

RECLAMATION

Managing Water in the West

Funding Opportunity Announcement No. BOR-DO-18-F007

WaterSMART Drought Response Program: Drought Contingency Planning Grants for Fiscal Year 2018



U.S. Department of the Interior
Bureau of Reclamation
Policy and Administration
Denver, Colorado

November 2017

Mission Statements

The U.S. Department of the Interior protects America's natural resources and heritage, honors our cultures and tribal communities, and supplies the energy to power our future.

The mission of the Bureau of Reclamation is to manage, develop, and protect water and related resources in an environmentally and economically sound manner in the interest of the American public.

Synopsis

Federal Agency Name:	Department of the Interior, Bureau of Reclamation, Policy and Administration
Funding Opportunity Title:	Drought Response Program: Drought Contingency Planning Grants for Fiscal Year 2018
Announcement Type:	Funding Opportunity Announcement (FOA)
Funding Opportunity Number:	BOR-DO-18-F007
Catalog of Federal Domestic Assistance (CFDA) Number:	15.514
Dates: (See FOA Sec. D.4)	Application due date: Wednesday February 7, 2018 at 4:00 p.m. Mountain Standard Time
Eligible Applicants: (See FOA Sec. C.1)	States, Indian tribes, irrigation districts, water districts, or other organizations with water or power delivery authority located in the Reclamation States or Hawaii.
Recipient Cost Share: (See FOA Sec. C.2)	In general, 50 percent or more of total project costs. In exceptional circumstances, a reduction or waiver of the non-Federal cost share may be considered.
Federal Funding Amount: (See FOA Sec. B)	Up to \$200,000 per agreement for a project that can be completed within 2 years.
Estimated Number of Agreements to be Awarded: (See FOA Sec. B)	Approximately 3-5 agreements
Intergovernmental Review: (See FOA Sec. D.5)	This FOA is subject to Executive Order 12372, "Intergovernmental Review of Federal Programs." A list of states that have elected to participate in the intergovernmental review process is at www.whitehouse.gov/omb/grants_spoc .

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Application Checklist

The following table contains a summary of the information that you are required to submit with your application.

√	What to submit	Required content	Form or format	When to submit
	Mandatory Federal Forms: Application for Federal Financial Assistance Budget Information Assurances Disclosure of Lobbying Activities	See Sec. D.2.2.1	SF-424, SF-424A, SF-424B, SF-424D and SF-LLL forms may be obtained at www.grants.gov/web/grants/forms/sf-424-family.html	*
	Title page	See Sec. D.2.2.2	Page 17	*
	Table of contents	See Sec. D.2.2.3	Page 17	*
	Technical proposal:			*
	Executive summary	See Sec. D.2.2.4	Page 17	*
	Background data	See Sec. D.2.2.4	Page 18	*
	Project description	See Sec. D.2.2.4	Page 18	*
	Evaluation criteria	See Sec. E.1	Page 31	*
	Project Budget:			*
	Funding plan	See Sec. D.2.2.5	Page 19	*
	Budget proposal	See Sec. D.2.2.5	Page 21	*
	Budget narrative	See Sec. D.2.2.5	Page 22	*
	Required permits or approvals	See Sec. D.2.2.6	Page 25	*
	Letters of support	See Sec. D.2.2.8	Page 25	*
	Official Resolutions	See Sec. D.2.2.9	Page 25	**
	Unique Entity Identifier and System for Award Management	See Sec. D.3	Page 26	***

* Submit materials with your application.

** Document should be submitted with your application; however, please refer to the applicable section of the FOA for extended submission date.

*** Should be completed prior to the application deadline; however, please refer to the applicable section of the FOA for extended completion date.

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Acronyms and Abbreviations

ASAP	Automated Standard Application for Payments
ARC	Application Review Committee
CFDA	Catalog of Federal Domestic Assistance
CFR	Code of Federal Regulations
Department	U.S. Department of the Interior
DUNS	Data Universal Number System
FAPIIS	Federal Award Performance Integrity Information System
FEMA	Federal Emergency Management Agency
FOIA	Freedom of Information Act
Framework	Drought Response Program Framework
FY	fiscal year
GO	Grants Officer
MST	Mountain Standard Time
NDMC	National Drought Mitigation Center
NIDIS	National Integrated Drought Information System
NOAA	National Oceanic and Atmospheric Administration
P.L.	Public Law
Project	Drought Contingency Plan
Reclamation	Bureau of Reclamation
SAM	System of Award Management
SPOC	Single Point of Contact
Task Force	Drought Planning Task Force
U.S.C.	United States Code
WaterSMART	Sustain and Manage America's Resources for Tomorrow

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Section A. Funding Opportunity Description

A.1. Program Information

The WaterSMART (Sustain and Manage America's Resources for Tomorrow) Program provides a framework for Federal leadership and assistance to stretch and secure water supplies for the future. Through WaterSMART, the Bureau of Reclamation (Reclamation) leverages Federal and non-Federal funding to support stakeholder efforts to stretch scarce water supplies and avoid conflicts over water. Working together with our stakeholders, WaterSMART provides support for the Department of the Interior's priorities, including creating a legacy of conservation stewardship, sustainably developing our energy and natural resources, modernizing our infrastructure through public-private partnerships, and restoring trust with local communities by improving relationships and communication with states, tribes, local governments, communities, landowners and water users.

Reclamation's WaterSMART Drought Response Program supports a proactive approach to drought by providing financial assistance to water managers to: develop and update comprehensive drought plans (Drought Contingency Planning), and implement projects that will build long-term resiliency to drought (Drought Resiliency Projects). The Drought Response Program specifically contributes to the Department of the Interior's priorities to: create a legacy of conservation stewardship, modernize our infrastructure, and restore trust with local communities by providing funding to states, tribes, and local governments to prepare for and address drought in advance of a crisis.

This Funding Opportunity Announcement (FOA) supports the development and update of drought contingency plans that will build long-term resiliency to drought.

For further information on the Drought Response Program, including information on funding for Drought Resiliency Projects, please see www.usbr.gov/drought.

For further information on the WaterSMART Program, please see www.usbr.gov/WaterSMART.

A.2. Objective of this Funding Opportunity Announcement

The objective of this FOA is to invite states, Indian tribes, irrigation districts, water districts, and other organizations with water or power delivery authority to leverage their money and resources by cost sharing Drought Contingency Planning with Reclamation to build resilience to drought in advance of a crisis. Applicants under this FOA may request funding to develop a new drought plan or

to update an existing drought plan (**collectively, Drought Contingency Plans**). Applicants may also request technical assistance from Reclamation for the development of elements of the Drought Contingency Plan (Project).

It is a well-established principle that planning for drought, in advance of a crisis, is far more cost effective than emergency response. As stated on the National Drought Mitigation Center (NDMC) website at drought.unl.edu:

One frequently cited estimate from FEMA¹ is that “mitigation” – taking steps ahead of time to prevent known impacts from a natural disaster – saves \$4 for every \$1 expended. Planning ahead is generally seen as more efficient and more effective than measures taken in crisis mode. Drought researchers have found that after-the-fact assistance to farmers, for example, is expensive and doesn’t necessarily reach the right people.

Through this FOA, Reclamation seeks to support collaborative planning efforts that use a proactive approach to build long-term resiliency to drought. Drought Contingency Plans developed under this program are required to include participation by multiple stakeholders to encourage more comprehensive plans that address issues important to different sectors (e.g., agricultural, municipal, industrial, and environmental). Participation by multiple stakeholders will also broaden support for mitigation and response actions identified in the plans. In addition, Drought Contingency Plans developed under this FOA must include consideration of uncertainties related to changing hydrologic conditions and the potential impacts to water supplies, in order to support long-term resiliency to drought.

Given current budget constraints and competing priorities for limited funding, Reclamation does not expect to submit recommendations to Congress for authorizing legislation or appropriations for construction following the completion of a Drought Contingency Plan. However, potential projects identified in a Drought Contingency Plan may be considered for funding under the Drought Resiliency Projects FOA, so long as the project meets all program and eligibility requirements.

In accordance with Section 204 of the Reclamation States Emergency Drought Relief Act of 1991, a copy of plans completed by states and tribes under this FOA will be submitted to Congress.

A.3. Statutory Authority

This FOA is issued under the authority of Title I of the Reclamation States Emergency Drought Relief Act of 1991 (Public Law [P.L.] 102-250, 43 United States Code [U.S.C.] Section 2201-2214), as amended.

¹ Federal Emergency Management Agency (FEMA).

