Title: Evaluating the Population-level Impacts of Contaminants of Emerging Concern on Lake Sturgeon

Notice of Funding Opportunity Number: F19AS00028

Federal Program: Department of the Interior, United States Fish and Wildlife Service (USFWS), Ecological Services, Contaminants of Emerging Concern Team (CEC)

Catalog of Federal Domestic Assistance (CFDA) Number: 15.662 and 15.678

Authorizing Legislation: Fish and Wildlife Act, 16 U.S.C. §742 et seq. Fish and Wildlife Conservation Act, 16 U.S.C. §2901 et seq.; Fish and Wildlife Coordination Act, 16 U.S.C. §§661-666; Great Lakes Fish and Wildlife Restoration Act, 16 U.S.C. §941; Great Lakes Fishery Act, 16 U.S.C. §931

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

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

I. **Program Description**

The U.S. Fish and Wildlife Service plans to enter into a new cooperative agreement with Ball State University – Venturelli Lab, to provide financial support for continuing work on assessing the risks of contaminants of emerging concern (CECs) on aquatic wildlife within the Great Lakes Basin. This work will be supported by the USFWS CEC Team, with Great Lakes Restoration Initiative FY18 funding from Focus Area 1: Toxic Substance and Areas of Concern, allocated to USFWS by the U.S. Environmental Protection Agency – Great Lakes National Program Office. This project and all associated outputs will lead towards completing Objective 1.2.2 from GLRI Action Plan II: Increase knowledge about contaminants in Great Lakes fish and wildlife.

The recipient of this award must work in collaboration with the USFWS CEC Team and all other associated collaborators to fulfill the USFWS CEC Team's 5 year plan, GLRI Strategic Plan, and the GLRI Action Plan II. This project will incorporate and build off of the USFWS CEC Team's previous data as well as collaborate with the GLRI CEC Integrated Group to compile overarching trends and data findings from all members working on CEC investigations. The CEC Team is an ongoing team (started in 2010) investigating the effects of CECs in the Great Lakes Basin.

The Secretary of DOI developed a list of ten priorities to support both the public purpose and USFWS and DOI missions. This funding opportunity supports four of these priorities as outlined below:

1. Creating a conservation stewardship legacy second only to Teddy Roosevelt: This funding opportunity will provide the scientific data to identify best practices to manage aquatic resources faced with impacts from CECs allowing manager to adapt to changes in the environment. Resulting

data will inform species specific restoration actions to meet goals determined by stakeholders including Federal, State, local public advisory groups and concerned citizens. Cooperation and trust developed by state holders are necessary to achieve these collective goals. The results of this project will be shared with other federal, state, local, and tribal organizations so they can manage their specific aquatic resources to the best of their abilities. Results will be used to help determine best management practices for important fish species, prioritize restoration sites, and locate the best available release points for fisheries managers to release hatchery reared fish. Understanding how CECs impact specific species coupled with previous surveys of CECs in the Great Lakes Tributaries, will contribute to identifying location specific best management practices for increased fishing opportunities.

2. Generating additional revenues to support DOI & National interests: Data resulting from this funding opportunity will inform sensible Great Lakes restoration, enhancing ecological functionality. This will promote increased economic opportunities through recreation including fishing, hunting, and tourism, among others.
3. Striking a regulatory balance: By understanding how CECs impact aquatic resources, resource managers will be able to better manage fisheries and wildlife in the presence of CECs. This will ensure funding is spent adequately and efficiently on restoration projects, hatchery rearing programs, guiding best management for releasing hatchery reared fisheries resources, and creating species specific best management practices.
4. Achieving our goals and leading our team forward: Data generated from this funding opportunity will provide a cost effective and quality service to the public. It exemplifies the USFWS mission of "working with others to enhance fish, wildlife, plants and their habitats for the continuing benefit of the American people" and will help ensure natural resources for current and future generations. This project uses the best available science to inform resource managers of the population level effects of CECs and will progress fisheries management forward to ensure conservation of fish species in the Great Lakes Basin.

