

## Great Lakes Restoration Initiative

**Notice of Funding Opportunity Number: F19AS00050**

**Federal Program:** Department of the Interior, United States (U.S.) Fish and Wildlife Service, Migratory Bird Joint Ventures

**Catalog of Federal Domestic Assistance (CFDA) Number:** 15.662

**Authorizing Legislation:** Anadromous Fish Conservation Act (16 U.S.C. 757a); Bald Eagle Protection Act (16 U.S.C. 668); Coastal Wetlands Planning, Protection and Restoration Act (16 U.S.C. 3951); Clean Water Act (33 U.S.C. 1254(b)(3)); Comprehensive Environmental Response, Compensation, and Liability Act (42 U.S.C. 103); Emergency Wetlands Resources Act (16 U.S.C. 3901); Endangered Species Act (16 U.S.C. 1561); Fish and Wildlife Act (16 U.S.C. 742a); Fish and Wildlife Conservation Act (16 U.S.C. 2901); Fish and Wildlife Coordination Act (16 U.S.C. 661) Great Lakes Fish and Wildlife Restoration Act (Public Law 109-326); Great Lakes Fishery Act (16 U.S.C. 931) ; Lacey Act (16 U.S.C. 3371-3378); Migratory Bird Treaty Act (16 U.S.C. 703); Non-indigenous Aquatic Nuisance Prevention and Control Act (16 U.S.C. 4701); North American Wetlands Conservation Act (16 U.S.C. 4401); Partners for Fish and Wildlife Act (16 U.S.C. 3771); Water Infrastructure Improvements for the Nation (WIIN) Act, P.L. No:114-322, Sec. 5005.

**Paperwork Reduction Act Statement:** We are collecting this information in accordance with the authorizing legislation identified above. Your response is required to obtain or retain a benefit. We will use the information you provide to conduct a competitive review and select projects for funding and, if awarded, to evaluate performance. We may not conduct or sponsor and you are not required to respond to a collection of information unless it displays a currently valid Office of Management and Budget (OMB) control number. We estimate that it will take you on average about 40 hours to complete an initial application, about 3 hours to revise the terms of an award, and about 8 hours per report to prepare and submit financial and performance reports, including time to maintain records and gather information. Actual time for these activities will vary depending on program-specific requirements. You may send comments on the burden estimate or any other aspect of this information collection to the Information Collection Clearance Officer, U.S. Fish and Wildlife Service, MS BPHC, 5275 Leesburg Pike, Falls Church, VA 22041-3803.

**OMB Control Number:** 1018-0100 (Expiration Date: 7/31/2021)

### I. Program Description

The goal of the Great Lakes Restoration Initiative is to target the most significant environmental problems in the Great Lakes ecosystem by funding and implementing federal projects that address these problems. As part of this initiative, the two bird habitat joint ventures that are in the Great Lakes watershed – the Upper Mississippi / Great Lakes Joint Venture and the Atlantic Coast Joint Venture – will be working with the Wildlife and Sport Fish Restoration programs in the Midwest and Northeast Regions of the U.S. Fish and Wildlife Service to competitively fund state and other partner projects for long-term habitat protection, restoration, or enhancement, for conservation of native Great Lakes fish and wildlife populations, particularly migratory birds. **Preference will be given to activities that help meet the habitat goals of the Upper Mississippi / Great Lakes Joint Venture Implementation Plan or the Lower Great Lakes/St. Lawrence Plain (BCR 13) Bird Conservation Region Plan, other relevant bird conservation plans, and State Wildlife Action Plans.** Special Note: Wherever possible, projects that

occur within known migratory bird migration stopover sites should be highlighted. The Great Lakes Migratory Bird Stopover Map Tool will be useful in identifying these sites (<https://data.pointblue.org/partners/mwadc/index.php?page=stopover-map-tool>). In addition, projects that occur within watersheds of “Areas of Concern” (AOC; (<http://www.epa.gov/greatlakes/aoc/>)) should be highlighted. Though proposals within known migratory stopover sites and/or AOCs are encouraged, it is not a requirement for funding.