A.4. Other Related Funding Opportunities

A separate FOA for Drought Resiliency Projects will be posted on Grants.gov, (www.grants.gov), concurrently with this FOA. The Drought Resiliency Projects FOA includes financial assistance provided under the Drought Response Program on a 50/50 cost share basis, to complete projects that will build resiliency to drought by:

- Increasing the reliability of water supplies
- Improving water management
- Providing benefits for fish and wildlife and the environment

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Section B. Award Information

B.1. Total Project Funding

The President's fiscal year (FY) 2018 budget request includes \$3.25 million proposed for the Drought Response Program. The amount of funding available for awards under this FOA will depend on final FY 2018 appropriations and the demand for funding under this and other elements of the Drought Response Program. This FOA will be canceled if FY 2018 appropriations are insufficient to support new awards.

Applications submitted under this FOA may also be considered if additional funding becomes available in FY 2018 or thereafter.

B.2. Project Funding Limitations

The Federal share (Reclamation's share in addition to any other sources of Federal funding) for any Project generally shall not exceed 50 percent of the total costs.

A maximum of \$200,000 in Federal funding may be allocated to proposals awarded funding under this FOA. Generally, the non-Federal share of costs must be expended at the same or greater rate as the Federal share of costs.

Note: For the purposes of this FOA, the terms "project" and "plan" are used interchangeably and refer to the applicant's proposed Drought Contingency Plan.

B.3. Assistance Instrument

Awards will be made through cooperative agreements. Recipients should expect Reclamation to have substantial involvement in the completion of the Project. Substantial involvement by Reclamation will include:

- Collaboration and participation with the recipient in the management of the Project and close oversight of the recipient's activities to ensure that the program objectives are being achieved.
- Oversight will include review, input, and approval at key interim stages of the plan, including input regarding the composition of the drought planning task force, review and acceptance of detailed work plans, and review of the Drought Contingency Plan for conformance to program goals and objectives.

At the request of the recipient, Reclamation can provide technical assistance after award of the project. If you receive Reclamation's assistance, you must account for these costs in your budget. To discuss available assistance and these costs, contact the program coordinator identified in *Section G. Agency Contacts*.

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Section C. Eligibility Information

C.1. Eligible Applicants

An eligible applicant is a state, tribe, irrigation district, water district, or other organization with water or power delivery authority.

Applicants must also be located in the Western United States as identified in the Reclamation Act of June 17, 1902, as amended and supplemented; specifically: Arizona, California, Colorado, Idaho, Kansas, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, Oregon, South Dakota, Texas, Utah, Washington, Wyoming, and Hawaii.

Those not eligible include, but are not limited to, the following entities:

- Federal governmental entities
- Institutions of higher education
- Individuals

C.2. Cost Sharing Requirements

In general, applicants must be capable of cost sharing 50 percent or more of the total costs of the Drought Contingency Plan (also referred to as Project Costs). Applicants with sufficient resources may choose to contribute a non-Federal cost share that is greater than 50 percent in order to develop more complex plans. Cost sharing may be made through cash or in-kind contributions or donations from the applicant or third-party partners. Cost share funding from sources outside the applicant's organization (e.g., loans or state grants) should be secured and available to the applicant prior to award. Please see *Section D.2.2.5. Funding Plan and Letters of Commitment* and *D.2.2.9. Official Resolution* for more information regarding the documentation required to verify commitments to meet cost sharing requirements.

In exceptional circumstances and upon request of the applicant, Reclamation may reduce or waive the non-Federal cost share requirement, if an overwhelming Federal interest and a significant financial need are identified. The criteria used by Reclamation to evaluate requests to reduce or waive the non-Federal cost share requirement are set forth below. In general, the total Federal share provided through a cooperative financial assistance agreement under this FOA is not anticipated to exceed \$200,000, even in those cases where a cost share reduction or waiver is approved. Applicants requesting a reduction or waiver of the non-Federal cost share must state their request in their proposal and include the required information demonstrating support for the existence of an overwhelming Federal interest and financial hardship, as indicated in *Section C.2.3. Request for a Cost Share Reduction or Waiver*. The documentation will not count towards the page total limitations set forth in *Section D.2.1. Application Format and Length*.

C.2.1. Cost Share Regulations

All cost-share contributions must meet the applicable administrative and cost principles criteria established in 2 Code of Federal Regulations (CFR) Part 200, available at www.ecfr.gov.

C.2.2. Donations and In-Kind Contributions

Donations and in-kind contributions constitute the value of noncash contributions that benefit a federally assisted project. These contributions may be in the form of real property, equipment, supplies, and other expendable property, as well as the value of goods and services directly benefiting and specifically identifiable to the project or program. The cost or value of donations and in-kind contributions that have been or will be relied on to satisfy a cost-sharing or matching requirement for another Federal financial assistance agreement, a Federal procurement contract, or any other award of Federal funds may not be relied on to satisfy the cost-share requirement for an award under this FOA. The exception to this requirement is where the Federal statute authorizing a program specifically provides that Federal funds made available for such program can be applied to matching or cost sharing requirements of other Federal programs, such as awards to tribal organizations under P.L. 93-638, as amended. Applicants should refer to 2 CFR §200.434 for regulations regarding the valuation of donations and in-kind contributions, available at www.ecfr.gov.

C.2.3. Request for a Cost Share Reduction or Waiver

Reclamation may reduce or waive the non-Federal cost share requirement upon request by the applicant, if an overwhelming Federal interest and a significant financial need are identified. If the funding plan identifies less than 50 percent non-Federal cost share match, please include the request for a cost share reduction or waiver in the proposal. The request must include information and documentation addressing the factors set forth immediately below.

Reclamation will use the following factors when considering whether to reduce or waive the non-Federal cost share requirement. Please address each of the following criteria and provide an explanation for the applicability of each criterion with supporting documentation:

- **Overwhelming Federal Interest.** Reclamation will make a determination of whether an overwhelming Federal interest exists based on factors such as the programs and policies of the President and the Secretary of the Department of the Interior.
- **Financial Hardship.** In determining whether a significant financial need exists the following factors will be considered:

- o The population-weighted median household income within the study area and the state based on the latest available data from the U.S. Census Bureau's American Community Survey (www.census.gov/acs/www/data/data-tables-and-tools/)
- o Family poverty level for the state as estimated by guidelines published annually by the U.S. Department of Health and Human Services (aspe.hhs.gov/poverty-guidelines)
- o The population-weighted average unemployment rate within the study area based on the latest available data from the U.S. Census Bureau's American Community Survey (www.census.gov/acs/www/data/data-tables-and-tools/)
- o A current financial statement of the applicant and a statement that the applicant does not possess sufficient funds or assets to pay for all or part of the required cost share

For more information regarding cost share waivers, please contact the Program Coordinator identified in *Section G. Agency Contacts*.

C.3. Eligible Projects

C.3.1. Eligible Projects

Proposals for the development of a new Drought Contingency Plan (Task A), or an update to an existing plan (Task B), are eligible for funding under this FOA. Drought Contingency Plans funded under this FOA must address each of the six elements described below in *Section C.4.1. Required Elements to be included in New Plans or Plan Updates*. Plan updates may focus on only those elements that have not yet been developed in the existing plan, or that require further development or updating; however, the updated Drought Contingency Plan must address each of the six required elements. Applicants awarded funding under this FOA must also meet the required steps for conducting a plan or plan update, also described in *Section C.4.2. Required Drought Contingency Planning Steps*. Further explanation and guidance to support the development of each plan element is provided in the Drought Response Program Framework (Framework), available at www.usbr.gov/drought.

C.3.2. Ineligible Projects

Proposals for the development of planning studies, other than Drought Contingency Plans, are not eligible for funding under this FOA. This includes proposals for the development of appraisal investigations, feasibility studies, special studies, Basin Studies, or studies authorized under the Title XVI Water Recycling and Reuse Program, through P.L.102-575, as amended (43 U.S.C. 390h et seq.), or under the Rural Water Program, pursuant to the Rural Water Supply Act of 2006, P.L.109-451 (www.usbr.gov/ruralwater).

Proposals for development of one or more elements of a drought contingency plan that would not result in a completed plan within the timeframe listed in this FOA are not eligible for funding consideration.

C.3.3. Length of Planning Process

Projects funded under this FOA should be completed within two years of award, including the required Reclamation review of the Drought Contingency Plan.

C.4. Project Requirements

Projects funded under this FOA must meet the requirements of the Drought Response Program Framework and Directives and Standards. These requirements include addressing the six elements of a Drought Contingency Plan and several required procedural steps, both of which are described below. In developing these requirements, Reclamation relied on proven approaches and common practices used in drought planning. Guidance on potential approaches for meeting the program requirements is provided in more detail in the Framework, available at www.usbr.gov/drought.

C.4.1. Required Elements to be Included in New Plans or Plan Updates

All new Drought Contingency Plans (New Plans) must address each of the six elements described immediately below. Updates to an existing drought plan (Plan Updates) may focus on only those elements that have not yet been developed in the plan, or that require further development or updating; however completed Plan Updates must address each of these six elements. Reclamation does not prescribe any one approach to developing and addressing these elements in a New Plan or Plan Update. However, further explanation and guidance to support the development of each element is provided in the Framework, available at www.usbr.gov/drought.