II. Federal Award Information

This is a notice of intent to award a single source cooperative agreement to the Ball State University – Venturelli Lab without competition under justification 505DM 2.14.B.2 & 4 in the approximant amount of $170,000.00. Competition for this award is not practical as the recipient is uniquely qualified to perform this continuation project. Currently the Venturelli lab is modeling the effects of Contaminants of Emerging Concern (CECs) on generic fish populations based on the CEC Team's laboratory work and this new project is a continuation of current work. It would build upon the model they have already created to expand it to Lake Sturgeon, a species of interest to USFWS. The Venturelli lab has maintained a good relationship with the CEC Team and has proven their expertise in fish population modeling and ability to work professionally and with high scientific rigor with the current CEC Team. In addition to their current good relationship and scientific excellence, the chosen recipient also has previous experience modeling contaminant effects on the European sturgeon, a close relative to the lake sturgeon, which again ensures they will be able to complete this project successfully. The chosen recipient is uniquely qualified to complete this modeling because of their previous work and current relationships with the CEC Team. The intended recipient has already been briefed on project goals and objectives and has agreed they align with their own lab's goals and objectives making collaboration ideal and successful for all parties. The combination of the recipient's scientific background and knowledge as well as their current good relationships and status as a current CEC Team member is why they are intended as the single source recipient.

This project will: 1) Develop a general population model for the lake sturgeon to identify which individual-level impacts of exposure to CEC (e.g., growth, survival, reproduction) are the most important for population level effects, 2) Adapt the previously developed CEC effects model to a more specific case/location in order to answer a more specific research question linked to an existing research project at USFWS, 3) Communicate results via conferences, the peer-reviewed literature, and to interested stakeholders. Specifically the recipient of this project will, summarize the available literature on demographic/life history data of lake sturgeon, develop and run the models in different simulation contexts according to CEC project needs, interpret simulation results and outcomes in collaboration with USFWS CEC Team project manager, share all data, modeling code, reports with USFWS CEC Team, and prepare and submit publications in collaboration with USFWS CEC Team. The anticipated outputs and outcomes from this project include species-specific population model for assessing population -level effects of exposure to CEC in the context of environmental risk assessment, model code and a list of species-specific model parameters, values, and sources, attending at least three presentations at appropriate national and/or international conferences, and one or more publications in the peer-reviewed literature.

Only one award will be made from this posting. The amount to be awarded will not exceed $170,000 for the one and only award from this posting. This project is anticipated to start on November 30, 2018 and will need to be completed by September 1, 2020.

Substantial involvement on the part of the Service is anticipated for the successful completion of the activities to be funded. In particular, the Service will be/expects to be responsible for the following: USFWS CEC Team will provide data from previous CEC Team projects to be incorporated into the model. USFWS will provide guidance and insight as to model applications and outputs which will benefit natural resource managers, which will help in the creation of the model. USFWS will also be involved in coordinating meetings, webinars, publications, and outreach aspects of the outputs associated with this project. USFWS will also coordinate meeting with natural resource managers and stakeholders to help disseminate research findings. USFWS will be involved in the data interpretations, manuscript writing, and will contribute the application of results and management implications sections of manuscripts and other sections as needed, as well as contributing to peer reviewed journal selection and selection of conference attendance. All outputs and final products of this project will be reviewed by CEC Team Manager before being made publicly available. USFWS will also coordinate the recipients work with the other CEC Team members and projects to ensure all data needs, and general project needs are met, as well as ensuring all outputs are contributing to the CEC Team's overall goals and objectives, and that there is team cohesion between this project and the other CEC Team projects.

This agreement will be issued under the Great Lakes-Northern Forest Cooperative Ecosystem Studies Unit (GLNF-CESU) which the USFWS and Ball State University are part of; thus the indirect cost rate will be held at 17.5%.

III. Eligibility Information

A. Eligible Applicants

Public institutions of higher education.

There is not an application process for this funding opportunity; this is a notice of intent to award a single source cooperative agreement to Ball State University – Venturelli Lab to participate in a project with the USFWS CEC Team developing a population model in regards to effects of CECs on lake sturgeon populations.

B. Cost Sharing or Matching

There are no cost sharing or matching criteria required for this award.

C. Other Eligibility Criteria

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

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

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

IV. Application Requirements

A. Requesting Paper Application Package

If a paper application package is needed please send a request in writing to:
Stephanie Hummel
Fish and Wildlife Biologist
U.S. Fish and Wildlife Service, Ecological Services
Region 3, Regional Office
5600 American Blvd West; Suite 990
Bloomington, MN 55437
Office Phone: 612-713-5197
Cell Phone: 612-258-1197
Email: stephanie_hummel@fws.gov

B. Application Form and Content Requirements

1. SF-424, Application for Federal Assistance

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

2. **SF 424, Assurances**

Applicants must submit the appropriate signed and dated Assurances form. Complete either the SF-424B, Assurances for Non-Construction Programs or the SF-424D, Assurances for Construction Programs, as applicable to your project. All of the required application forms are available on the "Packages" tab of this Funding Opportunity on Grants.gov. The SF-424 Assurances forms include a statement that some of the assurances may not be applicable to your organization and/or your project or program. Signing the required SF-424 Assurances form does not make you or your organization subject to laws that are otherwise not applicable to you or your organization. Changing, crossing out, or making notations on the form before signing has no impact on the applicability of law.

