

## U.S. Fish and Wildlife Service Financial Assistance Business Process Notice of Funding Opportunity Template

### Point of Contact

Send any questions about this document by email to the Chief, Policy Branch, Financial Assistance Support and Oversight (FASO) Division, Wildlife and Sport Fish Restoration (WSFR). See the Policy Branch “Contact Us” Intranet page at <https://inside.fws.gov/index.cfm/go/post/FASOPOL-ContactUs> for contact information.

### Document Change Log

The Policy Branch will update this template over time to incorporate changes resulting from any new government-wide regulations, Department of the Interior or Service policy, or new/changed Financial and Business Management System (FBMS) functionality. We will post revised versions of this document on the Intranet at <https://inside.fws.gov/go/post/FASOPOL-NewAwards> and will log updates made to this document in the following table:

Date Changed	Description of Change Made
01-06-17	Updated instructions, contact details, and links throughout. Updated SAM.gov registration section to provide official website URL and clearly state that SAM.gov registration is free. Clarified IRS 501(c)3 requirement. Removed confusing indirect costs language. Refined required indirect cost circumstance statements; added another statement to accommodate applicants with <i>de minimis</i> rates lower than 10%. Added clarifications to Assurances section. Added NEW required “Overlap/Duplication of Effort” statement from applicants for discretionary funding. Added additional instructions for programs above “Review and Selection” section and updated language in that section to parallel latest 2 CFR 200, Appendix I text. Updated financial and performance reporting sections to clarify requirements and parallel draft revisions to 516 FW 1 and 2.
2-1-2016	Changed location of Paperwork Reduction Act statement and inserted OMB clearance number and expiration date into header. Updated section VI. Application Review to incorporate new pre-award Federal Award Recipient Performance and Integrity Information System (FAPIS) requirements. Made other minor editorial corrections.
9-30-2015	Updated requirements related to non-profit certifications (Section III); Added clarification to cost-share/matching details (Section III D); Inserted additional text to indirect cost rate statement #6 (Section IV E); Clarified lobbying certification requirements and removed repeated statement in Section IV H; Inserted new “Special Award Terms and Conditions text insertion placeholder on page 16.
2-20-2015	Incorporated requirements under new 2 CFR 200, including: <ul style="list-style-type: none"> <li>• Changed Notice of Funding Availability to Notice of Funding Opportunity (see 200.203);</li> <li>• Updated reference to applicable Federal cost principles;</li> <li>• Removed references to A-133 and replaced with 2 CFR 200-Subpart F. Changed single audit threshold from \$500K to \$750K (see 200.501); and</li> <li>• Inserted mandatory disclosure requirements as a new reporting requirement (see 200.113).</li> </ul>
2-20-2015	Incorporated requirements under recently issued Department policies, including: <ul style="list-style-type: none"> <li>• DIG 2011-03, Amendment 1, “Financial Assistance Monitoring Protocol” (see also “Service Recipient Risk Assessment Guidance”);</li> <li>• DOI-AAAP-0008, “Conflict of Interest and Mandatory Disclosures for Financial</li> </ul>

Date Changed	Description of Change Made
	Assistance”; and <ul style="list-style-type: none"> <li>• DOI-AAAP-0009, “Financial Assistance Application and Merit Review Process”.</li> </ul>
2-20-2015	Other revisions made: <ul style="list-style-type: none"> <li>• Section III, inserted new template text related to projects conducted outside the U.S.;</li> <li>• Section III.C., incorporated new requirement to extend active SAM Exclusions search to key project person(s);</li> <li>• Section III.D., inserted clarifying text related to applicant/recipient use of indirect cost as cost-share/matching;</li> <li>• Section IV.C., yellow highlighted items 4 and 5;</li> <li>• Section IV.E., inserted previously omitted text requiring a Federally-funded equipment list and replaced previous indirect cost rate statements table with simplified statements to be submitted by applicants; and</li> <li>• Added note above Section IX to instruct programs to remove the section for single source awards.</li> </ul>

### Instructions

Use the Notice of Funding Opportunity Template as a starting point for developing the full text of a program- or award-specific Notice of Funding Opportunity (NOFO). Programs that already have a NOFO in place must compare that document to this template at least annually to make sure it contains all required elements and content. For more information, see the [Issuing a New Financial Assistance Award Guidance](#) document posted on the Intranet at <https://inside.fws.gov/go/post/FASOPOL-NewAwards>. It is strongly recommended that you also review the full text of [2 CFR 200, Appendix I—Full Text of Notice of Funding Opportunity](#) before completing the NOFO Template.