The six required elements for Drought Contingency Plans developed or updated under this FOA are as follows:

- 1. Drought Monitoring.**—The drought contingency plan must establish a process for monitoring near and long-term water availability, and a framework for predicting the probability of future droughts or confirming an existing drought. This includes a process for the collection, analysis, and dissemination of water availability and other drought-related data (e.g., precipitation, temperature, and streamflow levels, among other indicators). The drought contingency plan must also explain how this data will be used to predict or confirm droughts, including identifying metrics and triggers (e.g., reservoir level reached at a specific reservoir and use of specific drought indices) that will be used to define stages of drought, to trigger mitigation or response actions, and to define the different stages or levels of severity of drought.

2. **Vulnerability Assessment.**—The drought contingency plan must include a vulnerability assessment evaluating the risks and impacts of drought. A vulnerability assessment is an assessment of the risks to critical resources within the planning area and the factors contributing to those risks. Assessments will drive the development of potential mitigation and response actions. The assessment must be based on a range of future conditions, including uncertainties related to changing hydrologic conditions. Discretionary guidance on incorporating hydrologic risks and uncertainties into drought contingency plans is provided as an appendix to the Drought Response Program Framework. Reclamation supports the use of existing information to meet this requirement, where available, including information from Reclamation’s WaterSMART Basin Study Program, and other non-Reclamation sources.
3. **Mitigation Actions.**—The drought contingency plan must identify, evaluate, and prioritize mitigation actions and activities that will build long-term resiliency to drought and that will mitigate the risks posed by drought. Mitigation measures are actions, programs, and strategies implemented before drought to address potential risks and impacts. These actions are outside of regular water management activities and are intended to decrease sector vulnerabilities and reduce the need for response actions.
4. **Response Actions.**—The drought contingency plan must identify, evaluate, and prioritize response actions and activities that can be implemented during a drought to mitigate the impacts. Response actions are different than mitigation measures in that they are specific actions that are triggered during specific stages of drought to manage the limited supply and decrease the severity of immediate impacts. Response actions can be quickly implemented and provide expeditious benefits.
5. **Operational and Administrative Framework.**—The drought contingency plan must identify who is responsible for undertaking the actions necessary to implement each element of the drought contingency plan, including communicating with the public about those actions. At a minimum, the operational and administrative framework must identify roles, responsibilities, and procedures necessary to:
 - Conduct drought monitoring
 - Initiate response actions, including emergency response actions
 - Initiate mitigation actions
 - Update the plan

The operational and administrative framework may be integrated into each element of the plan, or documented in a specific section of the plan.

- 6. Plan Development and Update Process.**—The drought contingency plan must describe the process that was undertaken to develop the plan, including how stakeholders were engaged and how input was considered. In addition, the drought contingency plan must also include a process and schedule for monitoring, evaluating, and updating the drought contingency plan.

These six required elements of a Drought Contingency Plan are based on the 10-Step Drought Planning Process developed by the NDMC,² which has been applied by states, tribes, and countries around the world. Building on this approach, Reclamation has added a requirement that Drought Contingency Plans incorporate an analysis of future hydrologic conditions as part of conducting a Vulnerability Assessment (see element 2 of this section). Recipients of grant funding may use existing information to meet this requirement, where available, including information from Reclamation’s WaterSMART Basin Studies or Baseline Assessments, www.usbr.gov/WaterSMART/wcra, and other non-Reclamation sources.

Reclamation recognizes that there may be complementary activities in developing a New Plan or Plan Update (e.g., data gathering and developing tools and dashboards) that enhance and inform the planning process. In general, Reclamation considers these activities to be acceptable as part of the overall plan development, or plan update. However, the applicant must demonstrate the activity informs at least one of the six required elements of the Drought Contingency Plan. Activities such as piloting, or initial implementation of mitigation or response actions are not considered allowable as part of the planning process.

C.4.2. Required Drought Contingency Planning Steps

Once the applicant has been informed that a proposal submitted under this FOA has been selected for funding, Reclamation will enter into a financial assistance agreement with the applicant, documenting the requirements and conditions related to the provision of financial assistance. The financial assistance agreement will require the following Drought Contingency Planning steps:

- **Establishment of a Drought Planning Task Force.**—The non-Federal entity(s) identified to receive funding through the proposal selection process will be referred to as the planning lead. At the outset of the planning process, the planning lead will develop a Drought Planning Task Force (Task Force) made up of interested stakeholders within the planning area that want to actively participate in developing the Drought Contingency Plan. **The Task Force must have diverse membership**

² The 10-Step Drought Planning Process was published by NDMC founding director Dr. Donald A. Wilhite in 1990 and updated in 2005 as “Drought Preparedness Planning: Building Institutional Capacity,” by Wilhite, Michael J. Hayes, and Cody Knutson, published as a chapter in *Drought and Water Crises: Science, Technology, and Management Issues*, edited by Wilhite (CRC Press 2005).

representing multiple interests in the planning area. Outreach to a diverse set of stakeholders is also required but should not be substituted for diversity on the Task Force.

- **Development of a Detailed Work Plan.**—The detailed work plan will be developed by the planning lead in consultation with Reclamation and will describe in detail how the various tasks included in developing or updating the plan will be accomplished, along with a detailed work schedule, and the responsibilities of Reclamation (Reclamation will provide input on this element), the planning lead, the Task Force, and other interested stakeholders. The work plan must be submitted to Reclamation for review and acceptance before substantive work on the New Plan or Plan Update begins, and may be updated as conditions warrant.
- **Development of a Communication and Outreach Plan.**—As part of the detailed work plan, the planning partners must develop a communication and outreach plan. Explanation of how stakeholders and the public will be involved in the planning process, including providing input on the drafting of the New Plan or Plan Update and providing feedback to the Task Force. Participation could occur through public meetings, webinars, public notices, and other forums or approaches.

Note, in responding to the evaluation criteria, *Section E.1. Evaluation Criteria*, applicants are requested to identify in their proposal an initial list of stakeholders who will be involved in support of the planning process, a plan for completing the proposed Drought Contingency Plan within the two-year time frame, and a plan for stakeholder involvement. This information will form the starting point for the establishment of a Task Force, development of a detailed work plan, and development of a communication and outreach plan if the proposal is funded.

The program requirements described here are intended to increase the transparency of the planning process, encourage collaboration and participation by interested stakeholders, and ensure that the Drought Contingency Plan will meet program requirements upon completion. Collaboration with multiple stakeholders representing diverse interests in water resources is required for Drought Contingency Plans developed under this program. For further guidance on approaches for meeting the program requirements, please see the Framework, available at www.usbr.gov/drought.

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Section D. Application and Submission Information

D.1. Address to Request Application Package

This document contains all information, forms, and electronic addresses required to obtain the information required for submission of an application.

If you are unable to access this information electronically, you can request paper copies of any of the documents referenced in this FOA by contacting:

By mail: Bureau of Reclamation
Financial Assistance Support Section
Attn: Mr. Kevin Connolly
P.O. Box 25007, MS 84-27814
Denver, CO 80225

By e-mail: kconnolly@usbr.gov

By telephone: 303-445-2221

D.2. Content and Form of Application Submission

All applications must conform to the requirements set forth below.

D.2.1. Application Format and Length

The total application package shall be no more than **50** consecutively numbered pages. If an application exceeds **50** pages, only the first **50** pages will be evaluated. The font shall be at least 12 points in size and easily readable. Page size shall be 8½ by 11 inches, including charts, maps, and drawings. Oversized pages will not be accepted. The technical proposal and evaluation criteria section shall be limited to a maximum of **20** pages. The SF-424 forms, official resolution, letters of support, existing drought contingency plans, and documentation associated with a request for a cost share reduction or waiver will not be considered in the total page count.

Applications will be prescreened for compliance to the page number limitations.

D.2.2. Application Content

The application must include the following elements to be considered complete:

- Mandatory Federal Forms
 - SF-424 Application for Federal Assistance
 - SF-424 Budget Information (A or C Form, as applicable to the project)

- o SF-424 Assurances (B or D Form, as applicable to the project)
- o SF-LLL Disclosure of Lobbying Activities (if applicable)

These forms may be obtained at

www.grants.gov/web/grants/forms/sf-424-family.html

- Title page
- Table of contents
- Technical proposal and evaluation criteria (limited to **20** pages)
 - o Executive summary
 - o Background data
 - o Project description
 - o Evaluation criteria
- Project budget
 - o Funding plan and letters of commitment
 - o Budget proposal
 - o Budget narrative
- Required permits or approvals
- Existing drought contingency plan (if applicable) (will not count toward the page limitation)
- Letters of support for the Drought Contingency Plan (will not count toward the page limitation)
- Official resolution (will not count toward the page limitation)
- Request for cost share reduction or waiver and supporting documentation (if applicable) (will not count toward the page limitation)

D.2.2.1. Mandatory Federal Forms

The application must include the following standard Federal forms:

SF-424 Application for Federal Assistance

A fully completed SF-424, Application for Federal Assistance signed by a person legally authorized to commit the applicant to performance of the project must be submitted with the application. Failure to submit a properly signed SF-424 may result in the elimination of the application from further consideration.

