Aquatic Invasive Species Grants to Great Lakes Tribes for Fiscal Year 2020 Great Lakes Restoration Initiative

Notice of Funding Opportunity Number: F20AS00046

Federal Program: Department of the Interior, United States (U.S.) Fish and Wildlife Service, Midwest Region Fisheries Program

Catalog of Federal Domestic Assistance (CFDA) Number: 15.662

Authorizing Legislation: Water Infrastructure Improvements for the Nation Act (WIIN), Pub. L. 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 20 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

Using appropriations to the Great Lakes Restoration Initiative (GLRI), the U.S. Fish and Wildlife Service (USFWS) anticipates providing grants to support development and/or implementation of Great Lakes Tribal Aquatic Invasive Species Management Plans (Tribal AIS Plans). All tribal grants will be awarded based on a competitive process for which only Great Lakes tribes are eligible.

This grant opportunity addresses the following Department of Interior financial assistance priorities:

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.

    Funding is provided to support implementation of Tribal AIS Plans which helps tribes in preventing introduction and spread of AIS on tribal and surrounding lands. Tribal environmental agencies develop the science-based plans and approaches to make sound decisions to prevent the introduction and spread of AIS and adapt to changes in tribal waters over time.

II. Federal Award Information

Allocation of funding will require, within 1 year of the grant agreement becoming fully executed, completion of either one rapid response action or one rapid response training session.

Grant awards of 1-2 years will be used by tribes for activities in their Tribal AIS Plans that contribute to the protection and restoration of the Great Lakes and Great Lakes Basin. These awards are being made to provide "support for new work and for enhancements which do not replace existing Great Lakes base activities" (i.e., funds "supplement rather than supplant" existing tribal agency AIS programs/activities in the Great Lakes basin). We anticipate making most awards by September 30th of this year and expect project activities to begin within 60 days of making the award.

Proposed work must either be within the Great Lakes Basin or near enough to the basin that it contributes substantially to the prevention and/or control of AIS in the Great Lakes basin. Activities such as outreach, boat ramp inspections, and/or law enforcement are often done outside the basin but make substantial contributions when work is done in areas where people are likely to transit (and thereby potentially transfer AIS) into the Great Lakes basin. Early detection, rapid response, and/or control efforts outside the basin must address:

- Species with a substantial potential for interbasin transfer (e.g., hydrilla in a waterbody near the Great Lakes basin that receives heavy boat use).
- Species of significant concern to the Great Lakes community within a Great Lakes state.
- Activities where the primary motivation is to prevent transfer of AIS into the Great Lakes basin.

In the end, we are pursuing and funding whatever actions have the greatest benefit to the Great Lakes Basin.

ASIAN CARP WORK IS ONLY ELIGIBLE FOR CONSIDERATION IF IT HAS BEEN INITIALLY SUBMITTED AND VETTED THROUGH THE ANNUAL DEVELOPMENT AND APPROVAL PROCESS FOR THE ASIAN CARP REGIONAL COORDINATING COMMITTEE'S (ACRCC) ASIAN CARP ACTION PLAN. Asian carp work funded and implemented through the Action Plan is coordinated through the ACRCC. The ACRCC develops an annual work plan that is largely supported through a separate source of GLRI funding and which undergoes a separate review process that includes Office of Management and Budget (OMB) review and approval.

Type of Award: Grant

Expected Number of Awards: 3

Estimated Total Program Funding: $300,000

Estimated Award Ceiling: $100,000

Estimated Award Floor: $20,000

Proposals should not exceed the estimated award ceiling. Proposals for larger amounts are difficult to review/rank because it is unclear what work will be accomplished if for example $150,000 in work is

proposed but only $100,000 of it will be funded. If you submit a proposal over the award ceiling, the work activities that would be done beyond the award ceiling must be clearly broken out.

III. Eligibility Information

A. Eligible Applicants

Great Lakes tribal natural resource agency or entity designated by such a tribal agency as a recipient on their behalf (limit one designee per qualifying tribe).

B. Cost Sharing or Matching

Cost sharing or matching funds are not required to be eligible for this grant opportunity. However, cost sharing is considered in one of the grant review criteria listed under the Application Review Information section later in this document. With respect to that criterion, all types of cost share are eligible (e.g., in-kind contributions).