The NOFO Template begins on page 3 of this document. Do not include this Instructions cover page on your customized NOFO. The table below provides editing instructions for generating the full text of a NOFO:

Text Characteristic	Represents
Times New Roman text with gray highlighting	Instructions for completing required elements that must be replaced with program-specific text
Times New Roman text with yellow highlighting	Sample content that programs may use, revise, or remove, as appropriate
Arial text with blue highlighting	Notes and additional instructions that must be removed
Times New Roman text, not highlighted	Required text that must not be removed

**NOTE:** For single source awards and programs that do not yet have their required OMB clearance, remove the OMB control number and expiration date document header text and the box below. For all other NOFOs, insert program-specific information in the header and the box below and remove gray highlighting. Remove this note.

**Paperwork Reduction Act Statement.** We are collecting this information in accordance with [insert program authorizing legislation citation; should match program CFDA.gov profile section Authorization (040)]. Your response is required to obtain or retain a benefit. We will use the information you provide to [insert description of how we will use the information, e.g. to conduct a competitive review and select projects for funding]. We may not conduct or sponsor and you are not required to respond to a collection of information unless it displays a currently valid OMB control number. We estimate that it will take applicants under this program about [insert burden hours] to complete an application. We estimate it will take recipients under this program about [insert burden hours] to complete required reporting and [insert burden hours] for required recordkeeping. All burden estimates include the time to review instructions, search existing data resources, gather data needed and complete and review the submission. You may send comments on the burden estimate or any other aspect of this information collection to the Information Collection Clearance Officer, U.S. Fish and Wildlife Service, MS BPHC, 5275 Leesburg Pike, Falls Church, VA 22041-3803.

## U.S. Fish and Wildlife Service

[Insert the specific funding office within the agency (e.g., Division name)]

[Insert Program Title]

Catalog of Federal Domestic Assistance (CFDA) Number: [insert program's CFDA number]

## Notice of Funding Opportunity

### I. Description of Funding Opportunity

[Provide a full programmatic description of the funding opportunity. Make it as long as needed to adequately communicate to potential applicants the areas in which funding may be provided. Describe the program's funding priorities or the technical or focus areas in which the program intends to provide assistance. Include program authorizing statute citation(s). Statute citations must match those in the funding program's CFDA profile on CFDA.gov].

### II. Award Information

[Provide sufficient information to help an applicant make an informed decision about whether to submit an application. Relevant information could include the total amount of funding the program expects to award through the announcement; the anticipated number of awards; the expected amounts of individual awards (which may be a range); the amount of funding per award, on average, experienced in previous years; and the anticipated start dates and project periods for new awards. This section should also address whether applications for renewal or supplementation of existing projects are eligible to compete with applications for new awards. Further, this section must indicate the type(s) of assistance instruments (i.e., grants, cooperative agreements, and/or other instruments) that may be awarded. If you are awarding cooperative agreements, this section must describe the substantial involvement the Service expects to have in the performance of such agreements. For single source cooperative agreement awards, enter: "The U.S. Fish and Wildlife Service (Service) will be substantially involved in projects under this funding opportunity. In particular, the Service will be responsible for the following: [list the specific project-related activities to be performed by Service staff]". If procurement contracts may also be awarded under this program, provide details on all related contract procedures

and/or announcement(s) here]. If the program will award both competitive and single source awards under the same CFDA, the program has the option to include details on both aspects of the program in a single NOFO rather than posting separate NOFO(s) for the single source award(s). If the program chooses to include details on both aspects of the program, insert those details here. All single source NOFOs must include all of the elements required in Section 6.9 of 516 FW 6, *Issuing Discretionary Grant and Cooperative Agreement Awards without Competition*].