SF-424 Budget Information

A fully completed SF-424A Budget Information for Non-Construction Programs, or an SF-424C Budget Information for Construction Programs must be submitted with the application.

SF-424 Assurances

A SF-424B Assurances Non-Construction Programs, or an SF-424D Assurances Construction Programs, signed by a person legally authorized to commit the applicant to performance of the project shall be included. Questions regarding whether to use SF-424B or SF-424D should be referred to the Grants Management Point of Contact under *Section G. Agency Contacts*. Failure to submit a properly signed SF-424B or SF-424D may result in the elimination of the application from further consideration.

SF-LLL Disclosure of Lobbying Activities

A fully completed and signed SF-LLL, Disclosure of Lobbying Activities is required if the applicant has made or agreed to make payment to any lobbying entity for 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 in connection with a covered Federal action.

D.2.2.2. Title Page

Provide a brief, informative, and descriptive title for the proposed work that indicates the nature of the project (i.e., the Drought Contingency Plan). Include the name and address of the applicant, and the name and address, e-mail address, and telephone number of the project manager.

D.2.2.3. Table of Contents

List all major sections of the proposal in the table of contents.

D.2.2.4. Technical Proposal and Evaluation Criteria

The technical proposal and evaluation criteria (**20** pages maximum) includes:

- (1) Executive summary
- (2) Background data
- (3) Project description
- (4) Evaluation criteria

Executive Summary

The executive summary should include:

- The date, applicant name, city, county, and state

- A one paragraph project summary that specifies the work proposed, including how funds will be used to accomplish specific project activities and briefly identifies how the proposed project contributes to accomplishing the goals of this FOA.
- State the length of time and estimated completion date for the proposed project
- Whether or not a Reclamation project, facility, or activity is located within the geographic area to be addressed in the proposed Drought Contingency Plan

Background Data

Provide specific information on the proposed planning area including a map showing the geographic location. For example, [project name] is located in [county and state] approximately [distance] miles [direction, e.g., northeast] of [nearest town]. Please also provide location information for the planning area (i.e., outline of the area) in one of the following formats:

1. Shapefile (.shp)
2. KMZ/KML (.kmz or .kml) aka Google Earth File
3. AutoCAD (.dwg)
4. PDF map (.pdf)

Provide a general description of the area to be addressed in the proposed Drought Contingency Plan, including a description of the source(s) of water supply, the water rights involved, the current water uses (e.g., agricultural, municipal, domestic, industrial, environmental and recreation), the number of water users served, and the current and projected water demand, if available. If water is primarily used for irrigation, describe major crops and total acres served.

Identify any past working relationships with Reclamation. This should include the date(s), description of prior relationships with Reclamation, and a description of the project(s), facility(s), or activity(s).

Project Description

The Project description should describe the work in detail including the specific activities to be accomplished. This description shall have sufficient detail to permit a comprehensive evaluation of the proposal. The Project description should clearly indicate if the proposal is for Task A (Develop Drought Contingency Plan) or Task B (Update Drought Contingency Plan). Proposals should address the requirements for conducting a drought contingency plan or plan update under the Drought Response Program, identified in *Section C.4. Project Requirements*.

Evaluation Criteria

(See Section E.1. Evaluation Criteria for additional details, including a detailed description of each criterion and subcriterion and points associated with each.)

The evaluation criteria portion of your application should thoroughly address each criterion and subcriterion in the order presented to assist in the complete and accurate evaluation of your proposal.

It is suggested that applicants copy and paste the evaluation criteria and subcriteria in Section E.1. Evaluation Criteria into their applications to ensure that all necessary information is adequately addressed.

D.2.2.5. Project Budget

The project budget includes:

- (1) Funding plan and letters of commitment
- (2) Budget proposal
- (3) Budget narrative

Funding Plan and Letters of Commitment

Describe how the non-Federal share of project costs will be obtained. Reclamation will use this information in making a determination of financial capability.

Project funding provided by a source other than the applicant shall be supported with letters of commitment from these additional sources. Letters of commitment shall identify the following elements:

- The amount of funding commitment
- The date the funds will be available to the applicant
- Any time constraints on the availability of funds
- Any other contingencies associated with the funding commitment

Commitment letters from third party funding sources should be submitted with your application. If commitment letters are not available at the time of the application submission, please provide a timeline for submission of all commitment letters. Cost-share funding from sources outside the applicant's organization (e.g., loans or State grants), should be secured and available to the applicant prior to award.

Funding Opportunity Announcement No. BOR-DO-18-F007

Reclamation will not make funds available for an award under this FOA until the recipient has secured non-Federal cost-share. Reclamation will execute a financial assistance agreement once non-Federal funding has been secured or Reclamation determines that there is sufficient evidence and likelihood that non-Federal funds will be available to the applicant subsequent to executing the agreement.

The funding plan must include all Project costs, as follows:

- How you will make your contribution to the cost-share requirement, such as monetary and/or in-kind contributions and source funds contributed by the applicant (e.g., reserve account, tax revenue, and/or assessments).
- Describe any donations or in-kind costs incurred before the anticipated Project start date that you seek to include as project costs. For each cost, identify:
 - The project expenditure and amount
 - The date of cost incurrence
 - How the expenditure benefits the Project
 - Provide the identity and amount of funding to be provided by funding partners, as well as the required letters of commitment.
- Describe any funding requested or received from other Federal partners.
Note: other sources of Federal funding may not be counted towards the required cost share unless otherwise allowed by statute.
- Describe any pending funding requests that have not yet been approved, and explain how the Project will be affected if such funding is denied.

Please include the following chart (Table 1) to summarize all funding sources. Denote in-kind contributions with an asterisk (*).

Section D. Application and Submission Information

Table 1.—Summary of Non-Federal and Federal Funding Sources

FUNDING SOURCES	AMOUNT
Non Federal Entities	
1.	
2.	
3.	
Non-Federal Subtotal	
Other Federal Entities	
1.	
2.	
3.	
Other Federal Subtotal	
REQUESTED RECLAMATION FUNDING	

Budget Proposal

The budget proposal should include detailed information on the categories listed below and must clearly identify ***all*** Project costs, including those that will be contributed as non-Federal cost share. Unit costs must be provided for all budget items including the cost of work to be provided by contractors. The budget proposal should also include any in-kind contributions or donations of goods and services that will be provided to complete the project. It is strongly advised that applicants use the budget proposal format shown below on Table 2 or a similar format that provides this information. ***If selected for award, successful applicants must submit detailed supporting documentation for all budgeted costs.***

Table 2.—Sample Budget Proposal Format

BUDGET ITEM DESCRIPTION	COMPUTATION		Quantity Type	TOTAL COST
	\$/Unit	Quantity		
Salaries and Wages				
Employee 1				\$
Employee 2				\$
Employee 3				\$
Fringe Benefits				
Full-Time Employees				\$
Part-Time Employees				\$
Travel				
Trip 1				\$
Trip 2				\$

Table 2.—Sample Budget Proposal Format

BUDGET ITEM DESCRIPTION	COMPUTATION		Quantity Type	TOTAL COST
	\$/Unit	Quantity		
Trip 3				\$
Equipment				
Item A				\$
Item B				\$
Item C				\$
Supplies and Materials				
Item A				\$
Item B				\$
Contractual/Construction				
Contractor A				\$
Contractor B				\$
Other				
Other				\$
TOTAL DIRECT COSTS				\$
Indirect Costs				
Type of rate	percentage	\$base		\$
TOTAL ESTIMATED PROJECT COSTS				\$

Budget Narrative

Submission of a budget narrative is mandatory. An award will not be made to any applicant who fails to fully disclose this information. The budget narrative provides a discussion of, or explanation for, items included in the budget proposal. Include the value of in-kind contributions or donations of goods and services and sources of funds provided to complete the Project. The types of information to describe in the narrative include, but are not limited to, those listed in the following subsections. Costs, including the valuation of in-kind contributions and donations, must comply with the applicable cost principles contained in 2 CFR Part §200, available at the Electronic Code of Federal Regulations (www.ecfr.gov).

Salaries and Wages

Indicate the program manager and other key personnel by name and title. Other personnel should be indicated by title alone. For all positions, indicate salaries and wages, estimated hours or percent of time, and rate of compensation. The labor rates must identify the direct labor rate separate from the fringe rate or fringe cost for each category. All labor estimates must be allocated to specific tasks as outlined in the applicant's technical project description. Labor rates and proposed hours shall be displayed for each task.

