

U.S. Fish & Wildlife Service

Division of Wildlife & Sport Fish Restoration Program

# Project Leaders Course

*2014 Workbook*



Revised 07/10/13

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*Enter Name of Course:*

**Project Leaders Course**

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**Project Leaders Course**  
Wildlife and Sport Fish Restoration  
National Training Program

**Day One**

MORNING SESSION

- 8:30 a.m. Welcome/Introductions/Getting Acquainted – Unit 1
- Goals and Objectives – Unit 2
- iPad Basics
- Pre-requisite Review
- Pre- Award: Project Statement Development and Review – Unit 3

LUNCH

AFTERNOON SESSION

- Pre- Award: Project Statement Development and Review (continued)
- Compliance – Unit 4
- Pre- Award: The Grant Application Package – Unit 5
- 5:00 p.m. Adjourn

## Day 2

### MORNING SESSION

- 8:00 a.m.     Review Day 1/Preview Day 2
- Award: Notice of Award – Unit 6
- Post Award: Grant Implementation – Unit 7
- Post Award: Reporting Requirements – Unit 8

### LUNCH

### AFTERNOON SESSION

- Grant Closure – Unit 9
- Post Closure: Ongoing Responsibilities – Unit 10
- Parking Lot / Discussion
- Wrap-Up/Post Course Survey
- 3:00    Adjourn

Revised 7/12/2013

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objectives.doc

Enter Name of Course:  
**Project Leaders Course**

Enter Tab Number:  
**2**

<p style="text-align: center;"><b>Project Leaders Course</b></p> <hr/> <p>Tab 2: Goals &amp; Objectives</p> 	
<p style="text-align: center;"><b>Training Program Goal</b></p> <hr/> <ul style="list-style-type: none"> <li>▣ Systematic/ongoing training</li> <li>▣ Develop grants management knowledge &amp; skills</li> </ul> <p style="text-align: center;">Resulting in...</p> <ul style="list-style-type: none"> <li>▣ Consistent/sensible management</li> <li>▣ Knowledgeable decisions</li> </ul>	<p>The purpose of training program is to provide a national training program to develop basic and specialized grants management knowledge and skills resulting in the consistent and sensible application of regulations, processes, and decisions in the grant programs administered by WSFR.</p> <p style="color: red;">Mention other courses/resources from National Training Program?</p>
<p style="text-align: center;"><b>Course Objectives</b></p> <hr/> <p>Increase Project Leader knowledge, skills, and/or abilities</p> <ul style="list-style-type: none"> <li>▣ Writing project statements (narratives)</li> <li>▣ Compliance requirements (NEPA and Section 7)</li> <li>▣ Cost accounting processes</li> <li>▣ Writing/submitting performance reports</li> <li>▣ Communicate/coordinate within WSFR Program</li> </ul>	<p>The purpose of this course is to:</p> <p>Increase your “effectiveness” = increase knowledge, improve understanding, give you tools to help you find answers to your grant management questions.</p> <p>This course was cooperatively created through a planning process with National Training program, your agency, the Regional Office and with you through the pre-course expectations survey.</p> <p>Review course objectives.</p>
	<p>Be sure that everyone understands and agrees to the objectives for the course. Are there are any questions on the objectives or what will be covered in the course?</p> <p style="color: red;">Mention acronyms and glossary in the Toolkit: General Guidance &gt; WSFR Program Glossary</p> <p style="color: red;">Make sure they can hear you. Encourage questions and interaction. If they don't understand something or are uncomfortable with room temp etc... tell them to not be bashful and speak up.</p>

## Goals and Objectives

Welcome to USFWS – Wildlife and Sport Fish Restoration (WSFR) National Training Program. The goal of the National Training Program is to:

Provide a systematic and ongoing national training program to develop basic and specialized grants management knowledge and skills that result in the consistent and sensible application of regulations, processes, and decisions in the grant programs administered by WSFR.

The purpose of the **Project Leaders Course** is to increase the effectiveness of project leaders in developing and managing projects funded through the grant programs.

### Course Objectives

Increase Project Leaders knowledge, skills, and/or abilities in

1. Writing project statements (narratives)
2. Compliance requirements, especially NEPA and Section 7
3. Writing/submitting performance reports
4. Grant cost accounting processes
5. Communicating, and coordinating with individuals/agencies involved with WSFR grant programs

## IPad Basics

### Function keys

- Power On/off switch (edge of iPad)
- Volume/mute switch (edge of iPad)
- Home button (glass screen surface)

### Navigation Instructions

1. *Power on/off switch (hold for 2 seconds release) Apple logo appears.*
2. If iPad is in sleep mode...click home button and slide touch screen arrow to unlock
3. Tap **GoodReader** app
4. In my document list..find and tap **Toolkit Folder** (left screen)
5. Find and tap **Toolkit.pdf** (near bottom left screen). Do not tap toolkit files!
6. Tap toolkit **Federal Regulations (CFR/FAR)** hyperlink (blue are active...gray are inactive) to access CFR menu
7. Tap **50 CFR 80 Admin Requirements...**
8. Tap **Subpart C - License Revenue**

### Touch screen tips:

- Pinch and zoom to enlarge or...
- Tap twice with one finger to enlarge/two fingers to shrink
- Swipe to turn pages
- Tap left side to turn page back
- Tap right side to turn page forward
- Tap center screen to engage toolbar (avoid blue hyperlinks)

### Toolbar functions:

- Tap search icon (magnifying glass) for word or phrase search
- Tap page # icon (left of the Magnifying glass) for go to page search
- Tap bottom left moon to adjust shading
- Lock page and lock view icons

### Return to main toolkit page:

- Tap center of page to engage toolbar (avoid blue hyperlinks)
- Tap arrow icon upper left screen (CFR menu, toolkit) until you get to toolkit main page

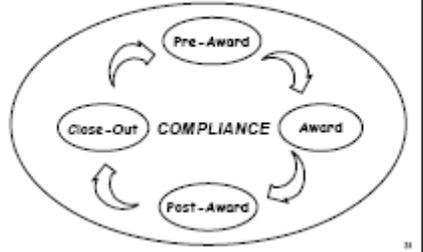
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Filename: s:\federalaid\courses\ilt\plc2012\base plc 2012\workbook\5-projectstatement-detail.doc

Enter Name of Course:  
**Project Leaders Course**

Enter Tab Number:  
**3**

Handouts:  
3-1, 3-2, 3-3, 3-4, 3-5

<p><b>PROJECT LEADERS COURSE</b></p> <hr/> <p><b>Tab 3:</b> <b>Pre-Award:</b> <b>Project Statement</b></p>  <p>7</p>	<p>Review objectives for topic.</p> <p>As you can see there are many issues that need to be considered when applying for a federal grant.</p> <p>The pre-award phase is when the applicant begins gathering the information and completing the documentation required in the grant application package that will be submitted to the RO.</p>
<p><b>Grants Management Process</b></p> <hr/>  <p>11</p>	<p>In this module we'll take a detailed look at the project statement, one of the documents required in the grant application package. The project statement is probably the most important document in the package.</p> <p>It may also be called the project narrative.</p>

## **Pre-Award: Developing and Reviewing the Project Statement**

### **Objectives:**

1. Identify and explain the components of the project statement/narrative
2. Determine if the proposal is substantial in character and design
3. Determine if the project statement/ narrative meets minimum requirements
4. Determine if enough information is included in project statement to satisfy NEPA and Section 7 compliance requirements

<p><b>Elements of a Project Statement</b></p> <ul style="list-style-type: none"><li>◆ NEED</li><li>◆ PURPOSE and OBJECTIVES</li><li>◆ EXPECTED RESULTS or BENEFITS</li></ul>	<p>The project statement or narrative identifies the need and describes the work to be accomplished.</p>
<p><b>Elements of a Project Statement</b></p> <ul style="list-style-type: none"><li>◆ APPROACH</li><li>◆ USEFUL LIFE (\$100,000)</li><li>◆ GEOGRAPHIC LOCATION</li><li>◆ PRINCIPAL INVESTIGATOR (if research)</li><li>◆ PROGRAM INCOME</li></ul>	<p>Your project statements are the backbone of the program. They tell the world about the great conservation needs being met by your project and the anticipated outcomes and accomplishments from meeting the needs. Project statements provide the evidence or justification to support awarding of grant funds.</p>
<p><b>Elements of a Project Statement</b></p> <ul style="list-style-type: none"><li>◆ BUDGET NARRATIVE (costs by project &amp; subaccount)</li><li>◆ MULTIPURPOSE PROJECTS (benefits multiple programs)</li><li>◆ RELATIONSHIP TO OTHER GRANTS</li><li>◆ TIMELINE</li><li>◆ GENERAL</li></ul>	<p>A good project statement should be able to stand against any challenges of those who might question the merits of your project or work.</p> <p>There's not a standard format; however there are 13 required elements described in 50 CFR 80.82 of the federal regulations.</p>

## **Project Statement Overview**

A project statement identifies the need and describes the work to be done. It is required for each project to be funded in a grant. Grantees may use their own format for the project statement/narrative or use the TRACS system. Project statements must contain all elements required in the program guidance.

Competitive grant programs contain additional requirements used to evaluate and rank grant applications. Specific program guidance should be reviewed for ranking criteria.

## **Required Elements of a Project Statement (50 CFR 80.82)**

- NEED
- PURPOSE and OBJECTIVES
- EXPECTED RESULTS or BENEFITS
- APPROACH
- USEFUL LIFE (\$100,000)
- GEOGRAPHIC LOCATION
- PRINCIPAL INVESTIGATOR (if research)
- PROGRAM INCOME
- BUDGET NARRATIVE (costs by project & subaccount)
- MULTIPURPOSE PROJECTS (benefits multiple programs)
- RELATIONSHIP TO OTHER GRANTS
- TIMELINE
- GENERAL

<p><b>Substantial in Character and Design</b></p> <ul style="list-style-type: none"><li>◆ Go to the Toolkit</li><li>◆ Read 50 CFR 80.56</li></ul> 	<p>Have students go to toolkit and read 50 CFR 80.56</p> <p>Allow 3-5 minutes to complete</p> <p>Debrief by asking questions in workbook <i>on Substantial in Character and Design.</i></p>
<p>§ 80.56 Substantiality in character and design.</p> <p>All projects proposed for funding under the Acts must be substantial in character and design. A substantial project (for fish and wildlife purposes) is one which:</p> <ul style="list-style-type: none"><li>(a) Describes a need consistent with the Acts;</li><li>(b) States a purpose and sets objectives, both of which are based on the need;</li><li>(c) Utilizes a planned approach, appropriate procedures and accepted principles of fish and wildlife management, research, or education and</li><li>(d) Is cost effective.</li></ul> <p>In the Compliance module we reviewed 522 FW 1.4 and 1.7 and looked at specific chapters for project types.</p> <p>Point out that different types of projects or grants might have different requirements in order to make determination. Example: Construction project dealing with water control structures may require review of architectural and engineering plans by WSFR to show that design is appropriate.</p> <p>See FW Chapters on project types.</p>	



**Exercise: Substantial in Character and Design**

**Substantial in Character and Design**

Read **50 CFR 80.56** and be prepared to discuss substantiality in character and design.

1. Define substantial in character and design.

See 50 CFR 80.56 a – d. d may be the biggest issue. Grant reviewers are familiar with big picture costs. Even though 50 CFR 80.56 is for WR/SFR this same guidance is applied to all WSFR grant programs.

2. What documents are reviewed to determine if the grant application is substantial in character and design?

Generally the project statement and budget information (estimated cost). However, depending on the grant program and type of project other documents may be reviewed as required in 522 FW 1.4 and 1.7 and 522 FW 3 through 15.

3. Who has ultimate responsibility to determine if a project is substantial in character and design?

WSFR. Grantees decide how money is used but must document substantiality of character and design to reasonable satisfaction of WSFR.

Notes:

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**Substantial in Character and Design**

It's all about connecting the dots

- Identify the conservation Need
- ⇓
- Establish Objectives that will resolve the need
- ⇓
- Conduct Actions to accomplish objectives
- ⇓
- Achieve Expected Results (Need resolved)

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**NEED**

- Explain how project fulfills the purposes of the relevant Act
- Identify the conservation issue, problem or opportunity
- Evidence of the need (research, surveys)
- Articulate the null alternative...the negative result of taking no action...
- Then ask why?

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**OBJECTIVES**

- ◆ Realistic targets/benchmarks that will resolve the Need
- ◆ Written in active tense and use action verbs such as construct, survey, train, research, establish, repair, conduct, provide, acquire

**SMART OBJECTIVES**

- Specific- A smart objective will specify an outcome in terms of who or what?
- Measurable- A smart objective will answer how much or how many?
- Achievable- A smart objective will consider capabilities.

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**SMART OBJECTIVES**

- Relevant- A smart objective will demonstrate that if it is accomplished the need will be resolved.
- Time bound- A smart objective will include a time limit and answer "by when" will the result will be achieved?

**SMART OBJECTIVES**

- (Action verb?) \_\_\_\_\_
- (How many... indicator?) \_\_\_\_\_
- (Who or what?) \_\_\_\_\_
- (By when?) \_\_\_\_\_

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**SMART OBJECTIVES**

- (Action verb?) Conduct
- (How many?) 10 courses / 150 participants
- (Who or what?) Hunter education volunteers / hunter education instructor certification training course
- (By when?) June 30, 2014

**SMART OBJECTIVES**

Conduct 10 hunter education instructor certification training courses for 150 hunter education volunteers by June 30, 2014

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**APPROACH**

- The Approach describes the specific conservation actions or efforts necessary to accomplish project objectives.
- The Approach answers the question "how" the objectives will be accomplished.

**TRACS Action Classification**

Action level #1: Category

Action level #2: Strategy

Action level #3: Activity



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**TRACS Action Classification**

Level 1 Action Category: Facilities and Areas O & M

Level 2 Action Strategy: Wildlife Management Areas

Level 3 Action Activity: Parking Lots





**NEED** Need should express why your agency is dealing with a conservation issue, problem or opportunity. It is your statutory responsibility to address the need. WSFR must ensure that the need/purpose is consistent with the eligibility criteria for grant-funded activities in the program's regulations.

What **evidence** supports the need? Is the need stated in your strategic plan? How did you identify the need? Public surveys, research data showing population declines, harvest data, license data? It would be irresponsible not to act. State the null alternative—what will happen if you don't take action. **Once you think you know the need.... ask why?**

**PURPOSE and OBJECTIVES**

State purpose and objectives based on need. Purpose states desired outcome of project in general. Objectives state desired outcome of project that are specific and quantified. Objectives tell what you hope to accomplish. Objectives are meant to be realistic targets or benchmarks that, if achieved, will resolve the need. Objectives are written in an active tense and use action verbs such as construct, survey, train, research, establish, repair, conduct, provide, acquire. Objectives should be (SMART) **S**pecific, **M**easurable, **A**chievable, **R**elevant and **T**ime bound. Not to be confused with approach. **Not warm and fuzzy. Increase, enhance, improve are not quantifiable.**

**APPROACH**

The approach describes the specific conservation actions or efforts necessary to accomplish project objectives. The approach answers the question "how" the objectives will be accomplished by describing the actual work that will be done. This information must demonstrate that the agency will use sound design, appropriate procedures, and accepted fish and wildlife conservation, management, or research principles. Name key project staff. Include essential equipment purchase and specific management actions that will be taken that require compliance with NEPA, Sec 7 and NHPA. WSFR encourages using the Wildlife TRACS Action Level spreadsheet (handout # 3-5).

## Required Elements of a Project Statement

### Need

- Explain why the project is necessary and how it fulfills the purposes of the relevant Act
- Identify the conservation issue, problem or opportunity the project will address
- Evidence of the need (Wildlife Action Plan, surveys)
- Articulate the null alternative...the negative result of taking no action
- When you think you have identified the need (ie...build a boat ramp)...then ask why you need to build a boat ramp.

### Purpose and Objectives

- Base purpose and objectives on the need
- Purpose states desired outcome in general
- Objectives state desired outcome that are specific and quantified
- What benchmarks must be achieved to meet the need?
- Objectives are written in an active tense and use action verbs such as construct, survey, train, research, establish, repair, conduct, provide, restore, acquire.
- Objectives should be (SMART) **S**pecific, **M**easurable, **A**chievable, **R**elevant and **T**ime bound

### Approach

- The approach describes the specific conservation actions or efforts necessary to accomplish project objectives. The approach answers the question “how” the objectives will be accomplished by describing the actual work that will be done. This information must demonstrate that the agency will use accepted fish and wildlife conservation, management, or research principles
- Name key project staff
- Include essential equipment purchase information
- Include specific management actions that will be taken that require compliance with NEPA, Sec 7 and NHPA
- WSFR encourages using the Wildlife TRACS Action Level classification system (handout # 3-5).

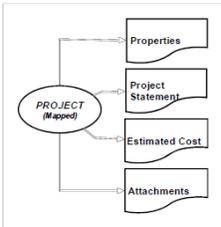
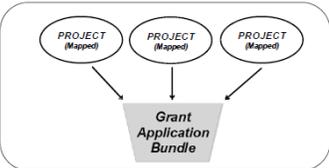
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<p><b>EXPECTED RESULTS / BENEFITS</b></p> <p>▫ If successful at resolving the need, what will be the benefit to the:</p> <ul style="list-style-type: none"> <li>▪ Resource?</li> <li>▪ User?</li> <li>▪ Economy?</li> <li>▪ Society?</li> </ul>	<p><b>EXPECTED RESULTS/ BENEFITS</b></p> <p>What are going to the benefits? Users, Species, Agency, General Public                  Expected results from solving the need. Outcome to people using the resource. Spells out the benefits you expect from addressing the need. How will the work benefit a variety of individual interests (stakeholders). Consider the outcome requirements or overall success attributed to the project by accomplishing the objectives. How will it be measured? Increased use, economic, access, recreational opportunity?</p> <p><b>Costs by Project and Subaccount</b></p> <ul style="list-style-type: none"> <li>-Appraised value, if for land acquisition</li> <li>--Costs for other services associated with the project</li> <li>-List and describe the type and amount of pre-agreement costs, if applicable.</li> <li>-List and describe all funding sources including Federal, State and private amounts and the type of <b>match</b> including cash, bargain sale and in-kind services.</li> <li>-Cost at WSFR grant subaccount level and project level</li> </ul> <p><b>TRACS Generated Project Statement</b></p> <p>Populate data fields for Project Statement Form</p> <p>Project statements can be bundled into a PDF for submission with Grant Application Packet using current Regional process</p> <ul style="list-style-type: none"> <li>• See handout # 3-7</li> </ul>
<p><b>BUDGET NARRATIVE</b></p> <ul style="list-style-type: none"> <li>&gt; Provide costs by project and subaccount sufficient to show that the project is cost effective.</li> <li>&gt; Cost effectiveness can be evaluated by comparing total project cost with the expected results and benefits for the project</li> </ul>	
<p><b>TRACS Structure</b></p> <p>TRACS requires front end loading of projects...the pre-award/application phase</p> <p>Project creation in TRACS is a two step process:</p> <ol style="list-style-type: none"> <li>1. Geo-Spatial mapping</li> <li>2. Enter Information</li> </ol> 	
<p><b>Create a Project</b></p> <p>Enter Information</p> 	
<p><b>Project Bundling</b></p>  <p>Projects can be "bundled" (PDF) for submission to WSFR for review/approval under one grant</p>	

## Required Elements of a Project Statement (cont'd)

### Expected Results/Benefits

- Specify the benefits of completing the project and resolving the need for a variety of individual interests.
- Benefit to resource, users, economy, society

### Costs by Project and Subaccount

- Appraised value of land if project is for a land acquisition
- Costs for services associated with the project
- List and describe the type and amount of pre-agreement costs, if applicable
- List and describe all funding sources including Federal, State and private amounts and the type of **match** including cash, bargain sale and in-kind services
- Cost at WSFR grant subaccount level and project level

### TRACS Generated Project Statement

- Populate data fields for Project Statement Form
- Project statements can be bundled into a PDF for submission with Grant Application Packet using current Regional process
- See handout # 3-7

	Project Statement Requirements
522 FW 1.3	Federal Aid Program Guidance
520 FW 6	Real Property – Grant Application
50 CFR Part 80.82	Administrative Requirements Federal Aid in Fish and Federal Aid in Wildlife Restoration
Notice of Availability	RFP/Policy / Program Guidance for grant program

<p><b>Writing Competitive Project Statements</b></p> <ul style="list-style-type: none"><li>◆ Guidance / Dates</li><li>◆ Required elements</li><li>◆ Ranking criteria</li><li>◆ Maximize matching</li><li>◆ Be concise</li><li>◆ Submit complete package</li><li>◆ Communicate with RO</li></ul> 	<p>Keep in mind, Project Statements should be clear and concise!</p> <p>You don't want to just throw everything into the project statement. More is not necessarily better, only if it is pertinent to the project. Competitive grants have different ranking criteria depending on the grant program.</p> <p>It is important to review the specific program guidance, understand the ranking criteria and write a clear and concise project statement / narrative addressing the criteria.</p> <p>WSFR staff review competitive programs using the same criteria in addition to the specific ranking criteria and special requirements in competitive grant program.</p> <p>Address Criteria</p> <p>Identify critical dates in the process</p> <p>Understand how ranking criteria effects your score</p> <p>Maximize non-Federal share</p> <p>Include partners</p> <p><b>Be sure package is complete. You may not have time to submit additional information.</b></p>
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## Writing Competitive Project Statements/Narratives

- Follow guidance carefully and be aware of critical dates
- Make it visually easy to read and to find required elements of a project statement
- Address ranking criteria and understand how your application will be evaluated against the criteria
- Maximize federal share by including partners and/or in-kind match
- Be concise but complete. Limit number of pages; include appendices and attachments only as necessary
- Professionally written – grammar, spelling, sentence structure and avoid using jargon unless useful and necessary
- Number the pages, use standard fonts and font sizes, omit fancy binders and tabs
- Indicate if partial funding is acceptable (usually for competitive grants)
- Submit a complete grant package
- Communicate with the Regional Office Grant Specialist prior to and during grant application process

Notes:

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<p>Preparing A Project Statement</p> <hr/> <p>Reference: Handouts: 3-1, 3-2, 3-3, 3-4, 3-5, 3-6</p>  <p>30</p>	<p>Exercise: Prepare a Project Statement</p> <p>Assign teams and provide the scenario of a conservation issue/ opportunity. Provide each team with a project statement template to complete that will address the issue/opportunity. Give teams one hour (more or less) to complete the project statement.</p> <p>After each team has completed their project statement they will exchange it with another team to determine if they are substantial in character and design.</p> <p>Each review team will provide a brief description of the project they reviewed and their determination and why.</p>
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**Exercise: Prepare a Project Statement that is Substantial in Character and Design**

Instructions: Reference materials (handouts 3-1, 3-2, 3-3, 3-4, 3-5, 3-6)

Work in assigned teams

Review the scenario in handout 3-2

Use the project statement guidelines in handout 3-1 to help draft a project statement for a WSFR project that will address the scenario in 3-2.

Use the project statement template (handout 3-3) to prepare your project statement. You have 1 hour (more or less) to complete this task.

Each team should select someone to serve as timekeeper/facilitator and another person to serve as official recorder.

After one hour (more or less) you must submit your project statement to another team.

Each team will review the project statement submitted to them and determine if it is substantial in character and design. Use handout 3-4 to record the results of your review.

Each team will select a spokesperson to provide a brief oral report on the results of your review.

	Debrief exercise
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## Learning Points

- ✓ The required elements of a project statement are need, objectives, expected benefits/results, approach, location, and cost
- ✓ Need must be a need relevant to the Act
- ✓ Objectives must be based on need
- ✓ Objectives must be SMART (verifiable and measurable)
- ✓ The approach describes the actions to be taken to accomplish the objective(s)
- ✓ Approach must include adequate information for WSFR Regional Office to document and make determinations for NEPA and Section 7
- ✓ Approach should include key personnel
- ✓ Project must use accepted conservation and management principles and appropriate procedures
- ✓ Benefits must be commensurate with project costs
- ✓ Different types of projects or grants may have different requirements in order to be “substantial in character and design”
- ✓ Understand and address ranking criteria when writing project statements or narratives for competitive grant programs

## **Best Management Practices for Writing a Project Statement that is Substantial in Character and Design**

**For a project to be substantial in character and design it must; 1) address a conservation need relevant to the authorized funding program; 2) have measurable objectives that establish benchmarks that will resolve the need for the project if achieved; 3) specify the sound management actions, tasks or efforts to be undertaken to achieve the objectives and; 4) demonstrate cost effectiveness. It is all about connecting the dots or following a logical process from establishing the need for the project down to describing the work to be done in a sound, cost effective manner.**

### **Need**

A need statement will identify the conservation issue, problem or opportunity to be addressed. The need will identify a lack of something such as habitat or an opportunity to provide something such as access to wildlife dependent recreation. The need may in the form of some pending threat to the resource. The need must be relevant to the purpose of the Act or enabling legislation that authorized the program.

A need statement will answer why your agency should deal with this issue or opportunity (your statutory authority)?

A need statement will provide evidence such as results from surveys, research or other data to demonstrate that the need is real and not perceived.

A need statement will articulate the null alternative (the negative result of taking no action).

WSFR encourages using the **Wildlife TRACS Needs/Threats spreadsheet (handout # 3-5)** to assist with identifying needs or threats.

### **Objectives**

Objectives are meant to be realistic targets or benchmarks that, if achieved, will resolve the project Need. Objectives are written in an active tense and use action verbs such as construct, survey, train, research, establish, repair, conduct, provide, acquire.

**SMART Objectives are:**

**3-1**

**Specific**-Specify exactly what the desired outcome, result, output or deliverable will be. Say what you are going to do by using action verbs. A smart objective will describe a result in terms of who or what?

