

Paperwork Reduction Act Statement. We are collecting this information in accordance with The Great Lakes Restoration Initiative CFDA 15.662 authorizing statute Great Lakes Fish and Wildlife Restoration Act (Public Law 109-326). Your response is required to obtain or retain a benefit. We will use the information you provide to to conduct a competitive review and select projects for funding. 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 applicants under this program about 8 to 12 hours to complete an application. We estimate it will take recipients under this program about 10 to 20 hours to complete required reporting and 8 to 10 hours for required recordkeeping. All burden estimates include the time to review instructions, search existing data resources, gather data needed and complete and review the submission. 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.

U.S. Fish and Wildlife Service
Fisheries Program
Aquatic Invasive Species Grants to Great Lakes States
Fiscal Year 2017 Great Lakes Restoration Initiative
Catalog of Federal Domestic Assistance (CFDA) Number: 15.662

Notice of Funding Opportunity

I. Description of Funding Opportunity

Under FY17 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 Plans), and support for the implementation of a Great Lakes Interstate Aquatic Invasive Species Management Plan (Interstate Plan). State Plans have been transmitted by state governors and then approved by the Aquatic Nuisance Species Task Force. The Interstate 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.

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 latest, completed state rapid response plan as an attachment in your grant application.

Two-year grant awards will be used by states (including for developing the Interstate Plan) for activities that directly relate to the protection and restoration of the Great Lakes and Great Lakes Basin. Priorities for funding will include:

- Implementing risk management approaches for species and pathways as described in GLMRIS reports (<http://glmrisk.anl.gov/>)
- Developing and implementing an Asian carp prevention and management plan for the Great Lakes
- Addressing climate change in risk assessment and management activities
- FY14 GLRI AIS grant expenditure rates (a State with a higher FY14 expenditure rate will result in a higher ranking for FY17 GLRI AIS grant allocation),

- Description of accomplishments that resulted from implementing past grants. Those accomplishments must be enumerated for each of the performance metrics (Objectives, Commitments, and especially Measures of Progress with Annual targets, and additional Measures of Progress) listed in GLRI Action Plan II (available at <http://glri.us/actionplan/pdfs/glri-action-plan-2.pdf>), and
- Projections of accomplishments that are enumerated for each of the performance metrics listed in GLRI Action Plan II.

Awards to States under this funding opportunity will focus on accomplishing, and reporting on accomplishments, described in the aforementioned priorities for funding. 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). The Action Plan describes the need for accountability of all of our efforts.

In addition, and complementary, to the priorities for funding and performance metrics listed above, your proposal for State Plan funding should describe:

- Target species and control
 - Definition of Control: Control is defined as reduction, to a target level, in the abundance and/or density of the target species
 - Control accomplishments to date:
 - Target invasive species, target levels of control (abundance or density control target), control method(s), total number of acres where control target was achieved, and location (whether location of control activities was in the connected Great Lakes [Great Lakes, connecting channels, and tributaries up to the first barrier] or Great Lakes Basin)
 - Proposed control activities under the FY17 GRLI allocation:
 - Target invasive species, target levels of control (abundance or density control targets), control method(s), number of acres, and location in relation to the Great Lakes and Great Lakes Basin
 - Control activities will only be supported, using GLRI funds, within the:
 - Connected Great Lakes
 - Great Lakes Basin
 - Note: You are required to report quarterly to EPA and FWS (see Reporting Requirements, below) on Performance Measure 2:
 - Number of acres where control was accomplished, and location (i.e., within: connected Great Lakes, or Great Lakes Basin).
- Rapid Response Planning and Implementation
 - Definition and description of activities included in this category:
 - Rapid response definition:
 - Rapid response is defined as an activity intended to eradicate a species from a location, before it spreads so widely and becomes so abundant that response actions cannot be implemented practically, effectively, and efficiently.

- Rapid response activities may be conducted over a period of years. For example, a species that has not spread widely for several years, and may still be practically, effectively, and efficiently eradicated, can be the target of a rapid response action.
 - Activities included in this category
 - Establishing rapid response plans
 - Conducting rapid response training (including mock exercises)
 - Executing, and evaluating success of, rapid response actions
 - Activities will only be supported, using GLRI funds, within the:
 - Connected Great Lakes
 - Great Lakes Basin
 - Reporting, as required (see Reporting Requirements) to EPA and FWS, on Performance Measure 3, and any additional, related activities and accomplishments
 - Note, in your proposal, the following:
 - The location (i.e., on the WWW) or point-of-contact, where your rapid response plan is available for review
 - The number of rapid response:
 - Training exercises completed to date
 - Actions conducted to date
 - Planned training exercises using FY17 GLRI funding
 - Planned actions using FY17 FLRI funding
 - If not included in your rapid response plan, then provide a statement that your rapid response plan includes use of Incident Command Systems, when funding from this grant supports related activities. See:
 - Homeland Security Presidential Directive-5 (<http://www.fas.org/irp/offdocs/nspd/hspd-5.html>)
 - National Incident Management System (<http://www.fema.gov/national-incident-management-system>)
 - Incident Command Systems (<http://www.training.fema.gov/EMIWeb/IS/ICSResource/index.htm>)
- Early detection
 - Definition of early detection:
 - Early detection is defined as a program intended to conduct surveillance for, and verify, the first presence of an invasive species in an ecosystem, before the species spreads so widely and becomes so abundant that rapid response actions cannot be implemented practically, effectively, and efficiently.
 - Activities included in this category:
 - Development of scientifically based early detection programs
 - Conducting surveillance for invasive species not previously documented in the connected Great Lakes and Great Lakes Basin

