also accompany grant applications. These forms provide a standard for reporting budget information that will help identify potential compliance issues.

(1) “Budget Information - Non-Construction Programs” ([SF 424A](#)), for a project that does not include construction, land acquisition, or land development.

(2) “Budget Information - Construction Programs” ([SF 424C](#)), for a project that includes construction, land acquisition, or land development.

C. We must ensure that project statements accompanying grant applications:

(1) Have adequate information for WSFR to comply with the statutes, EOs, and policies listed in [Table 2-1](#); and

(2) Document the applicant’s compliance with these statutes, EOs, and policies.

D. If project statements accompanying grant applications do not have the information or documentation listed in A, B, and C of this section, we must:

(1) Ask applicants to provide it, or

(2) Return the application without action with a list of the information or documentation necessary to complete the review.

2.4 How does WSFR fulfill compliance requirements on projects involving two or more WSFR Regional offices? For WSFR-supported projects involving two or more Regional offices, the Regional Directors must designate one office to be the lead on compliance issues. The lead Region (with input from the other Region) is responsible for Federal compliance for the project.

2.5 May grantees charge compliance costs to the grant? We may approve reimbursements or advances for grantees’ costs of compliance with statutes, EOs, and policies subject to the:

A. Federal Cost Principles, and

B. Regulations and policies on costs incurred by the grantee before the award (preaward costs).

2.6 Which legal authorities most frequently apply to WSFR-administered grants?

A. Table 2–1 below lists those authorities that most frequently apply to our grants. [Exhibit 1](#) of this chapter gives more detail (including citations) about each authority.

| Table 2–1: Authorities Applicable to WSFR-Administered Grants | |
|--|---|
| Category | Authority |
| Environmental, Cultural Resources, and Animal Welfare | <ul style="list-style-type: none"> • Clean Water Act • Coastal Zone Management Act • Coastal Barriers Resources Act • Endangered Species Act • Floodplains and Wetlands Protection EOs • Invasive Species EO • National Environmental Policy Act • Rivers and Harbors Act • National Historic Preservation Act • Animal Welfare Act |
| WSFR Administrative Requirements | <ul style="list-style-type: none"> • Debarment and Suspension EO • Drug-Free Workplace Act • Intergovernmental Review EO • Patents and Inventions Act • Restrictions on Lobbying Act • Terrorist Financing EOs • Trafficking Victims Protection Act • Uniform Relocation Assistance and Real Property Acquisition Policies Act • Deposit of Publications Produced under Grants (Departmental Manual chapter) • Scientific Integrity and Scholarly Conduct (Departmental Manual chapter) |
| Nondiscrimination Requirements | <ul style="list-style-type: none"> • Age Discrimination Act of 1975 • Americans with Disabilities Act • Civil Rights Act–Title VI • Education amendments of 1972 (Title IX) • Rehabilitation Act of 1973 (Section 504) |

B. [Exhibit 1](#) describes the general requirements of the statutes, EOs, and policies that most frequently apply to WSFR-administered grants. Employees who work with WSFR-administered grants must read these statutes, regulations, and EOs to understand the full extent of their compliance responsibilities and those of the grantee.

C. [Exhibit 1](#) describes only the most common requirements; it is not comprehensive. Other statutes, regulations, and EOs may also apply.

For more information about this policy, contact the Division of Policy and Programs in the Office of Wildlife and Sport Fish Restoration. For more information about this Web site, contact [Krista Bibb](#) in the Division of Policy and Directives Management.

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