**Measurable**- You need to be able to track progress and measure the outcome using quantitative or qualitative assessments. A smart objective will answer how much or how many?

**Achievable**-All the necessary resources (money, time, equipment, and labor) should be available to accomplish the objective. A smart objective will consider capabilities.

**Relevant**- How does the objective directly relate to the stated need? A smart objective will demonstrate that if it is accomplished the need will be resolved.

**Time bound**- Establish a deadline. A smart objective will include a time limit and answer "by when "will the result will be achieved?

**Objective Template**

(Action verb?)\_\_\_\_\_ (how many?) \_\_\_\_\_ (who or what?) \_\_\_\_\_ (by when?)\_\_\_\_\_.

Filling in the blanks:

(Action verb?) : Certify

(How many?) 150

(Who or what?): Volunteer hunter education instructors

(By when?): June 30, 2014.

Putting it all together:

***Certify 150 volunteer hunter education instructors by June 30, 2014.***

Objective Examples:

**3-1**

Not SMART: Conduct as many boating safety education courses as possible as soon as possible.

SMART: Conduct at least 30 boating safety education courses for persons needing boating safety certification by June 30, 2014.

Not SMART: Plant trees in riparian corridors to reduce stream bank erosion as much as possible this year.

SMART: Conduct tree plantings on 3-5 miles of the Sleepy Creek riparian corridor to reduce stream bank erosion by 20% from the previous 10 year period by June 30, 2014.

Not SMART: Increase grassland habitat in the state this year.

SMART: Plant warm season grasses on 1200-1500 acres of Sleepy Creek and Widmeyer Wildlife Management Areas to increase grassland habitat in the state by 3% by June 30, 2014.

## Approach

The approach describes the specific conservation actions or efforts necessary to accomplish project objectives. The approach answers the question “how” the objectives will be accomplished by describing the actual work that will be done. This information must demonstrate that the agency will use sound design, appropriate procedures, and accepted fish and wildlife conservation, management, or research principles. Include the name of the Principal Investigator for research projects and other key project staff. Include essential equipment purchases and specific management actions that will be taken that require compliance with NEPA, Sec 7 and NHPA. WSFR encourages using the **Wildlife TRACS Action Level spreadsheet (handout # 3-6)** to classify each action.

Example:

Action #1.

- Level 1 Action Category: Direct Management of Natural Resources
- Level 2 Action Strategy: Fish and Wildlife Habitat Structures
- Level 3 Action Activity (optional unless education or boat access project): Nesting habitat improvements

Provide a narrative description of each action after completing the three level classifications.

## Expected Results and Benefits

The expected benefits and results will specify the benefits of completing the project and resolving the need for a variety of individual interests. The expected benefits will answer the question....If successful at resolving the need, what will be the benefit to the:

Resource? \_\_\_\_\_

User? \_\_\_\_\_

Economy? \_\_\_\_\_

Society? \_\_\_\_\_

### **Costs by Project and Subaccount**

Provide costs by project and subaccount with additional information sufficient to show that the project is cost effective. Cost effectiveness can be evaluated by comparing total project cost with the expected results and benefits for the project. Describe any item that requires the Service's approval and estimate its cost. Examples are pre-award costs and capital expenditures for land, buildings, and equipment. Include a schedule of payments to finish the project if an agency proposes to use funds from two or more annual apportionments.

## Project Writing Scenario

3-2

The U.S. island state of Retreat is the second largest of all U.S. islands at 3200 square miles. The state capital city of Haven is the only major urban area on the island. The length of the shoreline is 1498 miles.

Many island businesses depend on tourism. Agriculture is the leading industry on the island. Farming for sugarcane, coffee, fruit and vegetables contributes significantly to the island culture.

The year round resident population of the island is 750,000. Seasonal tourism increases the population by 500,000 annually. Census figures reveal a resident population increase of 12% since 1990. The median resident age of Retreat is 37.5 years. 28% of the island population is less than 25 years of age.

Over the last two decades travel and tourism has dramatically increased on the island as the world has come to learn of the limitless opportunities that exist for outdoor recreation in Retreat. Hunting, fishing, and recreational shooting account for more than 20% of the recreational activities of visiting tourists. Non-consumptive wildlife dependent recreation accounts for an additional 22% of tourist activity.

With the rapid increase of non-native residents and tourists to the island-- hunting participation has increased. State fish and game department records show 9% of Retreat residents purchased an annual hunting license in 2012.

As hunting participation has increased, hunting incidents have escalated at alarming rates. In 2012, local law enforcement officials reported 42 hunter incidents, six of which were fatalities. Eleven of the incidents were self-inflicted. Hunter safety certification has never been mandatory to purchase a hunting license in the state of Retreat until recent action by the state legislature.

<b>2012 % incidents committed by:</b>
Non-resident <b>61%</b>
Residents <b>39%</b>
Less than 25 years age <b>18%</b>
26-45 years age <b>44%</b>
46-65 years age <b>28%</b>
66 years and up <b>10%</b>

<b>Species pursued when incident occurred in 2012</b>
Deer <b>24</b>
Turkey <b>8</b>
Feral pigs <b>8</b>
Other <b>2</b>

<b>Equipment used (2012)</b>
Rifle <b>30</b>
Shotgun (shell) <b>8</b>
Shotgun (slug) <b>3</b>
Bow <b>1</b>

<b># of incidents caused by: (2012)</b>
Unsafe gun handling: <b>22</b>
Failure to properly identify target and what lies beyond: <b>12</b>
Failure to establish safe shooting zone: <b>8</b>

This year the Retreat state legislature passed a bill requiring the Fish and Game Department to implement a hunter safety certification requirement for hunters to be eligible to purchase a hunting license regardless of age or prior experience. In response to this situation the Fish and Game Department Director has issued a directive to his staff to develop and implement a mandatory hunter education program by December 31, 2013 that will:

- Reduce the number of hunting and shooting related injuries and fatalities to a level below the national average of 6.1 incidents / 100,000 participants within 5 years.
- Sustain or increase hunting participation rates
- Be readily available for tourists or others needing a course on demand
- Serve as a recruitment tool for youth and first time hunters
- Use volunteers as instructors to minimize the match the State must provide from direct expenditures
- Include outreach and communication with interested stakeholder groups as a core element of the program.

### **Additional Information**

- Retreat's Hunter Education (WSFR) apportionment for the current year is \$450,000 with another \$400,000 available from last year's apportionment.
- A Hunter Education Coordinator is currently the only staff person working full-time on Hunter education. Each of the 3 regional offices provide limited staff time to assist in the program.

### **Exercise**

Review the project statement guidelines (handout 3-1) and use the project statement template (handout 3-3) to write a project statement for a WSFR grant to address the hunter education initiative proposed by the new Fish and Game Department Director for the State of Retreat. Your project statement will be reviewed by another team to determine if it is substantial in character and design.

### **Helpful Hints:**

- Each team should select a member to serve as facilitator/timekeeper
- Each team should select a member to record the official team project statement
- Each team should select a member to be the spokesperson to share the results of your review of another teams project statement

**Need:**

What is the conservation issue, problem or opportunity? Why is your agency doing this? Reference any supporting evidence. What is the Null Alternative? When you think you have identified the need (build a boat ramp)... ground truth it by asking why you need to build it?

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**Objectives:**

1. (Action verb?) \_\_\_\_\_ (how many?) \_\_\_\_\_  
(who or what?) \_\_\_\_\_ (by when?) \_\_\_\_\_

2. (Action verb?) \_\_\_\_\_ (how many?) \_\_\_\_\_  
(who or what?) \_\_\_\_\_ (by when?) \_\_\_\_\_

**Approach:**

Describe the specific conservation actions or efforts necessary to accomplish project objectives. Include specific management actions that will be taken that require compliance with NEPA, Sec 7 and NHPA

Action #1 (which project objective does this address?) # \_\_\_\_\_

- Level 1 Action Category: \_\_\_\_\_
- Level 2 Action Strategy: \_\_\_\_\_
- Level 3 Action Activity: \_\_\_\_\_

Provide a brief narrative description of the action \_\_\_\_\_  
\_\_\_\_\_

**Project Writing Exercise**

Action #2 (which project objective does this address?) # \_\_\_\_\_

3-3

- Level 1 Action Category: \_\_\_\_\_
- Level 2 Action Strategy: \_\_\_\_\_
- Level 3 Action Activity: \_\_\_\_\_

Provide a brief narrative description of the action \_\_\_\_\_

\_\_\_\_\_

Name principal investigator if a research project \_\_\_\_\_

Include essential equipment purchases information \_\_\_\_\_

\_\_\_\_\_

### **Expected Results and Benefits**

List the benefit to the:

Resource \_\_\_\_\_

User \_\_\_\_\_

Economy \_\_\_\_\_

Society \_\_\_\_\_

### **Budget Narrative:**

List costs by Project and Subaccount. List and describe all funding sources including Federal, State and private amounts and the type of match including cash, bargain sale and in-kind services.

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

## Project Statement Peer Review

3-4

**Exercise:** Review the project statement provided. Check the box if each element meets criteria of 50 CFR 80.56. Prepare comments on this sheet to record the strengths, weaknesses and suggested improvements for the elements of the project statement listed below. Determine if the project meets criteria for Substantiality in Character and Design.

**Need:** (Relevant to the act, provides supporting evidence and a null alternative?)

Strengths:

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Weaknesses:

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Suggestions:

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**Objectives:** (Specific, Measurable, Achievable, Relevant, Time bound? If accomplished, likely need will be met, problem solved or opportunity realized?)

Strengths:

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Weaknesses:

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Suggestions:

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**Approach:** (Describes the specific conservation actions or efforts necessary to accomplish project objectives? Uses sound science or accepted management principles of fish and wildlife conservation?)

Strengths:

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Weaknesses:

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Suggestions:

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**Expected Results and Benefits:** (Demonstrates realistic benefits to the resource, user, economy and society? A worthy investment considering cost?)

Strengths:

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Weaknesses:

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Suggestions:

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**Budget Narrative: Cost by project and subaccount:** (Cost effective when considering expected results?)

Strengths:

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Weaknesses:

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Suggestions:

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**Project meets criteria for substantiality in character and design as written?**

Yes \_\_\_\_\_ No \_\_\_\_\_ Yes, with revisions \_\_\_\_\_ (please state necessary revisions)

TRACS Needs/Threats Spreadsheet **handout 3-5**

V 10/30/13

Level 1	Level 2	Level 3	Description/Examples/Notes	
Resource Threats			Need to respond to threats to fish and wildlife species and their habitats	
	Fish and wildlife habitat loss or degradation			Threats of development and degradation of fish and wildlife habitats from human settlements or other non-energy or non-agricultural land uses
		Residential development		Human cities, towns and settlements including non-housing development typically integrated with housing
		Non-energy commercial development and operations		Industrial and other non-energy commercial development and operations
		Tourism and recreation activities		Pressures from tourism and recreational activities (e.g., recreation areas, off-road vehicles, spelunking)
	Agriculture and aquaculture side effects			Threats from farming and ranching as a result of agricultural expansion and intensification, including silviculture, mariculture and aquaculture
		Silviculture, logging and wood harvesting		Growing and harvesting trees and other woody vegetation for timber, fiber or fuel
		Annual and perennial non-timber crops		Crops planted for food, fodder, fiber, fuel or other uses
		Livestock farming and ranching		Domestic terrestrial animals raised in one location on farmed or non-local resources (farming); also domestic or semi-domesticated animals allowed to roam in the wild and supported by natural habitats (ranching)
		Marine and freshwater aquaculture		Aquatic animals raised in one location on farmed or non-local resources; also hatchery fish allowed to roam in the wild
	Energy development and distribution			Threats from exploring for, developing, producing and distributing energy resources
		Oil drilling		Drilling and distribution of petroleum and other liquid hydrocarbons
		Natural gas extraction		Hydrofracturing and other natural gas extraction and distribution processes
		Mining and quarrying		Removal and distribution of minerals and rocks, limited to energy production
		Wind power		Generating and distributing power from the wind
		Solar power		Generating and distributing power from the sun
		Hydropower		Generating and distributing power from moving water

Level 1	Level 2	Level 3	Description/Examples/Notes	
	Overharvesting of biological resources		Threats from overharvesting biological resources for commercial, recreation, subsistence, research or cultural purposes; including both deliberate and unintentional harvesting beyond sustainable levels	
		Hunting and collecting terrestrial animals	Overharvesting terrestrial wild animals or animal products; includes accidental mortality/bycatch	
		Gathering terrestrial plants	Overharvesting plants, fungi, and other non-timber/non-animal products	
		Fishing and harvesting aquatic resources	Overharvesting aquatic wild animals or plants; includes accidental mortality/ by catch	
	Invasive and other problematic species and genes			Threats from non-native and native plants, animals, pathogens/microbes, or genetic materials that have or are predicted to have harmful effects on biodiversity following their introduction, spread and/or increase in abundance
		Invasive non-native/alien species		Harmful plants, animals, pathogens and other microbes not originally found within the ecosystem(s) in question and directly or indirectly introduced and spread into it by human activities
		Problematic native species		Harmful plants, animals, or pathogens and other microbes that are originally found within the ecosystem(s) in question, but have become out-of-balance or released directly or indirectly due to human activities
		Introduced genetic material		Human altered or transported organisms or genes
	Climate change and severe weather			Threats from long-term climatic changes or other severe weather/geological events that or potentially could eliminate a vulnerable species or habitat
		Habitat shifting and alteration		Major changes in habitat composition and location
		Droughts		Periods in which rainfall falls below the normal range of variation
		Temperature extremes		Periods in which temperatures exceed or go below the normal range of variation
		Storms and flooding		Extreme precipitation and/or wind events
		Catostrophic geological events		Threats from catastrophic geological events like volcanoes, earthquakes, tsunamis, avalanches or landslides
	Resource Management Needs			Need for information on fish and wildlife resources for management decision-making
Resource information collection needs			Need to collect information on fish and wildlife resources	
		Need for initial baseline inventory		
		Need to update existing information	e.g., annual survey, periodic stock assessment	

Level 1	Level 2	Level 3	Description/Examples/Notes
		Need to answer research question	
		Need to develop new technique	
	Management decision needs		Need to use fish and wildlife information for management
		Need to provide technical assistance	
		Need to conduct environmental reviews	
		Need for fish, wildlife and/or habitat planning	
Recreation Needs			Need to provide for the public use and benefit from fish and wildlife resources
	Training needs		Need to provide and/or enhance training and safety/ethics for outdoor recreation
		Need for more and/or improved training in outdoor recreational methods	
		Need to improve safety/ethics in outdoor recreation	
	Public access needs		Need to provide and/or enhance public access for recreational opportunities
		Need for more public access to areas or facilities for outdoor recreation	
		Need to maintain or improve quality of areas or facilities for outdoor recreation	
	Utilization needs		Need to manage the utilization of outdoor recreational resources
		Need more information on how fish and wildlife resources are utilized	
		Need more information on how outdoor recreation areas and facilities are utilized	
		Need to provide information on locations of fish and wildlife resources and public access areas and facilities	
		Need to maintain or increase recruitment and/or retention of outdoor recreationalists	
		Need to maintain or increase supply of fish to support fishing	
Education/ Outreach Needs			Need to develop an informed citizenry on fish and wildlife issues
	Education needs		Need to increase knowledge or understanding and encourage practices in support of fish and wildlife conservation
		Need for improved knowledge of fish and wildlife and their habitats	
		Need to provide aquatic resources and wildlife education facilities	

Level 1	Level 2	Level 3	Description/Examples/Notes
	Outreach needs	Need for improved knowledge of WSFR grant programs and their accomplishments	
			Need to communicate information to encourage understanding of and involvement by, or enable various publics to make informed decisions
		Need to develop and/or maintain a broad base of support for agency goals and objectives	
		Need to maintain and/or increase constituent base	
Administrative Needs	Infrastructure needs		Need to provide the tools for a fish and wildlife agency to support its agency functions
			Need to maintain or improve fish and wildlife agency infrastructure
		Need to maintain or improve fish and wildlife agency administrative facilities	
		Need to maintain or improve information management systems	
	Organizational/program planning needs		Need to conduct fish and wildlife agency organizational and program planning
		Need for agency organizational planning to meet goals and objectives	
		Need for WSFR program/subprogram planning to meet goals and objectives	
	Coordination/administration needs		Need for fish and wildlife agency administrative support and program coordination
		Need for agency administrative support for effective operations	
		Need for coordination for effective program/project management	

Wildlife TRACS Action Levels w Indicators **handout 3-6**

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and 3 Output Measures	Description/Examples/Notes	
Project Categories	Category	Strategy	Activity			
Administration and/or Conservation / Management and/or Recreation	Coordination and Administration	Coordination and Administration		None	Coordination and administration necessary for effective agency operations and program/project management	
			Agency administrative support	None	Administration necessary for effective agency operations (e.g., acquisition of goods and services, human resources tasks)	
			Program/project administrative support	None	Administration necessary for effective program/project management (e.g., staff support and training, monitoring progress of grant proposal and reporting processes)	
		Incentives	Incentives	None	Development and delivery of economic incentives to private landowners to influence responsible stewardship of land/water and specific species	
	Direct Management of Natural Resources					
		Create new habitat or natural processes			Acres	Creation of new habitat or natural processes for the benefit of fish and wildlife and recreational users
			Habitat conversion		Acres	Conversion of one type of habitat into another (e.g., creating bottomland forest from agricultural land, wetland creation) Note: Forest and wetland would be the appropriate broad habitat types to code for these two examples
			Public fishing lake construction		Acres	Construction of new public fishing lakes
			Waterfowl impoundment creation		Acres	Creation of shallow water impoundments for the primary benefit of waterfowl
		Dam and barrier removal			Structures	Removal of barriers to maintain aquatic species populations and restore ecological functions in streams (e.g., dam or dike removal, notching of dams)
			Culvert work		Structures	Replacement or repair of road culverts (e.g., installing larger culvert, eliminating perching)

Wildlife TRACS Action Levels w Indicators **handout 3-6**

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and 3 Output Measures	Description/Examples/Notes		
			Dam notching	Structures	Removal of portions of dams for increased flow		
			Dam removal	Structures	Removal of entire dams		
			Road crossing removal	Structures	Removal of in-stream road crossings		
			Obstruction removal	Structures	Removal of other obstructions (e.g., beaver dams)		
		Fire management		Acres		Use of fire to benefit fish and wildlife and their habitats	
			Firebreak	Acres		Creation or maintenance of a strip of cleared or plowed land used to stop the spread of a fire	
			Fuel reduction	Acres		Application of treatments to reduce the risk of high-severity wildfires and to manage changes in the ecological functions of forests (e.g., mechanical thinning)	
			Prescribed burning	Acres		Application of fire in a knowledgeable manner to forest fuels on a specific land under selected weather conditions to accomplish predetermined, well-defined management objectives (e.g., burning an established native grass community to reduce or eliminate invading brush or exotic species)	
		Fish and wildlife habitat structures				Structures	Installation of structures to benefit fish and wildlife and their habitats
			Artificial reef development			Structures	Development of artificial reefs in freshwater or marine environments for aquatic species spawning, foraging and refugia
			Hibernacula			Structures	Creation or improvement of overwintering sites
			Nesting habitat improvements			Structures	Installation of nesting structures (e.g., wood duck boxes, osprey platforms)
			Wildlife escape structures			Structures	Installation of structures that allow wildlife to escape from man-made devices placed in the environment (e.g., ramps that allow sage grouse to escape from livestock watering troughs)
		Grazing/farm management				Acres	Improvements to agricultural practices to benefit fish and wildlife and their habitats
			Alley cropping/silvopasture			Acres	Methods of planting in which perennial, preferably leguminous trees or shrubs, are grown simultaneously with an arable crop.
			Farming residue management			Acres	Use of vegetative crop material left on a field after harvesting, pruning or processing to benefit wildlife and soil quality

Wildlife TRACS Action Levels w Indicators **handout 3-6**

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and 3 Output Measures	Description/Examples/Notes		
			Forage use management	Acres	Management of timing and duration of grazing to maintain adequate cover for range health and nesting success (e.g., establishment of rotational grazing system to improve grassland nesting bird habitat)		
			Livestock heavy use area establishment	Acres	Provision of stable, non-eroding surfaces for areas intensively used by livestock to protect and improve water quality		
			Livestock stream crossing	Acres	Installation of structures that allow livestock to cross a stream in a safe and environmentally sound manner (e.g., fords, culverts, bridges)		
			Nutrient or runoff management system	Acres	Application of techniques to minimize nutrient runoff from agricultural operations		
			Riparian fence installation	Acres	Installation of fences along riparian areas to keep out livestock		
			Waste storage/treatment	Acres	Management of on-farm generated wastes in an environmentally responsible manner (e.g., liquid retention and storage ponds, anaerobic waste treatment lagoons)		
		Hazard or infrastructure removal				Acres	Removal of hazards or infrastructure to benefit fish and wildlife and their habitats
			Building removal			Acres	Removal of buildings to improve habitat for wildlife
			Degraded land reconstruction			Acres	Reconstruction of degraded land to benefit wildlife (e.g., abandoned mine area recovery, deleveling)
			Derelict gear (net/pot) removal			Acres	Removal of derelict fishing gear from waters to prevent continued capture of aquatic species (e.g., fishing nets, fish/crab pots)
			Pavement removal			Acres	Removal of pavement to improve habitat for wildlife (e.g., roads, airplane runways)
			Pier/dock removal			Acres	Removal of piers or docks to improve aquatic habitats
			Shoreline armoring removal			Acres	Removal of shoreline armoring to improve aquatic habitats (e.g., jetties, riprap)
		Solid waste removal			Acres	Removal of solid waste to improve habitat for wildlife (e.g., derelict vehicles, rubbish)	
		Instream modification				Miles	Stream improvements to benefit fish and wildlife and their habitats
			Channel reconfiguration			Miles	Restoration of natural stream channel (e.g., returning meanders and sustainable profiles to straightened streams, sandbar improvement)

Wildlife TRACS Action Levels w Indicators **handout 3-6**

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and 3 Output Measures	Description/Examples/Notes		
			Channel structure placement	Miles	Placement of structures within streams to restore natural characteristics (e.g., cross vanes, boulders)		
			Nutrient improvement	Miles	Application of nutrients to improve water quality of fish and wildlife (e.g., liming of streams, carcass placement)		
			Spawning by-pass channels	Miles	Construction of side channel fish spawning and rearing habitat		
			Spawning gravel placement	Miles	Addition of gravel to streams to improve spawning areas		
			Streambank stabilization	Miles	Stabilization of streambanks (e.g., bank armoring, bank bioengineering)		
		Invasive species control				Acres	Control of invasive animal and plant species to maintain native species populations and restore ecological functions
			Animal - biological			Acres	Control of invasive animal species by biological means (e.g., introducing predators to control invasive animal species)
			Animal - chemical			Acres	Control of invasive animal species by chemical means (e.g., piscicide treatment of sea lamprey in inland waters)
			Animal - mechanical			Acres	Control of invasive animal species by mechanical means (e.g., constructing a barrier in a stream to prevent entry of invasive fish species)
			Plant - biological			Acres	Control of invasive plant species by biological means (e.g., using beetles to control purple loosestrife)
			Plant - chemical			Acres	Control of invasive plant species by chemical means (e.g., herbicide treatment of invasive plant species)
			Plant- mechanical			Acres	Control of invasive plant species by mechanical means (e.g., hand pulling of invasive plant species)
		Living shorelines				Acres	Physical manipulation in shoreline areas to maintain fish and wildlife habitats and/or restore ecological functions
			Beach renourishment			Acres	Placement of sand onto beaches and employing other techniques for their renourishment
			Erosion control structures			Acres	Installation of hard structures (e.g., seawall bulkhead) or living structures (e.g., greenwall systems) to control erosion
			Sand dune restoration			Acres	Application of techniques to restore sand dunes (e.g., fencing off sea-grass areas)
		Planting/seeding				Acres	Planting or seeding to maintain fish and wildlife habitats and/or restore ecological functions
			Coral			Acres	Application of techniques to reestablish coral reefs
			Field border/hedgerow			Acres	Maintenance or establishment of edge between two vegetation types

Wildlife TRACS Action Levels w Indicators **handout 3-6**

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and 3 Output Measures	Description/Examples/Notes
			Food plots	Acres	Planting crops specifically as food for wildlife
			Herbaceous vegetation	Acres	Planting/seeding of grasslands
			Mulching	Acres	Application of organic materials to enrichment and protect soil
			Plant propagation/nursery	Acres	Use of nurseries to raise plants for habitat improvement
			Submerged aquatic vegetation	Acres	Restoration of vegetation that lives at or below the water surface
			Trees/shrubs	Acres	Planting trees or shrubs
			Vegetation buffer	Acres	Maintenance or establishment of strips of land with permanent vegetation to intercept stormwater runoff and minimize soil erosion
			Woody debris	Acres	Placement of limbs, bush, trees and stumps to improve habitat
		Vegetation management		Acres	Physical manipulation of vegetation to maintain fish and wildlife habitats and/or restore ecological functions
			Chaining	Acres	Dragging heavy chains to remove unwanted vegetation
			Clearing and snagging	Acres	Use of varied techniques to clear vegetation (e.g., brush shearing to set back early successional plant communities)
			Dixie harrow/Lawson aerator	Acres	Removal of vegetation and treating soil by pulling devices behind a tractor (e.g., removing sagebrush for improved herbaceous cover for sage grouse)
			Forest stand improvement	Acres	Removal of trees to improve forest habitat for wildlife (e.g., forest management that promotes a particular serial stage)
			Mowing	Acres	Cutting down grass or grain to maintain habitat for wildlife
			Plowing/Discing	Acres	Plowing or other mechanical means of disturbing existing vegetation and exposing soil
		Water management		Number	Management of water to benefit fish and wildlife and their habitats
			Ditch plugs	Number	Installation of earthen plugs into drainage ditches to restore wetlands
			Diversion/headgate	Number	Installation or maintenance of structures to divert water
			Drainage	Number	Removal of tile drains or drainage ditches to restore wetland hydrology
			Public fishing lake enhancement	Number	Enhancements made to public fishing lakes (e.g., installation of aerators)
			Spring development	Number	Application of techniques to improve the flow, quantity and yield of water from a natural spring