C. Other Eligibility Criteria

Only one application per eligible entity (or their designee) is allowed.

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

All application materials are available at www.grants.gov. If you are unable to access www.grants.gov, call or email the point of contact listed at the end of this notice of funding opportunity to request application materials.

B. Application Form and Content Requirements

Pre-proposal: Pre-proposals are acceptable application submissions for the project ranking phase and must be received by the submission deadline identified later in this NOFO. Pre-proposals must at a minimum contain the information described in items 3 (Project Narrative) and 5 (Budget Narrative) below. The pre-proposals will be ranked to determine funding levels for each at which time applicants will be notified via email and required to submit full proposals described below.

Full Proposals: Once funding levels are established, applicants must submit each of the full proposal materials listed below. This full proposal may also include an individual tribe's tasks from any interjurisdictional projects in which they are involved (interjurisdictional projects are requested under a separate NOFO). Any interjurisdictional tasks that are added must be clearly and distinctly separate from tasks under the individual tribal proposal so the task and cost can be easily tracked back to the interjurisdictional NOFO for accountability purposes and to help address any appearance of overlap/duplication.

1. 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).

2. 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.

3. Project Narrative

Applications will be rated using the criteria in the Application Review Information section later in this document. Be sure that your Project Narrative or other application materials include information that allows for an accurate assessment using those criteria. Project Narrative requirements include:

- Project title;
- Project justification;
- Goals and objectives;
- Title and link to most recent AIS plan (plan required as condition of grant or must be an developed as part of grant request); alternatively, electronic copy of plan may be provided if not already sent to USFWS;
- Activities, including estimated cost for each major project activity;
- Methods;
- Timetable that breaks out each work activity on a quarterly (or monthly) basis so that it is clear when activities/sub-activities will be completed throughout the life of the grant. This timetable breakdown will also aid in identifying any potential overlap with existing grants of a similar nature;
- Information to support environmental compliance review requirements. This includes sufficient project detail to assess potential effects on species listed under the Endangered Species Act, potential environmental effects under NEPA, and to determine project compliance with Section 106 of the National Historic Preservation Act;
- Required project monitoring and evaluation plan, or other means to assess project success;
- Qualifications of key agencies and/or project personnel; and
- Details on the project location.

4. **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.

5. **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.

6. **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.

7. 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.

8. 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 may not solicit, obtain, or use non-public information that may be of competitive interest to the entity, including information regarding the funding opportunity, evaluation, award, or administration of an award to the entity. 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. Applicants may not have a former Federal employee as a key project official, or in any other substantial role for the proposed project, whose participation puts them out of compliance with the legal authorities addressing post-Government employment restrictions. See the U.S. Office of Government Ethic's website at https://oge.gov/ for more information on these restrictions. The Service will examine each conflict of interest disclosure based on its particular facts and the nature of the proposed project and will determine whether a significant potential conflict exists. If it does, the Service may work with the applicant determine an appropriate resolution. 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.

9. **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.

10. **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.

11. **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.

12. 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.*"

13. 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**
- ☐ **Intra-Service Section 7 Biological Evaluation (can be used to capture potential effects on species listed under the Endangered Species Act)**
- ☐ **NEPA Compliance Checklist (this or other appropriate format can be used to capture environmental effects of the project)**
- ☐ **State/Tribal historic preservation office documentation or related information (can use the Section 106 NHPA Review document to capture potential effects of the project covered by Section 106 of the National Historic Preservation Act)**
- ☐ **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**

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. 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.

2. 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.

B. Submission Dates and Times

January 16, 2020 through March 16, 2020. All applications must be received no later than 11:59 pm Central Standard Time March 16, 2020.

C. 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.

D. Funding Restrictions

The Great Lakes Restoration Initiative places restrictions on the time permitted to spend the funds awarded. The Regional Office Contact Person can further explain the restrictions placed on the time period in which to fully expend the funds awarded under the project. Method of awarding/releasing assistance: Funds are disbursed to recipients as requested and in accordance with 2 CFR 200, Subpart E-Cost Principles, or as otherwise prescribed in program-specific legislation or special award terms.

E. Submission Instructions

Format all of your documents to print on Letter size (8 ½" x 11") paper. Where possible, save scanned documents in .pdf format.