### III. Basic Eligibility Requirements

#### Eligible Applicants:

[Clearly identify the types of entities that are eligible to apply. If there are no restrictions on eligibility, this section may simply indicate that all potential applicants are eligible. If there are restrictions on eligibility, be clear about the specific types of recipients that are eligible, not just the types that are ineligible. Notify applicants if they are required to submit documentation to support an eligibility requirement. Text for this section should reflect related content in the program's CFDA profile and any authorizing legislation. Note that some entities are incorporated as non-profits but have not requested 501(c)(3) tax exemption status; programs that limit applicant eligibility to non-profits with 501(c)(3) status must make that restriction clear in this section. If the program eligibility is limited to non-profits with official 501(c)(3) status only, insert the following "U.S. non-profit, non-governmental organizations with 501(c)(3) Internal Revenue Status (IRS) must provide a copy of their status determination letter received from the IRS".]

**NOTE:** The yellow-highlighted text below contain suggested text to be inserted by programs funding projects in foreign countries. Edit the suggested text as appropriate for the program. Remove yellow highlighting when highlighted text is retained. Remove this note.

Applicants must ensure that activities occurring outside the United States are coordinated as necessary with appropriate U.S. and foreign government authorities and that any necessary licenses, permits, or approvals are obtained prior to undertaking proposed activities. The Service does not assume responsibility for recipient compliance with the laws and regulations of the country in which the work is to be conducted.

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

#### A. DUNS Registration

Request a DUNS number at <http://fedgov.dnb.com/webform>. For technical difficulties, contact Dun & Bradstreet by email at: [govt@dnb.com](mailto:govt@dnb.com), or by calling the Government Customer Resource Center at voice phone: 866-705-5711 or TTY line: 877-807-1679

(hearing impaired customers only). Once assigned a DUNS number, entities are responsible for maintaining up-to-date information with Dun & Bradstreet.

## **B. Entity Registration in SAM**

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

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

## **C. Excluded Entities**

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

## **D. Cost Sharing or Matching:**

[State if there is required cost sharing, matching, or cost participation without which an application would be ineligible. State clearly if cost sharing is not required. Include any restrictions on the types of costs (e.g., in-kind contributions) that are acceptable as cost sharing. Cost sharing as an eligibility criterion includes the requirements based in statute or regulation, as well as those imposed by administrative decision of the Service. Indicate if there are any pre-award requirements for submission of letters or other documentation to verify commitments to meet cost-sharing requirements if an award is made].

**NOTE:** The yellow-highlighted text below contain text to be inserted by programs that are not legislatively restricted from allowing recipients to use indirect costs as part of their cost-share or match. Edit or remove the suggested text as appropriate for the program. Remove yellow highlighting when highlighted text is retained. Remove this note.

Applicants may attribute some or all of their allowable indirect costs as voluntary committed cost-share/match.

## **IV. Application Requirements**

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

- A.** A completed, signed and dated Application for Federal Assistance form. [At a minimum, all NOFOs must require applicants to submit the appropriate Standard Form (SF) 424,

Application for Federal Assistance (i.e., SF 424, SF 424-Mandatory, or SF 424-Individual) form. The only exception to the SF 424 requirement is if the program has OMB approval to use an alternative application form. Insert form instructions based on your eligible applicant base. Individuals applying on their own (unrelated to any business or non-profit organization s/he may own or operate in her/his own name) must use the SF 424, Application for Federal Assistance-Individual form (<http://www.grants.gov/web/grants/forms/sf-424-individual-family.html#sortby=1>). All other applicants to discretionary programs and for single source awards must use the SF 424, Application for Federal Assistance form (<http://www.grants.gov/web/grants/forms/sf-424-family.html#sortby=1>). Mandatory programs may require applicants to use the SF 424, Application for Federal Assistance-Mandatory form (<http://www.grants.gov/web/grants/forms/sf-424-mandatory-family.html#sortby=1>). Do not include other Federal sources of funding, requested or approved, in the total entered in the “Federal” funding box on the Application for Federal Assistance form. Enter only the amount being requested under this program in the “Federal” funding box. Include any other Federal sources of funding in the total funding entered in the “Other” box.

