U.S. Fish and Wildlife Service
Fisheries Program

Aquatic Invasive Species Grants to Great Lakes States
Fiscal Year 2018 Great Lakes Restoration Initiative
Catalog of Federal Domestic Assistance (CFDA) Number: 15.662

Notice of Funding Opportunity

I. Description of Funding Opportunity

Under FY18 appropriations to the Great Lakes Restoration Initiative (GLRI), the U.S. Fish and Wildlife Service (FWS) anticipates providing grants to support implementation of Great Lakes State Aquatic Invasive/Nuisance Species Management Plans (State AIS Plans), and support for the implementation of a Great Lakes Interstate Aquatic Invasive Species Management Plan (Interstate AIS Plan). State AIS Plans have been transmitted by state governors and then approved by the Aquatic Nuisance Species Task Force. The Interstate AIS Plan will not be submitted to the Aquatic Nuisance Species Task Force for review and approval. All state grants will be awarded based on a competitive process for which only Great Lakes states are eligible.

This grant opportunity addresses the following Department of Interior financial assistance priorities (see list of priorities at https://drive.google.com/file/d/14PDbV4DjkOpGnwlAbR9hI-iNxH4lumOc/view):

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 State Aquatic Invasive Species (AIS) Management Plans which helps states in preventing introduction and spread of AIS on state and surrounding lands. State 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 state waters over time.

3. Restoring trust with local communities
    a. Be a better neighbor with those closest to our resources by improving dialogue and relationships with persons and entities bordering our lands

    Aquatic Invasive Species do not respect jurisdictional boundaries and can move within and between water bodies, impeding federal, state and local conservation goals. These grants increase the opportunity for dialogue with neighboring state, federal, and local partners who are collectively working to address AIS which know no boundaries.

Allocation of funding will require, within 1 year of the grant agreement becoming fully executed, completion of either one rapid response training session or one rapid response action. Also, state agencies must have completed rapid response plans. Please include the title and a link to the latest completed state rapid response plan (or include as an attachment in your grant application).

Grant awards of 1-2 years will be used by states for activities (including for developing the Interstate AIS Plan) that directly relate to the protection and restoration of the Great Lakes and Great Lakes Basin. State implementation of Plans continues to be an important component of protecting and restoring the Great Lakes from the impacts of aquatic invasive species (AIS).

These awards are being made to increase management and control of AIS in the Great Lakes, thus any work proposed must be new or enhancements which do not replace existing Great Lakes base activities of the recipient.

Proposed work must be within the Great Lakes Basin unless a very clear and substantial tie can be made that work outside the basin is a substantial and necessary contribution to prevention/management of AIS within the basin. Activities such as outreach, boat ramp inspections, and/or law enforcement is acceptable in areas outside the basin where data supports that prevention efforts at those locations will yield substantial results in protecting the Great Lakes from AIS. In the absence of supporting data, these efforts should be contained to areas within the Great Lakes Basin or closely neighboring (<100 miles) the 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 within a few miles of basin on heavily used water body).
- Species of significant concern to the Great Lakes community within a Great Lakes state.
- Actions that have a high potential for success.

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

The Great Lakes Restoration Initiative CFDA 15.662 authorizing statute related to this agreement is the Water Infrastructure Improvements for the Nation (WIIN) Act, P.L. No: 114-322, Sec. 5005. For a complete list of this program's authorizing legislation, go to https://www.cfda.gov/ and search by the CFDA Program number.

II. Award Information

Type of award: grants.

Expected Number of Awards:	Up to 9 (8 Great Lakes State AIS Plans, and a Great Lakes Interstate AIS Plan)
Estimated Total Program Funding:	$4,100,000

Estimated Award Ceiling: $800,000

Estimated Award Floor: $100,000

Proposals should not exceed the estimated award ceiling. Proposals for larger amounts are difficult to review/rate because it is unclear what work will be accomplished if $1,200,000 in work is proposed but only $800,000 of it will be funded. If you feel compelled to submit proposals over the award ceiling, the work activities that would be done beyond the award ceiling must be clearly broken out.

III. Basic Eligibility Requirements
Eligible Applicants:

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

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

A. DUNS Registration

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

B. Entity Registration in SAM

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

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

C. Excluded Entities

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

D. Cost Sharing or Matching:

No cost-sharing or matching funds are required, however, one of the merit review criteria identified below addresses matching funds.