3. **Project Narrative**

- Project title;
- Description of entity(ies) undertaking the project;
- Statement of need: Describe why this project is necessary (significance/value) and include supporting information. Summarize previous or on-going efforts (of you/your organization, and other organizations or individuals) that are relevant to the proposed work. Explain the successes or failures of past efforts and how your proposed project builds on them. If you have received funding previously (from the Service or any other entity) for this specific project work or site, provide a summary of the funding, associated activities and products/outcomes;
- Goals and objectives: State the long-term, overarching goal(s) of the program/project, including how this project is relating to and advancing the Great Lakes Restoration Initiative. 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);
- Activities: 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;
- Methods: Provide a detailed description of the method(s) to be used to carry out each activity;
- Timetable or milestones: 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.;

- Information to support environmental compliance review requirements. Note: For projects on the high seas, the narrative should provide enough detail so that reviewers are able to determine project compliance with Section 7 of the Endangered Species Act. For projects outside the U.S. on any property on the UNESCO World Heritage List or the in-country equivalent of the U.S. National Register of Historic Places, the narrative should provide enough detail so that reviewers are able to determine project compliance with Section 106 of the National Historic Preservation Act;
- Description of stakeholder coordination or involvement;
- Required project monitoring and evaluation plan, including description of assessment tools to be used;
- Information on key project personnel;
- Anticipated future funding needs;
- Details and supporting documentation on the project location;

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

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

6. **Indirect Costs: Individuals**
   Individuals applying for and receiving funds separate from a business or non-profit organization he/she may operate are not eligible to charge indirect costs to their award. If you are an individual applying for funding, do not include any indirect costs in your proposed budget and skip the next section.

7. **Indirect Costs: Organizations**
   The Federal awarding agency that provides the largest amount of direct funding to your organization is your cognizant agency for indirect costs, unless otherwise assigned by the White

House Office of Management and Budget (OMB). If the Department of the Interior is your organization's cognizant agency, the Interior Business Center will negotiate your indirect cost rate. Contact the Interior Business Center by phone 916-930-3803 or using the IBC Email Submission Form. See the IBC Website for more information.

Organizations must have an active Federal award before they can submit an indirect cost rate proposal to their cognizant agency. Failure to establish an approved rate during the award period renders all costs otherwise allocable as indirect costs unallowable under the award. Recipients must have prior written approval from the Service to use amounts budgeted for direct costs to satisfy cost-share or match requirements or to cover unallowable indirect costs. Recipients shall not shift unallowable indirect costs to another Federal award unless specifically authorized to do so by legislation.

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

We are:

☐ A U.S. state or local government entity receiving more than $35 million in direct Federal funding each year with an indirect cost rate of [insert rate]. We submit our indirect cost rate proposals to our cognizant agency. Attached is a copy of our most recently approved rate agreement/certification.

☐ A U.S. state or local government entity receiving less than $35 million in direct Federal funding with an indirect cost rate of [insert rate]. We have prepared and will retain for audit an indirect cost rate proposal and related documentation.

☐ A [insert your organization type; U.S. states and local governments, please use one of the statements above or below] that has previously negotiated or currently has an approved indirect cost rate with our cognizant agency. Our indirect cost rate is [insert rate]. [Insert either: "Attached is a copy of our most recently approved but expired rate agreement. In the event an award is made, we will submit an indirect cost rate proposal to our cognizant agency within 90 calendar days after the award is made." *or* "Attached is a copy of our current negotiated indirect cost rate agreement."]

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

☐ A [insert your organization type] that has never submitted an indirect cost rate proposal to our cognizant agency and has an indirect cost rate that is lower than 10%. Our indirect cost rate is [insert rate; must be lower than 10%]. However, if we receive an award we will not be able to meet the requirement to submit an indirect cost rate proposal to our cognizant agency within 90 calendar days after award. We request as a condition of award to charge a flat indirect cost rate of [insert rate; must be lower than 10%] against [insert a clear description of the direct cost base against which your rate is charged (e.g., salaries; salaries and fringe benefits; or modified total direct costs). However, please note that your organization cannot charge indirect costs in excess of the indirect costs that would be

recovered if applied against modified total direct costs as defined in 2 CFR 200.68]. We understand that we must notify the Service in writing if we establish an approved rate with our cognizant agency at any point during the award period.