Wildlife TRACS Action Levels w Indicators **handout 3-6**

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and 3 Output Measures	Description/Examples/Notes
			Tide gate	Number	Installation or maintenance of structures to increase the hydro-period and water depth of a wetland
			Waterfowl impoundment maintenance	Number	Maintenance of impoundments for waterfowl habitat (e.g., renovation of impoundment dikes)
			Water control structure	Number	Installation or maintenance of structures to simulate natural hydrological processes
			Watering facilities	Number	Installation or maintenance of structures to collect and store water for the benefit of wildlife (e.g., water holes, guzzlers, wells)
		Wildlife damage management		Interventions	Assessment and management of damage from nuisance native fish and wildlife. Includes control of predators by biological, chemical or mechanical means to maintain populations of species at risk and restore ecological functions (e.g., gull or cormorant control, nest exclusion devices, cave gating) Note: Limited eligibility for funding through WSFR grant programs
		Wildlife disease management		Interventions	Assessment and management of wildlife disease situations. Includes control or treatment of diseased animals to maintain populations of species at risk and restore ecological functions (e.g., chronic wasting disease, brucellosis, tuberculosis, plague management activities)
	Data Collection and Analysis				
		Database development and management		Databases	Information technology development and maintenance to support project objectives (e.g., statewide database development) Note: This is different from other Data Collection and Analysis activities in that it refers to the hardware, software, and supporting infrastructure that support multiple data collection efforts
		Database development		Databases	Information technology development to support project objectives (e.g., statewide database development) Note: This is different from other Data Collection and Analysis activities in that it refers to the hardware, software, and supporting infrastructure that support multiple data collection efforts

Wildlife TRACS Action Levels w Indicators **handout 3-6**

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and 3 Output Measures	Description/Examples/Notes
			Information systems operations and maintenance	Databases	Information technology maintenance to support project objectives (e.g., GIS analyses) Note: This is different from other Data Collection and Analysis activities in that it refers to the hardware, software, and supporting infrastructure that support multiple data collection efforts
		Research, survey or monitoring - fish and wildlife populations		Projects	Collection and analysis of data as part of research, survey or monitoring primarily focused on fish and wildlife populations Note: includes compilation, management, synthesis, analysis and reporting of spatial and non-spatial data Note: Code work on fish and wildlife diseases to Wildlife Disease Management within Direct Management of Natural Resources
			Abundance determination	Projects	Determination of relative abundance or estimation of size of fish and wildlife populations (e.g., adult population estimate, juvenile relative abundance)
			Age, size and sex structure	Projects	Determination of age, size or sex structure of fish and wildlife populations (e.g., age and growth, length frequency, sex ratio)
			Baseline inventory	Projects	Baseline survey and inventory to understand distribution of fish and wildlife populations
			Food habits	Projects	Studies on food habits of fish and wildlife species or their utilization as prey
			Genetics	Projects	Genetics studies of fish and wildlife populations (e.g., population connectivity, hybridization)
			Movement	Projects	Studies of fish and wildlife movements (e.g., tagging, telemetry)
			Population assessment	Projects	Assessments of biological information to determine status of fish and wildlife populations (e.g., population viability analysis, fisheries stock assessment)
			Reproduction	Projects	Studies of reproduction of fish and wildlife populations (e.g., fecundity, nesting success)

Wildlife TRACS Action Levels w Indicators **handout 3-6**

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and 3 Output Measures	Description/Examples/Notes
		Research, survey or monitoring - habitat		Projects	Collection and analysis of data as part of research, survey or monitoring primarily focused on fish and wildlife habitats Note: includes compilation, management, synthesis, analysis and reporting of spatial and non-spatial data
			Baseline inventory	Projects	Baseline survey and inventory to understand distribution of fish and wildlife habitat quality and quantity (e.g., wetland mapping)
			Monitoring	Projects	On-going monitoring of fish and wildlife habitat quality and quantity (e.g., annual early successional habitat survey, artificial reef condition)
		Research, survey or monitoring - utilization		Projects	Collection and analysis of data as part of research, survey or monitoring primarily focused on utilization of fish or wildlife resources and demographics of users Note: includes compilation, management, synthesis, analysis and reporting of data
			Facility usage/inventory	Projects	Collection and analysis of data as part of research, survey or monitoring primarily focused on number and usage of facilities (e.g., survey of boat pumpout usage; inventory of fish screen devices)
			Harvest	Projects	Collection and analysis of data as part of research, survey or monitoring primarily focused on utilization of fish or wildlife resources (e.g., lake creel surveys; deer harvest statistics)

Wildlife TRACS Action Levels w Indicators **handout 3-6**

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and 3 Output Measures	Description/Examples/Notes	
			Human dimensions	Projects	Collection and analysis of data as part of research, survey or monitoring primarily focused on human dimensions (e.g., demographic surveys; resource economics analyses)	
		Techniques development		Studies	Research and development of techniques important for the conservation and management of fish and wildlife	
			Artificial propagation studies	Studies	Research on artificial propagation of fish and wildlife (e.g., nutrition studies, culture methods)	
			Educational methods research	Studies	Research on educational instruction and evaluation methods	
			Habitat restoration methods	Studies	Development or improvement of methods to restore habitats and natural processes (e.g., evaluations of water level fluctuations)	
			Fish and wildlife research, survey and management techniques	Studies	Development or improvement of research techniques or management tools (e.g., tag retention studies, sampling device improvements, testing of animal control devices)	
	Education					
		Educator/Instructor training			Instructors	Training of educators/instructors on aquatic resources, firearm safety, and archery-related activities
				Aquatic resource education (*)	Instructors	Training of new instructors and teachers in aquatic resource education who will teach others Note: This includes angler education volunteer instructors, teachers, nature center staff and camp counselors who attend ARE workshops, teachers who help the agency write curriculum, etc.
				Hunter education - firearms (*)	Instructors	Training of new and in-service volunteer instructors in hunter education who will teach others Note: Could be funded through Wildlife Restoration basic or Section 10 enhanced hunter education

Wildlife TRACS Action Levels w Indicators **handout 3-6**

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and 3 Output Measures	Description/Examples/Notes
			Cumulative number of active instructors (*)	Instructors	Number of active hunter education volunteer instructors including those just trained within a given year Note: Could be funded through Wildlife Restoration basic or Section 10 enhanced hunter education
		Student training		Students	Training of students on aquatic resource education, firearm safety, or archery-related activities Note: Could include Section 10 enhanced hunter education non-range related enhancements to the program (e.g., training supplies acquired, operations and maintenance, etc.)
			Aquatic resource education (*)	Students	Instruction of students on aquatic resources in an educational setting (contact hour of 0.5 or more) Note: This does not include people who have no personal educational interaction - reading an article, borrowing a video, walking by an exhibit booth, etc.; or people that the agency trained to help deliver the program
			Hunter education - firearms (*)	Students	Instruction of students on firearm safety in an educational setting leading to hunter education certification Note: Could be funded through Wildlife Restoration basic or Section 10 enhanced hunter education Note: Could include participation in programs intended to recruit and retain hunters that are only eligible through Section 10 enhanced hunter education
			Hunter education - Archery in the Schools (*)	Students	Instruction of students on archery-related activities specifically through the Archery in the Schools program Note: Can only be funded with Section 10 enhanced hunter education Note: Usage started with TRACS launch at start of FY 2013.
			Hunter education - other archery (*)	Students	Instruction of students on archery hunting-related activities not through the Archery in the Schools program Note: Could be funded through Wildlife Restoration basic or Section 10 enhanced hunter education Note: Pre-TRACS data could have included Archery in the Schools information.
			Wildlife education	Students	Instruction of students on wildlife species and their habitats in an educational setting Note: This activity has a limited eligibility for reimbursement through WSFR grant programs

Wildlife TRACS Action Levels w Indicators **handout 3-6**

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and 3 Output Measures	Description/Examples/Notes
	Facilities and Areas (Major Renovation)	Agency support facilities		Sites	Facilities used by agency personnel in support of programs/projects (e.g., office buildings, garages, equipment sheds)
		Aquatic resource education centers		Sites	Facilities for aquatic resource education
		Boating access facilities		Number	Facilities providing access for anglers and others using motor boats
			Launch ramps	Number	Boat ramp lanes at boat launch sites
			Docks/piers	Number	Docks/piers at boat launch sites
			Parking areas	Number	Parking areas at boat launch sites
			Parking spaces	Number	Parking spaces at boat launch sites
			Access roadways	Number	Roadways to access launch ramps
			Restrooms	Number	Restrooms at boat launch sites
			Fish cleaning stations	Number	Fish cleaning stations at boat launch sites
			Shelters	Number	Shelters at boat launch sites
		Boat pump out and dump stations		Number	Facilities for pumping sewage from boats Note: Typically funded through the Clean Vessel Act program
			Pump out stations	Number	Pump out stations
			Dump stations	Number	Dump stations
			Floating restrooms	Number	Floating restrooms
			Pump out boats	Number	Pump out boats
		Fish passage facilities		Number	Facilities designed to allow fish to move past instream barriers (e.g., fish ladders; counting stations) Note: Not related to removal of dams and other barriers coded elsewhere
			Counting traps/stations	Number	Counting traps/stations
			Downstream bypass facilities	Number	Facilities designed specifically for downstream movement of fish
			Fish ladders	Number	Fish ladders
			Fish lifts	Number	Fish lifts
			Nature-like fishways	Number	Fishways whose designs are based on simulating natural stream characteristics and are constructed of natural materials
		Fish screening and related facilities		Sites	Screening systems that prevent fish from passing into areas that do not support their survival (e.g., into irrigation diversion channels). Note: Primarily funded by FRIMA grant program in Region 1

Wildlife TRACS Action Levels w Indicators **handout 3-6**

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and 3 Output Measures	Description/Examples/Notes	
		Hatcheries (recreational purposes)		Sites	Facilities to propagate fish or wildlife species for recreational purposes	
		Hatcheries (restoration)		Sites	Facilities to propagate fish or wildlife species for restoration purposes	
		Hunter education - archery ranges		Sites	Archery ranges for hunter education purposes	
		Hunter education - classrooms		Sites	Classrooms for hunter education purposes Note: Could be funded through Wildlife Restoration basic or Section 10 enhanced hunter education Note: Pre-TRACS data could have included major renovation or operations and maintenance	
		Hunter education - firearm shooting ranges		Sites	Firearm shooting ranges for hunter education purposes Note: Could be funded through Wildlife Restoration basic or Section 10 enhanced hunter education Note: Pre-TRACS data could have included major renovation	
		Public fishing areas/access			Number	Facilities at non-boating access public fishing areas
			Carry-down access		Number	Access points for carry-down boats
			Fishing piers		Number	Fishing piers
			Parking areas		Number	Parking areas for fishing
			Jetties		Number	Jetties for fishing
			Access roadways		Number	Roadways to access fishing areas
			Restrooms		Number	Restrooms at fishing areas
			Fish cleaning stations		Number	Fish cleaning stations at fishing areas
		Transient boat tie up - primary facilities			Number	Shelters at fishing areas
					Number	Primary facilities for tie-up of transient boats Note: Typically funded through Boating Infrastructure Grant program
			Docks/slips		Number	Spaces for tie-up to docks
			Moorings		Number	Moorings
		Transient boat tie up - secondary facilities			Number	Gangways
					Number	Secondary facilities for tie-up of transient boats Note: Typically funded through Boating Infrastructure Grant program
			Restrooms		Number	Restrooms
					Number	Fuel stations

Wildlife TRACS Action Levels w Indicators **handout 3-6**

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and 3 Output Measures	Description/Examples/Notes		
			Laundry facilities	Number	Laundry facilities		
		Wildlife Management Areas		Number	Facilities at Wildlife Management Areas		
			Campgrounds	Number	Campgrounds		
			Dikes/levees	Number	Dikes/levees		
			Observation structures	Number	Wildlife blinds, towers, platforms, etc.		
			Parking lots	Number	Parking lots		
			Roads	Number	Roads		
	Facilities and Areas (New Construction)	Agency support facilities			Sites	Construction of new facilities used by agency personnel in support of programs/projects (e.g., office buildings, garages,	
		Aquatic resource education centers			Sites	Construction of new facilities for aquatic resource education	
		Boat pump out and dump stations				Number	Construction of new facilities for pumping sewage from boats Note: Typically funded through the Clean Vessel Act program
				Dump stations	Number	Dump stations	
				Floating restrooms	Number	Floating restrooms	
				Pump out boats	Number	Pump out boats	
				Pump out stations	Number	Pump out stations	
		Boating access facilities		Access roadways	Number	Roadways to access fishing areas	
				Docks/piers	Number	Docks/piers at boat launch sites	
				Fish cleaning stations	Number	Fish cleaning stations at boat launch sites	
				Launch ramps	Number	Boat ramp lanes at boat launch sites	
				Parking areas	Number	Parking areas at boat launch sites	
				Parking spaces	Number	Parking spaces at boat launch sites	
				Restrooms	Number	Restrooms at boat launch sites	
			Shelters	Number	Shelters at boat launch sites		
		Cooperatively managed areas for hunting			Acres	Lands not owned by the State fish and wildlife agency that are cooperatively managed for hunting purposes (e.g., US Forest Service lands, State parks, private lands)	
		Fish passage facilities			Number	Construction of new facilities designed to allow fish to move past instream barriers (e.g., fish ladders; counting stations) Note: Not related to removal of dams and other barriers coded	

Wildlife TRACS Action Levels w Indicators **handout 3-6**

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and 3 Output Measures	Description/Examples/Notes	
			Counting traps/stations	Number	Counting traps/stations	
			Downstream bypass	Number	Facilities designed specifically for downstream movement of fish	
			Fish ladders	Number	Fish ladders	
			Fish lifts	Number	Fish lifts	
			Nature-like fishways	Number	Fishways whose designs are based on simulating natural stream	
			Fish screening and related facilities		Sites	Construction of new screening systems that prevent fish from passing into areas that do not support their survival (e.g., into irrigation diversion channels). <u>Note: Primarily funded by FRIMA</u>
			Hatcheries		Sites	Construction of new facilities to propagate fish or wildlife species for restoration or recreational purposes
			Hunter education - archery ranges		Sites	Construction of new archery ranges for hunter education purposes
			Hunter education - classrooms		Sites	Construction of new classrooms for hunter education purposes <u>Note: Could be funded through Wildlife Restoration basic or</u>
			Hunter education - firearm shooting ranges		Sites	Construction of new firearm shooting ranges for hunter education purposes <u>Note: Could be funded through Wildlife Restoration basic or Section 10 enhanced hunter education</u>
					Number	Major renovation of non-boating access public fishing areas <u>Note: Activities primarily for restoration and management of species and habitats should be coded to Create, Restore or</u>
				Access roadways	Number	Access points for carry-down boats
				Carry-down access	Number	Fishing piers
				Fish cleaning stations	Number	Parking areas for fishing
				Fishing piers	Number	Jetties for fishing
				Jetties	Number	Roadways to access fishing areas
				Parking areas	Number	Restrooms at fishing areas
				Restrooms	Number	Fish cleaning stations at fishing areas
				Shelters	Number	Shelters at fishing areas
					Number	Major renovation of primary facilities for tie-up of transient boats <u>Note: Typically funded through Boating Infrastructure Grant</u>
				Docks/slips	Number	Spaces for tie-ups to docks
				Gangways	Number	Gangways
				Moorings	Number	Moorings

Wildlife TRACS Action Levels w Indicators **handout 3-6**

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and 3 Output Measures	Description/Examples/Notes
		Transient boat tie up - secondary facilities		Number	Major renovation of secondary facilities for tie-up of transient boats Note: Typically funded through Boating Infrastructure
			Fuel stations	Number	Fuel Stations
			Laundry facilities	Number	Laundry Facilities
			Restrooms	Number	Restrooms
		Wildlife Management Areas		Number	Major renovation of facilities at Wildlife Management Areas
			Campgrounds	Number	Campgrounds
			Dikes/levees	Number	Dikes/Levees
			Observation structures	Number	Wildlife blinds, towers, platforms, etc.
			Parking lots	Number	Parking Lots
			Roads	Number	Roads
	Facilities and Areas (Operations and Maintenance)	Agency support facilities		Sites	Routine operations and maintenance of facilities used by agency personnel in support of programs/projects (e.g., office buildings, <del>...</del> )
			Aquatic resource education centers		Sites
		Boat pump out and dump stations		Number	Routine operations and maintenance of facilities for pumping sewage from boats Note: Typically funded through the Clean
			Dump stations	Number	Dump Stations
			Floating restrooms	Number	Floating Restrooms
			Gallons of Sewage Pumped	Number	Gallons of sewage pumped. Note: Likely to be a required data element in the future when CVA regulations are revised
			Pump out boats	Number	Pump out boats
			Pump out stations	Number	Pump out stations
		Boating access facilities		Number	Routine operations and maintenance of facilities providing access for anglers and others using motor boats
			Access roadways	Number	Roadways to access launch ramps
Docks/piers	Number		Docks/piers at boat launch sites		
Fish cleaning stations	Number		Fish cleaning stations at boat launch sites		
Launch ramps	Number		Boat ramp lanes at boat launch sites		

Wildlife TRACS Action Levels w Indicators **handout 3-6**

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and 3 Output Measures	Description/Examples/Notes	
			Parking areas	Number	Parking areas at boat launch sites	
			Parking spaces	Number	Parking spaces at boat launch sites	
			Restrooms	Number	Restrooms at boat launch sites	
			Shelters	Number	Shelters at boat launch sites	
		Cooperatively managed areas for hunting			Acres	Lands not owned by the State fish and wildlife agency that are cooperatively managed for hunting purposes (e.g., US Forest Service lands, State parks, private lands)
			Government agency		Acres	Operations and maintenance activities on lands owned by other government agencies
			Private lands		Acres	Operations and maintenance activities on privately owned lands
		Fish passage facilities			Sites	Routine operations and maintenance of facilities designed to allow fish to move past instream barriers (e.g., fish ladders; counting stations) Note: Not related to removal of dams and
			Counting traps/stations		Sites	Counting traps/stations
			Downstream bypass		Sites	Facilities designed specifically for downstream movement of fish
			Fish ladders		Sites	Fish ladders
			Fish lifts		Sites	Fish lifts
			Nature-like fishways		Sites	Fishways whose designs are based on simulating natural stream characteristics and are constructed of natural materials
		Fish screening and related facilities			Sites	Routine operations and maintenance of screening systems that prevent fish from passing into areas that do not support their survival (e.g., into irrigation diversion channels). Note: Primarily funded by FRIMA grant program in Region 1
		Hatcheries (recreational purposes)			Sites	Routine operations and maintenance of facilities to propagate fish or wildlife species for recreational purposes
		Hatcheries (restoration)			Sites	Routine operations and maintenance of facilities to propagate fish or wildlife species for restoration purposes
		Hunter education - archery ranges			Sites	Routine operations and maintenance of archery ranges for hunter education purposes
		Hunter education - classrooms			Sites	Routine operations and maintenance of classrooms for hunter education purposes Note: Could be funded through Wildlife Restoration basic or Section 10 enhanced hunter education

Wildlife TRACS Action Levels w Indicators **handout 3-6**

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and 3 Output Measures	Description/Examples/Notes	
		Hunter education - firearm shooting ranges		Sites	Routine operations and maintenance of firearm shooting ranges for hunter education purposes Note: Could be funded through Wildlife Restoration basic or Section 10 enhanced hunter	
		Public fishing areas/access			Number	Routine operations and maintenance of non-boating access public fishing areas Note: Activities primarily for restoration and management of species and habitats should be coded to <u>Create, Restore or Enhance Habitat and Natural Processes</u>
			Access roadways		Number	Roadways to access fishing areas
			Carry-down access		Number	Access points for carry-down boats
			Fish cleaning stations		Number	Fish cleaning stations at fishing areas
			Fishing piers		Number	Fishing piers
			Jetties		Number	Jetties for fishing
			Parking areas		Number	Parking areas for fishing
			Restrooms		Number	Restrooms at fishing areas
			Shelters		Number	Shelters at fishing areas
		Wildlife Management Areas			Number	Routine operations and maintenance of Wildlife Management Areas Note: Activities primarily for restoration and management of species and habitats should be coded to Create, Restore or Enhance Habitat and Natural Processes
			Boundary designation		Number	
			Campgrounds		Number	Campgrounds
			Dikes/levees		Number	Dikes/Levees
			Observation structures		Number	Wildlife blinds, towers, platforms, etc.
			Parking lots		Number	Parking Lots
			Trails		Number	
			Trash Collection		Number	
		Roads		Number	Roads	
	Land and Water Rights Acquisition and Protection					
	Land acquisition	Fee title		Acres	Acquisition of lands through fee title acquisition	

Wildlife TRACS Action Levels w Indicators **handout 3-6**

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and 3 Output Measures	Description/Examples/Notes	
	Land Protection (Potential High Level Purposes: Conservation/Management, Recreation, Administration)		Non-fee title	Acres	Acquisition of lands through leases, permanent easements, cooperative agreements, contracts or other non-fee title arrangements	
		Water rights acquisition		Acre feet	Purchase of water rights through fee title acquisition (e.g., purchase of water rights to maintain adequate flows for endangered stream fishes)	
		Conservation area designation		Acres	Designation of a site or landscape as having unique and important value to fish and wildlife with or without legal protections (e.g., waterfowl breeding area, Marine Protected Area)	
		Private lands agreements		Acres	Number of acres that are protected by agreement with private landowners, but which do not involve active habitat improvement Note: Used extensively within the Landowner Incentive Program	
	Law Enforcement (Potential High Level Purposes: Conservation/Management, Recreation)	Law enforcement		Cases	Enforcement of laws and regulations related to the protection of fish and wildlife	
	Outreach	Partner/stakeholder engagement		Fee title	Number	Acquisition of lands through fee title acquisition
				Non-fee title	Number	Acquisition of lands through leases, permanent easements, cooperative agreements, contracts or other non-fee title arrangements
		Recruitment and retention activities			Number	Participation in programs intended to recruit and retain anglers, boater, hunters or wildlife watchers
			For fishing and boating (SFR outreach and communications)		Number	Provision of information on fishing and boating opportunities to current and future anglers and boaters (e.g., creation and dissemination of maps of boat ramps, participation in angler recruitment and retention programs) Note: the cost of these activities counts toward the 15 percent SFR apportionment cap on ARE and outreach and communications
			For hunting		Number	Participation in programs intended to recruit and retain hunters Note: Only eligible through Multi-State Grant Program or Section 10 enhanced hunter education funding

Wildlife TRACS Action Levels w Indicators **handout 3-6**

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and 3 Output Measures	Description/Examples/Notes	
			For wildlife watching	Number	Participation in programs intended to recruit and retain wildlife watchers Note: this activity has limited eligibility for funding through WSFR grant programs	
		WSFR program/ subprogram outreach		Number	Provision of educational information on WSFR grants and grant programs to a variety of audiences through a variety of means (e.g., participating in trade shows to share information WSFR funded work; building kiosks to display WSFR program information)	
	Planning					
		Land use planning		Plans	Leading or participating in land use planning for rural, urban or agricultural lands (e.g., assist in developing county-wide zoning plans, participate in workgroup regarding low impact development siting)	
		Organizational strategic and CMS planning			Plans	Development of agency strategic and operational plans and fish and wildlife comprehensive management systems Note: Does not include actions to implement plans
			Organizational strategic and operational planning		Plans	Development of agency strategic and operational plans Note: Does not include actions to implement plans
			CMS planning		Plans	Development of fish and wildlife comprehensive management systems Note: Does not include actions to implement comprehensive management systems
		Species and habitat management planning			Plans	Development of management plans for fish and wildlife species and habitats
			Species management planning		Plans	Development of management plans for fish and wildlife species (e.g., interjurisdictional fisheries management planning)
			Listed species recovery planning		Plans	Development of recovery plans for federal or state listed species

Wildlife TRACS Action Levels w Indicators **handout 3-6**

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and 3 Output Measures	Description/Examples/Notes		
			Habitat management planning	Plans	Development of management plans for habitats and natural processes (e.g., management planning for longleaf pine habitat; Habitat Conservation Plan development)		
			Habitat Conservation Plan (HCP) Development				
		State Wildlife Action planning		SWAPs	Conduct activities to develop and revise State Wildlife Action Plans (e.g., convene interagency work groups to revise portions of a SWAP, hold public hearings to help set priorities for SWAP conservation actions)		
		WSFR program/subprogram planning		Plans	Conduct planning activities for a specific WSFR program or subprogram (e.g., CVA planning, hunter education planning)		
	Species Re-introduction and Stocking						
		Native species restoration			Animals	Re-introduction, rehabilitation and relocation of native animals or plants in their historic habitats	
			Propagation and stocking		Animals	Re-introduction of propagated native animals or plants to their historic habitats (e.g., restore American shad to rivers within their historic range, head-starting rare turtles)	
			Rehabilitation		Animals	Rehabilitation of injured fish and wildlife	
			Translocation		Animals	Relocation of native species (including plants) to suitable habitats (e.g., translocate/breed in captivity black-footed ferrets to establish new populations in suitable habitat)	
		Production and stocking for recreational purposes				Animals	Production and stocking of animals for recreational purposes
			Forage species		Animals	Production and stocking species that serve as forage for recreational species (e.g., rainbow smelt for salmonid species)	
			Put-and-take		Animals	Production and stocking harvestable-size animals that are not expected to reproduce or grow significantly before they are harvested (e.g., catchable trout stocking for recreational purposes)	

Wildlife TRACS Action Levels w Indicators **handout 3-6**

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and 3 Output Measures	Description/Examples/Notes
			Put-grow-and-take	Animals	Production and stocking sublegal-size animals for the purpose of maintaining populations with insufficient natural reproduction for sustainable harvest (e.g., walleye fry stocking for future sport fishing)
	Technical Assistance				
		Environmental review		Reviews	Review of agency and private sector policies, projects and plans (primarily related to development and adverse impacts to natural resources) to help ensure potential impacts to fish and wildlife are avoided, minimized and/or compensated/mitigated (e.g., review of municipal pier development, review of transmission corridor siting)
		Review of proposed projects		Reviews	Review of proposed development projects to help ensure that impacts to fish and wildlife are minimized and resource benefits are maximized
		Review of proposed policies and plans		Reviews	Review of non-conservation oriented policies and plans to help ensure that impacts to fish and wildlife are minimized and resource benefits are maximized (e.g., review of harbor dredging plan, review of state highway plans)
		Technical assistance		Assists	Provision of professional training and technical assistance to others on fish and wildlife assessment and management
		With individuals and groups involved in resource management decision making	Assists	Provision of professional training and technical assistance on fish and wildlife assessment and management to individuals and groups involved in resource management decision-making (e.g., provide agency-collected data to other governmental officials, train non-governmental organizations on new trapping methods, review of conservation-oriented policies and plans)	

Wildlife TRACS Action Levels w Indicators **handout 3-6**

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and 3 Output Measures	Description/Examples/Notes
			With private landowners	Assists	Provision of technical assistance on fish and wildlife management practices to private landowners Note: Could include development and delivery of economic incentives to private landowners to influence responsible stewardship of land/water and specific species



## Grant Application Bundle

Date Prepared: October 9, 2013

# Grant Application Report

# GRANT APPLICATION BUNDLE

## *Project Information*

### **PROJECT #361795 BMP\_Hunter Education**

**Project Start Date:** 6/30/2012

**Project End Date:** 6/29/2013

#### **Project Categories:**

Recreation

Administration

#### **PROJECT STATEMENT:**

<b>Proposed Project Statement Cost</b>	
<b>Estimated WSFR Federal Cost:</b>	\$160,000
<b>Estimated WSFR Non-Federal Match:</b>	\$40,000
<b>Total Estimated Cost:</b>	<b>\$200,000</b>

#### **NEED STATEMENT:**

The State of West Virginia (WV) has enjoyed a rich hunting heritage throughout its history. Hunting provides benefits to the WV economy, improves wildlife management in WV and provides wildlife dependent recreation. West Virginia's abundance of natural habitat, public lands and bountiful game species allows for limitless opportunities for people to participate in hunting. Unfortunately, the hunting culture in WV has resulted in unsatisfactory levels of hunting incidents. According to the National Hunter Education Association, over the last two decades the State of WV had a hunting incident rate 12% above the national average. A survey of current, former and potential new hunters, performed by State University in 2009, revealed that the number of basic hunter education courses offered annually in the State of WV was grossly inadequate to meet the demand for all potential first time hunters. The survey revealed hunter dissatisfaction over the lack of courses offered at convenient locations and times throughout the year. It is imperative that WV DNR meet the statewide demand to provide basic hunter education courses to develop safe and responsible hunters. Failure to take action to meet the demand for hunter education will result in continued unsatisfactory levels of hunting incidents and will significantly jeopardize West Virginia's ability to sustain a rich hunting heritage and safe hunting experience.