## **Department of Interior’s Secretarial Priorities**

The Secretary of the Department of Interior (DOI) developed a list of ten priorities to support both the public purpose and Service and DOI missions. The overarching objective of GLRI is to protect and restore ecosystems associated with the largest complex of freshwater lakes on earth – the Great Lakes. GLRI funds administered by the Upper Mississippi / Great Lakes Joint Venture and the Atlantic Coast Joint Venture are distributed through the competitive grant process to protect and restore migratory bird habitat within Great Lakes watersheds.

Through implementation of the GLRI program the Upper Mississippi / Great Lakes Joint Venture and the Atlantic Coast Joint Venture (JVs) will be working to address three of the Secretarial Priorities specifically:

### **1. Creating a conservation stewardship legacy second only to Teddy Roosevelt**

a. Utilize science to identify best practices to manage land and water resources and adapt to changes in the environment.

The GLRI program works in partnership with state fish and wildlife agencies other non-federal conservation agencies or organizations who have utilized science and tools such as Bird Conservation Region plans, the Great Lakes Migratory Bird Stopover Map Tool, and Great Lakes Areas of concern to identify and prioritize areas to conserve, and identify best practices to restore and/or enhance habitat to benefit native Great Lakes Fish and Wildlife, particularly migratory birds. While not explicitly a goal of the GLRI program, lands conserved through the GLRI program often result in increased public access for fish and wildlife based recreation and public use and enjoyment.

### **2. Utilizing our natural resources**

Through the GLRI program, JVs, state fish and wildlife agencies and/or other non-federal conservation agencies or organizations implement sustainable conservation practices that support birds and other wildlife, while also providing benefits to agriculture, forestry, and other working lands through outcomes that include improved forage quality, reduced risk of wildfire and invasive species, and improved forest health and timber value.

### **3. Restoring trust with local communities**

b. Expand the lines of communication with Governors, state natural resource offices, Fish and Wildlife offices, water authorities, county commissioners, Tribes, and local communities.

JVs are regional, self-directed partnerships involving Federal, State, and local governments; corporations; individuals; and non-government conservation groups. Through the GLRI program, JVs work in conjunction with state agencies and other partners often with support of local government,

county commissioners, local communities to conserve habitat for the benefit of birds, other wildlife, and people.

## **II. Federal Award Information**

Up to \$800,000 in funds may be available during fiscal year 2019. This program uses grant awards as the funding mechanism. Grant requests between \$25,000 and \$300,000 will be accepted. We expect to announce the awards in May 2019.

## **III. Eligibility Information**

### **Eligible Applicants**

Eligible applicants for this competitive grant program include state fish and wildlife agencies and other non-federal conservation agencies or organizations that provide at least 25% of the grant request (Federal share) as non-federal match for habitat restoration, enhancement and protection activities. (Note: grants cannot be awarded to outside entities for restoration or enhancement work on Federal lands). Projects must be within the U.S. watershed of the Great Lakes as defined by the U.S. EPA (<https://www.epa.gov/greatlakes/great-lakes-facts-and-figures>) within states bordering the Great Lakes (Illinois, Indiana, Michigan, Minnesota, New York, Ohio, Pennsylvania, and Wisconsin).

U.S. non-profit, non-governmental organizations with 501c3 Internal Revenue Status (IRS) must provide a copy of their Section 501c3 status determination letter received from the IRS.

### **Cost Sharing or Matching**

Matching contributions may take the form of cash, goods, services, or land value and must equal at least 25% of the requested Federal funds; permanent, non-reimbursable, and dedicated to a project; and documented by a signed letter of commitment from an authorized representative of the match provider in the application. The letter of commitment must detail the amount of matching funds or value of donated land and/or services. It is necessary to communicate with the appropriate federal award agency contact to ensure that pursued land acquisitions complies with appraisal requirements and timing. Additionally, any real property acquired or contributed as match using grant funds must comply with the requirements of 2 CFR 200.311. This program uses grant awards as the funding mechanism.

Applicants may attribute some or all of their allowable indirect costs as voluntary committed 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 which are proposed as voluntary committed cost-share/match; or 2) any portion of the direct costs charged to any other Federal or non-Federal partner.