**NOTE:** The yellow-highlighted text in Sections B and C below contain suggested text for what an applicant might need to include in a project narrative. Programs should edit the suggested text as appropriate for the program. Remove yellow highlighting when highlighted text is retained. The non-highlighted text represents required narrative sections. Remove this note.

## **B. Project Summary**

Briefly summarize the project, in one page or less. Include the title of the project, geographic location, and a brief overview of the need for the project. Goal(s), objectives, specific project activities, anticipated outputs and outcomes can also be included in this section.

## **C. Project Narrative**

- 1. Statement of Need:** Describe why this project is necessary (significance/value) and include supporting information. Summarize previous or on-going efforts (of you/your organization, and other organizations or individuals) that are relevant to the proposed work. Explain the successes or failures of past efforts and how your proposed project builds on them. If you have received funding previously (from the Service or any other entity) for this specific project work or site, provide a summary of the funding, associated activities and products/outcomes.
- 2. Project Goals and Objectives:** State the long-term, overarching goal(s) of the program/project. State the objectives of the project. Objectives are the specific outcomes to be accomplished in order to reach the stated goal(s). The project objectives must be specific, measurable, and realistic (attainable within the project’s proposed project period).
- 3. Project Activities, Methods and Timetable:** List the proposed project activities and describe how they relate to the stated objectives. Activities are the specific actions to be undertaken to fulfill the project objectives and reach the project goal(s). The proposed

project activities narrative must be detailed enough for reviewers to make a clear connection between the activities and the proposed project costs. For projects being conducted within the United States, the narrative must provide enough detail so that reviewers are able to determine project compliance with the National Environmental Policy Act, Section 7 of the Endangered Species Act, and Section 106 of the National Historic Preservation Act. For projects being conducted on the high seas, the narrative should provide enough detail so that reviewers are able to determine project compliance with Section 7 of Endangered Species Act. Provide a detailed description of the method(s) to be used to carry out each activity. Provide a timetable indicating roughly when activities or project milestones are to be accomplished. Include any resulting tables, spreadsheets or flow charts within the body of the project narrative (do not include as separate attachments). The timetable should not propose specific dates but instead group activities by month for each month over the entire proposed project period.

- 4. Stakeholder Coordination/Involvement:** As applicable, describe how you/your organization has coordinated with and involved other relevant organizations or individuals in planning the project, and detail if/how they will be involved in conducting project activities, disseminating project results and/or incorporating your results/products into their activities.
- 5. Project Monitoring and Evaluation:** Detail the monitoring and evaluation plan for the project. Building on the stated project objectives, which must be specific and measurable, identify what you will measure (i.e., quantitative/quantifiable indicators) and how you will measure (e.g., methods, sample size, survey tools). Reference the stated project timetable (i.e., process indicators) and budget information (i.e., input indicators). Identify the products/services to be delivered and how/to whom they will be delivered (i.e., output indicators). Detail the expected direct effect(s) of the project on beneficiaries (i.e., outcome indicators). Include any available questionnaires, surveys, curricula, exams/tests or other assessment tools to be used for project evaluation. Describe the resources and organizational structure available for gathering, analyzing and reporting monitoring and evaluation data. If applicable, describe how project participants and beneficiaries will participate in monitoring and evaluation activities. Describe how findings will be fed back into decision making and project activities throughout the project period.
- 6. Description of Entities Undertaking the Project:** Provide a brief description of the applicant organization and all participating entities and/or individuals. Identify which of the proposed activities each agency, organization, group, or individual is responsible for conducting or managing. Provide complete contact information for the individual within the organization that will oversee/manage the project activities on a day-to-day basis. If eligibility for funding is based in whole or in part on the qualifications of key personnel, provide for each key person a brief (**1-2 pages**) but descriptive overview of their education, experience and other skills that make them qualified to carry out the proposed project. To prevent unnecessary transmission of Personally Identifiable Information, **do not include Social Security numbers, the names of family members, or any other**

***personal or sensitive information including marital status, religion or physical characteristics on the description of key personnel qualifications.***

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

#### **8. Literature Cited**

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

**NOTE:** All applicants are required to submit the standard budget form and budget justification (see Sections D and E below). The only exception to these requirements is if the program has an approved OMB Information Collection Clearance to request budget information in a different format. Remove this note.