- Early detection activities will only be supported, using GLRI funds, within the:
 - Connected Great Lakes
 - Great Lakes Basin
 - Working cooperatively with other tribal, federal, and state agencies to develop and implement a comprehensive early detection program for the Great Lakes
 - Reporting, as required (see Reporting Requirements), and also rapid communication with appropriate state, federal, and tribal partners on early detection findings.
 - Outreach
 - Definition of outreach:
 - Outreach is defined as providing information, to people involved in outdoor recreation and other natural resources uses, about to how they can prevent the spread of AIS.
 - Outreach activities will be supported, using GLRI funds, within the:
 - Connected Great Lakes
 - Great Lakes Basin
 - Outside the basin, provided a direct benefit to the Great Lakes or Great Lakes Basin is clearly justified.
 - Note in your proposal:
 - Accomplishments to date in relation to Performance Measure 4
 - Projected accomplishments, under your proposed FY17 allocation, in relation to Performance Measure 4, and
 - Projected benefits (including in relation to Action Plan Goals) of proposed activities to the Great Lakes and Great Lakes Basin
 - Interstate Management Plan
 - Collaborative effort among Great Lakes states to prevent the introduction, spread, and impacts of Aquatic Invasive Species
 - Interstate plans should focus mainly on
 - Early Detection in the connected Great Lakes
 - Development, under the FY14 grant, and implementation (FY17 and later grants) of a comprehensive early detection surveillance program [Note: States can continue to implement Early Detection, in the Great Lakes, under past grants and the FY17 grant]
 - Collaborative Rapid Response, mainly in the connected Great Lakes
 - Annually convening interjurisdictional, rapid response exercises or actions
 - Developing interjurisdictional draft rapid response plans (plans for Asian carps/fishes, and benthic macroinvertebrates are among the highest priorities).

You will be required to report, to EPA and FWS (see Reporting Requirements, below), under FY17 GLRI funding, financial and performance accomplishments.

The Great Lakes Restoration Initiative CFDA 15.662 authorizing statutes related to this agreement include: Fish and Wildlife Act (16 U.S.C. 742a); Fish and Wildlife Conservation Act (16 U.S.C. 2901); Fish and Wildlife Coordination Act (16 U.S.C. 661); Great Lakes Fish and Wildlife Restoration Act (Public Law 109-326); Non-indigenous Aquatic Nuisance Prevention and Control Act (16 U.S.C. 4701). 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

Expected Number of Awards: Up to 9 (8 Great Lakes State AIS Plans, and a Great Lakes Interstate Plan)

Estimated Total Program Funding: \$4,200,000

Estimated Award Ceiling: \$800,000

Estimated Award Floor: \$100,000

III. Basic Eligibility Requirements

Eligible Applicants:

Great Lakes State Governments

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.

Great Lakes Restoration Initiative CFDA 15.662 Applicant Eligibility: Program-specific.

A. DUNS Registration:

Request a DUNS number online at <http://fedgov.dnb.com/webform>. U.S.-based entities may also request a DUNS number by telephone by calling the Dun & Bradstreet Government Customer Response Center, Monday – Friday, 7 AM to 8 PM CST at the following numbers:

U.S. and U.S. Virgin Islands: 1-866-705-5711

Alaska and Puerto Rico: 1-800-234-3867 (Select Option 2, then Option 1)

For Hearing Impaired Customers Only call: 1-877-807-1679 (TTY Line)

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 online at <http://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.

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.

D. Cost Sharing or Matching:

Not anticipated, but subject to change. Grantees that provide non-federal match may better compete for 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, Application for Federal Assistance form. Those forms are available at <http://apply07.grants.gov/apply/FormLinks?family=15>. 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.

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

donor) for this specific project work or site, provide a summary of the funding, associated activities and products/outcomes.

- 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). Please include projections of accomplishment counts for each GLRI Measure of Progress.
- 3. Project Activities, Methods and Timetable:** Grants will not exceed two years. 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 (FWS Form 3-2185), a Intra-Service Section 7 Biological Evaluation Form (Region 3), the "Project Background" portion of the "Request for Midwest RHPO NHPA Clearance" form, and any State Historic Preservation Office documentation prepared for the project.

Provide a timetable indicating roughly when activities or project milestones are to be accomplished. Include any resulting tables, spreadsheets or flow charts within the body of the project narrative (do not include as separate attachments). The timetable should not propose specific dates but instead group activities by month for each month over the entire proposed project period.