#### **APPROACH:**

Employ one full time professional and two part time staff involved in the management and oversight of the state mandated Basic Hunter Education program. Staff will develop, manage and provide support services for the ongoing operation of the state mandated Basic Hunter Education program. Responsibilities include maintenance of a reliable state-of-the-art, customer-friendly student registration and record management system via web-based technology. Hunter education students will be able to locate and register for any hunter education class via the Internet. Volunteer instructors will be able to conveniently and efficiently manage

student and course records. The Hunter Education staff will acquire training equipment, event supplies and materials to conduct above programs and activities. The Hunter Education staff will develop and implement multiple course delivery methods including instructor-led, home study and on-line courses. Courses will be added in strategic locations where demand is highest.

Hunter Education staff will be responsible for the recruitment, training and recognition of at least 200 new volunteer instructors. This includes conducting a minimum of six (6) new instructor training workshops annually that provide standardized training on subjects such as: lesson plan development, records management, public speaking, learning styles & educational theory, use of teaching aids, interactive teaching methods, student evaluations, conducting skill-based training exercises, dilemma-style teaching methods, program policy and procedures, child protection and sexual harassment. To provide for the ongoing development and implementation of instructor training curricula and programs, staff will conduct at least six (6) in-service instructor training workshops for 1800 existing volunteer instructors to address ongoing and current training needs.

To maintain and develop a volunteer corps, staff will develop, acquire, distribute and maintain teaching aids, course materials, volunteer uniforms and equipment used in the recruitment, training, recognition and management of all hunter education program instructors. To maintain and develop volunteer instructor corps an incentive program for volunteer instructors will be developed and implemented whereby instructors will be presented awards based upon established performance standards, such as "number of classes taught", "number of training events attended", etc.

### **EXPECTED RESULTS:**

- A decrease in hunting incidents below the national average.
- Customer demand for basic hunter education training fully satisfied.
- A well developed, highly skilled and trained volunteer instructor corps.

### **USEFUL LIFE:**

NA

### **PROGRAM INCOME:**

None Anticipated

### **MULTIPURPOSE PROJECTS:**

NA

### **RELATIONSHIP WITH OTHER GRANTS:**

Volunteer instructors once trained may be used for instructing advanced hunter education topics such as tree stand safety, turkey hunting, target shooting and archery instruction through the National Archery in the Schools (NASP) program. These courses are conducted under WSFR project W-001-E Enhanced Student Training.

## Objectives:

### **A. Basic Hunter Education Courses - 1**

Conduct a minimum of 600 basic hunter education courses statewide in West Virginia through multiple delivery methods by June 30, 2013

#### **Addresses:**

The hunting culture in WV has resulted in unsatisfactory levels of hunting incidents. According to the National Hunter Education Association, over the last two decades, the State of WV had a hunting incident rate 12% above the national average.

#### **Indicators:**

courses by June 29, 2013

### **B. Student Certification - 2**

Train and certify 18,000 students in basic hunter education by June 30, 2013

#### **Addresses:**

The hunting culture in WV has resulted in unsatisfactory levels of hunting incidents. According to the National Hunter Education Association, over the last two decades, the State of WV had a hunting incident rate 12% above the national average.

#### **Indicators:**

18000 Students by June 29, 2013

### **C. Volunteer Coordination - 3**

Develop and maintain the existing corps of 1800 volunteer hunter education instructors by June 30, 2013.

#### **Addresses:**

The hunting culture in WV has resulted in unsatisfactory levels of hunting incidents. According to the National Hunter Education Association, over the last two decades, the State of WV had a hunting incident rate 12% above the national average.

#### **Indicators:**

1800 Instructors by June 29, 2013

### **D. Volunteer Instructor Recruitment - 4**

Recruit and train 200 new volunteer instructor corps by June 30, 2013.

#### **Addresses:**

The hunting culture in WV has resulted in unsatisfactory levels of hunting incidents. According to the National Hunter Education Association, over the last two decades, the State of WV had a hunting incident rate 12% above the national average.

#### **Indicators:**

200 Instructors by June 29, 2013

Revised 7/12/2013

Filename: s:\federalaid\courses\ilt\plc2012\base plc 2012\workbook\6-project dependent compliance.doc

Enter Name of Course:

**Project Leaders Course**

Enter Tab Number:

**4**

Handouts:

NEPA Process

Section 7 Process

NHPA

<p><b>PROJECT LEADERS COURSE</b></p> <p><b>Tab 4: Project Dependent Compliance</b></p> 	<p>In this module we will look at compliance requirements that must be addressed. The use of federal funds comes with strings attached. No such thing as a free lunch. WSFR grantees must comply with several Acts, regulations and executive orders.</p> <p>Depending on the project type specific compliance documentation must either be submitted with the grant application or kept with the grant records. Proof of compliance may be required during audits.</p> <p>A grant application cannot be approved without the compliance issues being addressed and documented.</p> <p>Compliance can be split into broad categories:</p> <p><b><u>Non-Discrimination</u></b> (Civil Rights, 504 rehab ADA, Title 9)</p> <p><b><u>Environmental</u></b> (floodplains wetlands, NEPA, SEC 7 ESA)</p> <p><b><u>Historic &amp; Cultural</u></b> (SHPO/THPO)</p> <p><b><u>Administrative</u></b> (lobbying, debarment/suspension, drug free work place, relocation assistance.</p>
<p><b>Compliance Requirements National Environmental Policy Act</b></p> 	<p>Our focus will center on those areas of compliance most likely to involve project leaders. Environmental and historic/cultural compliance are the categories most likely to impact project leaders.</p> <p>Other compliance categories usually handled by others at different levels unbeknownst to project leaders.</p>

## Compliance

### Objectives:

1. Understand the NEPA documentation process
2. Identify the issues that prevent using categorical exclusions
3. Explain the steps involved in preparing an environmental assessment
4. Determine the information needed in the grant application package to evaluate the impact on listed, proposed to be listed, candidate species and/or critical habitat
5. Discuss the importance of this information in the Section 7 evaluation process
6. Review the requirements for compliance with the National Historic Preservation Act
7. Discuss the compliance requirements for various program and project types

<p>National Environmental Policy Act</p> <p>NEPA Objectives</p> <ul style="list-style-type: none"> <li>➤ Consider detailed information concerning every significant environmental impact on the human environment</li> <li>➤ Ensure the public plays a role in both the decision-making process and the implementation of that decision</li> </ul>	<p>NEPA, as part of the compliance process, is a safeguard for reviewing proposed Federal Actions and assessing the impact they will have on the human environment.</p>
<p>National Environmental Policy Act</p> <ul style="list-style-type: none"> <li>➤ Approval of a Federal grant constitutes a Federal action</li> <li>➤ All Federal actions must comply with NEPA</li> <li>➤ All projects, activities or jobs must be reviewed prior to approval to determine the effects of the proposed work</li> <li>➤ NEPA determinations / decisions must be documented</li> </ul>	<p>Since approving a grant is a federal action, activities, jobs, etc. that are funded with Federal grant dollars must undergo NEPA scrutiny and documentation.</p>
<p>National Environmental Policy Act</p> <ul style="list-style-type: none"> <li>➤ WSFR Program is ultimately responsible for decision-making, documentation, and funding grant</li> <li>➤ States play an important role in providing adequate information for decision-making, identifying and notifying interested / affected parties</li> </ul>	<p>WSFR is responsible for preparing the administrative record for complying with NEPA or requiring the preparation of additional environmental documents (EA or EIS) if needed.</p>
<p>NEPA Process &amp; Documentation</p> <ul style="list-style-type: none"> <li>➤ Project scope</li> <li>➤ Potential for significant impact on the human environment</li> <li>➤ Public interest and/or controversy generated</li> </ul>	<p>The NEPA Process &amp; Documentation chart <i>represents this decision making process.</i> <b>See handout.</b></p>
<p>NEPA Process &amp; Documentation</p> <p>Significance</p> <ul style="list-style-type: none"> <li>➤ Context - Society as a whole, affected region(s), affected interests, locality</li> <li>➤ Both short- and long-term effects are relevant</li> <li>➤ Intensity - Severity of impact (Extraordinary Circumstances)</li> </ul>	<p>The State plays a key role in the NEPA process by providing adequate information and documentation for WSFR to make a decision and document NEPA compliance. <b>No federal funds can be used on a project until a NEPA decision is made &amp; documented.</b></p>
<p>NEPA Process &amp; Documentation</p> <p>Human Environment</p> <ul style="list-style-type: none"> <li>➤ Ecological, aesthetic, historic, cultural, economic, social, health             <ul style="list-style-type: none"> <li>➤ Direct, indirect, cumulative</li> </ul> </li> <li>➤ Economic and/or social effects by themselves not 'significant'</li> </ul>	<p>WSFR will use the information provided by the State in the project statement (part of application package) to gather information to review and evaluate the proposed work, the scope of the project, the impact on the human environment and any public controversy or interest that may be generated. Based on this review and evaluation a decision is made whether to Categorically Exclude the project or initiate further environmental reviews and decisions. Actions that can be categorically excluded fit within the Cat Ex lists if no extraordinary circumstances are triggered. Categorical exclusions are classes of actions which do not individually or cumulatively have a significant effect on the human environment.</p>
<p>NEPA Process &amp; Documentation</p> <ul style="list-style-type: none"> <li>➤ Categorical Exclusion (Cat-Ex)             <ul style="list-style-type: none"> <li>• Exclusion Requirements Satisfied</li> <li>• Environmental Action Statement (EAS)</li> </ul> </li> <li>➤ Environmental Assessment (EA)             <ul style="list-style-type: none"> <li>• Finding of No Significant Impact (FONSI) or (NOD)</li> </ul> </li> <li>➤ Environmental Impact Statement (EIS)             <ul style="list-style-type: none"> <li>• Record of Decision (ROD)</li> </ul> </li> </ul>	<p>If a Categorical Exclusion is made WSFR will document it with the NEPA Compliance Checklist as the administrative record and the grant will be approved.</p>

## Complying with the National Environmental Policy Act (NEPA)

The purpose of the NEPA process is to consider detailed information concerning every significant environmental impact on the human environment, which is defined as the natural and physical environment and the relationship of people to the environment. Additionally, the process ensures the public plays a role in both the decision-making process and the implementation of that decision.

Compliance with the NEPA process is relatively simple and unimposing for the majority of work proposed under grant programs administered by WSFR. However, the process does require that a specific set of logical steps be followed and documented to support conclusions about the effects grant work will have on the human environment.

The general flow for documenting the NEPA decision is depicted on the **NEPA Process & Documentation** chart in your workbook. Working through the NEPA decision making process requires evaluating several factors before implementing federally funded work projects.

### NEPA Factors:

- Project Scope
- Potential for Significant Impact on the Human Environment
- Public Interest and/or Controversy Generated

The effect of these factors determines which of the three documentation processes must be followed in complying with NEPA requirements.

### Methods of Documenting NEPA Compliance

- Categorical Exclusion (CE)
- Environmental Assessment (EA)
- Environmental Impact Statement (EIS)

	NEPA Compliance
Service Handbook	NEPA Guidance to States Participating in The Federal Aid Program
Department Manual	Department of the Interior 516 DM 8
General Guidance	NEPA Reference Handbook (USFWS)

<p style="text-align: center;"><b>Categorical Exclusions</b></p> <hr/> <p>References: Policy &amp; Guidance 516 DM 8 NEPA</p> 	<p>Take a look at the guidance used in making a Cat X and review the sections.</p> <p>This will give you an idea of the type of information WSFR needs in the project statement to make a Cat X determination.</p> <p>DOI 516 DM 6 was replaced with 516 DM 8.5.</p>
	<p>If the project involves new construction and/or other specific disruptions in the environment, it may require additional documentation prior to making a NEPA decision. The steps for continuing the process may require that an Environmental Assessment be conducted. An EA may take 3 to 6 months to prepare, then has to be reviewed/commented on by public. <b>See handout.</b></p> <p>Depending on outcome an EIS may be required. This is a lengthy process that may take years and many staff hours.</p> <p>Remember that unlike ES (will discuss next) only Federal Actions are covered by NEPA. If you have to take this to the next step of EIS you may want to consider 100% State funding for those projects if they're going to involve an EIS.</p> <p>If you are applying for Federal financial assistance or making changes in scope of work to an existing grant, enough information needs to be provided in the project statement concerning the environmental effects as necessary to satisfy WSFR requirements to comply with NEPA.</p> <p>States may want to review the NEPA Checklist for the elements WSFR is evaluating – Checklist can be found as Appendix G to DO #127.</p> <p>Review the learning points.</p>

	<b>Exercise: Categorical Exclusions</b>
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Using the Toolkit review *Policy – Guidance>NEPA>516 DM 8 Managing the NEPA Process*, and answer the questions below.

1. Where do the categorical exclusion appear in 516 DM 8?

[8.5 Categorical Exclusions](#)

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2. What are the broad category titles for categorical exclusions?

[General, Resource Management, Permit and Regulatory Functions, Recovery Plans, Financial Assistance](#)

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3. Review each of the following proposed actions and determine, if the activity would be eligible for a categorical exclusion. If so, please note which categorical exclusion may apply.

Proposed Action	Eligible for a Categorical Exclusion (Yes or No)	Applicable Categorical Exclusion
Prescribed Burn	yes	B (4)
Bird Banding	yes	B (1)
Riparian Zone Border Fencing	yes	B(2) B(3)
Training on Radio Telemetry Equipment	yes	A(2)
Coordination of Federal Grant	yes	E(1) E(2)
Paving of a Wildlife Management Area Parking Lot	Scope?	B(2)

4. Besides finding category exclusion that applies, what other requirement must be satisfied before classifying an activity as categorically excluded?

[You must be able to answer “no” to the extraordinary circumstances.](#)

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<p style="text-align: center;"><b>Compliance Requirements</b> <b>Section 7 - Endangered Species Act</b></p> 	<p>As part of the NEPA process (number 8 in the checklist) more specific documentation is required about the endangered species aspect of any federal project or grant and if it will have a specific effect on an endangered species or its critical habitat.</p>
<p style="text-align: center;"><b>Section 7 - ESA Interagency cooperation</b></p> <ul style="list-style-type: none"> <li>➤ Section 7(a)(1): All <u>Federal</u> agencies must determine how to use their existing authorities to further the purposes of the ESA</li> <li>➤ Section 7(a)(2): All <u>Federal</u> agencies must insure that any action they authorize, fund, or carry out is not likely to:             <ul style="list-style-type: none"> <li>a) jeopardize existence of listed species</li> <li>b) adversely modify designated critical habitat</li> </ul> </li> </ul> <p style="text-align: right;"><small>42</small></p>	<p>Section 7 of Endangered Species Act is to ensure that there are no endangered or threatened species present or if present that the project will not impact the species. WSFR must document based on information provided by the State.</p> <p>Mention that the ES Consultation Handbook is in the Toolkit.</p> <p>Information must be included in the project statement or grant cannot be approved.</p>
<p style="text-align: center;"><b>Section 7 - ESA Interagency Cooperation</b></p> <p>Federal Action Agencies Cooperate with USFWS or NOAA who will:</p> <ul style="list-style-type: none"> <li>➤ Provide regulatory, policy and biological info</li> <li>➤ Discuss potential effects of Action(s)</li> <li>➤ Discuss measures to reduce or avoid effects</li> <li>➤ Help Action Agency "reduce legal risk"</li> </ul> <p style="text-align: right;"><small>43</small></p>	<p>Adverse actions may require more thorough consultations with FWS ES personnel.</p>
<p style="text-align: center;"><b>Section 7 - ESA Intra-service Consultation</b></p> <p>Consultation process for WSFR</p> <ul style="list-style-type: none"> <li>➤ Federal Action is granting an award</li> <li>➤ State is applicant, USFWS is Action Agency</li> <li>➤ Must consider T&amp;E, proposed and candidate species</li> </ul> <p style="text-align: right;"><small>44</small></p>	<p>Establishing this record of action is important to the continuity of the grant if it comes under legal review.</p> <p>Review handout – Section 7 Compliance Process.</p>

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## The Requirements of Section 7 of the Endangered Species Act

- Section 7(a)(1): All Federal agencies must determine how to use their existing authorities to further the purposes of the ESA
- Section 7(a)(2): All Federal agencies must insure that any action they authorize, fund, or carry out is not likely to
  - Jeopardize the existence of a listed species
  - Adversely modify designated critical habitat

### Interagency Cooperation

#### Federal Action Agencies Cooperate with USFWS or NOAA who will:

- Provide regulatory, policy and biological info
- Discuss potential effects of Action(s)
- Discuss measures to reduce or avoid effects
- Help Action Agency “reduce legal risk”

#### Intra-service Consultation.....process for WSFR

- Federal Action is granting an award
- State is applicant, USFWS is Action Agency
- Must consider T&E, proposed and candidate species

State/Grantee Evaluate for effects to determine level of consultation:

- No consultation?
- Informal consultation?
- Formal consultation?

Notes:

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<p>Section 7 – ESA Intra-service Consultation</p> <hr/> <p>State/Grantee Evaluate for Effects determines level of consultation:</p> <ul style="list-style-type: none"> <li>&gt; No consultation?</li> <li>&gt; Informal consultation?</li> <li>&gt; Formal consultation?</li> </ul> <p style="text-align: right;">45</p>	
<p>Section 7 – ESA Intra-service Consultation</p> <hr/> <p>Analyzing Effects</p> <ul style="list-style-type: none"> <li>&gt; Identify Stressors caused by Actions</li> <li>&gt; Determine if species will be exposed to Stressors</li> <li>&gt; Determine species and habitat response after exposure to stressor</li> <li>&gt; EXPOSURE + RESPONSE = EFFECTS</li> </ul> <p style="text-align: right;">46</p>	
<p>Section 7 – ESA Intra-service Consultation</p> <hr/> <p>Analyzing Effects</p> <ul style="list-style-type: none"> <li>&gt; No effect</li> <li>&gt; May affect             <ul style="list-style-type: none"> <li>▪ Not likely to adversely affect</li> <li>▪ Is likely to adversely affect</li> </ul> </li> </ul> <p style="text-align: right;">47</p>	
<p style="text-align: center;">Recommendations</p> <hr/> <p>No Species Present</p> <ul style="list-style-type: none"> <li>&gt; <u>No Effect:</u> <ul style="list-style-type: none"> <li>▪ No known occurrence of species</li> <li>▪ Nature of work not on the ground</li> <li>▪ Work ceases if species are discovered</li> </ul> </li> </ul> <p style="text-align: right;">48</p>	
<p style="text-align: center;">Recommendations</p> <hr/> <p>Species Present</p> <ul style="list-style-type: none"> <li>&gt; <u>No Effect:</u> Activity will not affect a listed species or habitat (ie... administrative).</li> <li>&gt; <u>Is Not Likely to Adversely Affect:</u> "Take" not likely. Effects are expected to be discountable, insignificant or completely beneficial.</li> <li>&gt; <u>Is Likely to Adversely Affect:</u> "Take" likely.</li> </ul> <p style="text-align: right;">49</p>	

**Analyzing Effects**

- Identify Stressors caused by Actions
- Determine if species will be exposed to Stressors
- Determine species and habitat response after exposure to stressor

<b>EXPOSURE + RESPONSE = EFFECTS</b>
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No Effect

May Affect

- Not likely to adversely affect
- Is likely to adversely affect

**Make a Recommendation**

- No Species Present

No Effect:

Nature of work is not on the ground. To the knowledge of state ES experts there are no species in the location where ground work is taking place, and work is non-destructive. If work is destructive add caveat that work will stop if ES species are discovered.

- Species Present – Work undertaken is in an area with/potential for Endangered Species

No Effect: Activity will not affect a listed species or critical habitat. For example: administrative work.

Is Not Likely to Adversely Affect: A “take” is not likely. Effects are expected to be discountable, insignificant or completely beneficial.

Is Likely to Adversely Affect: A “take” is likely. Formal consultation is required with ES.

Notes:

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<p><b>Section 7 – ESA Intra-service Consultation</b></p> <hr/> <p>Consultation Process:</p> <ul style="list-style-type: none"> <li>&gt; <u>No Effect</u>: No consultation or concurrence required</li> <li>&gt; <u>Is Not Likely to Adversely Affect</u>: Informal Consultation required...action agency submits initiation package with biological evaluation/assessment and request <i>letter of concurrence</i> (30 days)...may need re-initiation</li> <li>&gt; <u>Is Likely to Adversely Affect</u>: Formal consultation is required. (30, 90, 45 days)</li> </ul> <p style="text-align: right;">50</p>	
<p><b>Section 7 – ESA Intra-service Consultation</b></p> <hr/> <p>Formal Consultation Process:</p> <ul style="list-style-type: none"> <li>&gt; Action Agency (Grantee and or WSFR) issues Biological Evaluation/Assessment</li> <li>&gt; USFWS will issue a Biological Opinion to determine if:             <ul style="list-style-type: none"> <li>Jeopardy or Adverse Modification?</li> </ul> </li> </ul> <p style="text-align: right;">51</p>	
<p><b>Section 7 – ESA Intra-service Consultation</b></p> <hr/> <p>Formal Consultation Process:</p> <ul style="list-style-type: none"> <li>&gt; If Yes...Reasonable and Prudent <u>Alternatives</u> developed then issue an: <i>Incidental Take Statement</i> for critters only (amount of take anticipated, effect or type of take, reasonable and prudent <u>measures</u> to avoid, minimize, mitigate for take, terms and conditions).</li> <li>&gt; If No..... issue an <i>Incidental Take Statement</i> which provides exemption from sec 9 prohibitions...unless no RPA</li> </ul> <p style="text-align: right;">52</p>	

## Consultation Process

- No Effect: **No consultation or concurrence** required
- Is Not Likely to Adversely Affect: **Informal Consultation** required...action agency submits initiation package with biological evaluation/assessment and request letter of concurrence (30 days)..may need re-initiation
- Is Likely to Adversely Affect: **Formal consultation** is required. (30, 90, 45 days)

No Effect:  
**No consultation**

Is Not Likely to Adversely Affect:  
**Informal Consultation**

Is Likely to Adversely Affect:  
**Formal consultation**

## Formal Consultation Process:

- Action Agency (Grantee and or WSFR) issues Biological Evaluation/Assessment
- USFWS will issue a Biological Opinion to determine if:

### Jeopardy or Adverse Modification?

- If Yes...Reasonable and Prudent Alternatives (RPA) developed then issue Incidental Take Statement
- If No..... issue an Incidental Take Statement which provides exemption from sec 9 prohibitions...unless no RPA

**Incidental Take Statement**  
(must include):

Amount of take anticipated

Effect or type of take

Reasonable and Prudent Measures (to avoid, minimize, mitigate for take)

Terms and conditions

Notes:

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<p><b>Section 7 – ESA Intra-service Consultation</b></p> <hr/> <p>Document Your Analysis: Administrative Procedures Act... (decisions must not be arbitrary and capricious)</p> <ul style="list-style-type: none"><li>&gt; Identify &amp; Describe Action(s)</li><li>&gt; Identify Area of Effect (direct/indirect)</li><li>&gt; List Species/Critical Habitat</li><li>&gt; Assess Effects on Species/Critical Habitat</li><li>&gt; Make an Effect Recommendation</li></ul> <p style="text-align: right;">23</p>	
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## Document Your Analysis

### What Information Should the State Provide?

**1. Grant Information**

- Number and Title
- Time Period

**2. Identify & Describe Action(s):**

- Give Project Titles

*“Action(s)” represent project(s), depending on the specificity needed to adequately document impacts to federally endangered and/or threatened species/critical habitat. If a grant is comprised of several “action(s)” (e.g., projects covering habitat management, population manipulations, resource assessments, outreach, land acquisition, research, and surveys), then each project represents a distinct “action” requiring a separate description and recommendation.*

**Administrative Procedures Act**

*Decisions must not be arbitrary and capricious*

**3. Identify Area of Effect:**

- Direct and Indirect

**4. List Endangered Species/Critical Habitat Present**

- Also proposed species, candidate species, or critical habitats

**5. Assess Effects on Species/Critical Habitat**

**6. Make an Effect Recommendation**

Notes:

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**What if State Agency ES Biologist finds “Likely to have Adverse Effects”?**

- Grant proposal can be modified (before submittal to FWS) by changing actions, locations, timing, etc. Description of how adverse effects will be avoided must be thoroughly documented in grant proposal Approach Section and Section 7 letter.
- Elevate high-risk project to Ecological Services Field Office for formal consultation.