Section D. Application and Submission Information

The budget proposal and narrative should include estimated hours for compliance with reporting requirements, including final project and evaluation. Please see *Section F.3. Reporting – Requirements and Distribution* for information on types and frequency of reports required.

Generally, salaries of administrative and/or clerical personnel will be included as a portion of the stated indirect costs. If these salaries can be adequately documented as direct costs, they should be included in this section; however, a justification should be included in the budget narrative.

Fringe Benefits

Identify the rates/amounts, what costs are included in this category, and the basis of the rate computations. Indicate whether these rates are used for application purposes only or whether they are fixed or provisional rates for billing purposes. Federally approved rate agreements are acceptable for compliance with this item.

Travel

Include purpose of trip, destination, number of persons traveling, length of stay, and all travel costs including airfare (basis for rate used), per diem, lodging, and miscellaneous travel expenses. For local travel, include mileage and rate of compensation.

Equipment

If equipment will be purchased, itemize all equipment valued at or greater than \$5,000. For each item, identify why it is needed for the completion of the Project and how the equipment was priced. *Note: if the value is less than \$5,000, the item should be included under materials and supplies.*

If equipment is being rented, specify the number of hours and the hourly rate. Local rental rates are only accepted for equipment actually being rented or leased.

If the applicant intends to use their own equipment for the purposes of the project, the proposed usage rates should fall within the equipment usage rates outlined by the United States Army Corps of Engineers (USACE) within their Construction Equipment Ownership and Operating Expense Schedule (EP 1110-1-8) at www.publications.usace.army.mil/USACE-Publications/Engineer-Pamphlets/u43545q/313131302D312D38.

Note: If the equipment will be furnished and installed under a construction contract, the equipment should be included in the construction contract cost estimate.

Materials and Supplies

Itemize supplies by major category, unit price, quantity, and purpose, such as whether the items are needed for office use, research, or construction. Identify how these costs were estimated (i.e., quotes, past experience, engineering

estimates, or other methodology). *Note: If the materials/supplies will be furnished and installed under a construction contract, the equipment should be included in the construction contract cost estimate.*

Contractual

Identify all work that will be accomplished by subrecipients, consultants, or contractors, including a breakdown of all tasks to be completed, and a detailed budget estimate of time, rates, supplies, and materials that will be required for each task. Identify how the budgeted costs for sub-recipients, consultants, or contractors were determined to be fair and reasonable. *Note: If a sub-recipient, consultant, or contractor is proposed and approved at the time of award, no other approvals will be required. Any changes or additions will require a request for approval.*

Other Expenses

Any other expenses not included in the above categories shall be listed in this category, along with a description of the item and why it is necessary. No profit or fee will be allowed.

Indirect Costs

Indirect costs that will be incurred during the development or construction of a Project, which will not otherwise be recovered, may be included as part of the applicant's project budget. Show the proposed rate, cost base, and proposed amount for allowable indirect costs based on the applicable cost principles for the recipient's organization. It is not acceptable to simply incorporate indirect rates within other direct cost line items.

If the applicant has never received a Federal negotiated indirect cost rate, the budget may include a *de minimis* rate of up to 10 percent of modified total direct costs. For further information on modified total direct costs, refer to 2 CFR §200.68 available at www.ecfr.gov.

If the applicant does not have a federally approved indirect cost rate agreement and is proposing a rate greater than the *de minimis* 10 percent rate, include the computational basis for the indirect expense pool and corresponding allocation base for each rate. Information on "Preparing and Submitting Indirect Cost Proposals" is available from Interior, the National Business Center, and Indirect Cost Services, at www.doi.gov/ibc/services/finance/indirect-cost-services.

Section D. Application and Submission Information

Total Costs

Indicate total amount of Project costs, including the Federal and non-Federal cost share amounts.

D.2.2.6. Required Permits or Approvals

Applicants must state in the application whether any permits or approvals are required and explain the plan for obtaining such permits or approvals.

D.2.2.7. Existing Drought Contingency Plan (if applicable)

If there is an existing drought contingency plan addressing the relevant geographic area, please attach a copy (or relevant sections) of the existing plan. *(Note, this will not count against the application page limit).*

D.2.2.8. Letters of Support

To demonstrate that the planning process will include a diverse range of stakeholders, please include letters from interested stakeholders supporting the development of a new drought contingency plan or plan update. Letters should describe the stakeholder's support and their specific interest in the planning process.

To ensure your proposal is accurately reviewed, please attach all letters of support/ partnership letters as an appendix. *(Note: this will not count against the application page limit.)* Letters of support received after the application deadline for this FOA will not be included with your application.

D.2.2.9. Official Resolution

Include an official resolution adopted by the applicant's board of directors or governing body, or, for State government entities, an official authorized to commit the applicant to the financial and legal obligations associated with receipt of a financial assistance award under this FOA, verifying:

- The identity of the official with legal authority to enter into an agreement
- The board of directors, governing body, or appropriate official who has reviewed and supports the application submitted
- The capability of the applicant to provide the amount of funding and/or in-kind contributions specified in the funding plan
- That the applicant will work with Reclamation to meet established deadlines for entering into a grant or cooperative agreement

An official resolution meeting the requirements set forth above is mandatory. If the applicant is unable to submit the official resolution by the application

deadline because of the timing of board meetings or other justifiable reasons, the official resolution may be submitted up to 30 days after the application deadline.

D.2.2.10. Cost-Share Reduction or Waiver (if applicable)

Applicants requesting a reduction or waiver of the non-Federal cost share must state their request in their proposal and include the required information demonstrating support for the existence of an overwhelming Federal interest and financial hardship, as indicated in *Section C.2.3. Request for a Cost Share Reduction or Waiver*. (Note, this will not count against the application page limit).

D.3. Unique Entity Identifier and System for Award Management

All applicants (unless the applicant has an exception approved by Reclamation under 2 CFR §25.110[d]) are required to:

- (i) Be registered in the System for Award Management (SAM) before submitting its application;
- (ii) Provide a valid unique entity identifier in its application; and
- (iii) Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency.

Meeting the requirements set forth above is mandatory. If the applicant is unable to complete registration by the application deadline, the unique entity identifier must be obtained and SAM registration must be initiated within 30 days after the application deadline in order to be considered for selection and award.

Reclamation will not make a Federal award to an applicant until the applicant has complied with all applicable unique entity identifier and SAM requirements and, if an applicant has not fully complied with the requirements by the time the Reclamation is ready to make an award, Reclamation may determine that the applicant is not qualified to receive a Federal award and use that determination as a basis for making a Federal award to another applicant.

D.4. Submission Date and Time

Application submission date deadline:

February 7, 2018 at 4:00 p.m. Mountain Standard Time (MST)

Proposals received after the application deadline will not be considered unless it is determined that the delay was caused by Reclamation mishandling.

Please note that any application submitted for funding under this FOA may be subjected to a Freedom of Information Act request (5 U.S.C. Section 552, as amended by P.L. No. 110-175), and as a result, may be made publicly available. Following awards of funding, Reclamation will post all successful applications on the Reclamation website, www.usbr.gov/drought after conducting any redactions determined necessary by Reclamation, in consultation with the recipient.

D.4.1. Application Delivery Instructions

Applications may be submitted electronically through Grants.gov (www.grants.gov) or hard copies may be submitted to either one of the following addresses. Under no circumstances will applications received through any other method (such as email or fax) be considered eligible for award.

By mail or USPS Bureau of Reclamation
Priority Mail Express: Financial Assistance Support Section
Attn: Mr. Kevin Connolly
P.O. Box 25007, MS 84-27814
Denver, CO 80225

By other overnight Bureau of Reclamation mail services
or express delivery Attn: Mr. Kevin Connolly
Denver Federal Center
Bldg. 67, Rm. 152
6th Avenue and Kipling Street
Denver, CO 80225

By courier services: Bureau of Reclamation
Attn: Mr. Kevin Connolly
Denver Federal Center
Bldg. 56, Rm. 1000
6th Avenue and Kipling Street
Denver, CO 80225

D.4.2. Instructions for Submission of Project Application

Each applicant should submit an application in accordance with the instructions contained in this section.

D.4.2.1. Applications Submitted by Mail, Express Delivery or Courier Services

Please follow these instructions to submit your application by mail, express delivery, or courier services.

- Applicants should submit one copy of all application documents for hardcopy submissions. Only use a binder clip for documents submitted. Do not staple or otherwise bind application documents.
- Hard copy applications may be submitted by mail, express delivery, or courier services to the addresses identified in this FOA.
- Materials arriving separately will not be included in the application package and may result in the application being rejected or not funded. This does not apply to letters of support, funding commitment letters, or official resolutions.
- Faxed and emailed copies of application documents will not be accepted.
- Do not include a cover letter or company literature/brochure with the application. All pertinent information must be included in the application package.