#### **D. Budget Form**

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

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

#### **E. Budget Justification**

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



If Federally-funded equipment will be used for the project, provide a list of that equipment, including the Federal funding source. [Insert any other program-specific information for applicants to detail in their budget justifications].

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

“We are:

1. A U.S. state or local government entity receiving more than \$35 million in direct Federal funding each year with an indirect cost rate of [insert rate]. We submit our indirect cost rate proposals to our cognizant agency. A copy of our most recently approved rate agreement/certification is attached.
2. A U.S. state or local government entity receiving less than \$35 million in direct Federal funding with an indirect cost rate of [insert rate]. We are required to prepare and retain for audit an indirect cost rate proposal and related documentation to support those costs.
3. A [insert your organization type; U.S. states and local governments, please use one of the statements above or below] that has previously negotiated or currently has an approved indirect cost rate with our cognizant agency. Our indirect cost rate is [insert rate]. [Insert either: “A copy of our most recently approved but expired rate agreement is attached. In the event an award is made, we will submit an indirect cost rate proposal to our cognizant agency within 90 calendar days after the award is made.” or “A copy of our current, approved rate agreement(s) is attached.”]
4. A [insert your organization type] that has never submitted an indirect cost rate proposal to our cognizant agency. Our indirect cost rate is [insert rate]. In the event an award is made, we will submit an indirect cost rate proposal to our cognizant agency within 90 calendar days after the award is made.
5. A [insert your organization type] that has never submitted an indirect cost rate proposal to our cognizant agency and has an indirect cost rate that is lower than 10%. Our indirect cost rate is [insert rate; must be lower than 10%]. However, in the event an award is made, we will not be able to meet the requirement to submit an indirect cost rate proposal to our cognizant agency within 90 calendar days after award. We request as a condition of award to charge a flat indirect cost rate of [insert rate; must be lower than 10%] of [insert a clear description of the direct cost base against which your rate is charged (e.g., salaries; salaries and fringe benefits; or modified total direct costs). However, please note that your organization cannot charge indirect costs in excess of the indirect costs that would be recovered if applied against modified total direct costs as defined in 2 CFR 220.68]. We understand that we must notify the Service in writing immediately if we establish an approved rate with our cognizant agency at any point during the award period.

6. A [insert your organization type] that has never submitted an indirect cost rate proposal to our cognizant agency and has an indirect cost rate that is 10% or higher. Our indirect cost rate is [insert your organization's indirect rate; must be 10% or higher]. However, in the event an award is made, we will not be able to meet the requirement to submit an indirect cost rate proposal to our cognizant agency within 90 calendar days after award. We request as a condition of award to charge a flat *de minimis* indirect cost rate of 10% of modified total direct costs as defined in 2 CFR 200.68. We understand that we must notify the Service in writing immediately if we do establish an approved rate with our cognizant agency at any point during the award period. We understand that additional Federal funds may not be available to support an unexpected increase in indirect costs during the project period and such changes are subject to review, negotiation, and prior approval by the Service.
7. A [insert your organization type] that is submitting this proposal for consideration under the [insert either "Cooperative Fish and Wildlife Research Unit Program" or "Cooperative Ecosystem Studies Unit Network"], which has a Department of the Interior-approved indirect cost rate cap of [insert program rate]. If we have an approved indirect cost rate with our cognizant agency, we understand that we must apply this reduced rate against the same direct cost base as identified in our approved indirect cost rate agreement. If we do not have an approved indirect cost rate with our cognizant agency, we understand that the basis for direct costs will be the modified total direct cost base defined in 2 CFR 200.68 "Modified Total Direct Cost (MTDC)". We understand that we must request prior approval from the Service to use the MTDC base instead of the base identified in our approved indirect cost rate agreement, and that Service approval of such a request will be based on: 1) a determination that our approved base is only a subset of the MTDC (such as salaries and wages); and 2) that use of the MTDC base will still result in a reduction of the total indirect costs to be charged to the award. In accordance with 2 CFR 200.405, we understand that indirect costs not recovered due to a voluntary reduction to our federally negotiated rate are not allowable for recovery via any other means.
8. A [insert your organization type] that will charge all costs directly.

