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

U.S. Fish and Wildlife Service
Southwest Region Migratory Bird Program

Migratory Bird Monitoring, Assessment and Conservation
Catalog of Federal Domestic Assistance (CFDA) Number: 15.655

Notice of Single Source Award

Paperwork Reduction Act Statement: We are collecting this information in accordance with the legislative authority/ies listed 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 OMB control number. We estimate that it will take you on average about 40 hours to complete an initial application, 3 hours to revise the terms of an award, and 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.

I. Description of Funding Opportunity

The continental population of the northern pintail (*Anas acuta*) remains depressed after 3 decades of good to excellent habitat conditions on breeding areas. As most other duck populations have realized record population abundance over this period, northern pintails have remained below the long-term population average. Although factors on breeding areas undoubtedly have impacts on pintail populations, it is likely that factors on nonbreeding areas also have impacted the ability of the population to respond to improved breeding habitat conditions. For example, pintails appear to be more k-select than most other dabbling ducks as adult survival is a key factor in population dynamics models; a factor that is of less importance for other species (Flint et al. 1998). This along with the relatively large proportion of the annual cycle spent in nonbreeding areas highlights the potentially large contribution that nonbreeding habitats play in the population dynamics of the northern pintail.

The objective of this study is to (1) compare spring migration strategies of female northern pintails originating from different wintering areas in North America (migration speed, use of stopovers, timing of arrival on breeding areas, etc.), (2) investigate differences in individual strategies within wintering regions and relate to their reproductive success, (3) Assess contribution of endogenous nutrients (fat and protein) to reproduction for different regions and different migration strategies, and (4) identify critical stopover areas for pintails migrating from different wintering areas. This can be determined by several different metrics (contribution to endogenous energy/nutrients used in reproduction, use related to reproductive success, etc.). These identified objectives will help to answer identified information needs for Northern pintail throughout their continental range which has been identified as a Species of Greatest Conservation Need in many State Wildlife Action Plans (e.g., Texas, Louisiana, Colorado, North

Dakota, Montana, etc.) and continues to be a species of focus with all four Flyways (Atlantic, Mississippi, Central, and Pacific).

This study will expand already existing research being conducted by the Texas A&M University – Kingsville and Texas Parks and Wildlife Department. In addition to the partnership between the Texas A&M – Kingsville and Texas Parks and Wildlife Department, this project will improve partnership capacities with the Arkansas Game and Fish Commission, Louisiana Department of Fisheries and Wildlife, New Mexico Department of Game and Fish, Arizona Game and Fish Department, California Department of Fish and Wildlife, Ducks Unlimited, Ducks Unlimited Canada, and the California Water Resource Department.

Authorizations: Fish and Wildlife Act of 1956, as amended, 16 U.S.C. 742a-754; Fish and Wildlife Coordination Act of 1958, 16 U.S.C. 661-667(e); Fish and Wildlife Conservation Act, 16 U.S.C. 2901-2911; Migratory Bird Treaty Act, 16 U.S.C. 709a.

The U.S. Fish and Wildlife Service (Service) uses a science-based, adaptive framework for setting and achieving broad-scale conservation objectives that strategically address the problems fish and wildlife will face in the future. This framework, called Strategic Habitat Conservation, is based on the principles of adaptive management and uses population and habitat data, ecological models, and focused monitoring and assessment efforts to develop and implement strategies that result in measurable fish and wildlife population outcomes. This process uses the best available scientific information to predict how fish and wildlife populations will respond to changes in the environment, thus enabling the Service to focus habitat conservation and other management activities where they will be most effective. In addition, the Service needs focused, applied science directed at high impact questions surrounding threats to fish and wildlife resources for which management and/or mitigation is required to maintain species at healthy, sustainable, desired levels. The Service must base its decisions on the best science available, in order to defend its regulatory decisions, biological opinions and species conservation recommendations to land managers.