### **Other Eligibility Criteria**

An eligible proposal is a plan of action supported by grant and partner funds to conserve habitats for migratory birds and other wildlife through acquisition (including fee title, permanent conservation easements and donations of real property interests), restoration and/or enhancement that contains a grant request between \$25,000 and \$300,000 and matching contributions of at least 25% of total grant request (Federal share), with an anticipated completion date no more than 24 months from the date of award. Grant awards may only be used for activities that begin after the grant agreement is signed - this grant program is not eligible for reimbursement of completed or ongoing projects. Pre-planning costs such as engineering, soil testing and other directly related preparations

and site evaluations may be included in the cost of the grant if identified and quantified in the application and budget. However, please note that until pre-award costs are authorized under an approved award, the applicant has no assurance that the Service will reimburse these costs. Applications must be complete, with all required documentation described in this Notice.

Construction or capital improvement projects must include a determination of a useful life by the application and for that time period, the Service will monitor the improvement for continued compliance with grant conditions. Applications must include engineering, soil testing and other site evaluation and preconstruction planning to establish that the proposed activity is practicable.

A Federal interest will be attached to real property interests acquired with grant funds or contributed as match and must be titled to, or held by, either the recipient or an approved subrecipient. Further information can be found at 2 CFR 200.311, as any real property acquired using grant funds must comply with these requirements. It is also necessary to communicate with the appropriate federal award agency contact to ensure that pursued land acquisitions comply with appraisal requirements and timing.

**Unique Entity Identifier and System for Award Management (SAM.gov) Registration:** This requirement does not apply to individuals applying for funds as a private citizen (i.e., unrelated to any business or nonprofit organization you may own or operate in your name) or any entity with an exception approved by the Service under [2 CFR 25.110\(d\)](#). All other applicants are required to obtain a Data Universal Numbering System (DUNS) number from Dun & Bradstreet and then register in SAM.gov prior to submitting a Federal award application. Federal award recipients must continue to maintain an active SAM.gov registration with current information through the life of their Federal award(s). See the "[Submission Requirements](#)" section of this document below for more information on SAM.gov registration. The Service may not make a Federal award to an applicant that has not completed the SAM.gov registration. If an applicant selected for funding has not completed their SAM.gov registration by the time the Service is ready to make an award, the program may determine that the applicant is not qualified to receive an award. The program can use that determination as a basis for making an award to another applicant.

**Prohibition on Issuing Awards to Entities that Require Certain Internal Confidentiality**

**Agreements:** Domestic (U.S.) non-Federal entities requiring their employees or contractors to sign internal confidentiality agreements or statements that prohibit, or otherwise restrict, such employees or contractors from lawfully reporting waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information are not eligible to compete for or receive a Federal award. See [Pub. L. 113-235, Title VII, Division E, Section 743](#) for more information.

**Excluded Parties:** The Service conducts a review of the SAM.gov Exclusions database for all applicant entities and their key project personnel prior to award. The Service cannot award funds to entities or their key project personnel identified in the SAM.gov Exclusions database as ineligible, prohibited/restricted or otherwise excluded from receiving Federal contracts, certain subcontracts, and certain Federal assistance and benefits, as their ineligibility condition applies to this Federal program.

#### **IV. Application Requirements**

##### **A. Requesting Paper Application Package**

Applicants can request paper application forms and other materials by contacting the appropriate Federal Awarding Agency Contact listed below in Section VIII.

### **Application Form and Content Requirements**

Applicants must submit the following:

#### **SF-424, Application for Federal Assistance**

Applicants must submit the appropriate Standard Form (SF)-424, Application for Federal Assistance. Individuals applying as a private citizen (i.e., unrelated to any business or nonprofit organization you may own or operate in your name), must complete the [SF-424, Application for Federal Assistance-Individual](#) form. All other applicants must complete the standard [SF-424, Application for Federal Assistance](#). All of the required application forms are available on the “Packages” tab of this Funding Opportunity on Grants.gov. The SF-424, Application for Federal Assistance must be complete, and signed and dated. Please note: Enter only the amount requested from this Federal program in the “Federal” funding box on the SF-424 Application form. Include any other Federal sources of funding in the “Other” box, and provide details on those Federal source(s) and funding amount(s) in the required Budget Narrative (see the “Budget Narrative” section below).