All applicants are hereby notified of the following:

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

- Recipients are prohibited from shifting unallowable indirect costs to another Federal award unless specifically authorized to do so by legislation.

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

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

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

Indirect Cost Services

Acquisition Services Directorate, Interior Business Center

U.S. Department of the Interior

650 Capitol Mall, Suite 7-400

Sacramento, CA 95814

Phone: 916-930-3803

Email: Through <https://www.doi.gov/ibc/contactus/ibcfeedback> web form

Internet address: <https://www.doi.gov/ibc/services/finance/indirect-cost-services>

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

**G. Assurances:** Include the appropriate signed and dated Assurances form available at <http://www.grants.gov/web/grants/forms/sf-424-family.html#sortby=1>. Use the **Assurances for Construction Programs (SF 424D)** for construction and land acquisition projects. Use the **Assurances for Non-Construction Programs (SF 424B)** for all other projects. The form includes a statement that some of the assurances may not be applicable to your

organization and/or your project or program. Signing this form does not make you or your organization subject to laws that are otherwise not applicable to you or your organization. Changing, crossing out, or making notations on the form before signing has no impact on the applicability of law.

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

**I. Conflict of Interest Disclosures:** Applicants must notify the Service in writing of any actual or potential conflicts of interest that are known at the time of application or that may arise during the life of this award, in the event an award is made. Conflicts of interest include any relationship or matter which might place the recipient, the recipient's employees, or the recipient's subrecipients in a position of conflict, real or apparent, between their responsibilities under the award and any other outside interests. Conflicts of interest may also include, but are not limited to, direct or indirect financial interests, close personal relationships, positions of trust in outside organizations, consideration of future employment arrangements with a different organization, or decision-making affecting the award that would cause a reasonable person with knowledge of the relevant facts to question the impartiality of the applicant, the applicant's employees, or the applicant's future subrecipients in the matter. Upon receipt of such a notice, the Service Project Officer in consultation with their Ethics Counselor will determine if a conflict of interest exists and, if so, if there are any possible actions to be taken by the applicant to reduce or resolve the conflict. Failure to resolve conflicts of interest in a manner that satisfies the Service may result in the project not being select for funding.

**NOTE:** The below section "J. Overlap/Duplication of Effort Disclosure" is highlighted because it is not required for mandatory programs. All discretionary funding opportunities, both competitive and non-competitive, must include the section and remove the yellow highlighting. Mandatory programs, please delete the section. Remove this note.

**J. Required Overlap/Duplication Statement:** Applicants must provide a statement that addresses if there is any overlap between the proposed project and any other active or

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

**NOTE:** Revise application checklist below to match your program's application requirements, as needed. You may remove the items highlighted in yellow all other items are universally required items. Remove yellow highlighting when highlighted items are retained. Remove this note.