II. Award Information

This program will use a cooperative agreement as the financial assistance instrument. The U.S. Fish and Wildlife Service (Service) will be substantially involved in projects under this funding opportunity. In particular, the Service will be responsible for the following: (1) Provide assistance with analyzing data on identified locations; (B) Provide field based (e.g., Capture and Coordination with National Wildlife Refuges) and logistical support (e.g., expert opinion, manuscript review) for Recipient personnel. There is only ONE expected award and the estimated total program funding is $225,000.

III. Basic Eligibility Requirements

Eligible Applicants:

This Single Source Award is being awarded in accordance with Department of the Interior (DOI) Policy 505 DM 2.14 B(1) Unsolicited Proposal: The recipient, Texas A&M University – Kingsville (TAMUK) is uniquely qualified to perform the “Comparing spring migration strategies of northern Pintails from wintering areas across North America” due to their location in the heart of northern pintail overwintering habitats, availability of multiple data sets, current

research topics, additional funding sources, and having expertise within their program. TAMUK also has the expertise to organize and coordinate the work duties of the project due to proximity and track record working with the U.S. Fish and Wildlife Service Region 2 Migratory Bird Program.

U.S. non-profit, non-governmental organizations must provide a copy of their Section 501(c)(3) or (4) status determination letter received from the Internal Revenue Service.

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 is required

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. 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

The continental population of the northern pintail (*Anas acuta*) remains depressed after 3 decades of good to excellent habitat conditions on breeding areas. As most other duck populations have realized record population abundance over this period, northern pintails have remained below the long-term population average. Although factors on breeding areas undoubtedly have impacts on pintail populations, it is likely that factors on nonbreeding areas also have impacted the ability of the population to respond to improved breeding habitat conditions. For example, pintails appear to be more k-select than most other dabbling ducks as adult survival is a key factor in population dynamics models; a factor that is of less importance for other species (Flint et al. 1998). This along with the relatively large proportion of the annual cycle spent in nonbreeding areas highlights the potentially large contribution that nonbreeding habitats play in the population dynamics of the northern pintail.

Studies investigating winter survival of female northern pintails suggest that survival differs markedly among regions in North America (Migoya and Baldassarre 1995, Cox et al. 1998, Anderson and Ballard 2006, Moon and Haukos 2006, Fleskes et al. 2007). Northern pintails appear to show high fidelity to coastal wintering areas and wintering areas associated with large bodies of water (e.g., Texas and Louisiana coasts, central California; Hestbeck 1993). Because of this, Hestbeck (1993) suggested that affiliations to these wintering areas are more stable population units for northern pintails than are affiliations to breeding grounds.
Other aspects of winter ecology of northern pintails reveal other inconsistencies among regions as well. For instance, along the Texas coast where the majority of northern pintails from the Central flyway spend the winter, females exhibit declines in both lipid and protein stores across winter (Ballard et al. 2006, Ballard et al. 2016). This pattern in nutrient dynamics is quite different from other regions in North America (Miller 1986, Moon and Haukos 2006, Lee et al. 2007) and may be related to a low quality diet along the Texas coast (Ballard et al. 2004, Huck 2014), or possibly different spring migration strategies employed among regions (Ballard 2006). Each of these scenarios have markedly different management implications, and thus, are important to untangle.

Because of the northern pintail's early arrival on breeding areas when many foods can be unavailable, they likely are positioned towards the capital end of the capital-income breeding continuum. Prior to more contemporary techniques for investigating carry-over effects in migratory birds, Raveling and Heitmeyer (1988) found compelling evidence that winter habitat

conditions in California are related to subsequent reproductive success in northern pintails. More experimental investigations found that both endogenous lipid and protein are largely used by female northern pintails in Alaska during reproduction (Mann and Sedinger 1993, Esler and Grand 1994). In particular, endogenous lipid reserves are used to meet both reproductive and maintenance energy costs, and endogenous protein covers much of protein requirements for egg production. Thus, at least for pintails breeding in subarctic regions of Alaska, there is great potential for carry-over effects from late winter and spring migration areas. Whether this holds for prairie nesting pintails is less clear. In pursuit of a more holistic understanding of the role of nutrient reserves and the importance of late winter and spring migration habitats among different regions (both wintering and breeding), the objectives outlined in this study should unravel much of the remaining uncertainty.