#### **SF 424, Assurances**

Applicants must submit the appropriate signed and dated Assurances form. Complete either the [SF-424B, Assurances for Non-Construction Programs](#) or the [SF-424D, Assurances for Construction Programs](#), as applicable to your project. All of the required application forms are available on the “Packages” tab of this Funding Opportunity on Grants.gov. The SF-424 Assurances forms include a statement that some of the assurances may not be applicable to your organization and/or your project or program. Signing the required SF-424 Assurances 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.

#### **Project Narrative**

Application narrative requirements include:

- **Project title;**
- **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 entity) for this specific project work or site, provide a summary of the funding, associated activities and products/outcomes.;
- **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);
- **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.;

- **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.;
- **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 (e.g., 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.;
- **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.;

- **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.;
- **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.;
- **Literature Cited.**

#### **SF-424, Budget Information**

Applicants must submit the appropriate SF-424 Budget Information form. Complete either the [SF-424A, Budget Information for Non-Construction Programs](#) or the [SF-424C, Budget Information for Construction Programs](#), as applicable to your project. All of the required application forms are available on the “Packages” tab of this Funding Opportunity on Grants.gov. Federal award recipients and subrecipients are subject to Federal award cost principles as detailed in the Service’s [“Financial Assistance Award Terms and Conditions”](#). Please note: Show funds requested from this Federal program separately from any other Federal sources of funding. In the “Budget Summary” section, use the first row for funding requested from this Federal program. Use subsequent row(s) for other Federal funding. Enter each Federal program’s CFDA number(s) in the corresponding fields on the form. The CFDA number(s) for this Federal program appears on the first page of this Funding Opportunity.

#### **Budget Narrative**

Describe and justify requested budget items and costs. Detail how the SF-424 Budget Information, Object Class Category totals were determined. For personnel salary costs, include the baseline salary figures and the estimates of time. Describe any item of cost that requires prior approval under the Federal cost principles. See [2 CFR 200.407](#) “Prior written approval (prior approval)” for more information. If equipment purchased previously with Federal funds is available for the project, provide a list of that equipment and identify the Federal funding source.

#### **Indirect Costs: Individuals**

Individuals applying for and receiving 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 and skip the next section.

#### **Indirect Costs: Organizations**

The Federal awarding agency that provides the largest amount of direct funding to your organization is your cognizant agency for indirect costs, unless otherwise assigned by the White House Office of Management and Budget (OMB). If the Department of the Interior is your organization’s cognizant agency, the Interior Business Center will negotiate your indirect cost rate. Contact the Interior Business Center by phone 916-930-3803 or using the [IBC Email Submission Form](#). See the [IBC Website](#) for more information.

Organizations must have an active Federal award before they can submit an indirect cost rate proposal to their cognizant agency. Failure to establish an approved rate during the award period renders all costs otherwise allocable as indirect costs unallowable under the award. Recipients must have prior written approval from the Service to use amounts budgeted for direct costs to satisfy cost-share or match requirements or to cover unallowable indirect costs.

Recipients shall not shift unallowable indirect costs to another Federal award unless specifically authorized to do so by legislation.

### **Required Indirect Cost Statement**

All organizations must include the applicable statement from the following list in their application to the Service, and attach to their application any documentation identified in the applicable statement:

We are:

- 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. Attached is a copy of our most recently approved rate agreement/certification.
- 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 have prepared and will retain for audit an indirect cost rate proposal and related documentation.
- 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: "Attached is a copy of our most recently approved but expired rate agreement. 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 "Attached is a copy of our current negotiated indirect cost rate agreement."]
- 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]. If we receive an award, we will submit an indirect cost rate proposal to our cognizant agency within 90 calendar days after the award date.
- 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, if we receive an award 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%] against [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 200.68](#). We understand that we must notify the Service in writing if we establish an approved rate with our cognizant agency at any point during the award period.
- 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, if we receive an award 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% to be charged against modified total direct project costs as defined in [2 CFR 200.68](#). We understand that we must notify the Service in writing if we establish a negotiated 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 that such changes are subject to review, negotiation, and prior approval by the Service.

- 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 we must charge indirect costs against 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 2 CFR 200 MTDC base instead of the base identified in our approved indirect cost rate agreement. We understand 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.
- A [insert your organization type] that will charge all costs directly.