**Avoid Section 7 Pitfalls!**

- Project Leader should consider potential impacts while developing proposal
- Involve the State Endangered Species biologists EARLY in the process, if there’s any question of presence or potential effects
- Provide separate information for each different project, job, species for which there are different recommendations
- No Effect determination must have justification

Remember: *No grant can be approved (even conditionally!) without it!*

Notes:

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<p><b>Compliance Requirements National Historic Preservation Act</b></p> 	<p>A grant application cannot be approved without first addressing and documenting the historical and cultural compliance issues. In this next section we will discuss the Section 106 process for Historic Preservation Compliance.</p> <p>Historic Preservation Compliance requirements can be found in 36 CFR PART 800—PROTECTION OF HISTORIC PROPERTIES Subpart A—Purposes and Participants Subpart B—The Section 106 Process</p>
<p><b>Historic and Cultural Preservation</b></p> <ul style="list-style-type: none"> <li>➤ Section 106: requires Federal agencies to take into account the effects of their undertakings</li> <li>➤ State Historic Preservation Office (SHPO) advises and assists</li> <li>➤ Tribes have Tribal Historic Preservation Office (THPO)</li> <li>➤ Consult with all interested Parties</li> </ul>	<p>States must consult with the State Historic Preservation Officer (SHPO) for those federal undertakings that have the potential to effect historic properties as defined in the National Historic Preservation Act.</p> <p>It is the statutory obligation of the Federal agency to fulfill the requirements of section 106 and to ensure that an agency official with jurisdiction over an undertaking (grantee) takes legal and financial responsibility for section 106 compliance.</p> <p><b>Go to the toolkit 36 CFR (PART 800.5 a 2) and review potential adverse affects to historic properties.</b></p>
<p><b>SHPO Consultation Process</b></p> <p>Grantee Responsibility</p> <ul style="list-style-type: none"> <li>➤ Determine if Undertaking</li> <li>➤ Determine Area of Potential Effects</li> <li>➤ Historic properties present?</li> <li>➤ If no, receive letter from SHPO</li> <li>➤ If yes, evaluate for adverse affects</li> </ul> <p style="text-align: right;"><small>26</small></p>	
<p><b>SHPO Consultation Process</b></p> <p>SHPO Responsibility</p> <ul style="list-style-type: none"> <li>➤ Provide written response (30 days)</li> <li>➤ Agreement with finding of no historic properties present, or</li> <li>➤ No adverse effects, or</li> <li>➤ Prescribe actions to resolve adverse effects (avoid, minimize, mitigate)</li> </ul> <p style="text-align: right;"><small>27</small></p>	

## Historic and Cultural Preservation

Section 106 of the National Historic Preservation Act requires federal agencies to account for undertakings on historic properties listed or eligible for listing on the National Register of Historic Places.

### The Section 106 process is:

- Consultation between the Agency and the State Historic Preservation Office (SHPO) and/or the Tribal Historic Preservation Office (THPO)
- Required if the project or action is an *undertaking* with potential to cause effects (change character or use) of historic properties

**Historic Property Examples**

- Prehistoric or historic district, site, building or structure
- Artifacts, records, and remains related and located within such properties

### What is an ‘Undertaking’?

An undertaking is any project, activity, or program funded in whole or in part by a Federal agency, including those

- carried out by or on behalf of a Federal agency
- carried out with Federal financial assistance
- requiring a Federal permit, license, etc

If the undertaking has no potential to cause effects on historic properties, the agency official has no further obligations under section 106 if SHPO concurs

### Grantee Responsibility

- Provide SHPO description of the undertaking and establish Area of Potential Effects (APE)
- Determine if historic features are present and evaluate for effects (include photographs, maps, and drawings)

### SHPO Responsibility

Provide a written response: (1) agreement with a finding of no historic properties present or (2) no adverse effects on historic properties or (3) determine actions that the agency can take to avoid, minimize or mitigate for adverse effects.

	<b>Historic and Cultural Compliance</b>
Congressional Acts	National Historic Preservation Act
Federal Regulations	36 CFR part 800 Protection of Historic Properties

<p style="text-align: center;"><b>Review Undertakings</b></p> <hr/> <p>Reference: 36 CFR 800.5 a 2</p> 	<p>A description of the undertaking and its area of potential effects, including photographs, maps, and drawings may be provided to SHPO.</p> <p>The grantee has completed the consultation and compliance process if the SHPO/THPO agrees with a proposed finding of no adverse affect. Failure of the SHPO/THPO to respond within 30 days from receipt of the proposed finding shall be considered agreement of the SHPO/THPO with the finding.</p>
<p style="text-align: center;"><b>National Historic Preservation Act</b></p> 	<p>If a State is advised by the SHPO that an undertaking will adversely affect a property that is eligible for or listed on the National Register, the State shall ask the appropriate Regional Director to determine measures for mitigating or avoiding impacts. This may require the development of a memorandum of agreement among the Service, State, and State Historic Preservation Officer to address specific measures that will be employed to avoid or minimize adverse effects.</p>
<p style="text-align: center;"><b>National Historic Preservation Act</b></p> 	<p>Have participants work in groups to determine if the listed undertakings on page 5 c 2 require consultation with SHPO. Discuss results as a group. Debrief exercise by suggesting that the following questions be asked when considering whether or not consultation is required:</p> <p>Has the project area been previously disturbed?          Has consultation been done in the past for the project site?          Are historic features present?          Will the historic feature or property be altered in such a way that may compromise its historic integrity?</p>

	<h2 style="margin: 0;">Exercise: Review Undertakings</h2>
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Work with a partner and consider the following undertakings and determine if consultation with SHPO is required? ***Federal Regulations > 36 CFR 800.5 a 2***

Proposed Undertaking	SHPO consultation required? (Yes or No)
Boat ramp maintenance	No
Electroshocking for fish	No
Sale of federally assisted property containing historic buildings	Yes
Barn roof replacement	Yes
Coordination of Federal Grant	No
Paving an existing gravel parking lot	No

A description of the undertaking and its area of potential effects, including photographs, maps, and drawings may be provided to SHPO. SHPO has an obligation to provide a written response either indicating they agree with the grantees proposed finding of no adverse affects on historic properties or determine actions that the agency can take to resolve adverse effects. Consultation results are included with grant documentation.

Notes:

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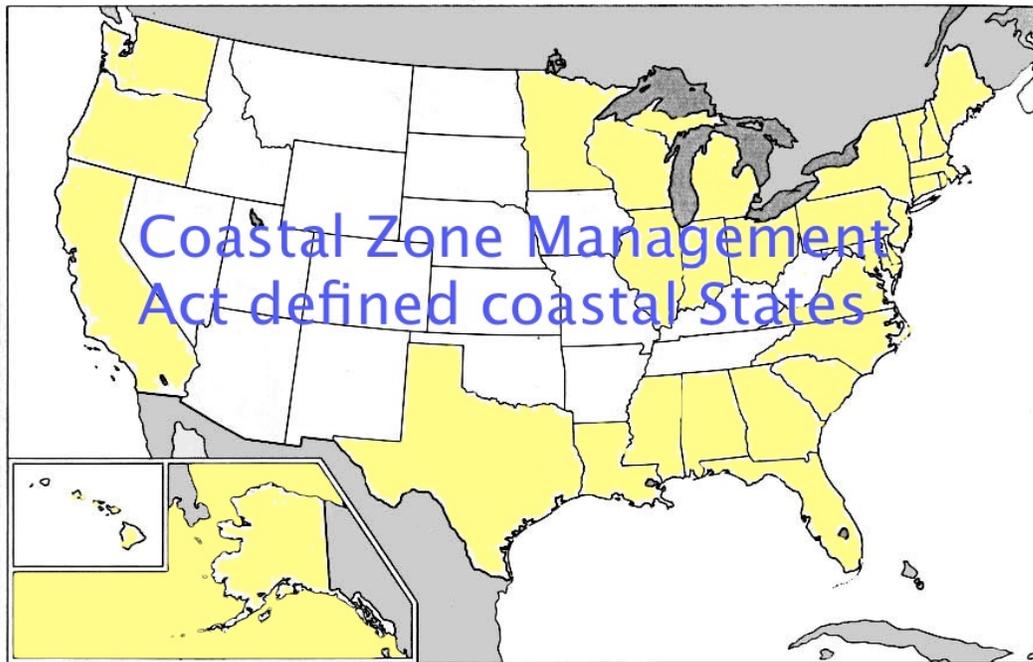
<p>Coastal Zone Management Act</p>  <p>31</p>	<p>Instructor Notes .</p>
<p><b>Coastal Zone Management Act</b></p> <ul style="list-style-type: none"><li>◆ Apply to Coastal States<ul style="list-style-type: none"><li>◆ Coastal states</li><li>◆ Great Lake States</li><li>◆ US Territories and Commonwealths</li></ul></li><li>◆ Encouraged Coastal States to develop coastal zone management plans<ul style="list-style-type: none"><li>◆ Plans funded by Federal grants</li></ul></li><li>◆ Plans approved by Federal government</li></ul>	<p>Instructor Notes</p>
<p><b>Coastal Zone Management Act</b></p> <ul style="list-style-type: none"><li>◆ Plan requirements:<ul style="list-style-type: none"><li>◆ Define boundaries of coastal zone.</li><li>◆ Identify the uses that are to be regulated by the State.</li></ul></li><li>◆ The mechanism for controlling uses:<ul style="list-style-type: none"><li>◆ Criteria.</li><li>◆ Standards.</li><li>◆ Regulation.</li></ul></li></ul>	
<p><b>Coastal Zone Management Act</b></p> <p>Federal Grant Requirements</p> <p>Federal actions must be conducted in a manner consistent with the Federal approved plan</p>	

## Coastal Zone Management

The Coastal Zone Management Act of 1972 encouraged coastal States, Great Lake States, and US territories and commonwealths (collectively referred to as coastal states) to establish a voluntary national program to develop and implement coastal zone management plans.

Funds were authorized for cost-sharing grants to States to develop their programs. Subsequent to Federal approval of their plans, grants would be awarded for implementation purposes. In order to be eligible for Federal approval, each State's plan was required to define boundaries of the coastal zone, identify the uses of the area to be regulated by the State, the mechanism (criteria, standards or regulations) for controlling such uses, and the broad guidelines for priorities of uses within the coastal zone.

In addition, law established a system of criteria and standards for requiring that **Federal actions be conducted in a manner consistent with the Federally approved plan.** Federal agency activities that have reasonably foreseeable effects on any land or water use or natural resource of the coastal zone must be consistent to the maximum extent practicable with enforceable policies of a coastal state's federally approved coastal management program.



	<b>Coastal Zone Management Act</b>
ACT	Coastal Zone Management Act

<p><b>Project Dependant Compliance</b></p> <ul style="list-style-type: none"><li>◆ Permits</li><li>◆ Engineering Diagrams</li><li>◆ Appraisals</li><li>◆ Third Party Agreements</li><li>◆ Statement of Assurances</li><li>◆ EO 12372</li><li>◆ Lobbying</li></ul>  <p>Service Manual 522 FW 3 - 15</p>  <p>24</p>	<p>Instructor notes</p>

## Additional Project Dependent Compliance

The work being performed in the grant or the project type may have specific project dependent compliance that must be considered and documented in the grant application package or other phases of the grants management process. Project leaders should consult the applicable Service Manual chapters Part 522.

- Permits
- Engineering Diagrams
- Appraisals
- Third Party Agreements
- Statement of Assurances
  - SF 424 B Non-Construction
  - SF 424 D Construction & Land Acquisition
  - Filed on an Annual Basis with the Regional Office
  - Required with each Competitive Grant Submission
- Intergovernmental Review of Federal Programs (EO 12372)
  - State Single Point of Contact
- Lobbying
  - SF-LLL Disclosure of Lobbying Activities

*Federal funds cannot be used by the grantee or paid by the grantee to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, and officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.*

*Funds other than Federal funds may be used for lobbying. However, if any funds other than Federal funds have been paid or will be paid to any person for lobbying the grantee must complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.*

Notes:

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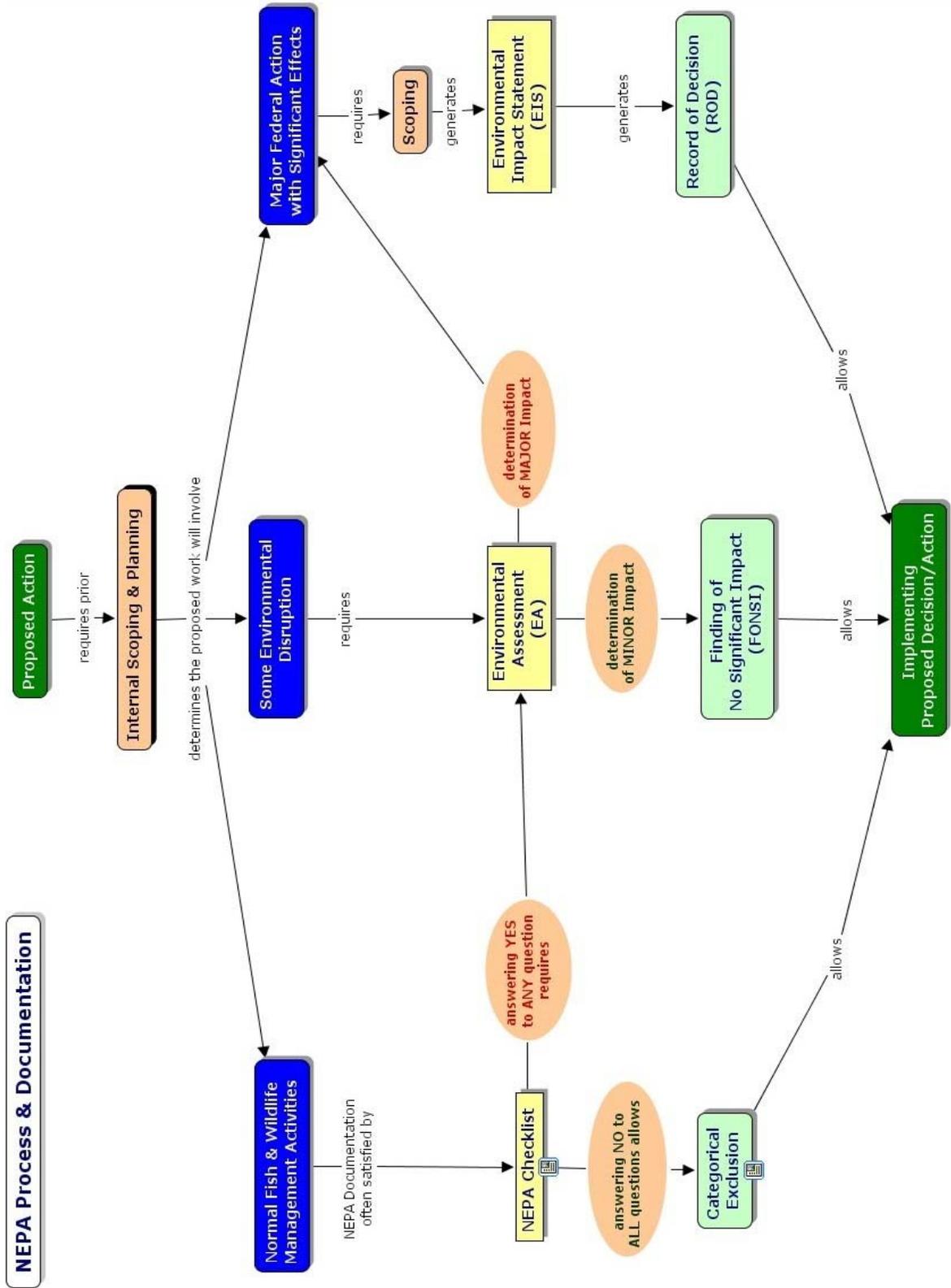
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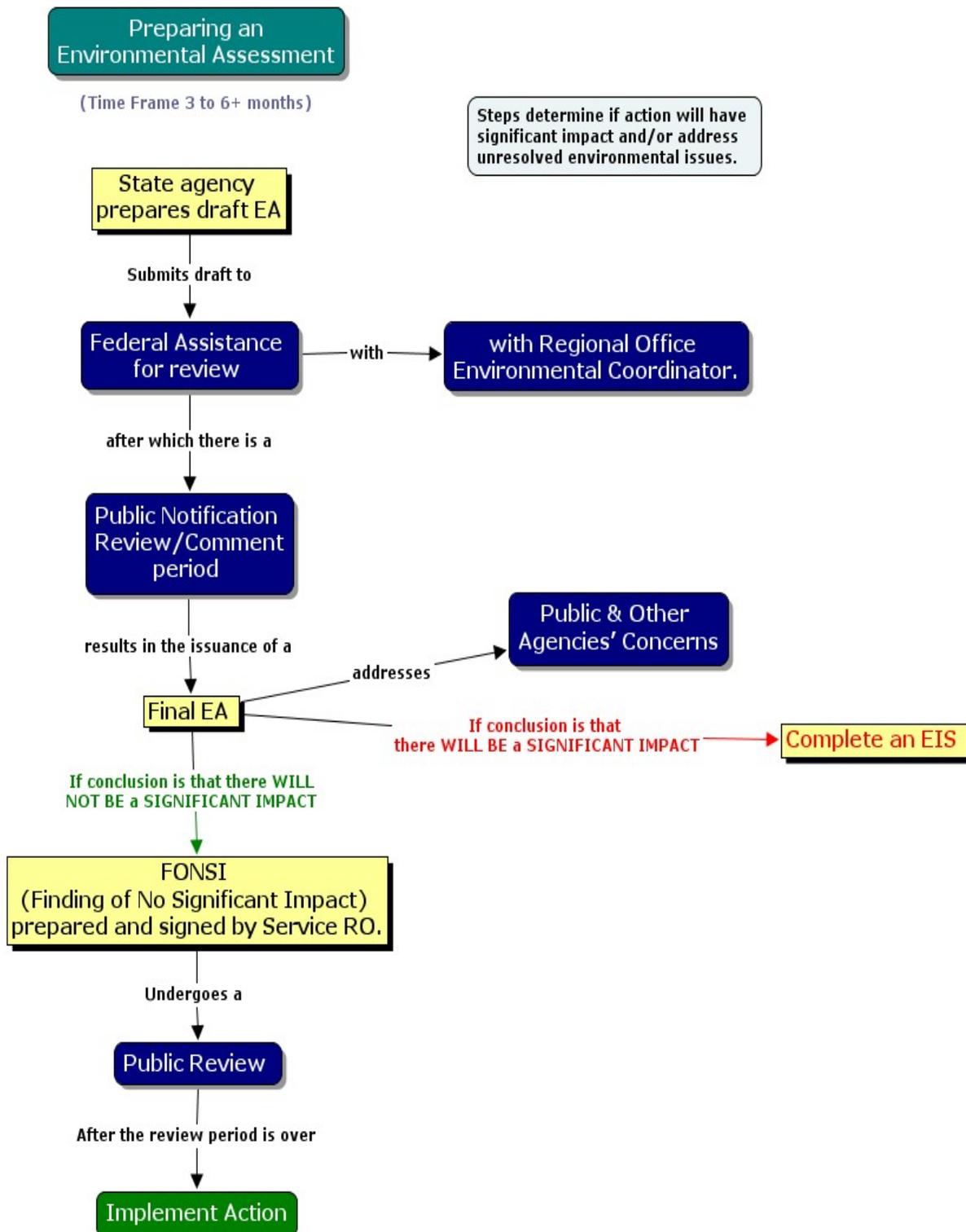
	<p>Review learning points.</p> <p>More about NEPA/Section 7 or go to Pre-Award.</p> <p>Now that we have an idea of the compliance requirements that exist during the grant process, in the next module we'll begin Pre-Award, actually looking at the documents and considerations when applying for a grant.</p>



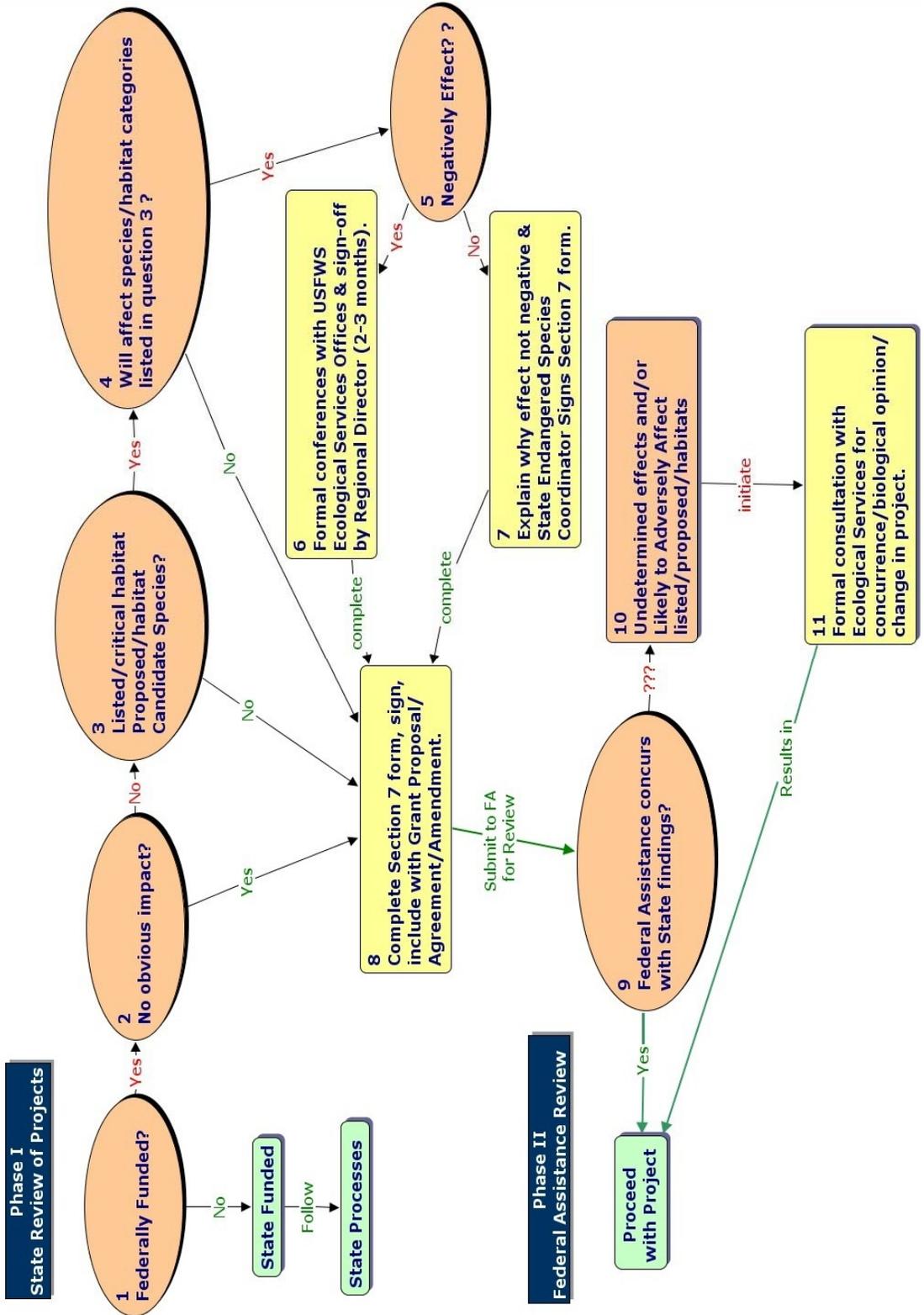
## Learning Points

- ✓ The NEPA process is assessing a project's impact on the human environment
- ✓ Federal funds cannot be used on a project until a NEPA decision is made and documented
- ✓ The three types of documentation processes are Categorical Exclusion, Environmental Assessment, and Environmental Impact Statement
- ✓ The scope, potential for significant impact on the human environment, and the public interest and/or controversy of a project will determine the documentation process
- ✓ The NEPA process requires documenting the effect a project has on endangered species
- ✓ The Section 7 process supports the NEPA decision
- ✓ Establishing a record of action is important to the continuity of the grant if it comes under legal review
- ✓ National Historic Preservation Act requires federal agencies to take into account the effects of their undertakings on historic properties
- ✓ Compliance requirements will vary depending upon the grant program and project type





**Section 7 Compliance Process**



**APPENDIX 2****Categorical Exclusions: Extraordinary Circumstances**

Extraordinary circumstances exist for individual actions within CXs which may:

- 2.1 Have significant impacts on public health or safety.
- 2.2 Have significant impacts on such natural resources and unique geographic characteristics as historic or cultural resources; park, recreation or refuge lands; wilderness areas; wild or scenic rivers; national natural landmarks; sole or principal drinking water aquifers; prime farmlands; wetlands (Executive Order 11990); floodplains (Executive Order 11988); national monuments; migratory birds; and other ecologically significant or critical areas.
- 2.3 Have highly controversial environmental effects or involve unresolved conflicts concerning alternative uses of available resources [NEPA Section 102(2)(E)].
- 2.4 Have highly uncertain and potentially significant environmental effects or involve unique or unknown environmental risks.
- 2.5 Establish a precedent for future action or represent a decision in principle about future actions with potentially significant environmental effects.
- 2.6 Have a direct relationship to other actions with individually insignificant but cumulatively significant environmental effects.
- 2.7 Have significant impacts on properties listed, or eligible for listing, on the National Register of Historic Places as determined by either the bureau or office.
- 2.8 Have significant impacts on species listed, or proposed to be listed, on the List of Endangered or Threatened Species, or have significant impacts on designated Critical Habitat for these species.
- 2.9 Violate a Federal law, or a State, local, or tribal law or requirement imposed for the protection of the environment.
- 2.10 Have a disproportionately high and adverse effect on low income or minority populations (Executive Order 12898).
- 2.11 Limit access to and ceremonial use of Indian sacred sites on Federal lands by Indian religious practitioners or significantly adversely affect the physical integrity of such sacred sites (Executive Order 13007).
- 2.12 Contribute to the introduction, continued existence, or spread of noxious weeds or non-native invasive species known to occur in the area or actions that may promote the introduction, growth, or expansion of the range of such species (Federal Noxious Weed Control Act and Executive Order 13112).