- 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 (i.e., 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

All applicants must complete and submit 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://apply07.grants.gov/apply/FormLinks?family=15>. 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/>.

Multiple Federal Funding Sources: If the project budget includes multiple Federal funding sources, you must show the funds being requested from this Federal program *separately* from any other requested/secured Federal sources of funding on the budget form. For example,

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:

All applicants must submit, in a separate narrative titled "**Budget Justification**", an explanation of, and justification for, 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:

Indirect costs shall not exceed 5%, so as to comply with P.L. 101-646 (104 Stat. 4761, 16 U.S.C. 4701, enacted November 29, 1990). All applicants must include an Indirect Cost Statement. That statement will list the indirect cost percentage, not to exceed 5%, which will be charged.

For all deviations to the Federal negotiated indirect cost rate the basis of direct costs against which the indirect cost rate is applied must be: the same base identified in the recipient's negotiated indirect cost rate agreement, if the recipient has a federally negotiated indirect cost rate agreement.

All applicants 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]. A copy of our most recently approved rate agreement is attached.

4. A [insert your organization type] that will charge all costs directly.
5. 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]. 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 minimus* indirect cost rate of 10% of modified total direct costs as defined in [Title 2 of the Code of Federal Regulations Part 200, section 200.68](#). We understand that the 10% *de minimus* rate will apply for the life of the award, including any future extensions for time, and that the rate cannot be changed even if we do establish an approved rate with our cognizant agency at any point during the award period
6. 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.
7. 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 the 10% *de minimus* 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.
- Only the indirect costs calculated against the Federal portion of the total direct costs may be charged to the Federal award. Recipients may not charge to their Service award any indirect costs calculated against the portion of total direct costs charged to themselves or charged to any other project partner, Federal and non-Federal alike.

- 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 <http://www.fws.gov/grants/>.

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
2180 Harvard Street, Suite 430
Sacramento, CA 95815
Phone: 916-566-7111
Email: ics@nbc.gov
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 (<http://harvester.census.gov/sac/>) 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 online at <http://apply07.grants.gov/apply/FormLinks?family=15>. 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. Signing this form does not mean that all items on the form are applicable. The form contains language that states that some of the assurances may not be applicable to your organization and/or your project or program.

- 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. 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. 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 applicant to reduce or resolve the conflict. Failure to 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 summary**
- ☐ **Project narrative**

- ☐ **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.
- ☐ **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)
- ☐ **Intra-Service Section 7 Biological Evaluation form** (Endangered Species Act, FWS Region 3)
- ☐ **Request for Midwest RHPO NHPA Clearance form** (National Historic Preservation Act, FWS Region 3)
- ☐ Any State Historic Preservation Office documentation prepared for the project

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

V. Submission Instructions

SUBMISSION DEADLINE: March 15, 2017.

Intergovernmental Review: Before submitting an application, U.S. state and local government applicants should visit the following website (http://www.whitehouse.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 Regional Fisheries Program Grants account listed below:

- 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.

To submit an application through Grants.gov:

Go to the Grants.gov Apply for Grants page (http://www07.grants.gov/applicants/apply_for_grants.jsp) 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.

VI. Application Review

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

- Implementing risk management approaches for species and pathways as described in GLMRIS reports (<http://glmr.is.anl.gov/>)
- Developing and implementing an Asian carp prevention and management plan for the Great Lakes
- Addressing climate change in risk assessment and management activities
- FY14 GLRI AIS grant expenditure rates (a State with a higher FY14 expenditure rate will result in a higher ranking for FY17 GLRI AIS grant allocation),
- Description of accomplishments that resulted from implementing past grants. Those accomplishments must be enumerated for each of the performance metrics (Objectives, Commitments, and especially Measures of Progress with Annual targets, and additional Measures of Progress) listed in GLRI Action Plan II (available at <http://glri.us/actionplan/pdfs/glri-action-plan-2.pdf>), and

- Projections of accomplishments that are enumerated for each of the performance metrics listed in GLRI Action Plan II.

If possible, states will consider climate change, and adaptively managing for long-term sustainability of aquatic systems in response to the interaction of climate change and aquatic invasive species.

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.

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. The Service’s risk assessment form is available on the Internet at <http://www.fws.gov/forms/3-2462.pdf>.

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) 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 Federal regulations applicable to Service awards are available on the Internet at <http://www.fws.gov/grants/>. 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: Interim financial reports and performance reports may be required. Interim reports will be required no more frequently than quarterly, and no less frequently than annually. A final financial report and a final performance report will be required and are due within 90 calendar days of the end date of the award. 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

- Name: Aaron Woldt
 - o E-mail: Aaron_Woldt@fws.gov
 - o Phone #: 612-713-5110
- If grant applications are submitted via email, then those packages must be submitted to the Fisheries Program grant email address, which is:
 - o fws3_fisheries_grants@fws.gov.