### **Conflict of Interest Disclosure**

Applicants must state in their application if any actual or potential conflict of interest exists at the time of submission. Conflicts of interest include any relationship or matter that might place the recipient, including their employees and subrecipients, in a position of conflict, real or apparent, between their responsibilities under the award and any other outside interests. Conflicts of interest include direct or indirect financial interests; close personal relationships; positions of trust in outside organizations; consideration of future employment arrangements with a different organization; and decision-making authority related to the proposed project. Conflicts of interest are those circumstances real or perceived that would cause a reasonable person with knowledge of the relevant facts to question the impartiality of the applicant, or the applicant’s employees or subrecipients, in matters pertaining to the proposed project. Applicants must notify the Service in writing in their application if any employees, including subrecipient and contractor personnel, are related to, married to, or have a close personal relationship with any Federal employee in the Federal program receiving this application or who otherwise may be involved in the review and selection of their proposal. The term employee means any individual to be engaged in the performance of work pursuant to the Federal award application. Failure to disclose and resolve conflicts of interest in a manner that satisfies the Service may result in the rejection or disqualification of the application.

### **Single Audit Reporting Statement**

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 the applicant's fiscal year must submit a Single Audit report for that year through the [Federal Audit Clearinghouse's Internet Data Entry System](#). U.S. state, local government, federally recognized Indian tribal government, and non-profit applicants must state if your organization was or was not required to submit a Single Audit report for the most recently closed fiscal year. If your organization was required to submit a Single Audit report for the most recently closed fiscal year, provide the EIN associated with that report and state if it is available through the [Federal Audit Clearinghouse](#) website.

#### **Certification Regarding Lobbying**

Applicants requesting more than \$100,000 in Federal funding must certify to the statements in [43 CFR Part 18, Appendix A-Certification Regarding Lobbying](#). If this application requests more than \$100,000 in Federal funds, the Authorized Official's signature on the appropriate [SF-424, Application for Federal Assistance](#) form also represents the entity's certification of the statements in 43 CFR Part 18, Appendix A.

#### **Disclosure of Lobbying Activities**

Applicants and recipients must not use any federally appropriated funds (annually appropriated or continuing appropriations) or matching funds under a Federal award to pay any person for lobbying in connection with the award. Lobbying is influencing or attempting to influence an officer or employee of any U.S. agency, a Member of the U.S. Congress, an officer or employee of the U.S. Congress, or an employee of a Member of the U.S. Congress connection with the award. Applicants and recipients must complete and submit the [SF-LLL, Disclosure of Lobbying Activities](#) if the Federal share of the proposal or award is more than \$100,000 and the applicant or recipient has made or has agreed to make any payment using non-appropriated funds for lobbying in connection with the application or award. The SF-LLL form is available on the "Packages" tab of this Funding Opportunity on Grants.gov. [See 43 CFR, Subpart 18.100](#) for more information on when additional submission of this form is required.

#### **Overlap or Duplication of Effort Statement**

Applicants must provide a statement indicating if there is any overlap between this Federal application and any other Federal application, or funded project, in regards to activities, costs, or time commitment of key personnel. If no such overlap or duplication exists, state, *"There are no overlaps or duplication between this application and any of our other Federal applications or funded projects, including in regards to activities, costs, or time commitment of key personnel"*. If any such overlap exists, provide a complete description of overlaps or duplications between this proposal and any other federally funded project or application in regards to activities, costs, and time commitment of key personnel, as applicable. Provide a copy of any overlapping or duplicative proposal submitted to any other potential funding entity and identify when that proposal was submitted, to whom (entity name and program), and when you anticipate being notified of their funding decision. When overlap exists, your statement must end with *"We understand that if at any time we receive funding from another source that is duplicative of the funding we are requesting from the U.S. Fish and Wildlife Service in this application, we will immediately notify the U.S. Fish and Wildlife Service point of contact identified in this Funding Opportunity in writing."*

#### **APPLICATION CHECKLIST**

- SF-424, Application for Federal Assistance or Application for Federal Assistance-Individual**
- SF-424B or D, Assurances**
- Project Narrative**
- SF-424A or C, Budget Information**
- Budget Narrative**
- Indirect Cost Statement and related documentation (NICRA) (when applicable)**
- Conflict of Interest Disclosure (when applicable)**
- Single Audit Reporting Statement (when applicable)**
- SF-LLL, Disclosure of Lobbying Activities (when applicable)**
- Overlap or Duplication of Effort Statement**
- Evidence of non-profit status (when applicable):** If a non-profit organization, a copy of their Section 501(c)(3) or (4) status determination letter received from the Internal Revenue Service.