6/21/05 #3675

Replaces 5/27/04 #3612

**NATIONAL PARK SERVICE**  
**NATIONAL REGISTER CRITERIA FOR EVALUATION**

Criteria for Evaluation

The quality of significance in American history, architecture, archeology, engineering, and culture is present in districts, sites, buildings, structures, and objects that possess integrity of location, design, setting, materials, workmanship, feeling, and association, and:

- A. That are associated with events that have made a significant contribution to the broad patterns of our history; or
- B. That are associated with the lives of significant persons in or past; or
- C. That embody the distinctive characteristics of a type, period, or method of construction, or that represent the work of a master, or that possess high artistic values, or that represent a significant and distinguishable entity whose components may lack individual distinction; or
- D. That have yielded or may be likely to yield, information important in history or prehistory.

**Criteria Considerations:**

Ordinarily cemeteries, birthplaces, graves of historical figures, properties owned by religious institutions or used for religious purposes, structures that have been moved from their original locations, reconstructed historic buildings, properties primarily commemorative in nature, and properties that have achieved significance within the past 50 years shall not be considered eligible for the National Register. However, such properties will qualify if they are integral parts of districts that do meet the criteria or if they fall within the following categories:

- a. A religious property deriving primary significance from architectural or artistic distinction or historical importance; or
- b. A building or structure removed from its original location but which is primarily significant for architectural value, or which is the surviving structure most importantly associated with a historic person or event; or

- c. A birthplace or grave of a historical figure of outstanding importance if there is no appropriate site or building associated with his or her productive life; or
- d. A cemetery that derives its primary importance from graves of persons of transcendent importance, from age, from distinctive design features, or from association with historic events; or
- e. A reconstructed building when accurately executed in a suitable environment and presented in a dignified manner as part of a restoration master plan, and when no other building or structure with the same association has survived; or
- f. A property primarily commemorative in intent if design, age, tradition, or symbolic value has invested it with its own exceptional significance; or
- g. A property achieving significance within the past 50 years if it is of exceptional importance.
  - This exception is described further in NPS "How To" #2, entitled "How to Evaluate and Nominate Potential National Register Properties That Have Achieved Significance Within the Last 50 Years" which is available from the National Register of Historic Places Division, National Park Service, United States Department of the Interior, Washington, D.C. 20240.

**Section 106 of National Historic Preservation Act**

Area of Potential Effects (APE) means the geographic area or areas within which an undertaking may directly or indirectly cause alterations in the character or use of historic properties, if any such properties exist. The APE is influenced by the scale and nature of an undertaking and may be different for various kinds of effects caused by an undertaking.

Important points to consider when establishing an APE:

- The APE is determined before the systematic identification of historic properties begins. Accordingly, all of the historic properties in the project vicinity need not be known to initially establish the APE. It is important at this point to thoroughly understand the undertaking and the nature of its potential effects.
- The determination of the APE must include indirect as well as direct effects.
- An APE need not be a single contiguous area but may consist of more than one area, depending on the specific features of the undertaking.
- The determination of the APE should address all project alternatives. Different alternatives may have different APE's. Also, the APE need not be uniform for all kinds of effects; a single undertaking may have different APE's for different kinds of effects.
- An APE is not defined or limited by boundaries of land ownership.
- An APE should be envisioned in three dimensions and must include all areas of horizontal and vertical ground disturbance.
- The determination of the APE must be reconsidered if there are changes to the undertaking during project development. The APE may need to be modified or changed (e.g., expanded or contracted) during the course of an undertaking and if so, additional consultation may be necessary. Any subsequent changes to the APE shall be documented.

In the event the Applicant determines, or the SHPO/THPO recommends, that an alternative APE is necessary, the Applicant and the SHPO/THPO may mutually agree to an alternative APE.



August 28, 2009

MEMORANDUM

TO: State Historic Preservation Officers  
Tribal Historic Preservation Officers

FROM: Catherine R. Zoi   
Assistant Secretary  
Energy Efficiency and Renewable Energy

SUBJECT: Memorandum from EERE Regarding Delegation of Authority for Section 106 Review of Undertakings, Assisted by the U. S. Department of Energy, Office of Energy Efficiency and Renewable Energy

The Department of Energy (DOE), through the Office of Energy Efficiency and Renewable Energy (EERE), provides financial assistance to states, U.S. territories, units of local government, and Indian Tribes through the Energy Efficiency and Conservation Block Grant (EECBG) Program, Weatherization Assistance Program (Weatherization), and State Energy Program (SEP). Attached hereto is a one-page summary of the three programs. Additional program information is available at the following links: <http://www.eecbg.energy.gov/>; <http://apps1.eere.energy.gov/wip/weatherization.cfm>; [http://apps1.eere.energy.gov/state\\_energy\\_program/](http://apps1.eere.energy.gov/state_energy_program/).

Through this memorandum, DOE intends to formalize the role of the States and DOE's award recipients (Applicants) to assist DOE in carrying out its Section 106 compliance responsibilities. In order to streamline DOE's compliance with Section 106 and its implementing regulations, "Protection of Historic Properties" (36 CFR Part 800), EERE is authorizing its Applicants under the EECBG, Weatherization, and SEP programs to initiate consultation pursuant to 36 CFR § 800.2(c) (4). Effective immediately, EERE Applicants and their authorized representatives may consult with the State Historic Preservation Officers (SHPOs) and Tribal Historic Preservation Officers (THPOs) to initiate the review process established under 36 CFR Part 800 and to carry out some of its steps. Specifically, EERE Applicants are authorized to gather information to identify and evaluate historic properties, and to work with consulting parties to assess effects. EERE retains responsibility to document its findings and determinations in order to appropriately conclude Section 106 review.

EERE also remains responsible for initiating government-to-government consultation with federally recognized Indian Tribes. EERE's responsibility to consult on a government-to-government basis with Indian Tribes as sovereign nations is established through specific authorities and is explicitly recognized in 36 CFR Part 800. Accordingly, EERE may not delegate this responsibility to a non-federal party without



the agreement of the Tribe to do so. Where no such agreement exists, EERE will initiate tribal consultation.

Authorized Applicants must notify EERE whenever:

- Either the EERE Applicant or the SHPO/THPO believes that the Criteria of Adverse Effect pursuant to 36 CFR § 800.5, apply to the proposal under consideration by EERE;
- There is a disagreement between an Applicant, or its authorized representative, and the SHPO/THPO about the scope of the area of potential effects, identification and evaluation of historic properties and/or the assessment of effects;
- There is an objection from a consulting party or the public regarding their involvement in the review process established by 36 CFR Part 800, Section 106 findings and determinations, or implementation of agreed upon measures; or
- There is the potential for a foreclosure situation or anticipatory demolition as defined under 36 CFR § 800.9(b) and 36 CFR § 800.9(c), respectively.

EERE will participate in the consultation when such circumstances arise.

EERE expects its Applicants that are so authorized, to involve consulting parties in Section 106 findings and determinations and to carry out the exchange of documentation and information in a respectful, consistent and predictable manner. Technical assistance is available to Applicants from EERE regarding the coordination of Section 106 reviews, if needed.

If you have any questions, please contact Dr. F. G. (Skip) Gosling, DOE Federal Preservation Officer/Chief Historian, Office of History and Heritage Resources, (202) 586-5241 or [skip.gosling@hq.doe.gov](mailto:skip.gosling@hq.doe.gov) or Steven P. Blazek, NEPA Compliance Officer, (303) 275-4723 or [steve.blazek@go.doe.gov](mailto:steve.blazek@go.doe.gov).

## *Effectively Managing the Section 106 Consultation Process*

Complying with Section 106 of the National Historic Preservation Act requires careful planning, consultation with interested parties, and weighing of project alternatives to avoid or minimize damage to significant historic properties.

If you are involved in planning or approving Service restoration, construction, or other projects that may effect cultural resources, the following points will help in navigating the Section 106 review process:



***Initiate the Section 106 process early in project planning.*** This allows maximum flexibility in designing projects to avoid impacts to significant sites. Make certain to involve your Regional Historic Preservation Officer as early in the process as possible.



***The Section 106 process requires open, good faith consultation*** with Indian tribes, Native Hawaiian organizations, State Historic Preservation Officers, and other interested parties. Remember that the Service is, in essence, a “trustee” of many historic and traditional cultural sites on its national wildlife refuges and national fish hatcheries that are important to local communities and tribes.



***The Section 106 regulations, 36 CFR 800, do not mandate an outcome or a determination that all historic properties be preserved.*** Rather, the review process is collaborative, seeking the input and perspectives of various parties to ensure that reasonable alternatives have been carefully examined and that important historic and cultural values are protected. The final decision on proceeding with undertakings rests with the Federal agency (FWS). Federal agencies have successfully integrated the Section 106 process into their agency missions for over 25 years. Rarely is a project stopped due to unresolvable conflicts with cultural resources.



***Overall responsibility for complying with Section 106 cannot be delegated.*** The Service is responsible for ensuring that the Section 106 process has been completed satisfactorily for agency undertakings. For large undertakings involving multiple Federal agencies, it is acceptable to designate a lead agency for complying with the National Historic Preservation Act.



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## *The Steps in the Section 106 Process*

**Define an undertaking:** Under the terms of Section 106, the Service must determine whether it has an undertaking that could result in changes in the character or use of historic resources which are eligible for listing on the National Register of Historic Places (see page 7 of this chapter for legal and regulatory definitions of Undertaking).

**Define the area of potential effects:** If the proposed activity does constitute an undertaking, the Service must identify the geographic extent of the area which may be impacted by the undertaking, in other words, the area of potential effects (APE) (see page 8 of this chapter for the definition of APE and guidelines to determining it).

**Identify and evaluate historic properties:** By reviewing background information, consultation with SHPO and others, and conducting field survey for the APE, the Service considers the presence of any buildings, structures, archaeological sites, or sacred or traditional sites. Previously unevaluated historic properties must be evaluated to determine their eligibility for listing to the National Register.

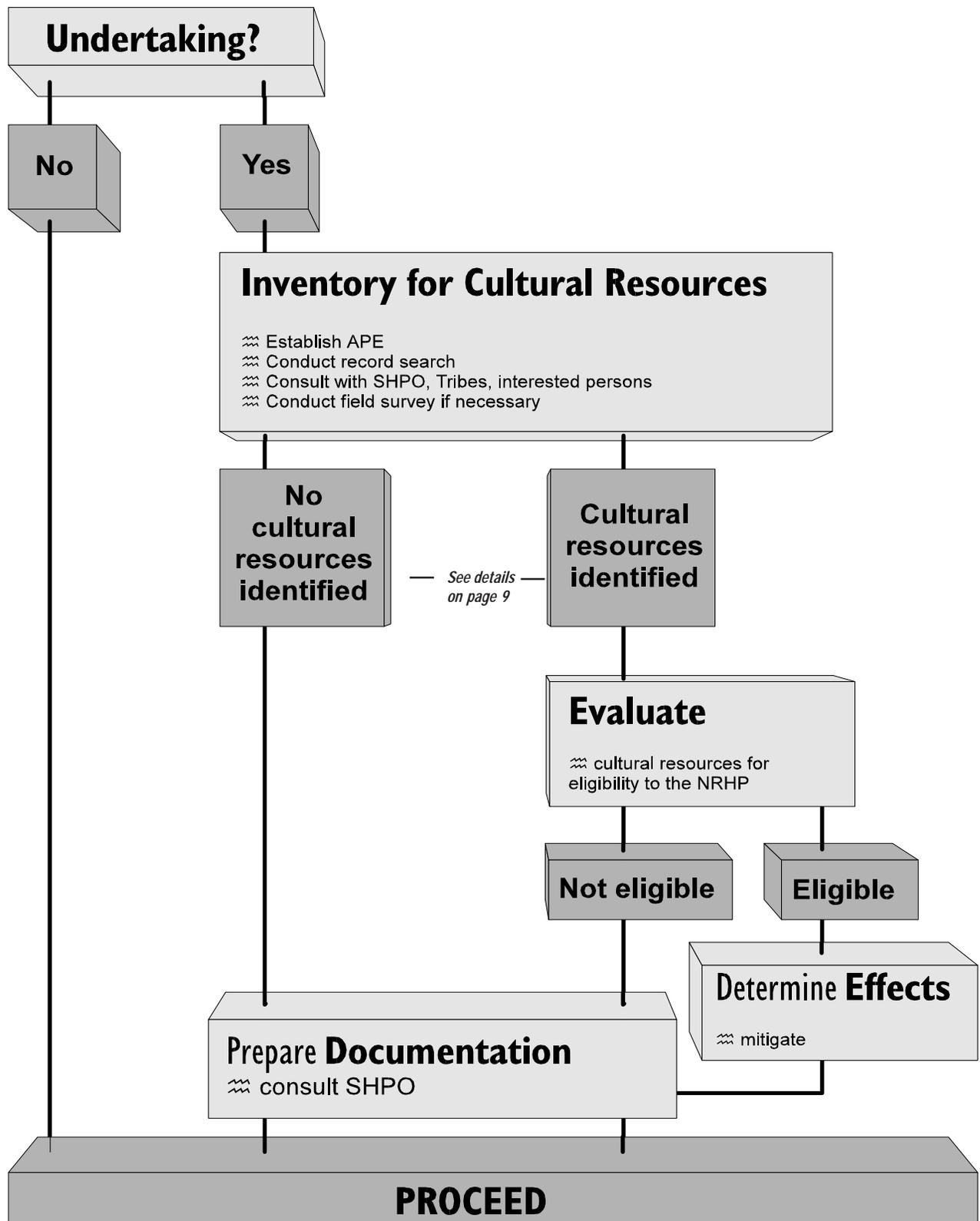
**Assess effects:** If listed or eligible properties are identified, the Service must assess the potential effects of the proposed undertaking on the resource. Working with SHPO and other interested parties, the Service determines that a) the undertaking will not effect historic properties-no effect, b) the undertaking will effect an historic property, but the effect will not be harmful- no adverse effect, or c) the undertaking will have a harmful effect on an historic property- adverse effect.

**Consultation to Mitigate Adverse Effects:** In the event of an adverse effect determination, the Service consults with SHPO and others to identify ways to mitigate the harmful effects of the undertaking. This consultation process should result in the development of a Memorandum of Agreement (MOA) which identifies the steps the Service will take to reduce, avoid, or mitigate the adverse effect.

**Council comment:** The Service must provide the Advisory Council on Historic Preservation (ACHP) an opportunity to comment and participate in the development and signing of an MOA resulting from an adverse effect determination.

**Proceed/Implement MOA:** If the Service determines that historic properties in the APE will receive no effect or no adverse effect from the proposed undertaking, the project proceeds as planned. If an adverse effect determination has resulted in the development of an MOA, the Service may proceed with the undertaking under the terms of the MOA.

## Diagram of the Section 106 Process





## The Role of the Cultural Resources Staff in Section 106

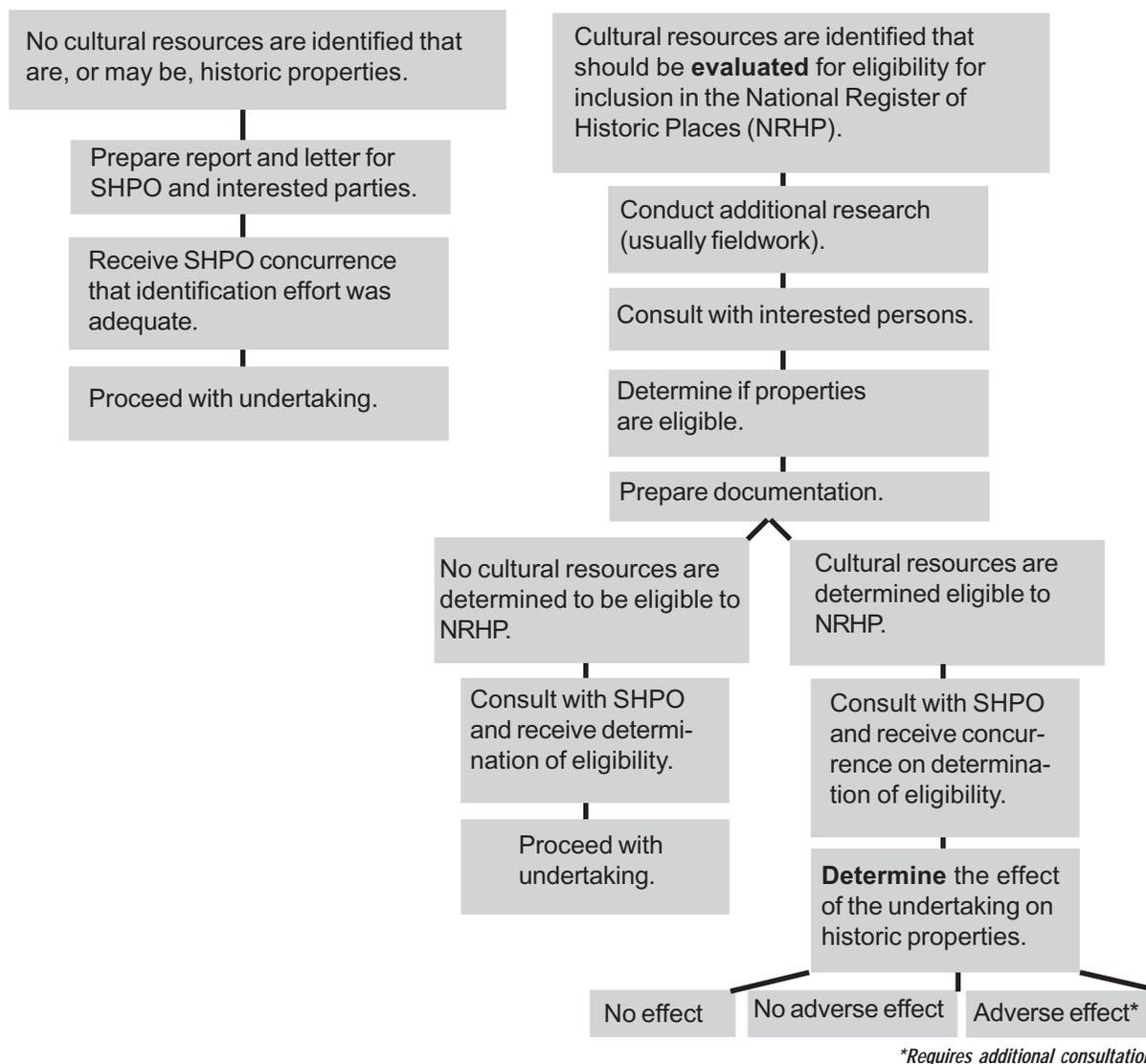
### Identification Process

Under NHPA, the Service must make a reasonable and good faith effort to identify historic properties before implementing an undertaking. The role of your cultural resources specialist(s) is to conduct this identification process and the subsequent evaluation, effect determination, and reporting in compliance with the law.

***This responsibility rests squarely with the Federal Agency and cannot be delegated to another party except by written agreement.*** The agency can solicit the help of applicants, contractors, or others to carry out this work, but it is up to the agency to see that the work is carried out properly and to make appropriate use of the results.

### Evaluation, Effect Determination, and Reporting

Upon completion of an **identification** effort in the Area of Potential Effects (APE), there are two possible outcomes.



*\*Requires additional consultation*

Revised 7/12/2013

Filename: s:\federalaid\courses\ilt\plc2012\base plc 2012\workbook\7-preaward.doc

Enter Name of Course:  
**Project Leaders Course**

Enter Tab Number:  
**5**

Handouts:

Example grant application package

<p><b>PROJECT LEADERS COURSE</b></p> <p>Tab 5: Pre-Award: Grant Application Package</p>  <p>51</p>	<p>Review objectives for topic.</p> <p>Once the State has identified the need and decides to apply for a grant, the grant application package must be completed and submitted. The State decides whether to submit the package electronically or use paper forms. Currently no mandate exists to submit in one format or another.</p> <p>We know that we must submit the project statement in the grant package and the elements that must be included in it.</p> <p>Now we will identify the remaining documents that must be submitted in the grant application package.</p>
<p><b>Grants Management Process</b></p>  <p>45</p>	

## **Pre-Award: The Grant Application Package**

### **Objectives:**

1. Identify and explain the purpose of the various components of the grant application package
2. Determine the need for inclusion of compliance and other supporting documents
3. Discuss the estimated costs of the project

<p><b>Grant Application Package</b> Examining the Grant Application Package</p> <p>Reference: 522 FW 1 (appendix 1)</p>  <p>53</p>	<p>In the following exercise we're going to examine the documents submitted for our example grant assuming they were submitted using paper documents.</p>
<p>Debrief:</p> <p>In the exercise you used the FW Manual 522 FW 1 Standards for Administrative and the CFR for the grant program. If other grant program review CFR for specific grant. You will want to address additional ranking criteria for competitive grants or other requirements for applying, ES – coop agreement, SWG – plan, etc.</p> <p>Budget info to make substantial in character &amp; design determination and to obligate funds by subprogram, SHPO, permits or other compliance issues must be addressed for any projects that will be funded.</p> <p>May also have to include SF-LLL to disclose lobbying with funds other than federal.</p> <p>If land acquisition may need to provide appraisals, surveys, title vesting certificate, deed, statement of just compensation.</p> <p>If construction may need to provide drawings and engineering designs.</p> <p>May see old forms in previous grant documents <b>no longer required</b> as of 10/1/06: DI-2010 Certification form, NEPA Checklist, Section 7 form</p>	



## Exercise: The Grant Application Package

Use the Toolkit to review **522 FW 1 (appendix 1)** Standards for Administration in the Service Manual Chapters. Compare the example grant application package to the description found in the guidance. Work with your tablemates and answer the following questions:

1. List the documents required in a grant application package. Cite the references used.

Application for Wildlife and Sport Fish Restoration Program, Form SF 424

Project Statement

Budget Information or Budget Form

Statement of Assurances, Form SF 424B or SF 424D (annually for all grants)

State Process documents under E.O. 12372 (Clearinghouse to reduce duplication of effort or conflicts on ;land use.) single point of contact

Supporting documents depending on grant program & project type

Cite CFR for program – WR 50 CFR 80.11, additional documents from

FW Service Manual based on project type. Supporting documents

or information needed to meet compliance requirements. NEPA/Sec 7.

2. Are all of the necessary forms and documents included in the sample grant application package (handouts)? Missing?

If participant says something is missing or extra ask them to cite reference

that supports that the document be included or excluded from the package.

Assurances may be submitted one time annually for all grant applications.

SF-LLL may be included if State is using State funds to lobby.

State Clearinghouse may be included if State has a SPOC.