Information Needs

The Birds of North America species account (see. Clark et al. 2014) identified many information needs for northern pintail based on Federal and State agency biologist, NGO biologist, and independent researchers input. The following are directly linked to the proposal objectives:

- Frequent monitoring of body condition, especially during spring migration, would produce critical information underlying population demography. The influence of habitat type and quality on body condition during nesting, molt, spring/fall migration, and wintering associated with cross-seasonal effects of condition on survival and productivity.

- Understanding nutrition, energy metabolism, and daily energy expenditure during winter and migration relative to food selection and consumption may be particularly important to our understanding of northern pintails, given their opportunistic pattern of habitat selection. Habitat quality and factors influencing habitat selection during spring migration need to be identified and quantified. The role of nutrient reserves acquired during spring migration for breeding needs to be assessed.

- On wintering areas, information is needed on the response of populations to provision of restored wetland habitats and increasing urbanization of agricultural and native habitats, food habitats from certain wintering regions and spring staging areas.

Aside from the identified information needs for Northern pintail throughout their continental range, this species has been identified as a Species of Greatest Conservation Need in many State Wildlife Action Plans (e.g., Texas, Louisiana, Colorado, North Dakota, Montana, etc.) and continues to be a species of focus with all four Flyways (Atlantic, Mississippi, Central, and Pacific). Given the numerous information needs and attention from federal and state agencies, NGO's and outside interests we propose to investigate the following aspects of migration strategies of northern pintail:

OBJECTIVES

1. Compare spring migration strategies of female northern pintails originating from different wintering areas in North America (migration speed, use of stopovers, timing of arrival on breeding areas, etc.).

2. Investigate differences in individual strategies within wintering regions and relate to their reproductive success.
3. Assess contribution of endogenous nutrients (fat and protein) to reproduction for different regions and different migration strategies.
4. Identify critical stopover areas for pintails migrating from different wintering areas. This can be determined by several different metrics (contribution to endogenous energy/nutrients used in reproduction, use related to reproductive success, etc.).

STUDY AREAS

We propose to capture northern pintails at six major wintering areas across North America. These include the Texas coast, Texas Panhandle, Louisiana coast, Mississippi Alluvial Valley of Arkansas, Middle Rio Grande Valley of New Mexico, Lower Colorado River Valley of Arizona and Central Valley of California. Pintails wintering in these different areas use different habitats during winter, are subjected to different stressors during winter (habitat quantity and quality, hunting pressure, etc.), appear to survive at different rates across winter, and migrate through markedly different landscapes during spring migration (in relation to ecological barriers and availability of stopover habitats).

METHODS

Capture and Tracking Devices

We propose to capture a sample ($n \geq 20$ females) of northern pintails at each of 6 major wintering locations in the U.S. during December-January each year during 2018-19, 2019-20, and 2020-21. Yearly allocation of tracking devices to wintering areas will be Texas coast (40), Louisiana coast (20), Arkansas (20), Texas Panhandle (20), New Mexico (20), and California (40) for a total of 160 devices each winter, and a total of 480 individuals marked across the study.

Northern pintails will be baited to sites with locally available grain (rice, corn, etc.) and captured with rocket nets or cannon nets. We will attempt to keep paired birds together, but larger flocks will complicate this. Adult females will be outfitted with a 15 g solar GPS-GSM tracking device (model OrniTrack 15, Ornitela, UAB; < 2% of body mass) that will be affixed between, but anterior to the scapulars.

Each unit will be programmed to collect a location ($\pm$ 15 m accuracy) every hour throughout the life of the device. Such frequent location data are often subsampled for habitat use/resource selection questions due to autocorrelation among points, but are very informative when integrated with behavioral information and when investigating questions dealing with timing of events.