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

## V. Submission Requirements

### A. Unique Entity Identifier and System for Award Management (SAM.gov) Registration

These requirements do not apply to any individual applying for funds as a private citizen or any entity with an exception approved by the Federal awarding agency under [2 CFR 25.110\(d\)](#). All other applicants are required to obtain a Data Universal Numbering System (DUNS) number from Dun & Bradstreet and provide that number in the application; complete SAM.gov registration before submitting an application; and continue to maintain an active SAM.gov registration with current information at all times when the entity has an active Federal award or application under consideration. **There is NO COST to register with Dun & Bradstreet or SAM.gov.** There are third-party vendors who will charge a fee in exchange for registering entities with Dun & Bradstreet and SAM.gov; **please be aware you can register and request help for free.**

#### 1. Obtain a DUNS Number

Request a DUNS Number through the [Dun & Bradstreet website](#). The official website address is <http://fedgov.dnb.com/webform>. For technical difficulties, send an email to the [D&B SAM Help Desk](#). Please ensure that you are able to receive emails from [SAMHelp@dnb.com](mailto:SAMHelp@dnb.com). The [Grants.gov "Obtain a DUNS Number" webpage](#) also provides detailed instructions. Once assigned a DUNS number, your organization must maintain up-to-date information with Dun & Bradstreet. Applicants must enter their DUNS number in the "Organizational DUNS" field on the [SF-424, Application for Federal Assistance](#) form.

#### Register with SAM

Register on the [SAM.gov website](#). The official website address is <http://www.sam.gov>. The "Help" tab on the website contains User Guides and other information to assist you with registration. The [Grants.gov Register with SAM" webpage](#) also provides detailed instructions. You can also contact the supporting [Federal Service Desk](#) for help registering in SAM. Once registered in SAM, entities must renew and revalidate their SAM registration at least once every

12 months from the date previously registered. Entities are strongly encouraged to revalidate their registration as often as needed to ensure their information is up to date and reflects changes that may have been to the entity's DUNS or IRS information. Foreign entities who want to receive payment directly to a U.S. bank account must enter and maintain valid, current banking information in SAM.

### **Submission Dates and Times**

**Grant application packages are due on or before February 28, 2019.**

### **Intergovernmental Review**

Prior to application submission, U.S. state and local government applicants should visit the [OMB Office of Federal Financial Management website](#) and view the "State Point of Contact (SPOC) List" to determine whether their application is subject to the state intergovernmental review process under Executive Order (E.O.) 12372 "Intergovernmental Review of Federal Programs." States not on the list do not participate in the intergovernmental review process, and therefore do not have a SPOC. If you are located within a State that does not have a SPOC, you may send application materials directly to a Federal awarding agency. If your state is on the list, contact the designated entity for more information on the state's prior review requirements for Federal assistance applications.

### **Funding Restrictions**

Funding will be restricted to projects focused on habitat protection, restoration, or enhancement, for the conservation of native Great Lakes fish and wildlife populations, particularly of migratory birds. Funding will not be provided to research and/or monitoring projects, as these are not activities that directly help achieve the habitat goals of the Upper Mississippi / Great Lakes Joint Venture Implementation Plan or the Lower Great Lakes/St. Lawrence Plain (BCR 13) Bird Conservation Region Plan, other relevant bird conservation plans, and State Wildlife Action Plans.

### **Submission Instructions**

Applications must be submitted in Grants.gov (please note: Grants.gov uses Eastern Time), received through the regional office via email to one of the Federal Awarding Agency Contact (See section VIII), or post-marked by the application deadline. Late applications will not be considered for funding.

This program encourages applicants to submit their applications online through Grants.gov. Follow these steps to apply through Grants.gov.

#### **1. Register with Grants.gov**

Applicants must first [register an account with Grants.gov](#) and complete all steps of the registration process before they can apply through Grants.gov. Grants.gov registration requires the entity to create an account, create an account profile, and establish authorized profile roles, including the applicant's authorized representative. Registration can take three to five business days or longer, if you do not complete the required steps in a timely manner.