### Application Checklist

- Evidence of non-profit status:** If a non-profit organization, a copy of their Section 501(c)(3) or (4) status determination letter received from the Internal Revenue Service.
- SF 424, Application for Federal Assistance:** A complete, signed and dated SF 424, SF 424-Mandatory, or SF 424-Individual form.
- Project summary**
- Project narrative**
- Timetable**
- Description of key personnel qualifications**
- Single Audit Reporting statement:** If a U.S. state, local government, federally-recognized Indian tribal government, or non-profit organization, statements regarding applicability of and compliance with Single Audit reporting requirements.
- SF 424 budget form:** A complete SF 424A or SF 424C Budget Information form.
- Budget justification**
- Federally-funded equipment list:** If Federally-funded equipment will be used for the project, a list of that equipment.
- Indirect cost statement**
- NICRA:** When applicable, a copy of the organization's current Negotiated Indirect Cost Rate Agreement.
- SF 424 Assurances form:** Signed and dated SF 424B or SF 424D Assurances form.
- SF LLL form:** If applicable, completed SF-LLL Disclosure of Lobbying Activities form.
- Conflict of Interest disclosure,** when applicable.
- Overlap/Duplication statement**

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

## V. Submission Instructions

**SUBMISSION DEADLINE:** [enter deadline date(s) or open period start and end dates].

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

**NOTE:** Revise the application instructions highlighted in yellow below to reflect the application options/process for your program. Remove yellow highlighting when highlighted text is retained. Remove this note.

Download the Application Package linked to this Funding Opportunity on Grants.gov to begin the application process. Downloading and saving the Application Package to your computer makes the required government-wide standard forms fillable and printable. Completed applications may be submitted by mail, by email, electronically through Grants.gov, or as otherwise described in the Grants.gov funding opportunity. Please select **ONE** of the submission options:

***To submit an application by mail:***

Number all pages of your printed application. Mail one, single-sided, unbound copy (do not staple or otherwise permanently bind pages) of your complete application to the Service program point of contact identified in the Grants.gov funding opportunity.

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

***To submit an application by e-mail:***

Format all of your documents to print on Letter size (8 ½” x 11”) paper. Format all pages to display and print page numbers. Scanned documents should be scanned in Letter format, as black and white images only. Where possible, save scanned documents in .pdf format. E-mail your application to the Service program point of contact identified in the Grants.gov funding opportunity.

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

***To submit an application through Grants.gov:***

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

**Important note on Grants.gov application attachment file names:** Please do not assign application attachments file names longer than 20 characters, including spaces. Assigning file names longer than 20 characters will create issues in the automatic interface between Grants.gov and the Service's financial assistance management system.

**NOTE:** All competitive programs are required to have written standard operating procedures and merit review criteria established *before* posting a funding opportunity. All competitive programs **MUST** provide well-detailed information in the section below to reflect the specific processes applicable to your program. Any program issuing a discretionary single source award must describe the merit and other review criteria used to justify selecting that particular application for funding. Remove this note.

## **VI. Application Review Information**

**Criteria:** To be considered for funding, applications must [This section **MUST** address the criteria your program will use to evaluate/select applications. This includes merit and other review criteria that evaluators will use to judge and select applications, including any statutory, regulatory, or other preferences (e.g., minority status or Native American tribal preferences) that will be applied in the review process. These criteria are distinct from eligibility criteria that are addressed before an application is accepted for review and any program policy or other factors that are applied during the selection process, after the review process is completed. The intent is to give applicants visibility into the evaluation process so that they can make informed decisions when preparing their applications to maximize fairness of the process. The announcement must clearly describe all criteria, including any sub-criteria. If criteria vary in importance, the announcement must specify the relative percentages, weights, or other means used to distinguish among them. For statutory, regulatory, or other preferences, the announcement must provide a detailed explanation of those preferences with an explicit indication of their effect (e.g., whether they result in additional points being assigned). If an applicant's proposed cost sharing will be considered in the review process (as opposed to being an eligibility criterion) the announcement must specifically address how it will be considered (e.g., to assign a certain number of additional points to applicants who offer cost sharing, or to break ties among applications with equivalent scores after evaluation against all other factors). If cost sharing will not be considered in the evaluation, state so here to avoid ambiguity for potential applicants. Vague statements that cost

sharing is encouraged, without clarification as to what that means, are unhelpful to applicants. It is also important that the announcement be clear about any restrictions on the types of costs (e.g., in-kind contributions) that are acceptable as cost sharing.]