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

This program encourages submission of application materials via email to:

- **fws3_fisheries_grants@fws.gov.**

If you have issues with transmitting your file(s) or want to acknowledge receipt of your application, call/email the agency contact listed at the end of this document. Emailed applications must be received by 11:59 pm CST on the application due date. Early applications are encouraged to avoid missing the application deadline.

This program also allows 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.

2. 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.

3. 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

a. Was an interstate proposal submitted that has identified the support of more than half of the Great Lakes States? If not, to what degree does the project demonstrate interagency/inter-organizational coordination and collaboration?
   i. Yes, it is an interstate proposal: proposal is reviewed by the review team lead to identify/address any technical concerns, but is otherwise funded fully (up to funding ceiling). The review team lead will keep the merit review criteria in mind while reviewing, but proposals will not be officially rated. If not an interstate proposals, then:
   ii. Low: project identifies little if any interagency/inter-organizational coordination and collaboration, beyond transferring funds to a sub-recipient.
   iii. Medium: project demonstrates meaningful interagency/inter-organizational coordination and collaboration with multiple small or moderate size entities/organizations, beyond transferring funds to a sub-recipient.
   iv. High: project has major component(s) that substantially involve other state(s) or large entities/organizations, beyond transferring funds to a sub-recipient.

b. Applicant provided the title of their Tribal AIS Management Plan as well as a link to the plan (or included a copy of the plan) and that plan is robust and detailed enough to support the work proposed. [Note: plan submission not required if previously provided to USFWS.]
   i. No plan: applicant proposal is rejected unless it includes the development of a suitable AIS management (or unless plan previously provided to USFWS).
   ii. Low: no evidence of plan was provided in the application, but plan is known to exist; plan information was provided but it is of low quality.
   iii. Medium: plan information was provided and it is of moderate quality.
   iv. High: plan information was provided and it is of high quality.

c. On average across all elements of the project, to what degree is the project supported by the public and other stakeholders?
   i. Low: public/stakeholders largely unaware or largely unsupportive.
   ii. Medium: public/stakeholders have demonstrated a moderate degree of support (in intensity and/or scope).

iii. High: public/stakeholders have demonstrated a large degree of support (in intensity and/or scope).

d. What is the potential for the proposed activity to substantially (in scope or scale) address vectors for AIS infiltration (i.e., prevention) into the Great Lakes?
    i. NA
    ii. Low: small level of progress or minor vector addressed.
    iii. Medium: moderate-high level of progress on a vector of moderate importance.
    iv. High: moderate-high level of progress on a vector of major importance.
e. What is the potential for the proposed activity to substantially (in scope or scale) implement/improve early detection efforts in key areas in the Great Lakes (key areas in Great Lakes proper in Appendix A; key areas in Great Lakes watershed based on a scientifically defensible state/tribal prioritization scheme as described in your proposal)?
    i. NA
    ii. Low: small level of progress.
    iii. Medium: moderate-high level of progress on a small to medium-sized scope or scale.
    iv. High: moderate-high level of progress on a large scope or scale.
f. What is the potential for the proposed activity to substantially (in scope or scale) implement/improve rapid response efforts (i.e., efforts within first 2 years of discovery) in the Great Lakes?
    i. NA
    ii. Low: small level of progress.
    iii. Medium: moderate-high level of progress on a small to medium scope or scale.
    iv. High: moderate-high level of progress on a large scope or scale.
g. What is the potential for the proposed activity to substantially (in scope or scale) implement/improve containment efforts (e.g., blocking movement with barrier or commercial harvest; DOES NOT INCLUDE other activities that are more appropriately captured under prevention, rapid response, or control criteria) in the Great Lakes?
    i. NA
    ii. Low: small level of progress.
    iii. Medium: moderate-high level of progress on a small to medium-sized scope or scale.
    iv. High: moderate-high level of progress on a large scope or scale.
h. What is the potential for the proposed activity to substantially (in scope or scale) reduce the abundance of established AIS (i.e., not rapid response, population known for more than 2 years) in the Great Lakes?
    i. NA
    ii. Low: small level of progress.
    iii. Medium: moderate-high level of progress on a small to medium-sized scope or scale.
    iv. High: moderate-high level of progress on a large scope or scale.