The tracking unit used will have an onboard accelerometer that will record changes in G-Force across the three primary orthogonal axes. Acceleration (ACC) data will be programmed to record 4-second bursts every 10 minutes throughout the life of the device. However, duty cycles for both locations and ACC data can be remotely changed by the user when the device is within cell coverage. This can allow the user to modify duty cycles depending on the specific questions of interest, timing within the annual cycle, and performance of the battery. Accelerometer data provide detailed behavior information that is remotely acquired across the life of the tracking device. Thus, this allows for more informative habitat use information. For instance, instead of

knowing how often an individual used a specific habitat type, the ACC data provide qualitative information about how an individual used a specific habitat type (for foraging, resting, etc.). Additionally, these units provide the ability to understand metrics of reproductive success of individuals based on a combination of GPS data (amount of movement) and ACC data (exhibited incubation behavior throughout the 23-day incubation period).

Location and ACC data will be downloaded from the manufacturer's data portal at least on a weekly basis. Quality control measures will be carried out on downloaded data to detect any outliers (unreliable locations), to keep up with performance of tracking devices, and to quickly respond to any mortalities to enable recovery of devices.

ACC Training Data

Vital to any questions relating to behaviors using ACC data is the need for a rigorous training dataset. The training dataset involves a large number of ACC burst in which an individual study individual is conducting each important behavior and that behavior is somehow substantiated through observation or preferably video where you can tie the exact time that a behavior took place with a specific ACC burst. A very efficient and cost-effective way to achieve this training dataset is through the use of captive birds in a controlled setting. Thus, 10 captive northern pintails will be purchased from an aviculturalist and will be housed at the Duane Leach Aviary at Texas A&M University-Kingsville. A tracking device will be attached to each captive pintail in the same manner as wild birds proposed above. Using 10 individuals will allow accounting for individual variation in behaviors, as well as any variation in tracking devices. Once tracking devices are attached to captive pintails, we will video record their major behaviors across winter (feeding, resting, swimming, walking, etc.). An advantage of a captive setting is that you can somewhat force specific behaviors to ensure an adequate sample size for each behavior (feed birds at a specific time, allow access to water for swimming, etc.).

Contribution of Endogenous Reserves to Reproduction

Since the tracking devices proposed to be used will provide GPS quality locations, and most northern pintails will likely be in areas where data download will be possible, we propose to locate and collect a sample of females once they start incubating. This will allow us to assess body condition, determine the number of eggs laid and mass of the clutch, and enable us to conduct stabile isotope analyses on tissues from the female, as well as from the eggs to determine origination of nutrients. We will then be able to investigate the contribution of endogenous energy and nutrients to reproduction based on different migration strategies. This will also provide insight as to how variation in spring migration habitat conditions influences the level of reliance on endogenous reserves for reproduction (there is likely plasticity in migration strategies from year to year based on habitat conditions encountered).

Anticipated outcomes

Several pieces of information will be gained from this research that will help inform an array of management questions. For example, identification of important stopover sites, linking individual decisions (behavior and habitat use) to reproductive success, unraveling differences in migration strategies within and among wintering regions and the potential for carry-over effects all provide a basic understanding of migration ecology of northern pintails that will help address questions important to resource managers. Additionally, none of these questions have been

attempted or adequately quantified to date. An important outcome of this research is to identify the most important areas to focus management efforts during spring migration for different populations of northern pintails across North America.

LITERATURE CITED

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Budget

Item	2018-19	2019-20	2020-21	2021-22	2022-23
Personnel	28,760	29,623	30,514	31,433	0
Operating	70,125	0	0	0	0
Equipment	0	0	0	0	0
Travel	1,034	0	0	0	0
Total Direct Costs	99,919	29,623	30,514	31,433	0
F&A	17,486	5,184	5,340	5,501	0
Total Annual Costs	117,405	34,807	35,854	36,934	0

Budget Explanation

Personnel

Year 1:

Ph.D. Student @ $2,000/month for 12 months = $24,000

Fringe = 0.024 x $24,000 = $576

Medical = $348.59 x 12 = $4,184

Year 2:

Ph.D. Student @ $2,060/month for 12 months = $24,720

Fringe = 0.024 x $24,720 = $594

Medical = $359.05 x 12 = $4,309

Year 3:

Ph.D. Student @ $2,122/month for 12 months = $25,464

Fringe = 0.024 x $25,464 = $612

Medical = $369.82 x 12 = $4,438

Year 4:

Ph.D. Student @ $2,186/month for 12 months = $26,232

Fringe = 0.024 x $26,232 = $630

Medical = $380.91 x 12 = $4,571

Operating

Tracking Devices: $1,005/unit x 55 = $55,275/yr

Data download fees $270/year/unit

Year 1 @55 units = $14,850

Travel

Partial estimated travel for capturing northern pintail in Texas and New Mexico for 1,897 miles @ $0.545/mile = $1,034.

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.

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 narrative**
- ☐ **Timetable**
- ☐ **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.
- ☐ **Conflict of Interest disclosure,** when applicable.

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

V. Submission Instructions
SUBMISSION DEADLINE: 31 August 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 may be submitted by mail, by email, electronically through Grants.gov, or as otherwise described in the Grants.gov funding opportunity. Please select **ONE** of the submission options:

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 the Service program point of contact identified in the Grants.gov funding opportunity.

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.

To submit an application through Grants.gov:
Go to the Grants.gov Apply for Grants page (http://www.grants.gov/web/grants/applicants/apply-for-grants.html) for an overview of the process to apply through Grants.gov. You/your organization must complete the Grants.gov registration process before submitting an application through Grants.gov. Registration can take between three to five business days, or as long as two weeks if all steps are not completed in a timely manner.

Important note on Grants.gov application attachment file names: Please do not assign application attachments file names longer than 20 characters, including spaces. Assigning file

names longer than 20 characters will create issues in the automatic interface between Grants.gov and the Service's financial assistance management system.

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.

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.

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; and 3) any other pertinent information relevant to the project results.

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

- Problems, delays, or adverse conditions that will materially impair the ability to meet the objective of the Federal award. This disclosure must include a statement of any corrective action(s) taken or contemplated, and any assistance needed to resolve the situation.
- Favorable developments that enable meeting time schedules and objectives sooner or at less cost than anticipated or producing more or different beneficial results than originally planned.

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

Conflict of Interest Disclosures: Recipients are responsible for notifying the Service Project Officer in writing of any actual or potential conflicts of interest that may arise during the life of this award. Conflicts of interest include any relationship or matter which might place the recipient, the recipient's employees, or the recipient's subrecipients in a position of conflict, real or apparent, between their responsibilities under this award and any other outside interests. Conflicts of interest may also include, but are not limited to, direct or indirect financial interests, close personal relationships, positions of trust in outside organizations, consideration of future employment arrangements with a different organization, or decision-making affecting the award that would cause a reasonable person with knowledge of the relevant facts to question the impartiality of the Recipient, the Recipient's employees, or the Recipient's subrecipients in the

matter. Upon receipt of such a notice, the Service Project Officer in consultation with their Ethics Counselor will determine if a conflict of interest exists and, if so, if there are any possible actions to be taken by the Recipient, the Recipient's employee(s), or the Recipient's Subrecipient(s) that could reduce or resolve the conflict. Failure to resolve conflicts of interest in a manner that satisfies the Service may result in any of the remedies described in 2 CFR 200.338, Remedies for Noncompliance, including termination of this award.

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

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

VIII. Agency Contacts

Technical Point of Contact:
Dan Collins, PhD
Migratory Bird Coordinator
USFWS-Region 2 Migratory Bird Office
P. O. Box 1306
Albuquerque, NM 87103
Office: (505) 248-6881
Cell: (505) 377-4517
Fax: (505) 248-6674

Administrative Point of Contact:
Sara Nicole Williams, Budget-Grants Analyst
Email: sara_n_williams@fws.gov
Phone: (505) 248-7462