IV. Application Requirements

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

A. A completed, signed and dated Application for Federal Assistance form. Applicants must submit the appropriate Standard Form (SF) 424. Those forms are available at (http://www.grants.gov/web/grants/forms/sf-424-family.html#sortby=1). Do not include other Federal sources of funding, requested or approved, in the total entered in the "Federal" funding box on the Application for Federal Assistance form. Enter only the amount being requested under this program in the "Federal" funding box. Include any other Federal sources of funding in the total funding entered in the "Other" box.

B. Project Summary

Briefly summarize the project, in 1-2 pages. Include the title of the project, geographic location, and a brief overview of the need for the project, goal(s), objectives, specific project activities, beneficiaries, and expected outcomes consistent with this funding opportunity. 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 and/or disseminating project results. Please include projections of accomplishment counts for each GLRI Measure of Progress.

- **Number of GLRI-funded Great Lakes rapid responses or exercises conducted***
- **Number of acres controlled by GLRI-funded projects***
- Number of GLRI-funded projects that block pathways through which aquatic invasive species can be introduced to the Great Lakes ecosystem
- Number of GLRI-funded early detection monitoring activities conducted
- Number of tributary miles protected by GLRI-funded projects
- Number of technologies and methods field tested by GLRI-funded projects
- Number of collaboratives developed/enhanced with GLRI funding
- *** These are GLRI measures of progress with annual targets that are reported to Congress.**

C. Project Narrative

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

2. **Project Goals and Objectives:** State the long-term, overarching goal(s) of the program/project. State the objectives of the project. Objectives are the specific outcomes to be accomplished in order to reach the stated goal(s). The project objectives must be specific, measurable, and realistic (attainable within the project's proposed project period).

3. **Project Activities, Methods and Timetable:** List the proposed project activities and describe how they relate to the stated objectives. Activities are the specific actions to be undertaken to fulfill the project objectives and reach the project goal(s). The proposed project activities narrative must be detailed enough for reviewers to make a clear connection between the activities and the proposed project costs.

   For projects being conducted within the United States, the narrative must provide enough detail so that reviewers are able to determine project compliance with the National Environmental Policy Act, Section 7 of the Endangered Species Act, and Section 106 of the National Historic Preservation Act. Provide a detailed description of the method(s) to be used to carry out each activity. The most efficient way to provide information on unintended potential adverse effects is by providing a NEPA compliance checklist, an Intra-Service Section 7 Biological Evaluation Form, the Section 106 NHPA review sheet (if no ground/building disturbance) or the Section 106 Regional Historic Preservation Office review form and any State Historic Preservation Office documentation prepared for the project. All are available from the Project Officer.

   Provide a timetable breaking out each work activity on a quarterly 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. Include any resulting tables, spreadsheets or flow charts within the body of the project narrative (do not include as separate attachments).

4. **Stakeholder Coordination/Involvement:** As applicable, describe how you/your organization has coordinated with and involved other relevant organizations or individuals in planning the project, and detail if/how they will be involved in conducting project activities, disseminating project results and/or incorporating your results/products into their activities.

5. **Project Monitoring and Evaluation:** Detail the monitoring and evaluation plan for the project. Building on the stated project objectives, which must be specific and measurable, identify what you will measure (i.e., quantitative/quantifiable indicators) and how you will measure (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. Please include projections of accomplishment counts for each GLRI Measure of Progress that will be used in project evaluation.

6. **Description of Entities Undertaking the Project**: Provide a brief description of the applicant organization and all participating entities and/or individuals. Identify which of the proposed activities each agency, organization, group, or individual is responsible for conducting or managing. Provide complete contact information for the individual within the organization that will oversee/manage the project activities on a day-to-day basis. If eligibility for funding is based in whole or in part on the qualifications of key personnel, provide for each key person a brief (**1-2 pages**) but descriptive overview of their education, experience and other skills that make them qualified to carry out the proposed project. To prevent unnecessary transmission of Personally Identifiable Information, ***do not include Social Security numbers, the names of family members, or any other personal or sensitive information including marital status, religion or physical characteristics on the description of key personnel qualifications.***

7. **Sustainability:** As applicable, describe which project activities will continue beyond the proposed project period, who will continue the work or act on the results achieved, and how and at what level you expect these future activities will be funded.