D.4.2.2. Applications Submitted Electronically

If the applicant chooses to submit an electronic application, it must be submitted through Grants.gov (www.grants.gov). Reclamation encourages applicants to submit their applications for funding electronically through the URL: www.grants.gov/applicants/apply-for-grants.html. Applicant resource documents and a full set of instructions for registering with Grants.gov (www.grants.gov) and completing and submitting applications online are available at: www.grants.gov/applicants/apply-for-grants.html.

- Please note that submission of an application electronically requires prior registration through Grants.gov, which may take 7 to 21 days. Please see registration instructions at www.grants.gov/applicants/apply-for-grants.html. ***In addition, please note that the Grants.gov system only accepts applications submitted by individuals that are registered and active in SAM as both a user and an Authorized Organizational Representative.***

Section D. Application and Submission Information

- Applicants have experienced significant delays when attempting to submit applications through Grants.gov. If you plan to submit your application through Grants.gov you are encouraged to submit your application several days prior to the application deadline. If you are a properly registered Grants.gov applicant and encounter problems with the Grants.gov application submission process, you must contact the Grants.gov Help Desk to obtain a case number. This case number will provide evidence of your attempt to submit an application prior to the submission deadline.

Regardless of the delivery method used, you must ensure that your proposal arrives by the date and time deadline stated in this FOA. Applications received after this date and time due to weather or express delivery/courier performance will not be considered for award. Late applications will not be considered unless it is determined that the delay was caused by Reclamation mishandling or by a problem with the Grants.gov application system.

D.4.2.3. Acknowledgement of Application Receipt.

If an application is submitted by mail, express delivery, or courier, Reclamation will notify you in writing that your application was received.

If an application is submitted through Grants.gov, you will receive an email acknowledging receipt of the application from Grants.gov. In addition, Reclamation will notify you in writing whether your application was successfully retrieved from Grants.gov.

D.5. Intergovernmental Review

This FOA is subject to Executive Order 12372, "Intergovernmental Review of Federal Programs." A list of states that have elected to participate in the intergovernmental review process is at www.whitehouse.gov/omb/grants_spoc. Applicants in these states must contact their state's Single Point of Contact (SPOC) to find out about and comply with the state's process under Executive Order 12372. The names and addresses of the SPOCs are listed in the Office of Management and Budget's website, www.whitehouse.gov/omb/grants_spoc.

D.6. Funding Restrictions: Pre-award Costs

Project costs that have been incurred prior to the date of award (pre-award costs) may be submitted for consideration as an allowable reimbursable expense. **In no case will pre-award costs incurred prior to July 1, 2017 be considered for cost-share purposes.**

For example, such costs might include employee compensation costs directly supporting the proposed project. Reclamation will review the proposed pre-award costs to determine if they are allowable in accordance with the authorizing legislation and applicable cost principles. To be considered allowable, any pre-

award costs proposed for consideration under the new awards must comply with all applicable requirements under this FOA.

D.7. Automated Standard Application for Payments Registration

All applicants must also be registered with and willing to process all payments through the Department of Treasury Automated Standard Application for Payments (ASAP) system. All recipients with active financial assistance agreements with Reclamation must be enrolled in ASAP under the appropriate Agency Location Code(s) and the Data Universal Number System (DUNS) Number prior to the award of funds. If a recipient has multiple DUNS numbers they must separately enroll within ASAP for each unique DUNS Number and/or Agency. All of the information on the enrollment process for recipients, including the enrollment initiation form and the enrollment mailbox can be found at www.usbr.gov/mso/aamd/asap.html.

Note that if your entity is currently enrolled in the ASAP system with an agency other than Reclamation, you must enroll specifically with Reclamation in order to process payments

Section E. Application Review Information

E.1. Evaluation Criteria

The evaluation criteria should be addressed in the technical proposal section of the application. Applications should thoroughly address each criterion and any subcriterion in the order presented below. **Applications will be evaluated against the evaluation criteria listed below.**

Note: Projects may be prioritized to ensure balance among the program task areas and to ensure that the projects address the goals and objectives of the FOA.

E.1.1. Evaluation Criterion A—Need for a Drought Contingency Plan or Plan Update (40 points)

Up to **40 points** may be awarded based on the extent to which the proposal demonstrates a compelling need to develop or update a drought contingency plan. Proposals that address more urgent needs and more severe drought risks will receive higher priority consideration on this criterion than proposals to address less significant needs and risks. The purpose of this criterion is to ensure that funding is prioritized for drought contingency plans that will address significant drought risks, in support of the Department of the Interior's priority to create a conservation stewardship legacy by utilizing science to identify best practices to manage water resources and adapt to changes in the environment.

Describe the severity of the risks to water supplies that will be addressed in the Drought Contingency Plan. What are the risks to water supplies within the applicable geographic area that will be addressed in the plan or plan update, and how severe are those risks? Describe the existing or potential drought risks to specific sectors in the planning area (e.g., impacts to agriculture, environment, hydropower, recreation and tourism, forestry). Risks should be quantified and documented to the extent possible. For example, risks could include but are not limited to:

- Whether there are public health concerns or social concerns associated with existing or potential drought conditions. For example, are there water quality concerns including past or potential violations of drinking water standards, increased risks of wildfire, or past or potential shortages of drinking water supplies? Does the community have another water source available to them if their water service is interrupted?
- Whether there are environmental concerns, such as existing or potential impacts to endangered, threatened or candidate species.
- Whether there are local economic losses (past, ongoing, or potential) associated with drought conditions (e.g., business, agriculture, reduced real estate values).

- Whether there are other drought-related risks not identified above (for example, tensions over water that could result in a water-related crisis or conflict, or risks to tribes).

Describe existing or potential drought conditions to be addressed in the Drought Contingency Plan.

- Will the proposed plan or plan update address a geographic area that is currently suffering from drought or which has recently suffered from drought? Please describe existing or recent drought conditions, including when and how long the area has experienced drought conditions. Please provide supporting documentation, (e.g., Drought Monitor, [\[droughtmonitor.unl.edu\]](http://droughtmonitor.unl.edu)).
- Describe any projected increases to the frequency, severity, or duration of drought in the geographic area resulting from changing hydrologic conditions. Please provide support for this response (e.g., reference a recent analysis, if available).

Describe the status of any existing planning efforts. Please explain how this Project relates to other planning efforts ongoing or recently completed in the planning area and how this effort will complement, not duplicate ongoing or completed planning efforts. For plan updates, please explain how the update builds on and adds value to the existing plan.

E.1.2. Evaluation Criterion B— Inclusion of Stakeholders (30 points)

Up to **30 points** may be awarded based on the extent to which the proposal demonstrates that the planning process will be inclusive and incorporate input and participation by a diverse range of stakeholders. Note, “stakeholders” should include a mix of both internal and external stakeholders (e.g., to a tribe, city, or district). The purpose of this criterion is to prioritize drought contingency plans that emphasize participation and input from local stakeholders, in support of the Department of the Interior’s priority to restore trust with local communities by expanding communication and improving relationships with all stakeholders in the planning area, including different types of water users (e.g., municipal, agricultural, environmental, and industrial), landowners, state and local water management entities, among others.

**Describe the stakeholders to be involved in the planning process.
Please address the following:**

- Identify stakeholders in the planning area who have *committed to be involved* in the planning process.
 - Describe their commitment, e.g., will they participate on the Task Force, contribute funding or in-kind services, or otherwise engage in the planning process?
 - Do these stakeholders represent diverse interests (e.g., agricultural, municipal, environmental, industrial, recreation, tribal)?
 - Be sure to include the specific interest that each stakeholder has in the Drought Contingency Plan. Documentation could include letters from stakeholders committing to be involved in the planning process; such letters should explain what their specific interest is and how they plan to participate.
- Describe stakeholders in the planning area who have *expressed their support* for the planning process, whether or not they have committed to participate. Support can include letters of support from stakeholders or a description of feedback from interested stakeholders; such letters should identify the stakeholder's specific interest.
- Describe what efforts that *you will undertake* to ensure participation by a diverse array of stakeholders in the development of a plan or plan update. If specific stakeholders have not yet been identified, or if some sectors are not yet represented, explain how you will accomplish this in the first few months after an award. Support could include a description of key stakeholder interests in the planning area and what efforts that you will undertake to engage them in the planning process, including outreach to stakeholders or collaborating with other groups or partners.