### **Grants.gov Workspace Application**

Grants.gov applicants apply online using Workspace. Workspace is a shared, online environment where members of a grant team may simultaneously access and edit different webforms within an application. For each funding opportunity announcement, you can create

individual instances of a workspace. To apply, the applicant will [create, complete, and submit a Workspace application package for this Funding Opportunity directly on Grants.gov](#). Grants.gov recommends submitting your application package at least 24-48 hours prior to the close date to allow time to correct any potential technical issues that may disrupt the application submission. When attaching files to the Grants.gov application, please do not assign file names longer than 20 characters, including spaces. File names longer than 20 characters will prevent your application received by Grants.gov from automatically downloading into the Service's financial assistance management system. Applicants using slow internet, such as dial-up connections, should be aware that the transmission of the application to Grants.gov takes time. Grants.gov sends either an error message or a "successfully received" message by email to the applicant's authorized representative once the transmission is complete. Please do not end the transmission process before receiving that message.

#### **Proof of Timely Submission**

Grants.gov automatically generates an electronic date and time stamp in the system upon application receipt. Grants.gov sends an acknowledgement of receipt with the date and time stamp and a unique Grants.gov application tracking number to the authorized representative by email. This email from Grants.gov serves as your proof of timely submission.

## **VI. Application Review Information**

### **A. Criteria**

Ranking and selection of projects will be based on information provided in the application. Highest consideration will be given to projects with several of the following attributes, in priority order: 1) Benefits to priority bird species, habitats and geographic areas identified in applicable Joint Venture bird conservation plans; 2) readiness to begin project (to ensure completion within 24 months of the grant award date); 3) long-term duration of resource benefits; 4) involvement of two or more partners including state partners; 5) higher ratio of non-Federal match to grant request than the required 25% minimum; 6) importance as a catalyst to future conservation actions or as part of a larger set of connected conservation lands or actions in the landscape and 7) documented benefits to federally-listed species, and/or those identified as highest priorities in the relevant State Wildlife Action Plan. It is highly recommended that applicants consult with the appropriate joint venture coordinator prior to submitting an application to ensure that adequate and relevant information is provided. Incomplete applications will not be ranked. In addition to the required SF-424A or SF-424C forms (see section B. 4, above), applicants should also include a budget table in their project narrative that clearly identifies partners, match, and project-cost details.

### **Review and Selection Process**

Projects within each Joint Venture (Upper Mississippi / Great Lakes Joint Venture and Atlantic Coast Joint Venture) will first be reviewed independently for eligibility and completeness by grant administrators, then for how well they address Joint Venture objectives by the Joint Venture Coordinators in consultation with their Management Boards. The highest ranked projects collectively will be selected for funding by the Service until available funds are expended, or until viable projects are exhausted.

Prior to award, the Service will review any applicant statement regarding potential overlap or duplication between the project to be funded and any other funded or proposed project in terms of activities, funding, or time commitment of key personnel. Depending on the circumstances, the Service may request modification to the application, other pending applications, or an active award,

as needed to eliminate any duplication of effort, or the Service may choose not to fund the selected project.

The Service may not make a Federal award to an applicant that has not completed the SAM.gov registration. If an applicant selected for funding has not completed their SAM.gov registration by the time the Service is ready to make an award, the program may determine that the applicant is not qualified to receive an award. The program can use that determination as a basis for making an award to another applicant.

Prior to award, the Service will evaluate the risk posed by applicants as required in [2 CFR 200.205](#). Service programs document applicant risk evaluations using the Service's "[Financial Assistance Recipient Risk Assessment](#)" form. Prior to approving awards for Federal funding in excess of the simplified acquisition threshold (currently \$250,000), the Service is required to review and consider any information about or from the applicant found in the [Federal Awardee Performance and Integrity Information System](#). The Service will consider this information when completing the risk review. The Service uses the results of the risk evaluation to establish monitoring plans, recipient reporting frequency requirements, and to determine if one or more of the specific award conditions in [2 CFR 200.207](#) should be applied the award.

## **VII. Federal Award Administration**

### **A. Federal 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). 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. Recipient acceptance of a Federal award from the Service carries with it the responsibility to be aware of and comply with all terms and conditions applicable to the award. Award recipients are not required to sign/return the Notice of Award document. Recipients indicate their acceptance of the Federal award by starting work, drawing down funds, or accepting the award via electronic means. 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.