8. **Literature Cited**

9. **Map of Project Area:** Map should clearly delineate the project area and be large enough to be legible. Label any sites referenced in the project narrative.

D. Budget Form

Complete the Budget Information for Non-Construction Programs (SF 424A) or Budget Information for Construction Programs (SF 424C) form. Use the SF 424A if your project does not include construction and the SF 424C if the project includes construction or land acquisition. The budget forms are available on the Internet at http://www.grants.gov/web/grants/forms/sf-424-family.html#sortby=1. When developing your budget, keep in mind that financial assistance awards and subawards are subject to the Federal cost principles in Title 2 of the Code of Federal Regulations Part 200, as applicable

to the recipient organization type. Links to the full text of the Federal cost principles are available on the Internet at http://www.ecfr.gov/.

Note on Multiple Federal Funding Sources: If the project budget includes multiple Federal funding sources, you must show the funds being requested from this Federal program on the budget form *separately* from any other requested/secured Federal sources of funding. Enter the funds being requested from this Federal program in the first row of the Budget Summary section of the form, and then enter funding related to other Federal programs in the subsequent row(s). Be sure to enter each Federal program's CFDA number in the corresponding fields on the form. The CFDA number for this Federal program appears on the first page of this funding opportunity.

E. Budget Justification

In a separate narrative titled "**Budget Justification**", explain and justify all requested budget items/costs. Detail how the SF 424 Budget Object Class Category totals were determined and demonstrate a clear connection between costs and the proposed project activities. For personnel salary costs, include the base-line salary figures and the estimates of time (as percentages) to be directly charged to the project. Describe any item that under the applicable Federal cost principles requires the Service's approval and estimate its cost.

If Federally-funded equipment will be used for the project, provide a list of that equipment, including the Federal funding source.

Required Indirect Cost Statement: Recipients that do not have an approved indirect cost rate cannot charge indirect costs to their Federal award. All applicants except individuals applying for funds separate from a business or non-profit organization he/she may operate must include in the budget justification narrative one of the following statements and attach to their application any required documentation identified in the applicable statement:

"We are:

1. A U.S. state or local government entity receiving more than $35 million in direct Federal funding each year with an indirect cost rate of [insert rate]. We submit our indirect cost rate proposals to our cognizant agency. A copy of our most recently approved rate agreement/certification is attached.
2. A U.S. state or local government entity receiving less than $35 million in direct Federal funding with an indirect cost rate of [insert rate]. We are required to prepare and retain for audit an indirect cost rate proposal and related documentation to support those costs.
3. A [insert your organization type; U.S. states and local governments, please use one of the statements above or below] that has previously negotiated or currently has an approved indirect cost rate with our cognizant agency. Our indirect cost rate is [insert rate]. [Insert either: "A copy of our most recently approved but expired rate agreement is attached. In the event an award is made, we will submit an indirect cost rate proposal to our cognizant agency within 90 calendar days after the award is made." *or* "A copy of our current, approved rate agreement(s) is attached."]

4. A [insert your organization type] that has never submitted an indirect cost rate proposal to our cognizant agency. Our indirect cost rate is [insert rate]. In the event an award is made, we will submit an indirect cost rate proposal to our cognizant agency within 90 calendar days after the award is made.

5. A [insert your organization type] that has never submitted an indirect cost rate proposal to our cognizant agency and has an indirect cost rate that is lower than 10%. Our indirect cost rate is [insert rate; must be lower than 10%]. However, in the event an award is made, we will not be able to meet the requirement to submit an indirect cost rate proposal to our cognizant agency within 90 calendar days after award. We request as a condition of award to charge a flat indirect cost rate of [insert rate; must be lower than 10%] of [insert a clear description of the direct cost base against which your rate is charged (e.g., salaries; salaries and fringe benefits; or modified total direct costs). However, please note that your organization cannot charge indirect costs in excess of the indirect costs that would be recovered if applied against modified total direct costs as defined in 2 CFR 220.68]. We understand that we must notify the Service in writing immediately if we establish an approved rate with our cognizant agency at any point during the award period.