E.1.3. Evaluation Criterion C— Project Implementation (20 points)

Up to **20 points** may be awarded based on the extent to which the proposal supports the applicant's ability to meet the program requirements within the two-year timeframe, based on the following:

Describe the approach for addressing the six required elements of a Drought Contingency Plan within the two year timeframe. Note, new plans must address all six required elements (described in *Section C.4. Project Requirements*), whereas plan updates may address only those elements not (sufficiently) addressed in an existing plan. Please address the following:

- Describe how each of the six required elements of a Drought Contingency Plan, as applicable, will be addressed within the two-year timeframe. If the proposal is for a plan update, please explain whether all or only some elements of the existing plan will be updated, and why. Please include a preliminary project schedule that shows the stages and duration of the proposed work including major tasks, milestones, and dates. Note: If selected for funding, the recipient will be expected to provide a detailed project schedule and budget, broken down by tasks and subtasks (e.g., six required elements) and separated by the responsible parties, in the Detailed Work Plan.
- Describe the availability and quality of existing data and models³ applicable to the proposed plan or plan update. Your response to this sub-criterion should demonstrate your understanding of the tasks required to address the required elements of a Drought Contingency Plan under this program.
- Identify staff with appropriate technical expertise and describe their qualifications. Describe any plans to request additional technical assistance from Reclamation, or by contract.

E.1.4. Evaluation Criterion D— Nexus to Reclamation (10 points)

Up to **10 points** may be awarded based on the extent that the proposal demonstrates a nexus between the proposed Project and a Reclamation project or activity. Please provide the following information regarding the connection to a Reclamation project, facility, or activity, or Department of the Interior Initiative:

- Is there a Reclamation project, facility, or activity within the planning area?
- Is the planning area in the same basin as a Reclamation project, facility, or activity?
- In what way will the proposed Project benefit a basin where a Reclamation project, facility, or activity is located?
- Does the proposed Project support implementation of a relevant Department of the Interior initiative?

³ Data and models include but are not limited to: hydrologic models, operational models, climate data, water demand data or projections, water quality data, recreational water needs, environmental water needs, demographics, and economic data and models.

E.2. Review and Selection Process

The Federal government reserves the right to reject any and all applications that do not meet the requirements or objectives of this FOA. Awards will be made for projects most advantageous to the Federal Government. Award selection may be made to maintain balance among the eligible projects listed in this FOA. The evaluation process will be comprised of the steps described in the following subsections.

E.2.1. Initial Screening

All application packages will be screened to ensure that:

- The applicant meets the eligibility requirements stated in this FOA.
- The applicant meets the unique entity identifier and SAM registration requirements stated in this FOA (this may be completed up to 30 days after the application deadline).
- The application meets the content requirements of the FOA package, including submission of a technical proposal, including responses to the evaluation criteria, a funding plan, budget proposal, and budget narrative.
- The application contains a properly executed SF-424, Application for Financial Assistance and form SF-424B, Assurances for Non-Construction Programs, or SF-424D, Assurances for Construction Programs and a completed SF-424A, Budget Information for Non-Construction Programs or SF-424C, Budget Information for Construction Programs.
- The application includes an official resolution, adopted by the applicant's board of directors, governing body, or appropriate authorized official (this may be submitted up to 30 days after the application deadline).
- The application and funding plan meets or exceeds the minimum non-Federal cost-share requirements identified in this FOA.
 - As set forth in *Section C.2. Cost sharing Requirements*, in exceptional circumstances, Reclamation may reduce or waive the non-Federal cost share requirement upon request by the applicant, if an overwhelming Federal interest and a significant financial need are identified. If the funding plan identifies less than 50 percent non-Federal cost share match, please include your request for a cost share reduction or waiver in the proposal.
- The proposed Drought Contingency Plan can be completed by September 30, 2020.

Reclamation reserves the right to remove an application from funding consideration if it does not pass all Initial Screening criteria listed above. An applicant that has submitted an application that is determined to be ineligible for funding will be notified along with other applicants, or sooner, if possible.

E.2.2. Application Review Committee

Evaluation criteria will comprise the total evaluation weight as stated in *Section E.1 Evaluation Criteria*. Applications will be scored against the evaluation criteria by an Application Review Committee (ARC), made up of experts in relevant disciplines selected from across Reclamation. The ARC will also review the application to ensure that the Project meets the description of eligible projects and meets the objective of this FOA.

During ARC review, Reclamation may contact applicants to request clarifications to the information provided, if necessary.

E.2.3. Red-Flag Review

Following the results of the ARC review, Reclamation offices will review the top-ranking applications and will identify any reasons why a proposed project would not be feasible or otherwise advisable, including environmental or cultural resources compliance issues, permitting issues, legal issues, or financial position. Positive or negative past performance by the applicant and any partners in previous working relationships with Reclamation may be considered, including whether the applicant is making significant progress toward the completion of outstanding financial assistance agreements and whether the applicant is in compliance with all reporting requirements associated with previously funded projects.

In addition, during this review, Reclamation will address any specific concerns or questions raised by members of the ARC, conduct a preliminary budget review, and evaluate the applicant's ability to meet cost share as required.

E.2.4. Managerial Review

Reclamation management will prioritize projects to ensure the total amount of all awards does not exceed available funding levels. Management will also ensure that all projects meet the scope, priorities, requirements, and objectives of this FOA. Management may also prioritize projects to ensure that multiple project types are represented. After completion of the Managerial Review, Reclamation will notify applicants whose proposals have been selected for award consideration.

E.2.5. Pre-Award Clearances and Approvals

The following pre-award clearances and approvals must be obtained before an award of funding is made. If the results of all pre-award reviews and clearances are satisfactory, an award of funding will be made once the agreement is finalized

(approximately one to three months from the date of initial selection). If the results of pre-award reviews and clearances are unsatisfactory, consideration of funding for the project may be withdrawn.

A Reclamation Grants Officer (GO) will also conduct a detailed budget analysis and complete a business evaluation and responsibility determination. During this evaluation, the GO will consider several factors that are important, but not quantified, such as:

- Allowability, allocability, and reasonableness of proposed costs
- Financial strength and stability of the applicant
- Past performance, including satisfactory compliance with all terms and conditions of previous awards, such as environmental compliance issues, reporting requirements, proper procurement of supplies and services, and audit compliance
- Adequacy of personnel practices, procurement procedures, and accounting policies and procedures, as established by applicable Office of Management and Budget circulars

E.3. Federal Award Performance Integrity Information System

Prior to making an award with a Federal total estimated amount greater than \$150,000, Reclamation is required to review and consider any information about the applicant that is in the designated integrity and performance system accessible through SAM (currently Federal Award Performance Integrity Information System [FAPIIS]) (see 41 United States Code [U.S.C.] §2313). An applicant, at its option, may review information in the designated integrity and performance systems accessible through SAM and comment on any information about itself that a Federal awarding agency previously entered and is currently in the designated integrity and performance system accessible through SAM. Reclamation will consider any comments by the applicant, in addition to the other information in FAPIIS, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants as described in 2 CFR §200.205 Federal awarding agency review of risk posed by applicants.

E.4. Anticipated Announcement and Federal Award Date

Reclamation expects to contact potential award recipients and unsuccessful applicants in May 2018 or slightly later if necessary. Within one to three months after that date, financial assistance agreements will be awarded to applicants that successfully pass all pre-award reviews and clearances.

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Section F. Federal Award Administration Information

F.1. Federal Award Notices

Successful applicants will receive by electronic mail, a notice of selection signed by a Reclamation GO. ***This notice is not an authorization to begin performance.***

F.2. Administrative and National Policy Requirements

F.2.1. Approvals and Permits

Recipients shall adhere to Federal, state, territorial, tribal, and local laws, regulations, and codes, as applicable, and shall obtain all required approvals and permits. Recipients shall also coordinate and obtain approvals from site owners and operators.

F.2.2. Drought Planning Task Force

All financial assistance agreements awarded under this FOA will require the recipient to develop a Drought Contingency Planning Task Force (Task Force), made up of interested stakeholders within the planning area that want to actively participate in developing the Drought Contingency Plan (individual members of the Task Force are referred to as Task Force members). This Task Force may include: tribes; Federal, State, local government agencies; representatives from different sectors, including water purveyors and water users; representatives of environment, power, recreation, agriculture, energy, fire protection/prevention; universities; non-governmental entities; any small business owner adversely affected by drought; a trained facilitator; and communications staff. Recipient will develop a Task Force with diverse membership representing multiple interests in the planning area. Recipient may also establish working groups to support the Task Force in developing different aspects of the plan.

The recipient will be required to identify the Task Force Members and notify Reclamation of the date of the initial Task Force Meeting, generally within 60 days after the effective date of award (*see Section C.4.2. Required Drought Contingency Planning Steps*). Reclamation will review and may provide feedback on the inclusiveness of the task force.