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

☐ A [insert your organization type] that is submitting this proposal for consideration under the [insert either "Cooperative Fish and Wildlife Research Unit Program" or "Cooperative Ecosystem Studies Unit Network"], which has a Department of the Interior-approved indirect cost rate cap of [insert program rate]. If we have an approved indirect cost rate with our cognizant agency, we understand that we must apply this reduced rate against the same direct cost base as identified in our approved indirect cost rate agreement. If we do not have an approved indirect cost rate with our cognizant agency, we understand that we must charge indirect costs against the modified total direct cost base defined in 2 CFR 200.68 "Modified Total Direct Cost (MTDC)". We understand that we must request prior approval from the Service to use the 2 CFR 200 MTDC base instead of the base identified in our approved indirect cost rate agreement. We understand that Service approval of such a request will be based on: 1) a determination that our approved base is only a subset of the MTDC (such as salaries and wages); and 2) that use of the MTDC base will still result in a reduction of the total indirect costs to be charged to the award. In accordance with 2 CFR 200.405, we understand that indirect costs not recovered due to a voluntary reduction to our federally negotiated rate are not allowable for recovery via any other means.

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

8. Conflict of Interest Disclosure

Applicants must state in their application if any actual or potential conflict of interest exists at the time of submission. Conflicts of interest include any relationship or matter that might place the recipient, including their employees and subrecipients, in a position of conflict, real or apparent, between their responsibilities under the award and any other outside interests. Conflicts of interest include direct or indirect financial interests; close personal relationships; positions of trust in outside organizations; consideration of future employment arrangements with a different organization; and decision-making authority related to the proposed project. Conflicts of interest are those circumstances real or perceived that would cause a reasonable person with knowledge of the relevant facts to question the impartiality of the applicant, or the applicant's employees or subrecipients, in matters pertaining to the proposed project. Applicants must notify the Service in writing in their application if any employees, including subrecipient and contractor personnel, are related to, married to, or have a close personal

relationship with any Federal employee in the Federal program receiving this application or who otherwise may be involved in the review and selection of their proposal. The term employee means any individual to be engaged in the performance of work pursuant to the Federal award application. Failure to disclose and resolve conflicts of interest in a manner that satisfies the Service may result in the rejection or disqualification of the application.

9. **Single Audit Reporting Statement**
   All U.S. states, local governments, federally recognized Indian tribal governments, and non-profit organizations expending $750,000 USD or more in Federal award funds in the applicant's fiscal year must submit a Single Audit report for that year through the Federal Audit Clearinghouse's Internet Data Entry System. U.S. state, local government, federally recognized Indian tribal government, and non-profit applicants must state if your organization was or was not required to submit a Single Audit report for the most recently closed fiscal year. If your organization was required to submit a Single Audit report for the most recently closed fiscal year, provide the EIN associated with that report and state if it is available through the Federal Audit Clearinghouse website.

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

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

12. **Overlap or Duplication of Effort Statement**
    Applicants must provide a statement indicating if there is any overlap between this Federal application and any other Federal application, or funded project, in regards to activities, costs, or time commitment of key personnel. If no such overlap or duplication exists, state, "*There are no overlaps or duplication between this application and any of our other Federal applications or funded projects, including in regards to activities, costs, or time commitment of key personnel*". If any such overlap exists, provide a complete description of overlaps or duplications between this proposal and any other federally funded project or application in regards to activities, costs, and time commitment of key personnel, as applicable. Provide a copy of any overlapping or duplicative proposal submitted to any other potential funding entity and identify when that proposal was submitted, to whom (entity name and program), and when you anticipate being

notified of their funding decision. When overlap exists, your statement must end with "*We understand that if at any time we receive funding from another source that is duplicative of the funding we are requesting from the U.S. Fish and Wildlife Service in this application, we will immediately notify the U.S. Fish and Wildlife Service point of contact identified in this Funding Opportunity in writing.*"

13. APPLICATION CHECKLIST

- ☐ **SF-424, Application for Federal Assistance or Application for Federal Assistance-Individual**
- ☐ **SF-424B or D, Assurances**
- ☐ **Project Narrative**
- ☐ **SF-424A or C, Budget Information**
- ☐ **Budget Narrative**
- ☐ **Indirect Cost Statement and related documentation (when applicable)**
- ☐ **Conflict of Interest Disclosure (when applicable)**
- ☐ **Single Audit Reporting Statement (when applicable)**
- ☐ **SF-LLL, Disclosure of Lobbying Activities (when applicable)**
- ☐ **Overlap or Duplication of Effort Statement**

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

V. Submission Requirements

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

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

1. Obtain a DUNS Number

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

2. Register with SAM

Register on the SAM.gov website. The official website address is http://www.sam.gov. The "Help" tab on the website contains User Guides and other information to assist you with registration. The Grants.gov Register with SAM" webpage also provides detailed instructions.