6. A [insert your organization type] that has never submitted an indirect cost rate proposal to our cognizant agency and has an indirect cost rate that is 10% or higher. Our indirect cost rate is [insert your organization's indirect rate; must be 10% or higher]. However, in the event an award is made, we will not be able to meet the requirement to submit an indirect cost rate proposal to our cognizant agency within 90 calendar days after award. We request as a condition of award to charge a flat *de minimis* indirect cost rate of 10% of modified total direct costs as defined in 2 CFR 200.68. We understand that we must notify the Service in writing immediately if we do establish an approved rate with our cognizant agency at any point during the award period. We understand that additional Federal funds may not be available to support an unexpected increase in indirect costs during the project period and such changes are subject to review, negotiation, and prior approval by the Service.

7. A [insert your organization type] that is submitting this proposal for consideration under the [insert either "Cooperative Fish and Wildlife Research Unit Program" or "Cooperative Ecosystem Studies Unit Network"], which has a Department of the Interior-approved indirect cost rate cap of [insert program rate]. If we have an approved indirect cost rate with our cognizant agency, we understand that we must apply this reduced rate against the same direct cost base as identified in our approved indirect cost rate agreement. If we do not have an approved indirect cost rate with our cognizant agency, we understand that the basis for direct costs will be the modified total direct cost base defined in 2 CFR 200.68 "Modified Total Direct Cost (MTDC)". We understand that we must request prior approval from the Service to use the MTDC base instead of the base identified in our approved indirect cost rate agreement, and that Service approval of such a request will be based on: 1) a determination that our approved base is only a subset of the MTDC (such as salaries and wages); and 2) that use of the MTDC base will still result in a reduction of the total indirect costs to be charged to the award. In accordance with 2 CFR 200.405,

we understand that indirect costs not recovered due to a voluntary reduction to our federally negotiated rate are not allowable for recovery via any other means.

8. A [insert your organization type] that will charge all costs directly.

All applicants are hereby notified of the following:

- Recipients without an approved indirect cost rate are prohibited from charging indirect costs to a Federal award. Accepting a flat *de minimis* rate as a condition of award is an approved rate.
- Failure to establish an approved rate during the award period renders all costs otherwise allocable as indirect costs unallowable under the award.
- Recipients may not charge to their Service award any indirect costs calculated against the portion of total direct project costs paid by any other Federal funding source or non-Federal partner.
- Recipients must have prior written approval from the Service to transfer unallowable indirect costs to amounts budgeted for direct costs or to satisfy cost-sharing or matching requirements under the award.
- Recipients are prohibited from shifting unallowable indirect costs to another Federal award unless specifically authorized to do so by legislation.

Applicants who are individuals applying for funds separate from a business or non-profit organization he/she may operate are not eligible to charge indirect costs to their award. If you are an individual applying for funding, do not include any indirect costs in your proposed budget.

For more information on indirect cost rates, see the Service's **Indirect Costs and Negotiated Indirect Cost Rate Agreements** guidance document on the Internet at https://www.fws.gov/grants/atc.html.

Negotiating an Indirect Cost Rate with the Department of the Interior: Entities that do not have a NICRA must first have an open, active Federal award before they can submit an indirect cost rate proposal to their cognizant agency. The Federal awarding agency that provides the largest amount of direct funding to your organization is your cognizant agency, unless otherwise assigned by the White House Office of Management and Budget (OMB). If the Department of the Interior is your cognizant agency, your indirect cost rate will be negotiated by the Interior Business Center (IBC). For more information, contact the IBC at:

Indirect Cost Services
Acquisition Services Directorate, Interior Business Center
U.S. Department of the Interior
650 Capitol Mall, Suite 7-400
Sacramento, CA 95814
Phone: 916-930-3803
Email: Through https://www.doi.gov/ibc/contactus/ibcfeedback web form
Internet address: https://www.doi.gov/ibc/services/finance/indirect-cost-services

F. **Single Audit Reporting Statements:** As required in Title 2 of the Code of Federal Regulations Part 200, Subpart F, all U.S. states, local governments, federally-recognized Indian tribal governments, and non-profit organizations expending $750,000 USD or more in Federal award funds in a fiscal year must submit a Single Audit report for that year through the Federal Audit Clearinghouse's Internet Data Entry System. All U.S. state, local government, federally-recognized Indian tribal government and non-profit applicants must provide a statement regarding if your organization was/was not required to submit a Single Audit report for the organization's most recently closed fiscal year and, if so, state if that report is available on the Federal Audit Clearinghouse Single Audit Database website (https://harvester.census.gov/facweb/) and provide the EIN under which that report was submitted. Include these statements at the end of the Project Narrative in a section titled "**Single Audit Reporting Statements**".