i. To what degree does the proposal promote long-term societal, economic, and environmental sustainability goals?
    i. Low: project benefits are likely to be short lived and are not necessary steps that will lead to long-term implementation of the project outside of GLRI funding.
    ii. Medium: project benefits are likely to last for 5-10 years or may lead to long-term implementation of the project outside of GLRI funding.
    iii. High: project benefits are likely to persist for decades or are necessary steps that will lead to long-term implementation of the project outside of GLRI funding.

j. To what degree does the proposal incorporate projected climate change effects in the Great Lakes to ensure investments made in the proposal have adequate climate resiliency?
    i. Low: applicant makes no mention of climate change considerations during project development.
    ii. Medium: applicant undertook some form of qualitative climate change assessment that provides some form of assurance that project results will be pertinent under the most likely future climate change scenario.
    iii. High: applicant undertook a quantitative assessment to provide the greatest assurance possible that project results will be pertinent under the most likely future climate change scenario.

k. To what degree is the plan for carrying out the proposed activities well-reasoned, well-organized, based on a sound rationale, and based on sound science?
    i. Low: steps in the proposed activities are disjointed or don't appear entirely likely to achieve the desired results.
    ii. Medium: generally sound approach but with some reservation.
    iii. High: steps in the proposed activities are very well reasoned, sequenced well, and are based on solid principles of science.

l. To what degree does the project incorporate a mechanism to assess success?
    i. Low: none identified other than possibly written summary of actions.
    ii. Medium: moderate level of assessment with perhaps some elements done reasonably well and others with little or no assessment.
    iii. High: thorough, well-designed assessment procedures identified.

m. How well qualified is the individual, team, or organization to conduct the proposed activities?
    i. Low: difficult to ascertain or little indication of relevant qualifications.
    ii. Medium: generally appears to have basic qualifications.
    iii. High: qualifications of key staff included in proposal and generally indicates skilled individuals with substantial relevant expertise either thru education, experience, or both.

n. How much "new" non-federal support (funding or in-kind) will be committed to the project? "New" non-federal support excludes existing watercraft inspections, existing early detection and rapid response, or other activities that are already routinely completed.
    i. Low: <20% of total project cost.
    ii. Medium: 21-40% of total project cost.

iii. High: >40% of total project cost.

o. How good of a value is the project?
   i. Low: cost:benefit ratio is worse than average compared to other projects doing similar work.
   ii. Medium: cost:benefit ratio is average compared to other projects doing similar work.
   iii. High: cost:benefit ratio is better than average compared to other projects doing similar work.

p. How well does the project address DOI priority 1a that was identified in the NOFO as applicable to this grant program?
   i. Low: low utilization of science to identify best practices for AIS management and control.
   ii. Medium: moderate utilization of science to identify best practices for AIS management and control.
   iii. High: high utilization of science to identify best practices for AIS management and control.

q. What is the applicant's rate of expenditure for similar FY 2018 grant awards? [Review Team Lead will provide expenditure rate and rating based on FBMS review around time when NOFO is posted.]
   i. NA
   ii. Low: <30%.
   iii. Medium: 30-50%.
   iv. High: >50%.

r. How quickly will major elements of the project be substantially underway (does not include hiring staff, purchasing equipment, writing contracts/agreements)?
   i. Low: after first half of next calendar year.
   ii. Medium: within first half of next calendar year.
   iii. High: in current calendar year.

Appendix A. Key areas for AIS early detection efforts in the Great Lakes based on draft Aquatic Invasive Species Surveillance Framework (interstate AIS planning effort). Value of 1 indicates top ranking site (i.e., highest risk of introduction).

State	Location	Fish	Plant	Invert
IL	Chicago/Chicago River Mouth	1	1	4
IL	Chicago-Calumet Port			9
IL	Evanston/North Shore Channel Mouth	11	15	23
IN	Buffington and Indiana Harbor Ports			24
IN	Calumet River Mouth/Lake Michigan	8	11	16
IN	East Chicago/Indiana Harbor Canal	10	14	22
IN	Portage/Portage-Burns Waterway	4	6	7
MI	Alpena/Thunder Bay River Mouth			13