You can also contact the supporting Federal Service Desk for help registering in SAM. Once registered in SAM, entities must renew and revalidate their SAM registration at least once every 12 months from the date previously registered. Entities are strongly encouraged to revalidate their registration as often as needed to ensure their information is up to date and reflects changes that may have been to the entity's DUNS or IRS information. Foreign entities who want to receive payment directly to a U.S. bank account must enter and maintain valid, current banking information in SAM.

B. Submission Dates and Times

Submissions must be received before 5:00pm CT on Monday November 5, 2018.

C. Intergovernmental Review

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

D. Funding Restrictions

There are no funding restrictions for this award.

E. Submission Instructions

Application submissions should be sent via email to Stephanie Hummel (Stephanie_hummel@fws.gov).

VI. Application Review Information

A. Criteria

This project to be funded as a single source award because it is a continuation of current work the recipient is working on completing with the USFWS CEC Team and the recipient is uniquely qualified to complete this project. The recipient has expertise in fish population modeling with regards to ecotoxicity and sturgeon, which will ensure this project is completed successfully.

To be considered for funding, applications must meet the following:

- Initial Package Evaluation
    - Timeliness: Application package includes all materials requested by bureau within the timeline established by the NOFO
    - Eligibility: The applicant is considered eligible, when compared to the NOFO requirements
    - Completeness: The application package has all material requested within the NOFO, including all signatures and current form type
- Best Management Practices and Business Oversight
    - DOI has integrated Business Management Structures that require documentation for tracking of funds, audit reporting (showing historical ethical management and

business acumen), grant budget forms, Disclosure of Lobbying, and Conflict of interest.
    - Forms used to accomplish best management practices: SF-LLL (lobbying), A-133 (Audit reporting), and conflict of interest statement (Internal USFWS), SF-424 (including A, B, and D).
- Risk Assessment
    - Use of NEPA (form 302185) documentation allow for environmental risk mitigation.
    - Use of SAM database allows for investigation of all parties (agency and investigators)
    - FWS 3-2462 Financial Assistance Recipient Risk Assessment defines a scoring metric to evaluate applicant risk of default

Fair and Impartial Grant Management
- Scoring and selected officials are considered experts in their scientific field
- Use of scoring matrix reduces chances for error or partial decision making
- Scoring matrix forms will be included in grant funding files for documentation
- Merit Review Questions
    - Does the proposed plan fulfill the goals and objectives of the GLRI Action Plans and the priorities of the NOFO?
    - What is the potential for the proposed activity to advance knowledge and understanding within its own field(s) and societal benefits and address the Department of Interior's financial assistance priorities?
    - Is the proposed plan well organized, well-reasoned and based on sound rationale?
    - How well qualified is the individual, team, or organization to conduct the proposed activities?
- Merit Review Scoring System
    - For this grant review process a numerical system will be integrated. This system will use the four questions listed above equally to define the quality of each grant application.
    - Program policy factors may be included in the technical review, scoring and funding structures, when consideration of these factors is needed for fulfillment of agency program objectives.
- Basis for Description of Rating System Scores
    - Question 1 is worth 25% of the score with a score range from 0-25. Objectives in the proposed plan will be compared to objectives within the GLRI Action Plans and the NOFO to evaluate for compatibility and overall alignment with increasing the GLRI knowledgebase
    - Question 2 is worth 25% of the score with a score range from 0-25. The proposal will be evaluated for the potential to advance knowledge and understanding of the field and the potential societal benefits which accompany those advances and how well the proposal addresses the Department of Interior's financial assistance priorities.

- Question 3 is worth 25% of the score with a score range from 0-25. The organization, reasoning, and rationale of the proposal will be evaluated to completeness, accuracy and logistical feasibility. The proposal will also be evaluated for completeness and timeliness of the application.
- Question 4 is worth 25% of the score with a score range from 0-25. The individual, team, or organization will be evaluated and scored based on their qualifications and potential for successful project completion.