G. **Assurances:** Include the appropriate signed and dated Assurances form available at http://www.grants.gov/web/grants/forms/sf-424-family.html#sortby=1. Use the **Assurances for Construction Programs (SF 424D)** for construction and land acquisition projects. Use the **Assurances for Non-Construction Programs (SF 424B)** for all other projects. The form includes a statement that some of the assurances may not be applicable to your organization and/or your project or program. Signing this form does not make you or your organization subject to laws that are otherwise not applicable to you or your organization. Changing, crossing out, or making notations on the form before signing has no impact on the applicability of law.

H. **Certification and Disclosure of Lobbying Activities:** Under Title 31 of the United States Code, Section 1352, an applicant or recipient must not use any federally appropriated funds (both annually appropriated and continuing appropriations) or matching funds under a grant or cooperative agreement award to pay any person for lobbying in connection with the award. Lobbying is defined as influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress connection with the award. Submission of an application also represents the applicant's certification of the statements in 43 CFR Part 18, Appendix A-Certification Regarding Lobbying. If you/your organization have/has made or agrees to make any payment using non-appropriated funds for lobbying in connection with this proposal AND the Federal share exceeds $100,000, complete and submit the **SF LLL, Disclosure of Lobbying Activities** form available at http://www.grants.gov/web/grants/forms/post-award-reporting-forms.html#sortby=1. See 43 CFR, Subpart 18.100 for more information on when additional submission of this form is required.

I. **Conflict of Interest Disclosures:** Applicants must notify the Service in writing of any actual or potential conflicts of interest that are known at the time of application or that may arise during the life of this award, in the event an award is made. Conflicts of interest include any relationship or matter which might place the recipient, the recipient's employees, or the recipient's subrecipients in a position of conflict, real or apparent, between their responsibilities under the award and any other outside interests. Conflicts of interest may also include, but are not limited to, direct or indirect financial interests, close personal

relationships, positions of trust in outside organizations, consideration of future employment arrangements with a different organization, or decision-making affecting the award that would cause a reasonable person with knowledge of the relevant facts to question the impartiality of the applicant, the applicant's employees, or the applicant's future subrecipients in the matter. Applicants must notify the Service in writing in their application if any key project personnel, including subrecipient and contractor personnel, are known to be related to, married to, or have a close personal relationship with any Federal employee in or associated with the program to which you are applying for funding or who otherwise may be involved in the review and selection of the application. Upon receipt of such a notice, the Service program, in consultation with their Ethics Counselor, will determine if a conflict of interest exists and, if so, if there are any possible actions to be taken by the applicant to reduce or resolve the conflict. Failure to disclose and resolve conflicts of interest in a manner that satisfies the Service may result in the project not being select for funding.

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

Application Checklist

- ☐ **Evidence of non-profit status**: If a non-profit organization, a copy of their Section 501(c)(3) or (4) status determination letter received from the Internal Revenue Service.
- ☐ **SF 424, Application for Federal Assistance**: A complete, signed and dated SF 424, SF 424-Mandatory, or SF 424-Individual form.
- ☐ **Project summary**
- ☐ **Project narrative:** Must include information to address each criterion listed below in section "VI. Application Review."
- ☐ **Timetable**
- ☐ **Description of key personnel qualifications**
- ☐ **Single Audit Reporting statement**: If a U.S. state, local government, federally-recognized Indian tribal government, or non-profit organization, statements regarding applicability of and compliance with Single Audit reporting requirements.
- ☐ **SF 424 budget form**: A complete SF 424A or SF 424C Budget Information form.
- ☐ **Budget justification**

- ☐ **Federally-funded equipment list**: If Federally-funded equipment will be used for the project, a list of that equipment.
- ☐ **Indirect cost statement**
- ☐ **NICRA**: When applicable, a copy of the organization's current Negotiated Indirect Cost Rate Agreement.
- ☐ **SF 424 Assurances form:** Signed and dated SF 424B or SF 424D Assurances form.
- ☐ **SF LLL form:** If applicable, completed SF-LLL Disclosure of Lobbying Activities form.
- ☐ **NEPA Compliance Checklist** (FWS Form 3-2185; available from Project Officer)
- ☐ **Intra-Service Section 7 Biological Evaluation form** (available from Agency Contact listed below)
- ☐ **Request for Midwest RHPO NHPA Clearance form** (available from Agency Contact listed below)
- ☐ **Any State Historic Preservation Office documentation** prepared for the project
- ☐ **Conflict of Interest disclosure,** when applicable.
- ☐ **Overlap/Duplication statement**