F.2.3. Detailed Work Plan Requirements

All financial assistance agreements awarded under this FOA will require the recipient to develop in consultation with Reclamation, a detailed work plan (Work Plan) that will build on information in the proposal submitted under this FOA (*see Section C.4.2. Required Drought Contingency Planning Steps*). The Work Plan

should describe in detail the various tasks included in developing or updating a plan, along with a detailed budget and project schedule, and the responsibilities of Reclamation (Reclamation will provide input on this element), recipient, the Task Force, and other interested stakeholders. The Work Plan will describe the specific planning tasks and how each task will be completed, including the responsible party and the methodology. The Work Plan will be required to include the following four elements:

A. Introduction

1. Scope and purpose of the Drought Contingency Plan
2. Planning area
3. Background, including a brief description of how the Drought Contingency Plan will build on any existing or ongoing efforts or plans

B. Planning Approach

1. Detailed budget and schedule for developing the plan. Be sure to account for how the plan's entire funding will be used, including all contracting, consulting, in-kind contributions, etc.
2. Narrative description of the plan for completing each of the six required elements of the plan, including the approach, steps, methodologies, specific tasks, and individuals responsible for conducting those tasks
3. Planning oversight structure
4. Decision making process
5. Roles and responsibilities of Recipient and the Task Force, including individual Task Force members
6. Coordination between Recipient, the Task Force, and interested stakeholders

C. Documentation and Reporting – this section of the Work Plan will identify the specific tasks and milestones to meet the reporting requirement of this Agreement.

1. Identify deliverables and documentation requirements
2. Reporting requirements and individuals responsible for reporting
3. Review Process, i.e. how the draft plan or plan update will be reviewed

D. Communication and Outreach Plan

1. Explanation of how stakeholders and the public will be involved in the planning process, including providing input on the drafting of the Drought Contingency Plan and providing feedback to the Task Force. Participation could occur through public meetings, webinars, public notices, and other forums or approaches.

2. Schedule describing when information about the planning process will be communicated to the public and other stakeholders, and when they can provide input and feedback.

The development of the Work Plan should occur after the initial Task Force Meeting and, in general, be completed 180 days after the date of award. The Work Plan must be finalized and submitted to Reclamation for acceptance before substantive work on the Drought Contingency Plan begins, and may be updated as conditions warrant. A copy of the accepted Work Plan, which addresses any Reclamation comments, must be included with the Recipient's first semi-annual interim performance report.

F.2.4. Reclamation Review of Drought Contingency Plans

All Drought Contingency Plans (including plan updates) funded under this FOA must be submitted to Reclamation for review and acceptance. Reclamation will review the Drought Contingency Plan to determine that the plan meets Drought Response Program requirements (see *Section C.4. Project Requirements*). Reclamation will either accept the plan as submitted or provide comments for the Recipient to address within a given time frame.

Please note the drought contingency plan, or plan update, must be complete and submitted for review prior to the completion of the period of performance.

F.2.5. Responsibility for Content

The Recipient is solely responsible for the content of the Drought Contingency Plan. Reclamation participation in a financial assistance agreement is limited to the provision of funding and technical assistance for the development of a Drought Contingency Plan that strives to anticipate and mitigate impacts and conflicts that arise from drought. Reclamation does not exercise control over the content or approval of the plan under this award. Reclamation review of the Work Plan and Drought Contingency Plan is only to ensure compliance with Drought Response Program requirements. A Drought Contingency Plan or plan update developed under a financial assistance agreement is a water management planning document and does not provide recommendations or represent a statement of policy or position of the Bureau of Reclamation, or the Department of the Interior. The plan does not propose or address the feasibility of any specific project, and does not represent a commitment for provision of Federal funds for projects identified in the plan.

F.2.6. Intangible Property (2 CFR 200.315)

(a) Title to intangible property acquired under a Federal award vests upon acquisition in the non-Federal entity (see §200.59 Intangible Property [of this CFR]). The non-Federal entity must use that property for the originally-authorized

purpose, and must not encumber the property without approval of the Federal awarding agency. When no longer needed for the originally authorized purpose, disposition of the intangible property must occur in accordance with the provisions in §200.313(e) Equipment [of this CFR].

(b) The non-Federal entity may copyright any work that is subject to copyright and was developed, or for which ownership was acquired, under a Federal award. The Federal awarding agency reserves a royalty-free, nonexclusive and irrevocable right to reproduce, publish, or otherwise use the work for Federal purposes, and to authorize others to do so.

(c) The non-Federal entity is subject to applicable regulations governing patents and inventions, including government wide regulations issued by the Department of Commerce at 37 CFR Part 401, “Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Awards, Contracts and Cooperative Agreements.”

(d) The Federal government has the right to:

(1) Obtain, reproduce, publish, or otherwise use the data produced under a Federal award; and

(2) Authorize others to receive, reproduce, publish, or otherwise use such data for Federal purposes.

(e) Freedom of Information Act (FOIA).

(1) In response to a Freedom of Information Act (FOIA) request for research data relating to published research findings produced under a Federal award that were used by the Federal government in developing an agency action that has the force and effect of law, the Federal awarding agency must request, and the non-Federal entity must provide, within a reasonable time, the research data so that they can be made available to the public through the procedures established under the FOIA. If the Federal awarding agency obtains the research data solely in response to a FOIA request, the Federal awarding agency may charge the requester a reasonable fee equaling the full incremental cost of obtaining the research data. This fee should reflect costs incurred by the Federal agency and the non-Federal entity. This fee is in addition to any fees the Federal awarding agency may assess under the FOIA (5 U.S.C. 552(a)(4)(A)).

(2) Published research findings means when:

(i) Research findings are published in a peer-reviewed scientific or technical journal; or

(ii) A Federal agency publicly and officially cites the research findings in support of an agency action that has the force and effect of law. “Used by the Federal government in developing an agency action that has the force and effect of law” is defined as when an agency publicly and officially cites the research findings in support of an agency action that has the force and effect of law.

(3) Research data means the recorded factual material commonly accepted in the scientific community as necessary to validate research findings, but not any of the following: preliminary analyses, drafts of scientific papers, plans for future research, peer reviews, or communications with colleagues. This “recorded” material excludes physical objects (e.g., laboratory samples). Research data also does not include:

(i) Trade secrets, commercial information, materials necessary to be held confidential by a researcher until they are published, or similar information which is protected under law; and

(ii) Personnel and medical information and similar information the disclosure of which would constitute a clearly unwarranted invasion of personal privacy, such as information that could be used to identify a particular person in a research study.

F.3. Reporting—Requirements and Distribution

If the applicant is awarded an agreement as a result of this FOA, the applicant will be required to submit the following reports during the term of the agreement.

F.3.1. Financial Reports

Recipients will be required to submit a fully completed form SF-425 Federal Financial Report on at least a semi-annual basis and with the final performance report. The SF-425 must be signed by a person legally authorized to obligate the recipient.

F.3.2. Interim Performance Reports

The specific terms and conditions pertaining to the reporting requirements will be included in the financial assistance agreement.

Interim performance reports submitted on at least a semi-annual basis, that include the following information:

- A comparison of actual accomplishments to the milestones established by the financial assistance agreement for the period
- The reasons why established milestones were not met, if applicable

- The status of milestones from the previous reporting period that were not met, if applicable
- Whether the project is on schedule and within the original cost estimate
- Any additional pertinent information or issues related to the status of the project

F.3.3. Final Performance Reports

Recipients will be required to submit a final performance report encompassing the entire period of performance. The final performance report must include, but is not limited to, the following information:

- Whether the Project objectives and goals were met
- Discussion of the benefits achieved by the Drought Contingency Plan, including how the plan improves long-term resiliency to drought
- How the Drought Contingency Plan demonstrates collaboration
- Photographs documenting the project are also appreciated

Note: Reclamation may print photos with appropriate credit to the applicant. Also, final reports are public documents and will be made available on Reclamation's website, www.usbr.gov/drought.

F.4. Releasing Applications

Following awards of funding, Reclamation may post all successful applications on the Reclamation website after conducting any redactions determined necessary by Reclamation, in consultation with the recipient.

Section G. Agency Contacts

There will be no pre-application conference. Organizations interested in submitting applications in response to this FOA may direct questions to the Reclamation personnel identified below.

G.1. Financial Assistance Contact

Questions regarding application and submission information and award administration may be submitted to the attention of Mr. Kevin Connolly, Grants Management Specialist, as follows:

By mail: Bureau of Reclamation
Financial Assistance Support Section
Attn: Mr. Kevin Connolly
Mail Code: 84-278514
P.O. Box 25007
Denver, CO 80225

By email: kconnolly@usbr.gov

By phone: 303-445-2221

G.2. Program Coordinator Contact

Questions regarding applicant and project eligibility and application review may be submitted to the attention of Mr. Darion Mayhorn, Reclamation Drought Coordinator, as follows:

By mail: Bureau of Reclamation
Water Resources and Planning Division
Attn: Mr. Darion Mayhorn
Mail Code: 84-51000
P.O. Box 25007
Denver, CO 80225

By e-mail: dmayhorn@usbr.gov

By phone: 303-445-3121