NEPA/Section 7 information or documentation depending on regional

process. Depending on project type other documents may be included

SHPO, permits, etc. Budget document may also be included if costs are not

in project statement or use SF 424 A or C. (drawings, appraisals, permits)

<p style="text-align: center;"><b>Assemble Grant Application Package</b></p> <p>Documents Included?</p> <ul style="list-style-type: none"><li>☐ SF-424</li><li>☐ Project Statement</li><li>☐ Budget Information</li><li>☐ Assurances</li><li>☐ State Process Documents</li><li>☐ Compliance Documentation</li><li>☐ Other Documents</li></ul> <p style="text-align: right;">54</p>	<p>Let's identify and assemble the grant application package.</p> <p>After we identify these documents we'll take a closer look at the critical information on the SF 424.</p> <p>To identify documents, have participants give handout number assigned to each document and briefly discuss.</p> <p>SF 424 – Various SF 424s in Toolkit &amp; on grants.gov. Will discuss when we take a closer look at info on SF-424.</p> <p>SF 424 also includes assurances and budget forms. State may use their own version of budget form.</p>
<p>Project Statement – covered earlier</p> <p>Budget documents may be included in package. Estimated costs may be shown on project statement or on separate budget sheet. State may also choose to give information for subsequent years – previously submitted on a 5 year AWSFR. Budget info used to make substantial in character &amp; design determination.</p> <p>Ask participants if they remember the compliance discussion from earlier in the day? Do we have any supporting documents included in our grant application package? Have we considered all the compliance issues associated with the grant program and project type?</p> <p>Statement of Assurances, Non-Construction/Construction (discussed in compliance) submitted annually</p> <p>NEPA Checklist and Section 7 documented in project statement.</p> <p>State Process Documents Clearinghouse – EO 12372 Intergovernmental Review corresponds with check box on SF 424. SPOC list on OMB website. <a href="http://www.whitehouse.gov/omb/grants/spoc.html">http://www.whitehouse.gov/omb/grants/spoc.html</a></p> <p>Go through each type of compliance and ask participants if it has been considered. Some may be documented in pre-award phase others may need to be considered for future phases if/when grant is awarded and documented later in grants management process.</p>	

### Assemble the Grant Application Package

Using the following as a grant application package checklist.

<b>Documents</b>	<b>Included?</b>
SF - 424	
Project Statement	
Budget Information	
Assurances	
State Process Documents	
Compliance Documentation	
Other Documents	

	<p>During Pre-Award phase the Grant Application Package is submitted by the grantee and reviewed by WSFR RO.</p> <p>Communication takes place between the grantee and WSFR Regional Office.</p> <p>Grants are usually approved after all information and documentation is received by the RO for the apportioned grant programs.</p> <p>Since the competitive grants are awarded based on ranking criteria, grants submitted for these programs may not be selected for funding.</p>
	<p>Review:</p> <p>Up to this point we've reviewed the grant application package including the project statement.</p> <p>After the WSFR Regional Office has approved our grant application the grant is awarded. In the next module we'll discuss the Award phase of the grants management process.</p>



**Learning Points**

- ✓ The Grantee/State is responsible for submitting the correct documentation
- ✓ Grants cannot be approved without the submission of the appropriate documents. Documents may vary depending on regional/state and program/project requirements
- ✓ Grant application is submitted to the Wildlife and Sport Fish Restoration Program Regional Office for review and approval or selection based on competitive process

**STATE OF GRACE**  
DEPARTMENT OF CONSERVATION  
200 Bluebird Way  
Essex, Grace 30001

OFFICE OF THE DIRECTOR

101-202-3344  
FAX 101-222-3434

May 15, 2014  
Mr. Bob White  
Federal Assistance  
U.S. Fish & Wildlife Service  
Albuquerque, NM 12345

Dear Mr. White:

I am writing in reference to the Application for Federal Assistance for:

**Grace Basic Hunter Education Student Training**

The purpose of this project is to meet the statewide demand to provide basic hunter education courses for all first time hunters in the State of Grace to ensure safe and responsible participation in hunting.

I have enclosed an Application for Federal Assistance, project narrative, and documents regarding compliance with the National Environmental Policy Act, Section 7 of the ESA and the National Historic Preservation Act. We request a start date of July 1, 2014.

We request approval for the full grant amount of \$355,000 of which (\$266,250) is the Federal share, (\$88,750) is the State share.

Thank you for your time reviewing this grant application.

Ed U. Cator  
Project Leader  
Grace Department of Conservation

**APPLICATION FOR FEDERAL ASSISTANCE**

Version 7/03

1. TYPE OF SUBMISSION: Application <input type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction		Pre-application <input type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction	2. DATE SUBMITTED 05/15/2014	Applicant Identifier
5. APPLICANT INFORMATION			3. DATE RECEIVED BY STATE	State Application Identifier W-777-E
Legal Name: State of Grace			4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier
Organizational DUNS: 123456789		Organizational Unit: Department: Department of Conservation		
Address: Street: 200 Bluebird Way		Division: Fish and Wildlife		
City: Essex		Name and telephone number of person to be contacted on matters involving this application (give area code)		
County: Branch		Prefix:	First Name: Ed	
State: Grace		Middle Name U		
Zip Code 30001		Last Name Cator		
Country: United States		Suffix:		
6. EMPLOYER IDENTIFICATION NUMBER (EIN): 31-00000000		Email: Educator@Grace.gov		
8. TYPE OF APPLICATION: <input type="checkbox"/> New <input checked="" type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) (See back of form for description of letters.)		7. TYPE OF APPLICANT: (See back of form for Application Types) A. State Other (specify)		
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: 15-611		9. NAME OF FEDERAL AGENCY: U.S. Department of Interior, Fish and Wildlife Service		
TITLE (Name of Program): Wildlife Restoration Basic HE		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: Grace Basic Hunter Education Student Training		
12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.): Statewide		14. CONGRESSIONAL DISTRICTS OF: a. Applicant 25 b. Project 32		
13. PROPOSED PROJECT Start Date: 07/01/2014 Ending Date: 06/30/2015		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS? a. Yes. <input type="checkbox"/> THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE: b. No. <input checked="" type="checkbox"/> PROGRAM IS NOT COVERED BY E. O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW		
15. ESTIMATED FUNDING:		17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes" attach an explanation. <input checked="" type="checkbox"/> No		
a. Federal	\$	266,250.00		
b. Applicant	\$			
c. State	\$	88,750.00		
d. Local	\$			
e. Other	\$			
f. Program Income	\$	3,500.00		
g. TOTAL	\$	358,500.00		
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.				
a. Authorized Representative				
Prefix	Mr.	First Name	Forest	Middle Name
Last Name	Game			Suffix
b. Title	Director			c. Telephone Number (give area code) (555) 777-9999
d. Signature of Authorized Representative	Forest Game			e. Date Signed 5/30/2014

## State of Grace Department of Conservation

**Project Title:** Grace Basic Hunter Education Student Training  
*WSFR Grant W-777-E*  
*Grant Program: Basic Hunter Education*  
*July 1, 2014 - June 30, 2015*

### **NEED:**

The State of Grace has enjoyed a rich hunting heritage throughout its history. Hunting provides benefits to the Grace economy, improves wildlife management in Grace and provides wildlife dependent recreation. Grace's abundance of natural habitat, public lands and bountiful game species allows for limitless opportunities for people to participate in hunting. Ironically, the State of Grace has experienced a 12% decline in hunting participation over the last two decades according to the 2006 National Survey on Wildlife Dependent Recreation conducted by the U.S. Fish and Wildlife Service. A survey of current, former and potential new hunters, performed by Grace State University in 2009, revealed that the mandatory hunter education course required for State of Grace first time hunters was a significant barrier to recruitment of new hunters. The survey identified that the number of basic hunter education courses offered annually in the State of Grace was grossly inadequate to meet the demand for all potential first time hunters. The survey revealed hunter dissatisfaction over the lack of courses offered at convenient locations and times throughout the year. It is imperative that Grace Fish and Game meet the statewide demand to provide basic hunter education courses for all first time hunters to sustain and enable participation in hunting. Failure to take action to meet the demand for hunter education will result in a continued decline in hunting participation and significantly jeopardize Grace's ability to sustain its rich hunting heritage.

### **PURPOSE:**

Improve student access to hunter education courses.

### **OBJECTIVES:**

- By June 30, 2015, conduct a minimum of 600 basic hunter education courses statewide as mandated for all first time hunters in the State of Grace through multiple delivery methods.
- Annually train and certify 30,000 - 34,000 students in basic hunter education.
- Annually develop and maintain a corps of 2400 volunteer hunter education instructors.
- By June 30, 2015, increase the volunteer instructor corps by 5%.

## **EXPECTED RESULTS & BENEFITS:**

- Customer demand for basic hunter education training fully satisfied.
- An increase in participation in hunting in the State of Grace by 30,000 hunters.
- An increase in hunting license sales by 30,000.
- The rich hunting heritage will be sustained in the State of Grace.
- An increase in the number of women and minorities participating in hunting.
- An increase in hunting participation should also result in an increase in hunting firearms and ammunition sales thereby increasing excise tax dollars in support of the Wildlife and Sport Fish Restoration Program.
- A well developed highly skilled and trained volunteer instructor corps.

## **APPROACH:**

Employ 3 full time professional personnel involved in the management and oversight of the state mandated basic Hunter Education program. Regional Hunter Education Division staff and Information and Education staff will be used to accomplish project objectives. Staff will develop, manage and provide support services for the ongoing operation of the state mandated basic Hunter Education program. Responsibilities include maintenance of a reliable state-of-the-art, customer-friendly student registration and record management system via web-based technology. Hunter education students will be able to locate and register for any hunter education class via the Internet. Volunteer instructors will be able to conveniently and efficiently manage student and course records. Hunter Education staff will acquire training equipment, event supplies and materials to conduct above programs and activities. Hunter Education staff will develop and implement multiple course delivery methods including instructor-led, home study and on-line courses. Courses will be added in strategic locations where demand is highest.

Education staff will be responsible for the recruitment, training and recognition of at least 2,400 volunteer instructors. This includes conducting a minimum of twelve (12) new instructor training workshops annually that provide standardized training on subjects such as: lesson plan development, records management, public speaking, learning styles & educational theory, use of teaching aids, interactive teaching methods, student evaluations, conducting skill-based training exercises, dilemma-style teaching methods, program policy and procedures, child protection and sexual harassment. To provide for the ongoing development and implementation of instructor training curricula and programs, staff will conduct at least twelve (12) in-service instructor training workshops for existing volunteer instructors to address ongoing and current training needs.

To maintain and develop a volunteer corps, staff will develop, acquire, distribute and maintain teaching aids, course materials, volunteer uniforms and equipment used in the recruitment, training, recognition and management of all hunter education program instructors. To maintain and develop volunteer instructor corps an incentive program for volunteer instructors will be developed and implemented whereby instructors will be presented awards based upon established performance standards, such as "number of classes taught", "number of training events attended", etc.

**USEFUL LIFE:** Not Applicable

**LOCATION:**

Statewide

**PRINCIPAL INVESTIGATOR:** Not Applicable

(Project leader is Grace hunter education coordinator: Ed U. Cator)

**ESTIMATED PROGRAM INCOME:** \$3,500 (Replacement training certificates fees)  
Apply through the deductive method.

**ESTIMATED COSTS:**

FEDERAL SHARE = \$266,250

STATE SHARE = \$88,750

Personnel Costs:

Salaries.....\$143,000

Benefits.....\$20,150

Training.....\$5,900

Operational Costs:

Computers and projectors.....\$6,250

Equipment trailer..... \$6,000

Educational supplies/services.....\$9,100

Incentive items.....\$4,500

Telephone/communication charges...\$4,100

In-Kind State Match.....\$156,000 (volunteer instructor services valued at base rate of pay of entry level education officer \$19.50/hour includes fringe)

TOTAL PROJECT COST =\$355,000

**MULTIPURPOSE PROJECTS:** Not Applicable

**RELATIONSHIP TO OTHER GRANTS:** Volunteer instructors once trained may be used for instructing advanced hunter education topics such as tree stand safety, turkey hunting, target shooting and archery instruction through the National Archery in the Schools (NASP) program. These courses are conducted under WSFR project W-888-E Enhanced Student Training.

**TIMELINE:**

- July1-August 30, 2014- All equipment, supplies and materials procured.
- August - September 30, 2014, twelve volunteer instructor training courses conducted regionally.
- One in-service instructor training course and recognition event conducted monthly.
- Hunter education courses and workshops conducted monthly.

**STATE OF GRACE**  
DEPARTMENT OF CONSERVATION  
200 Bluebird Way  
Essex, Grace 30001

OFFICE OF THE DIRECTOR

101-202-3344  
FAX 101-222-3434

May 15, 2014  
Mr. Bob White  
Federal Assistance  
U.S. Fish & Wildlife Service  
Albuquerque, NM 12345

Dear Mr. White:

I am writing in reference to the Application for Federal Assistance for:  
**Grace Basic Hunter Education Student Training** regarding compliance with the National Environmental Policy Act.

The actions proposed for this grant involve providing basic hunter education courses for all first time hunters to ensure safe and responsible participation in hunting.

We have reviewed the proposal for meeting **NEPA compliance** and found that it is **completely covered by 516 DM 8 categorical exclusion No(s). 8.5 A(2)**. Further, we find (516 DM 2, Appendix 2) that this proposal will NOT:

1. Have significant impacts on public health or safety.
2. Have significant impacts on such natural resources and unique geographic characteristics as historic or cultural resources; park, recreation or refuge lands; wilderness areas; wild or scenic rivers; national natural landmarks; sole or principal drinking water aquifers; prime farmlands; wetlands (Executive Order 11990); floodplains (Executive Order 11988); national monuments; migratory birds; and other ecologically significant or critical areas.
3. Have highly controversial environmental effects or involve unresolved conflicts concerning alternative uses of available resources [NEPA Section 102(2)(E)].
4. Have highly uncertain and potentially significant environmental effects or involve unique or unknown environmental risks.
5. Establish a precedent for future action or represent a decision in principle about future actions with potentially significant environmental effects.
6. Have a direct relationship to other actions with individually insignificant but cumulatively significant environmental effects.
7. Have significant impacts on properties listed, or eligible for listing, on the National Register of Historic Places as determined by either the bureau or office.
8. Have significant impacts on species listed, or proposed to be listed, on the List of Endangered or Threatened Species, or have significant impacts on designated Critical Habitat for these species.
9. Violate a Federal law, or a State, local, or tribal law or requirement imposed for the protection of the environment.
10. Have a disproportionately high and adverse effect on low income or minority populations (Executive Order 12898).
11. Limit access to and ceremonial use of Indian sacred sites on federal lands by Indian religious practitioners or significantly adversely affect the physical integrity of such sacred sites (Executive Order 13007).
12. Contribute to the introduction, continued existence, or spread of noxious weeds or non-native invasive species known to occur in the area or actions that may promote the introduction, growth, or expansion of the range of such species (Federal Noxious Weed Control Act and Executive Order 13112).

Thank you for your time reviewing this grant proposal,

Ed U. Cator, Project Leader  
Grace Department of Conservation

**SECTION 7 BIOLOGICAL EVALUATION FORM**  
U.S. Fish and Wildlife Service

**1. State:** Grace

**2. Grant Program:** Wildlife Restoration, sub program Basic Hunter Education

**3. Grant Title: GRACE BASIC HUNTER EDUCATION STUDENT TRAINING**

**Grant Number: (FWS use only) W-777-E**

**4. Project Title(s): GRACE BASIC HUNTER EDUCATION STUDENT TRAINING**

**5. Person Completing Form:** Billy Bass

a. Title: Hunter Education Coordinator

b. Phone Number: 555-777-8888

**6. Date Evaluation Completed:** 5/01/2014

**7. Pertinent Species and Habitat Information: (List the Species and Habitat)**

**A.** Listed species and/or their critical habitat within the action area:

No species present.....training courses will be conducted statewide but at facilities where no species could possibly be present.

**B.** Proposed species and/or proposed critical habitat within the action area:

No species present

**C.** Candidate species within the action area:

No species present

**8. Geographic Area / Location (Attach Map):**

Statewide at educational training facilities with indoor classrooms

**9. Describe Species and their Habitat occurrences:**

None

**10. Description of proposed action:**

Annually train and certify 30,000 - 34,000 students in basic hunter education.

**11. Explanation of effects of the action:**

- A. Species status – no species present in classrooms where training will occur.
- B. Habitat status – no designated habitat present (indoor activities)
- C. Impacts of the proposed action on species and/or critical habitat –  
None present-no effect
- D. Assessment of effects – No effects

**12. State Recommendation:**

**A. Listed species/critical habitat:**

No effect on species/critical habitat (list species/habitat):

May affect, is not likely to adversely affect species/critical habitat (list species/habitat):

May affect, is likely to adversely affect species/critical habitat (list species/habitat):

Undetermined effect (list species/habitat):

**B. Proposed species/critical habitat:**

No effect on species/critical habitat (list species/habitat):

May affect, is not likely to adversely affect species/critical habitat (list species/habitat):

May affect, is likely to adversely affect species/critical habitat (list species/habitat):

Undetermined effect (list species/habitat):

**C. Candidate species:**

No effect on candidate species (list species):

May affect, not likely to jeopardize candidate species (list species):

May affect, likely to jeopardize candidate species (list species):

Undetermined effect (list species):

**13. Remarks:** This project area does not contain listed, proposed or candidate species or designated critical habitat.

**14. State Approval:**

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Signature: Ed U. Cator

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Date 5/15/2014

**15. Wildlife and Sport Fish Restoration Program Determination**

\_\_\_ No effect (list species/habitat):

\_\_\_ Not likely to adversely affect (list species/habitat):

\_\_\_ Likely to adversely affect (list species/habitat):

\_\_\_ Undetermined effect (list species/habitat):

**Remarks:**

Signatures:

\_\_\_\_\_

Grant Manager

\_\_\_\_\_

Date

May 1, 2014

Grace Department of Conservation

200 Bluebird Way, Essex, Grace 30001

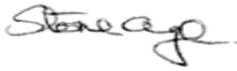
Project: W-777-E Grace Basic Hunter Education Student Training

Dear Mr. Ed U. Cator:

In response to your request, I have reviewed the information received March 15, 2014 to initiate consultation on the above referenced project in accordance with Section 106 of the National Historic Preservation Act of 1966, as amended.

Based on the information provided, I have concluded that there will be no historic properties [architectural or archaeological] affected by the proposed undertaking. Please contact Kirk Gravedigger of this office if we can be of further assistance in this matter.

Sincerely,

A handwritten signature in cursive script, appearing to read "Stone Age", written in black ink. The signature is positioned above a horizontal line.

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Stone Age  
State Historic Preservation Officer

Revised 7/12/2013

Filename: s:\federalaid\courses\ilt\plc2012\base plc 2012\workbook\8-award.doc

*Enter Name of Course:*

**Project Leaders Course**

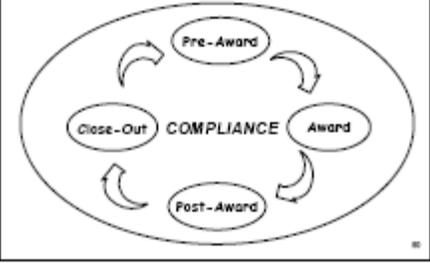
Enter Tab Number:

**6**

Handouts:

Example grant award letter

Program Income Chart

<p><b>PROJECT LEADERS COURSE</b></p> <p>Tab 6: Award: Notice of Grant Award</p>  <p>55</p>	<p>The next phase of the grants management process is the Award phase.</p> <p>During this phase the grantee receives notification that their grant has been awarded.</p> <p>The award letter contains additional information needed to administer and comply with the terms of the grant.</p> <p>During the Award phase the grant funds are authorized and may be obligated in the payment system. These are important steps that make the funds available for use and to be reimbursed by your agency.</p>
<p><b>Grants Management Process</b></p>  <p>56</p>	

## **Award: Notice of Grant Award**

### **Objectives:**

1. Identify and explain the purpose of the grant award and the elements contained in the grant award document
2. Describe the terms of acceptance, grant provisions and special conditions on the grant award
3. Discuss the obligation of funds for awarded grants
4. Recognize importance of complying with the terms and conditions stated on the grant award document

<p style="text-align: center;"><b>Notice of Grant Award</b></p> <p>Transmittal Memo</p> <ul style="list-style-type: none"> <li>▣ Federal Identifier / amendment number</li> <li>▣ Dates</li> <li>▣ Federal Share Authorized</li> <li>▣ Terms of Acceptance</li> <li>▣ Special Provisions / Conditions</li> <li>▣ Signature of Authorized Federal Personnel</li> </ul> <p style="text-align: right;"><small>57</small></p>	<p>Once the RO approves the grant an official notification is sent to the Coordinator/Agency Director (maybe to the Accountant too).</p> <p>The notification is a transmittal memo. All regions use a variation of this memo but it must contain certain required elements. Most ROs also return a copy of the AFA-SF-424 document.</p>
<p>The memo serves to notify the grantee that the application has been approved and the grant has been awarded.</p> <p>It sets the award dates, terms and conditions of the award as well as any special conditions or provisions.</p> <p>This was previously accomplished with grant agreement form that you may still see referenced in many documents in the Toolkit. Once the award letter is received by the grantee it should be reviewed and the information or notification disseminated to everyone involved in the grants management process.</p> <p>It is important to review the information contained in the transmittal / award notification because grantees must comply with all provision, conditions, terms and conditions listed.</p> <p>Once notified of the award, acceptance of the terms is accomplished by beginning work, requesting reimbursement of funds or notifying the grantor of acceptance (may be done electronically in the future).</p> <p>Discuss briefly elements contained on letter:</p> <p><b>Federal ID #</b> - grant award number</p> <p><b>Dates</b> – performance period, effective dates, grant period</p> <p><b>Federal share</b> – awarded amount – may not all be obligated, may have a conditional statement, may also list state share (matching).</p> <p><b>Terms of Acceptance</b> – DOI standard terms, references from 43 CFR 12 and others.</p> <p><b>Special Provision/Conditions</b> – apply to this particular grant, pay close attention.</p> <p><b>Signature</b> – authorized federal personnel, usually regional WSFR Chief</p>	

**Notice of Grant Award**

After the grant application package is approved by Wildlife and Sport Fish Restoration Program the grant is awarded. Grantees are sent a transmittal memo containing approved grant information, terms of acceptance and special conditions.

Grantees must review the elements contained in the transmittal memo for acceptance and compliance with all grant terms, conditions and any special provisions that may be placed on award.

- Federal Identifier and/or amendment number
- Dates
- Federal Share Authorized
- Terms of Acceptance
- Special Provisions/Conditions
- Signature of Authorized Federal Personnel

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<p style="text-align: center;"><b>Notice of Grant Award</b></p> <p>Reference: 522 FW 16, 17, 19, 23, 25</p> 	<p>Have participants' complete exercise on grant award using sample award letter.</p> <p>Be sure participants find 522 FW Chapters for exercise.</p> <p>Debrief:</p>
<p>Grant award dates are important for many reasons. The dates establish the time frame for reimbursement of eligible expenditures</p> <p>A common audit finding is out of period costs. This can often be corrected through coordination and communication within the grantee agency.</p> <p>There are also other issues relating to the award period, income received, reporting requirements and record keeping.</p>	



**Exercise: Notice of Grant Award**

Use the example Notice of Grant Award and **Service Manual Part 522 Chapters 16, 17, 19, 23, 25** to answer the following questions.

1. What is the “Effective Date” of a grant award and how is it established?  
**522 FW 25**

Effective date as defined in 25.5 is the **starting date** of the grant period.

At the time the grant is approved an effective date is established. When the application is approved prior to requested start date, the effective date is the date requested. If the application is received after the requested start date the effective date is either the start date requested or the date the complete grant package was received by the RO, whichever is later.

2. During what period are expenditures eligible for reimbursement? **522 FW 25.7**

The begin/end date of the grant award. May be referenced as performance period or grant period on Award Letter. Exception is pre-award costs that are approved in Award or contracts approved during award period.

3. What happens if the grantee begins work prior to approval of the grant application? **522 FW 25.7 and 16.5**

Grantees may begin work whenever they choose. If grant is not approved grantee is responsible for costs incurred. If grant effective date is later than start date requested, prior costs are not eligible for reimbursement.




**Exercise: Notice of Grant Award (continued)**

4. What are ways to prevent costs from being incurred outside of the approved award period? **522 FW 16.5**

Submit “complete” applications prior to requested start date, document & request pre-award costs if applicable, see 522 FW 16.5. If pre-award costs are approved it will be listed on award as special terms/conditions.

Coordinate and communicate with your accounting and field staff concerning approved dates, work and invoices. Monitor dates on the award notification.

5. What are the requirements regarding budget changes for approved grants? (Transfers between cost categories or jobs?) **FW 522 Chapter 23**

FW 522 Chapter 23 – refer to the 10% rule. CFR requires non-construction grants to obtain prior written approval (amendment) from WSFR for cumulative transfers among cost categories/jobs/activities that exceed 10% of the total grant budget. If 10% rule is not waived, the grantee is limited to re-budgeting 10% of total grant award for any grants where the federal share exceeds \$100,000. WSFR may waive this requirement and allow grantees to transfer funds between categories or jobs. However, transfers between subprograms must be approved with an amendment to the grant.

Construction grants always require approval to rebudget funds.

6. Define program income and list allowable methods to apply program income. **FW 522 Chapter 19**

FW 522 Chapter 19 – Revenue received by grantee or subgrantee from activities directly supported by grant during open grant period  
Need to account for income and use in accordance with approved method in award Deductive, Additive, Cost sharing. Defaults to deductive.




**Exercise: Notice of Grant Award (continued)**

7. Explain the following conditional statement that may be placed on the Notification of Award: Cost accounting required at the project level. **FW 522 Chapter 17**

FW 522 Chapter 17 – Grantee must establish cost codes at project level.

This is the level at which substantiality in character & design were made and must be tracked. Matching is required at the subaccount, subprogram level.

8. What does it mean if the Notification of Award states: The U.S. Fish and Wildlife Service approves this grant Subject to the Availability of Funds.

Applies to WR/SFR and associated programs. Because these programs are permanent & indefinite appropriations (not dependent on Congress),

States receive an apportionment every year. If funds are not available when the grant is approved, a statement will be included on the Notification of Award stating that the grant is approved but funds will not be available until the apportionment is received. States manage obligations of their apportionments based on State needs.