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

V. Submission Instructions
SUBMISSION DEADLINE: June 4, 2018

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

Download the Application Package linked to this Funding Opportunity on Grants.gov to begin the application process. Downloading and saving the Application Package to your computer makes the required government-wide standard forms fillable and printable. Completed applications must be submitted by email.

To submit an application by e-mail:
Format all of your documents to print on Letter size (8 ½" x 11") paper. Format all pages to display and print page numbers. Scanned documents should be scanned in Letter format, as

black and white images only. Where possible, save scanned documents in .pdf format. E-mail your application to:

- fws3_fisheries_grants@fws.gov

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

VI. **Application Review Information**

Criteria: To be considered for funding, applications must submit information including:

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?
    a. 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:
    b. Low: project identifies little if any interagency/inter-organizational coordination and collaboration, beyond transferring funds to a sub-recipient.
    c. 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.
    d. 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 State AIS Rapid Response Plan as well as a link to the plan (or included a copy of the plan) and that plan is robust and detailed.
    a. No plan: applicant proposal is rejected unless it covers the development of a suitable Rapid Response Plan.
    b. Low: no evidence of plan was provided in the application, but plan is known to exist; plan information was provided but plan is of low quality.
    c. Medium: plan information was provided and plan is of moderate quality.
    d. High: plan information was provided and plan 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?
    a. Low: public/stakeholders largely unaware or largely unsupportive.
    b. Medium: public/stakeholders have demonstrated a moderate degree of support (in intensity and/or scope).

c. High: public/stakeholders have demonstrated a large degree of support via media articles or other demonstrated means at a state or regional level.

D. What is the potential for the proposed activity to substantially (in scope or scale) address vectors for AIS infiltration into the Great Lakes?
    a. NA
    b. Low: small level of progress or minor vector addressed.
    c. Medium: moderate-high level of progress on a vector of moderate importance.
    d. 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 (see Appendix A) in the Great Lakes?
    a. NA
    b. Low: small level of progress.
    c. Medium: moderate-high level of progress on a small to medium-sized scope or scale.
    d. 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 in the Great Lakes?
    a. NA
    b. Low: small level of progress.
    c. Medium: moderate-high level of progress on a small to medium scope or scale.
    d. 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) in the Great Lakes?
    a. NA
    b. Low: small level of progress.
    c. Medium: moderate-high level of progress on a small to medium-sized scope or scale.
    d. 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?
    a. NA
    b. Low: small level of progress.
    c. Medium: moderate-high level of progress on a small to medium-sized scope or scale.
    d. 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?

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

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

L. How well qualified is the individual, team, or organization to conduct the proposed activities?
   a. Low: difficult to ascertain or little indication of relevant qualifications.
   b. Medium: generally appears to have basic qualifications.
   c. High: clearly skilled individuals with substantial relevant expertise either thru education, experience, or both.

M. 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.
   a. Low: 10-20% of total project cost.
   b. Medium: 21-40% of total project cost.
   c. High: >40% of total project cost.

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

O. How well does the project address DOI priority 1a that is identified in section I. Description of Funding Opportunity of this NOFO as applicable to this grant program?

a. Low: low utilization of science to identify best practices for AIS management and control.
b. Medium: moderate utilization of science to identify best practices for AIS management and control.
c. High: high utilization of science to identify best practices for AIS management and control.

P. What is the applicant's rate of expenditure for similar FY 2016 grant awards? [Review Team Lead will provide expenditure rate and rating based on FBMS review around time when NOFO is posted.]
a. NA
b. Low: <30%.
c. Medium: 30-50%.
d. High: >50%.

Q. How quickly will major elements of the project be substantially underway (does not include hiring staff, purchasing equipment, writing contracts/agreements)?
a. Low: calendar year 2020.
b. Medium: within second half of calendar year 2019.
c. High: in 2018 or first half of calendar year 2019.