### **Award Terms and Conditions**

See the Service's "[Financial Assistance Award Terms and Conditions](#)" for the administrative and national policy requirements applicable to Service awards.

### **Payments**

Domestic recipients are required to register in and receive payment through the U.S. Treasury's Automated Standard Application for Payments (ASAP), unless approved for a waiver by the Service program. Foreign recipients receiving funds to a final destination bank outside the U.S. are required to receive payment through the U.S. Treasury's International Treasury Services (ITS) System. Foreign recipients receiving funds to a final destination bank in the U.S. are required to enter and maintain current banking details in their SAM.gov entity profile and receive payment through the Automated Clearing House network by electronic funds transfer (EFT). The Service will include



recipient-specific instructions on how to request payment, including identification of any additional information required and where to submit payment requests, as applicable, in all Notices of Award.

## **Reporting Requirements**

The Service will include recipient-specific reporting requirements, including the required reports, reporting frequency, and report due dates in all Notices of Award, as applicable.

### **1. Financial Reports**

All recipients must use the [SF-425, Federal Financial Report](#) form for financial reporting. At a minimum, all recipients must submit a **final** financial report. Final reports are due no later than 90 calendar days after the award period of performance end date or termination date. For awards with periods of performance longer than 12 months, recipients are required to submit **interim** financial reports on the frequency established in the Notice of Award. See Service policy [516 FW 1, Monitoring Financial and Performance Reporting for Financial Assistance](#) for more information.

### **Performance Reports**

Performance reports must contain a comparison of actual accomplishments with the established goals and objectives of the award; a description of reasons why established goals were not met, if appropriate; and any other pertinent information relevant to the project results. At a minimum, all recipients must submit a **final** performance report. Final reports are due no later than 90 calendar days after the award period of performance end date or termination date. For awards with periods of performance longer than 12 months, recipients are required to submit **interim** financial reports on the frequency established in the Notice of Award. See Service policy [516 FW 1, Monitoring Financial and Performance Reporting for Financial Assistance](#) for more information.

### **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 recipient becomes aware of any 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. The recipient should also notify the Service in writing of any 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.

### **Real Property Reports**

Recipients and subrecipients are required to submit status reports on the status of real property in which the Federal government retains an interest. The required frequency of these reports will depend on the anticipated length of the Federal interest period. The Service will include recipient-specific real property reporting requirements, including the required data elements, reporting frequency, and report due dates, as applicable.

### **Conflict of Interest Disclosures**

Recipients must notify the Service immediately in writing of any actual or potential conflicts of interest that arise during the life of their Federal award. Conflicts of interest include any

relationship or matter that might place the recipient, including their employees and subrecipients, in a position of conflict, real or apparent, between their responsibilities under the award and any other outside interests. Conflicts of interest include direct or indirect financial interests; close personal relationships; positions of trust in outside organizations; consideration of future employment arrangements with a different organization; and decision-making authority related to the award. Conflicts of interest are those circumstances real or perceived that would cause a reasonable person with knowledge of the relevant facts to question the impartiality of the recipient or the recipients's employees or subrecipients in matters pertaining to the award. Recipients must notify the Service in writing if any employees, including subrecipient and contractor personnel, are related to, married to, or have a close personal relationship with any Federal employee in the Federal funding program or who otherwise may have been involved in the review and selection of the award. The term employee means any individual engaged in the performance of work pursuant to the Federal award. Failure to disclose and 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 the 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 receive 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.

### **VIII. Federal Awarding Agency Contact(s)**

#### **Applicants in MN, WI, MI, IL, OH:**

Anna Sidie-Slettedahl  
U.S. Fish and Wildlife Service  
Acting Coordinator, Upper Mississippi/Great Lakes Joint Venture  
5600 American Blvd. West, Ste. 990  
Bloomington, MN 55437  
612-713-5129  
anna\_sidie-slettedahl@fws.gov

#### **Applicants in NY and PA:**

Mitch Hartley  
U.S. Fish and Wildlife Service  
North Atlantic Coordinator, Atlantic Coast Joint Venture  
300 Westgate Center Drive  
Hadley, MA 01035  
413-253-8779  
mitch\_hartley@fws.gov