MI	Benton Harbor/St. Joseph River Mouth	9	9	
MI	Detroit River/Rouge River Mouth		18	
MI	Detroit/Detroit River			6
MI	Detroit/Detroit River	20		
MI	Grand Haven/Grand River Mouth	14	19	
MI	Grosse Pointe Shores/Lake St. Clair	21	10	20
MI	Lake St. Clair/Clinton River Mouth	23	12	
MI	Lakeside/Lake St. Clair	18	16	
MI	Marquette/Dead River Mouth	25		5
MI	Rogers City/Calcite			17
MI	Saginaw Bay/Saginaw River Mouth	6	5	14
MN	Duluth/St. Louis River Mouth	15		1
MN	Two Harbors			18
NY	Buffalo/Niagara River	5	8	11
NY	Oswego/Oswego River Mouth	3	4	10
NY	Rochester/Genesee River Mouth	12	17	25
OH	Ashtabula/Ashtabula River Mouth			19
OH	Cleveland/Cuyahoga River Mouth	7	13	3
OH	Fairport Harbor/Grand River Mouth	22	21	
OH	Lorain/Black River Mouth	24	25	
OH	Sandusky/Sandusky Bay	17	7	8
OH	Toledo/Maumee River Mouth	2	2	2
OH	Toussaint River Mouth		24	
OH	West Harbor/Marblehead/Lake Erie	16	3	15
PA	Erie/Presque Isle Bay		23	
WI	Green Bay/Fox River Mouth	13	20	21
WI	Milwaukee/Kinnickinnic River Mouth	19	22	12

B. Review and Selection Process

Given projects have the potential to be inter-related, we will look at the entire body of projects after the merit review to determine if there is substantial duplication/overlap that could be avoided or possible synergy among projects to be gained that would cause us to modify our rankings and/or suggest collaboration among applicants.

If requests for funds are less than the available funding, then all projects will be funded as requested (up to the award ceiling) after each proposal is reviewed by the review team lead to identify/address any technical concerns. In this case, the review team lead will keep the merit review criteria in mind while reviewing, but proposals will not be formally rated. If requests exceed the available funding, then awards will be made using the remaining process below.

Funding allocations will be made based on how well a project rates following the review process. If during the merit review duplicate or otherwise unnecessary work is identified, proposals will be scaled back accordingly to identify a new "requested level." Natural breaks in ratings will be used to identify the highest ranking projects, which will be funded at the requested level or estimated award ceiling, whichever is lower. The next tier of projects will be funded at 80% of the requested level or estimated award ceiling, whichever is lower. The final tier of remaining projects (if any fall out into a third tier based on natural breaks) will be funded at 60% of requested level or estimated award ceiling, whichever is lower. The tiered scenario is designed to provide funding for all proposals. After funding is initially applied at the above percentages, any surplus or overage will be proportionally added to or subtracted from proposals based on the proposed tiered funding amounts. This often results in changes to the amount of the award from what is requested, therefore we will accept pre-proposals as described earlier in the NOFO by the submission deadline so that only the final submission (after ranking is completed and funding amounts are determined) will require an SF-424 and other application materials in addition to the project and budget narratives that are required for the pre-proposal.

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 sent to recipients by email. If email 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 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. Recipients indicate their acceptance of the Federal award by starting work, drawing down funds, or accepting the award via electronic means.

B. 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.

C. 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.

D. 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 6 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.

2. 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; accomplishments under each of the GLRI Measures of Progress for Focus Area II in the most recent GLRI Measures Reporting Plan (more guidance on what/how to report will be provided by the Project Officer), 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 6 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.

3. **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.

4. **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.

5. **Conflict of Interest Disclosures**
   Recipients must notify the Service immediately in writing of any conflict of interest that arise during the life of their Federal award, including those reported to them by any subrecipient under 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. Recipients may not have a former Federal employee as a key project official, or in any other substantial role related to their award, whose participation put them out of compliance with the legal authorities addressing post-Government employment restrictions. See the U.S. Office of Government Ethics website at https://oge.gov/ for more information on these restrictions. The Service will examine each conflict of interest disclosure based on its particular facts and the nature of the project and will determine if a significant potential conflict exists. If it does, the Service will work with the recipient to determine an appropriate resolution. 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.

6. **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)

Rob Simmonds
rob_simmonds@fws.gov
612-713-5114 (P)
618-889-0008 (C)