### **Review and Selection Process:**

[Discretionary programs issuing single source and/or competitive awards must establish a written merit review and selection process following the requirements in Department policy DOI-AAAP-0009, *Financial Assistance Application and Merit Review Process*. This policy and related attachment providing sample merit review criteria are available at <https://sites.google.com/a/ios.doi.gov/policydistribution/home-1> (note: must be logged into network and in Google Chrome to access) Programs **MUST** ensure that: 1) applications are reviewed and evaluated by qualified reviewers; 2) applications are scored and selected based on announced criteria; 3) consideration is given to applicant risk and past performance; 4) competitive applications are ranked; and 5) funding determinations are made. Programs must establish an evaluation plan comprised of five basic elements: (1) merit review factors and sub-factors; (2) a rating system for competitive applications (e.g., adjectival, color coding, numerical, or ordinal); (3) evaluation standards or descriptions which explain the basis for assignment of the various rating system grades/scores; (4) program policy factors; and (5) the basis for selection.

This section must list any program policy or other factors or elements, other than merit criteria, that the selecting official may use in selecting applications for award (e.g., geographical dispersion, program balance, or diversity). The program must also include other appropriate details. For example, this section may indicate who is responsible for evaluation against the merit criteria (e.g., peers external to the Service or Service staff) and/or who makes the final selections for awards. If there is a multi-phase review process (e.g., an external panel advising internal Federal awarding agency personnel who make final recommendations to the deciding official), the announcement must describe the phases. It also must include: the number of people on an evaluation panel and how it operates, the way reviewers are selected, reviewer qualifications, and the way that conflicts of interest are avoided. In addition, if you permit applicants to nominate suggested reviewers for their applications, or to identify reviewers that the applicants feel may be inappropriate due to a potential or actual conflict of interest, detail those processes here.]

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

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

Each fiscal year, for every entity receiving one or more awards in that fiscal year, the Service conducts a risk assessment based on eight risk categories. The result of this risk assessment is



used to establish a monitoring plan for all awards to the entity in that fiscal year. For a copy of the Service's risk assessment form, go to <https://www.fws.gov/grants/atc.html>.

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

## VII. Award Administration

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

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

**NOTE:** Remove the below section related to ASAP-waived domestic recipients if not applicable to your applicant base. Retain if applicable. Remove this note.

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

**NOTE:** Remove the foreign recipient payments section if not applicable to your applicant base. Remove yellow highlighting when highlighted text is retained. Remove this note.

**Foreign Recipient Payments:** Foreign recipients receiving funds to a bank outside of the United States will be paid electronically through U.S. Treasury's International Treasury Services (ITS) system.

Foreign recipients receiving funds electronically to a bank in the United States will be paid by Electronic Funds Transfer (EFT) through the Automated Clearing House network. Foreign recipients who wish to be paid to a bank account in the United States must enter and maintain current banking information in SAM (see Section III).

The Notice of Award document from the Service will include instructions specific to each recipient on how to request payment. If applicable, the instructions will detail any additional information/forms required and where to submit payment requests.

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

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

**[Special Award Terms and Conditions:** insert any program- or project-specific special award terms and conditions that will apply to recipients under this program. If you need assistance completing this section, see the Service's "Sample Financial Assistance Award Special Terms and Conditions" guidance posted on the Intranet at <https://inside.fws.gov/index.cfm/go/post/FASOPOL-NewAwards>].

**Recipient Reporting Requirements:**

**Financial and Performance Reports:**

**Final Reports:** Recipients are required to submit final financial and performance reports no later than 90 calendar days after the award period of performance end date or termination date,

whichever comes first. For awards lasting 12 months or less, the final reports will be the only financial and performance reports required, except in unusual circumstances or if waived.

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

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

Performance reports must contain: 1) a comparison of actual accomplishments with the goals and objectives of the award as detailed in the approved scope of work; 2) a description of reasons why established goals were not met, if appropriate; and 3) any other pertinent information relevant to the project results.

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

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

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

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

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

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

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

### **VIII. Agency Contacts**

[Give potential applicants a point of contact for answering technical questions or helping with problems while the funding opportunity is open. If needed, provide different points of contact for distinct types of help.]