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

Review and Selection Process:

Grant: 1) applications will be reviewed and evaluated by qualified reviewers; 2) consideration will include applicant risk and past performance, 3) applications will be scored and selected based on criteria listed in Section IV; and 4) funding determinations will be determined based on the result of the stated process.

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

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

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

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

VII. Award Administration

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

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

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

Transmittal of Sensitive Data: Recipients are responsible for ensuring any sensitive data being sent to the Service is protected during its transmission/delivery. The Service strongly recommends that recipients use the most secure transmission/delivery method available. The Service recommends the following digital transmission methods: secure digital faxing; encrypted emails; emailing a password protected zipped/compressed file attachment in one email followed by the password in a second email; or emailing a zipped/compressed file attachment. The Service strongly encourages recipients sending sensitive data in paper copy to use a courier mail service. Recipients may also contact their Service Project Officer and provide any sensitive data over the telephone.

Award Terms and Conditions: Acceptance of a financial assistance award (i.e., grant or cooperative agreement) from the Service carries with it the responsibility to be aware of and comply with the terms and conditions applicable to the award. Acceptance is defined as the start of work, drawing down funds, or accepting the award via electronic means. Awards are based on the application submitted to and approved by the Service and are subject to the terms and conditions incorporated into the notice of award either by direct citation or by reference to the following: Federal regulations; program legislation or regulation; and special award terms and conditions. The Service's Standard Award Terms and Conditions are available on the Internet at https://www.fws.gov/grants/atc.html. If you do not have access to the Internet and require a full text copy of the award terms and conditions, contact the Service point of contact identified in the Agency Contacts section below.

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

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

Recipients must use the Standard Form 425, Federal Financial Report for financial reporting, available on the Internet at http://www.grants.gov/web/grants/forms/post-award-reporting-forms.html#sortby=1.

Performance reports must contain: 1) a comparison of actual accomplishments with the goals and objectives of the award as detailed in the approved scope of work; 2) a description of reasons why established goals were not met, if appropriate; 3) an enumeration and description (who, what, where, when, how) of any rapid response actions/exercises taken during the reporting period; and 4) any other pertinent information relevant to the project results.

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

- Problems, delays, or adverse conditions that will materially impair the ability to meet the objective of the Federal award. This disclosure must include a statement of any corrective action(s) taken or contemplated, and any assistance needed to resolve the situation.

- Favorable developments that enable meeting time schedules and objectives sooner or at less cost than anticipated or producing more or different beneficial results than originally planned.

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

Conflict of Interest Disclosures: Recipients are responsible for notifying the Service Project Officer in writing of any actual or potential conflicts of interest that may arise during the life of this award. Conflicts of interest include any relationship or matter which might place the recipient, the recipient's employees, or the recipient's subrecipients in a position of conflict, real or apparent, between their responsibilities under this award and any other outside interests. Conflicts of interest may also include, but are not limited to, direct or indirect financial interests, close personal relationships, positions of trust in outside organizations, consideration of future employment arrangements with a different organization, or decision-making affecting the award that would cause a reasonable person with knowledge of the relevant facts to question the impartiality of the Recipient, the Recipient's employees, or the Recipient's subrecipients in the matter. Upon receipt of such a notice, the Service Project Officer in consultation with their Ethics Counselor will determine if a conflict of interest exists and, if so, if there are any possible actions to be taken by the Recipient, the Recipient's employee(s), or the Recipient's Subrecipient(s) that could reduce or resolve the conflict. Failure to resolve conflicts of interest in a manner that satisfies the Service may result in any of the remedies described in 2 CFR 200.338, Remedies for Noncompliance, including termination of this award.

Other Mandatory Disclosures: The non-Federal entity or applicant for a Federal award must disclose, in a timely manner, in writing to the Federal awarding agency or pass-through entity all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award. Non-Federal entities that have received a Federal award including the term and condition outlined in 2 CFR 200, Appendix XII—Award Term and Condition for Recipient Integrity and Performance Matters are required to report certain civil, criminal, or administrative proceedings to SAM. Failure to make required disclosures can result in any of the remedies described in 2 CFR 200.338 Remedies for noncompliance, including suspension or debarment. (See also 2 CFR Part 180, 31 U.S.C. 3321, and 41 U.S.C. 2313.)

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

VIII. Agency Contacts

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