Scores from all 4 questions will be summed for a total score. Scores from all proposals will be ranked in descending order, with the highest scores receiving the award.

B. Review and Selection Process

All applications will be reviewed by a panel of at least 3 expert biologists. Applications will be reviewed and selected based on criteria noted above.

Prior to award, the Service will review any applicant statement regarding potential overlap or duplication between the project to be funded and any other funded or proposed project in terms of activities, funding, or time commitment of key personnel. Depending on the circumstances, the Service may request modification to the application, other pending applications, or an active award, as needed to eliminate any duplication of effort, or the Service may choose not to fund the selected project.

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

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

VII. Federal Award Administration

A. Federal Award Notices

Awards are based on the application submitted to and approved by the Service and are subject to the terms and conditions incorporated into the Notice of Award either by direct citation or by reference to the following: Federal regulations; program legislation or regulation; and special award terms and conditions. Recipient acceptance of a Federal award from the Service carries with it the responsibility to be aware of and comply with all terms and conditions applicable to the award. Recipients indicate their acceptance of the Federal award by starting work, drawing down funds, or accepting the award via electronic means.

B. Award Terms and Conditions

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

C. Payments

Domestic recipients are required to register in and receive payment through the U.S. Treasury's Automated Standard Application for Payments (ASAP), unless approved for a waiver by the Service program. Foreign recipients receiving funds to a final destination bank outside the U.S. are required to receive payment through the U.S. Treasury's International Treasury Services (ITS) System. Foreign recipients receiving funds to a final destination bank in the U.S. are required to enter and maintain current banking details in their SAM.gov entity profile and receive payment through the Automated Clearing House network by electronic funds transfer (EFT). The Service will include recipient-specific instructions on how to request payment, including identification of any additional information required and where to submit payment requests, as applicable, in all Notices of Award.

D. Reporting Requirements

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

1. Financial Reports

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

2. Performance Reports

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

3. Significant Developments Reports

Events may occur between the scheduled performance reporting dates that have significant impact upon the supported activity. In such cases, recipients are required to notify the Service in writing as soon as the recipient becomes aware of any problems, delays, or adverse conditions that will materially impair the ability to meet the objective of the Federal award. This disclosure must include a statement of any corrective action(s) taken or contemplated, and any assistance needed to resolve the situation. The recipient should also notify the Service in writing of any favorable developments that enable meeting time schedules and objectives

sooner or at less cost than anticipated or producing more or different beneficial results than originally planned.

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

5. **Conflict of Interest Disclosures**
   Recipients must notify the Service immediately in writing of any actual or potential conflicts of interest that arise during the life of their Federal award. Conflicts of interest include any relationship or matter that might place the recipient, including their employees and subrecipients, in a position of conflict, real or apparent, between their responsibilities under the award and any other outside interests. Conflicts of interest include direct or indirect financial interests; close personal relationships; positions of trust in outside organizations; consideration of future employment arrangements with a different organization; and decision-making authority related to the award. Conflicts of interest are those circumstances real or perceived that would cause a reasonable person with knowledge of the relevant facts to question the impartiality of the recipient or the recipients's employees or subrecipients in matters pertaining to the award. Recipients must notify the Service in writing if any employees, including subrecipient and contractor personnel, are related to, married to, or have a close personal relationship with any Federal employee in the Federal funding program or who otherwise may have been involved in the review and selection of the award. The term employee means any individual engaged in the performance of work pursuant to the Federal award. Failure to disclose and resolve conflicts of interest in a manner that satisfies the Service may result in any of the remedies described in 2 CFR 200.338 Remedies for Noncompliance, including termination of the award.

6. **Other Mandatory Disclosures**
   The non-Federal entity or applicant for a Federal award must disclose, in a timely manner, in writing to the Federal awarding agency or pass-through entity all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the Federal award. Non-Federal entities that receive a Federal award including the term and condition outlined in 2 CFR 200, Appendix XII—Award Term and Condition for Recipient Integrity and Performance Matters are required to report certain civil, criminal, or administrative proceedings to SAM. Failure to make required disclosures can result in any of the remedies described in 2 CFR 200.338 Remedies for Noncompliance, including suspension or debarment.

VIII. Federal Awarding Agency Contact(s)

For assistance with the application process for this award please contact
Stephanie Hummel, PhD, AWB®
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U.S. Fish and Wildlife Service, Ecological Services
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