	<p>Some of these conditions/statements may be included on the example Notification of Award. There may also be some additional provisions/conditions not discussed.</p> <p>Hold discussion on importance of reviewing provisions/conditions, disseminating information to personnel involved in managing grants and complying with the terms.</p> <p>As you can see the notice of grant award is a very important document that must be reviewed for compliance issues.</p> <p>There are many people that need to be aware of the information contained in the award memo.</p> <p>State WSFR Coordinators serve as central point of contact to coordinate and disseminate the grant award information.</p>



### Learning Points

- ✓ The transmittal memo is the awarding document, states the terms and conditions of the grant; obligates the Federal share of estimated project costs by program (if available); and provides information to monitor uses of funds by subprogram or purpose
- ✓ Only costs incurred during the funding period are eligible for reimbursement
- ✓ Conditional statements clarify the terms and conditions of the grant agreement

Forest Game, Director  
Department of Conservation  
200 Bluebird Way  
Essex, Grace 30001

Dear Mr. Game:

This letter constitutes approval for a New Application for Federal Assistance (AFA) W-777-E titled, Grace Basic Hunter Education Student Training is effective July 1, 2014. This AFA has been approved in the amount of **\$355,000** of which the federal share is **\$266,250**. The performance period for this award is July 1, 2014 through June 30, 2015.

Terms of Acceptance:

Acceptance of a Federal Financial award from the Department of the Interior (DOI) carries with it the responsibility to be aware of and comply with the terms and conditions of the award (<http://www.doi.gov/pam/TermsandConditions.html>). 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 as approved by DOI and are subject to the terms and conditions incorporated in pertinent federal regulations, policies and guidelines which can be found at <http://wsfrprograms.fws.gov/Subpages/Training/FAToolkit.html> and with the provisions as stated below.

Provisions: (1) Cost accounting is at the grant agreement level; (2) This grant is not subject to the prior written approval requirements of 43 CFR 12.70(c)(1)(ii), the “10-percent” rule.

Annual interim financial status reports and performance reports are due no later than 90 days after four full quarters have occurred following the anniversary of the effective date of the AFA.

Sincerely,

Bob White  
Chief, Division of Wildlife and Sport Fish

Revised 7/12/2013

Filename: s:\federalaid\courses\ilt\plc2012\base plc 2012\workbook\9-plc- post-award - managing and monitoring.doc

Enter Name of Course:

**Project Leaders Course**

Enter Tab Number:

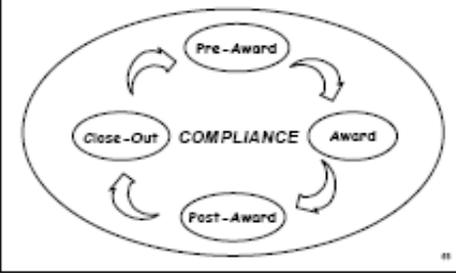
**7**

Handouts:

Example grant package

Notes:

This module is the same as the BGM module with the following exceptions that are not included in the PLC: Exercise on Requesting Amendments to Grants

<p><b>PROJECT LEADERS COURSE</b></p> <p>Tab 7: Post Award: Implementation, Managing and Monitoring</p> 	<p>Review objectives for topic.</p> <p>After the grant is approved or the Notification of Grant Award is received the Post-Award phase begins.</p> <p>The Post-Award phase contains many activities that are taking place to perform the grant work, monitor, manage and possibly amend the grant.</p> <p>In this module we'll look at the activities taking place, what needs to be monitored and how to make changes to the grant if needed. We'll also discuss the communication that takes place.</p> <p>Communicating and cooperating is especially important during this phase of the grants management process.</p>
<p>Grants Management Process</p> 	

## **Post Award: Implementing, Managing and Monitoring the Grant Award**

### **Objectives:**

1. Identify and explain activities involved in implementing, managing and monitoring grant awards
2. Describe the communication needed and people involved during grant implementation and management
3. Explain the importance of monitoring during the grant period and what should be monitored
4. Describe ways to monitor and evaluate the grant
5. Determine when a grant needs to be modified and what documentation needs to be provided

<p>Grant Implementation</p> <hr/> <p>Grant Application has been approved!</p> <p>What do we do now?</p>  <p style="text-align: right;">*</p>	<p>What happens once a grant is approved and awarded? What are the next steps? This is when the rubber meets the road. We are ready to start performing the grant work. <b>Don't tell them the answers –ask them—or draw answers out.</b></p> <p>There's a list on page X-2 to help us get started thinking about the next steps – implementation.</p> <p><b>Plan ahead. Think about the activities that take excessive time to complete, <b>hiring</b> staff, <b>purchasing</b> items that require a bid process. Engineering design and <b>securing contractors</b>. Be proactive and hit the ground running to set yourself up for success.</b></p> <p>If BGM course discuss general activities, coordination, etc. If PLC have accountant or coordinator help to identify State specific process.</p>
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## Grant Implementation

Once the Notice of Award is received by the grantee, what are the actions and/or activities that take place and who is involved?

Notice of Award

- Review important elements and disseminate information and/or award notice

[Start / end dates](#)

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[Special conditions](#)

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Establish accounting to manage and monitor grant award

- Accounting/tracking codes for federal funds and matching funds
- In-kind
- Inventory for real and personal property
- Obligation of federal funds
- Program income
- Financial reporting due dates
- Drawdowns (reimbursement of funds)

[What needs to be done when purchasing equipment or land?](#)

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[Establish standards for tracking volunteer services.](#)

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Establish measures to manage and monitor grant performance

- Work schedules
- Purchases
- Salaries
- Contract services or subgrants
- Milestones
- Accomplishment reporting due dates
- Site visits

[What about hiring staff?](#)

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[Enter into contracts.](#)

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<p><b>Factors Affecting Allowability</b></p> <ul style="list-style-type: none"> <li>☐ Necessary and reasonable</li> <li>☐ Allocable under 2 CFR 225</li> <li>☐ Authorized /not prohibited under State or local laws or regulations</li> <li>☐ Comply with laws, terms/conditions, governing regulations</li> <li>☐ Be consistent</li> </ul>	<p>How do I know what costs can be coded or charged to my project?</p>
<p><b>Factors Affecting Allowability</b></p> <ul style="list-style-type: none"> <li>☐ Conformance with GAAP</li> <li>☐ Not included in cost/match of other federally funded activity</li> <li>☐ Net of all applicable credits</li> <li>☐ Adequately documented</li> </ul>	<p>Two broad principles to take into consideration:  <b>Necessary/ Reasonable</b>  <b>Proper allocation of costs to projects</b>  <b>Most common audit finding—questioned costs.</b>  <b>Project leaders need to become familiar with federal cost principles-you are often on the front line in determining allowable costs.</b></p>
<p><b>Reasonable Costs</b></p> <ul style="list-style-type: none"> <li>☐ Does not exceed what a prudent person would pay</li> <li>☐ Factors determining reasonable             <ul style="list-style-type: none"> <li>• Generally recognized as ordinary for government operations</li> <li>• Sound, arm's length, complying with State &amp; Federal laws</li> <li>• Market prices</li> <li>• Acted with prudence</li> <li>• Significant deviations from established practices</li> </ul> </li> </ul>	<p><b>Allocable= costs should be allocated to projects or activities in proportion to benefits received.</b></p>
<p><b>Allocable</b></p> <ul style="list-style-type: none"> <li>☐ Chargeable or assignable to objective in accordance with relative benefits</li> <li>☐ Not charged to other Federal awards to overcome a deficiency</li> <li>☐ All activities receive an appropriate allocation of indirect costs.</li> <li>☐ Cost allocation plan</li> </ul>	<p>Compliance with law/regs- Can't use DJ \$ for non-game fish (darters).</p>
<p><b>Applicable Credits</b></p> <ul style="list-style-type: none"> <li>☐ Reduction of expenditure transactions</li> <li>☐ Credited to Federal award, cost reduction or cash</li> <li>☐ Netting credit items</li> </ul>	<p>Can't apply different standards or accounting procedures to federal awards.</p>
	<p>No double-dipping</p>
	<p><b>Credits =</b> can't reimburse for full price if given rebate or discount or partial refund for service or product. Feds must get same credit.</p>
	<p>Document with time sheets, bids, quotes, invoices, contracts. Source document is what auditors ask for.</p>
	<p>Necessary for normal Gov't. operations.              Ethical in business practices              Did you pay the going price??              Were not frivolous (\$500 toilet seat)              Deviations= went off state contract, no bids, sole source supplier              Did the deviations inflate the cost?</p>
	<p><b>Allocable=</b> Are 100% of costs exclusive to your project? Costs should be pro-rated in proportion to benefits received.</p>
	<p>2 CFR 225 gives practical methods to allocate costs that aren't 100% dedicated to your project.</p>
	<p>Example: An <u>Electroshocking boat</u> used for both DJ and SWG or <u>O&amp;M of Facility</u> that houses law, fish and wildlife mgt. (vehicles) Must demonstrate reasonable allocation method.</p>
	<p>Indirect costs (central services) being billed fairly? Must have approved CAP</p>

**Allowable Costs (Cost Principles 2 CFR 225)**

- Necessary and reasonable
- Allocable under 2 CFR 225
- Authorized, not prohibited under State or local laws or regulations
- In compliance laws, terms/conditions, governing regs, types/amounts
- Be consistent
- Conformance with GAAP
- Not included in cost/match of other federally funded activity
- Net of all applicable credits
- Adequately documented

**What is Reasonable?**

- Does not exceed what a prudent person would pay
- Factors determining reasonable
  - Generally recognized in government
  - Sound, arm's length, complying with State & Federal laws
  - Market prices
  - Acted with prudence
  - Significant deviations from established practices

**Proper Allocation of Costs**

- Chargeable or assignable to objective in accordance with relative benefits
- All activities receive an appropriate allocation of indirect costs
- Not charged to other Federal awards – deficiencies or restrictions
- Cost allocation plan

**Reasonable + Allocable = Allowable**

Notes:

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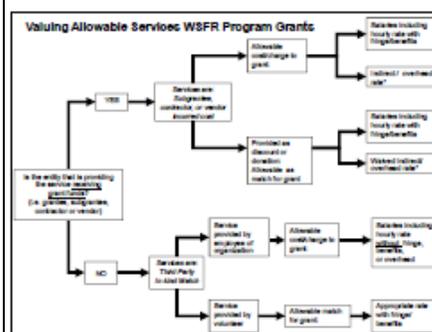
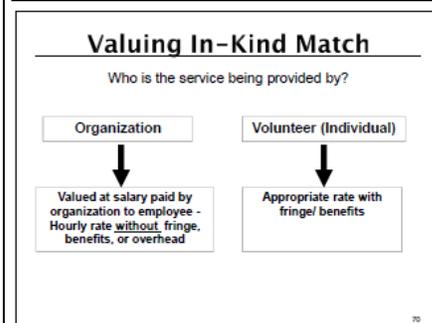
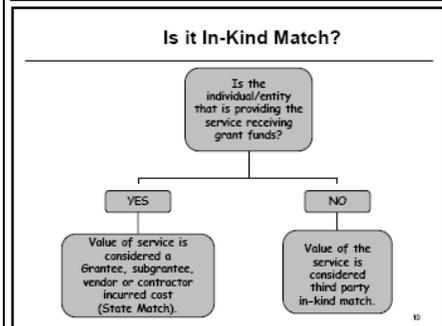
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### In-Kind Match

- ◆ Be documented in project records.
- ◆ Not used to match another grant.
- ◆ Match projects within a single grant or sub-account.
- ◆ Necessary and reasonable for the project objectives.

### In-Kind Match (cont.)

- ◆ Allowable costs under OMB rules
- ◆ Not paid from other Federal funds
- ◆ Must occur within the effective dates of the grant (Exception: Land)



Many audit findings for unsupported volunteer hours. Have a procedure and maintain records.

No double-dipping

Instructor hours as match for hatchery operations.

Research vessel necessary for hatchery operations???

Same cost principles we just discussed.

Can't accept services from National Park or Forest service employee as in-kind match for fed award. Must come from non-fed source.

Not always crystal clear if in-kind or state match. Good test.

Important to know the origin of in-kind donated services to determine the proper value of the donated services or goods as the value can be affected based on whether or not the service is from an employee of an organization or a true volunteer.

Fringe rate can be added to value of volunteer services but not if they represent an organization.

Chart in back of this module—good tool to assist you in determining value of in-kind.

### Third Party In-Kind Match (43 CFR 12.43)

#### Definition

Property or services which benefit a federally-funded activity and are contributed by non-federal third parties without charge to the grantee.

#### Eligibility Requirements

- Be documented in project records
- Not used to match another grant
- Match projects within a single grant, project, or sub-account
- Necessary and reasonable for the project objectives
- Allowable costs under OMB rules
- Not paid from other Federal funds
- Must occur within the effective dates of the grant (Exception: Land)

#### Proper Valuation of Goods

- What would the agency normally have to pay for those goods?
  - Price quotes
  - Other documented evidence of valuation
  - Governmental Rate Schedules

#### Valuing Donated Services

- Organization
  - Salaries exclusive of fringe benefits
    - Must be for similar type of work
- Individual
  - Appropriate equivalent State rate
    - What would you have had to pay a staff person to perform the task?
    - Document your valuation methodology!

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## Managing and Monitoring

References:

43 CFR 12.72, 12.64, 2.65

50 CFR 80.85

36 CFR 800.5



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In our next exercise the notice of award has been received, the information disseminated or a copy of the award sent to the financial staff, field staff and others involved.

The accounting section has established a code for us to use to charge salaries, supplies, contracts, etc., to the grant.

Our field staff started the work on the ground, they're charging their time, equipment, supplies or other expenses that were approved and are applicable and allocable to the accounting code that was established for the awarded grant.

Let's take a more detailed look at the activities that are taking place. Answer questions on page 8-5.

For BGM use the example grant when questions are grant specific.



**Exercise: Managing and Monitoring**

Your accounting section has established an internal accounting code to track expenditures for your grant award. Field personnel are performing the work listed in our project statement. Salaries are being paid, supplies purchased and contracts initiated. What happens next?

1. Who is responsible for monitoring grant expenditures for compliance with federal rules and regulations? What role does the project leader play?

Combination Coordinator & accountant. Coordinator is aware of projects listed in project statement and should have knowledge of cost principles.

Accountants have knowledge of cost principles, direct/indirect expenses, etc. **Project leader is gatekeeper of funds ensuring costs eligible, necessary and reasonable**

2. What are some tools we can use to monitor grants? What is the role of a project leader in grant monitoring?

Progress reports, email, phone, site visits, Invoice transaction listings  
Budget status reports. Contract status. The key is to stay engaged with the monitoring process.

The need for a grant revision or reporting extension should be dealt with as early as possible.. Recognize the time it takes to accomplish procurement within the State process. Hiring takes time..Plan your process!

3. Can equipment be purchased on a WSFR program grant? Are there any restrictions on use of the equipment?

Yes equipment may be purchased if “necessary and reasonable” for accomplishment of the grant objective(s). **Can equipment be used for other purposes?** Alternative use of the equipment must not interfere with the primary purpose of acquisition. Can use for other WSFR projects/purposes after grant closes. Must follow state policy for disposal of equipment

43 CFR 12.72




**Exercise: Managing and Monitoring cont'd**

4. What are some ways a grantee can provide match for a grant?

Most WSFR grants have a matching requirement.

The matching is usually provided proportionally whether cash or in-kind.

It depends on which part of the CMIA your agency is required to follow.

Most States do not have to match proportionally. (Can draw 100% until fed funds gone).

5. A local construction company donates the use of their heavy equipment to your agency to perform grant related work. Is this an allowable in-kind match? If so, how will the value be determined?

Yes, value of third party contributions applicable to the period to which the

sharing or matching requirements apply. Not necessary to have prior

approval for in-kind. See CFR 12.64 for various methods of valuing

third party contributions. Phone bids etc...

6. Is income received from a grant related activity such as publication or entrance fees a concern? If so, why?

If it is expected that grant will produce income it should be estimated and

included on grant application. The method in which the income is credited

must also be documented. If not, defaults to deductive method. To use

program income grant would have to be amended. 43 CFR 12.65

The gross income must be deducted from the total outlays prior to

requesting reimbursement and must be reported on the FSR.




**Exercise: Managing and Monitoring cont'd**

7. Could there be compliance issues to address during the implementation phase of the grants management process?

Yes, if something is uncovered (artifacts, remains etc...) compliance may need to be re-addressed. 48 hours to notify SHPO to propose actions to resolve adverse affects.

Civil rights, ADA, etc.

Or—may discover previously unknown occurrence of listed species. Must perform compliance.

8. What happens if grant objectives are not met? Are there valid reasons objectives may not be met?

It depends on the reason the objectives were not met. May have to pay back funds. There are valid reasons for not meeting objectives, weather delays, change in key personnel, contractor performance, lack of communication & coordination. Hiring freeze, illness, equipment breakdown.

9. Does a grant award ever need to be revised?

Yes, to add, delete or modify a project, funding changes, etc.

Changes as a result of monitoring/managing, being proactive.

More details on next slide

**Revising Grants**

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Submit a SF- 24 to revise an approved award when

- ▣ Adding, deleting or revising project objective/job
- ▣ Changing key personnel (may send letter)
- ▣ Extending funding period
- ▣ Increasing or decreasing Federal funds
- ▣ Revising rate of Federal participation

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**Revising Grants**

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**Application for Federal Assistance SF-424**

* 1. Type of Submission:	* 2. Type of Application:	* 3. Revision, select appropriate letter(s):
<input type="checkbox"/> Preapplication	<input type="checkbox"/> New	<input type="text"/>
<input type="checkbox"/> Application	<input type="checkbox"/> Continuation	<input type="text" value="Other (specify)"/>
<input type="checkbox"/> Change/Corrected Application	<input checked="" type="checkbox"/> Revision	<input type="text"/>

**Type of Application:** (Required) Select one type of application in accordance with agency instructions.

- New – An application that is being submitted to an agency for the first time.
- Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals.
- Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided.

A. Increase Award	B. Decrease Award
C. Increase Duration	D. Decrease Duration
E. Other (specify)	

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As a result of monitoring and managing your grant you see that it might be necessary to make changes to your grant.

It is better to take a proactive approach and modify your grant if needed.

We mentioned a few reasons why a grant might need to be modified:

- Addition, deletion or modification of project objective or job;
- Change in key personnel
- Extension of funding period
- Increase/decrease federal funds
- Revise rate of federal participation

How is this done?

To modify a grant you submit the SF 424 form. See block 8 on SF-424 Continuation or Revision – have participants review form.

Check the revision box and insert letter depending on change, attach a revised project statement or budget attachment with explanation of changes.

Also, compliance may need to be addressed depending on changes requested.

The amendment / revision must be sent in prior to the ending date of the grant. Send it in early.

If you're changing objectives – make sure the revised objectives still fit within the “need” stated in the project statement.

**Revising a Grant**

If changes are anticipated during the post award phase a grant revision is appropriate.

**When to revise the grant:**

- Addition, deletion, modification of a project objective or job
- Change in key personnel
- Extension of funding period
- Increasing or decreasing Federal funds
- Revising rate of Federal participation

Note: When revising a grant for an addition or modification of a project or job, compliance may need to be addressed.

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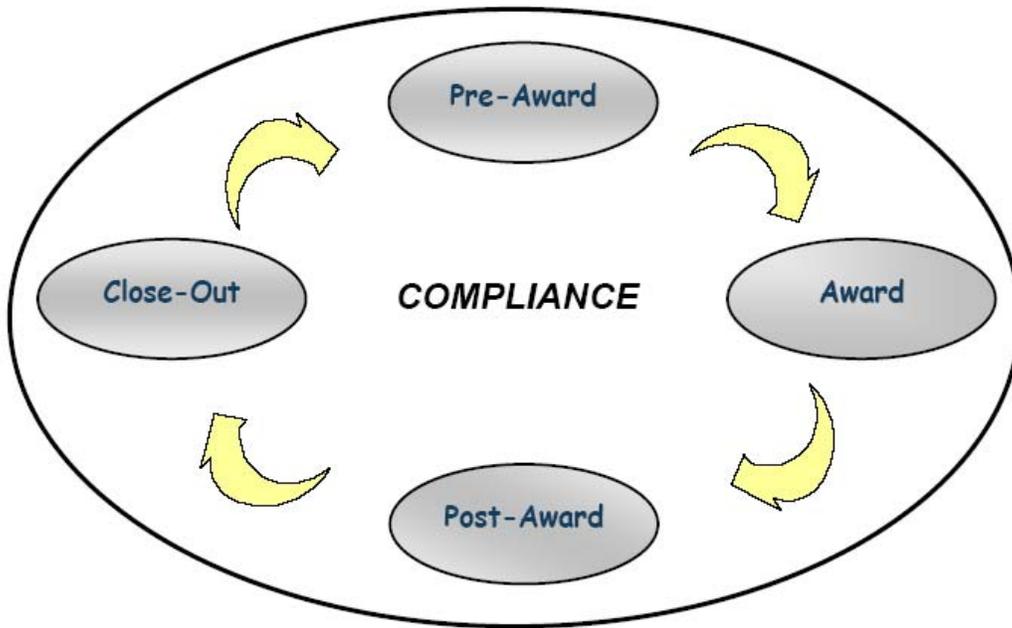
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	<b>Modifying Grants</b>
Service Manual	522 FW 1.5, 522 FW 1.8

	<p>If the original grant application is still valid and has not expired, you can submit a new grant application for the next funding period, Continuation. If not, a New SF-424 would be submitted.</p> <p>All supporting documents must be submitted with the SF-424.</p> <p>If grant is continued, numbering in FAIMS will continue in sequence. If New, new grant numbers will be assigned.</p>

### Keeping the Work Going

Prior to the ending date of the grant award, an application may be submitted to continue the project (s) into the next funding period by submitting an SF-424 and supporting documents. "Continuation" is checked as the Type of Application on the SF-424. In addition SF-424 may be submitted for new projects.



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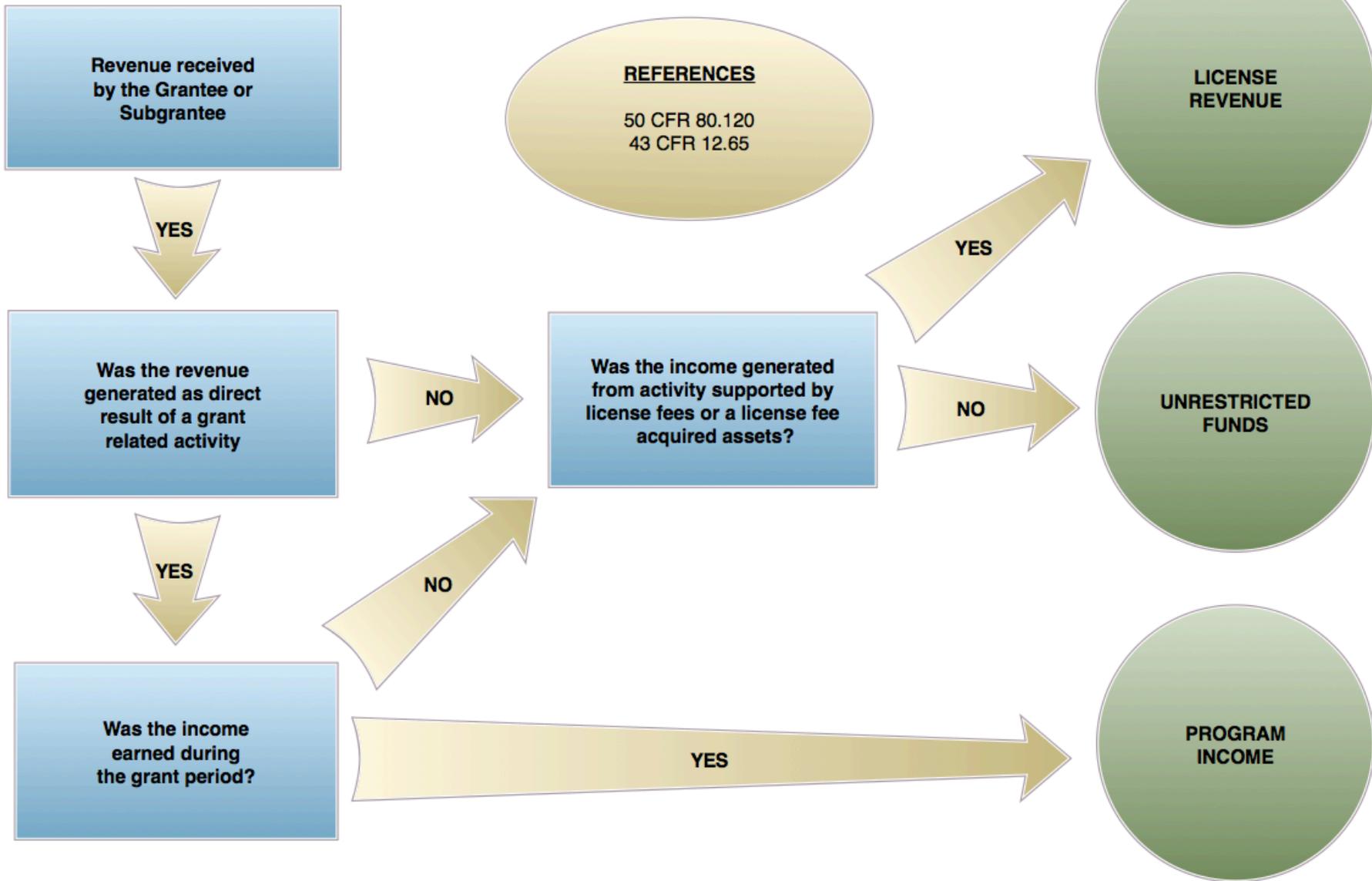


**Learning Points**

- ✓ Effective communication is essential to successfully implementing a grant
- ✓ Grants require managing and monitoring fiscal, program and compliance concerns throughout process
- ✓ Anticipated changes as a result of managing and monitoring grant awards may require modifying or amending the grant

**Income Determination  
Wildlife and Sport Fish Restoration Programs**

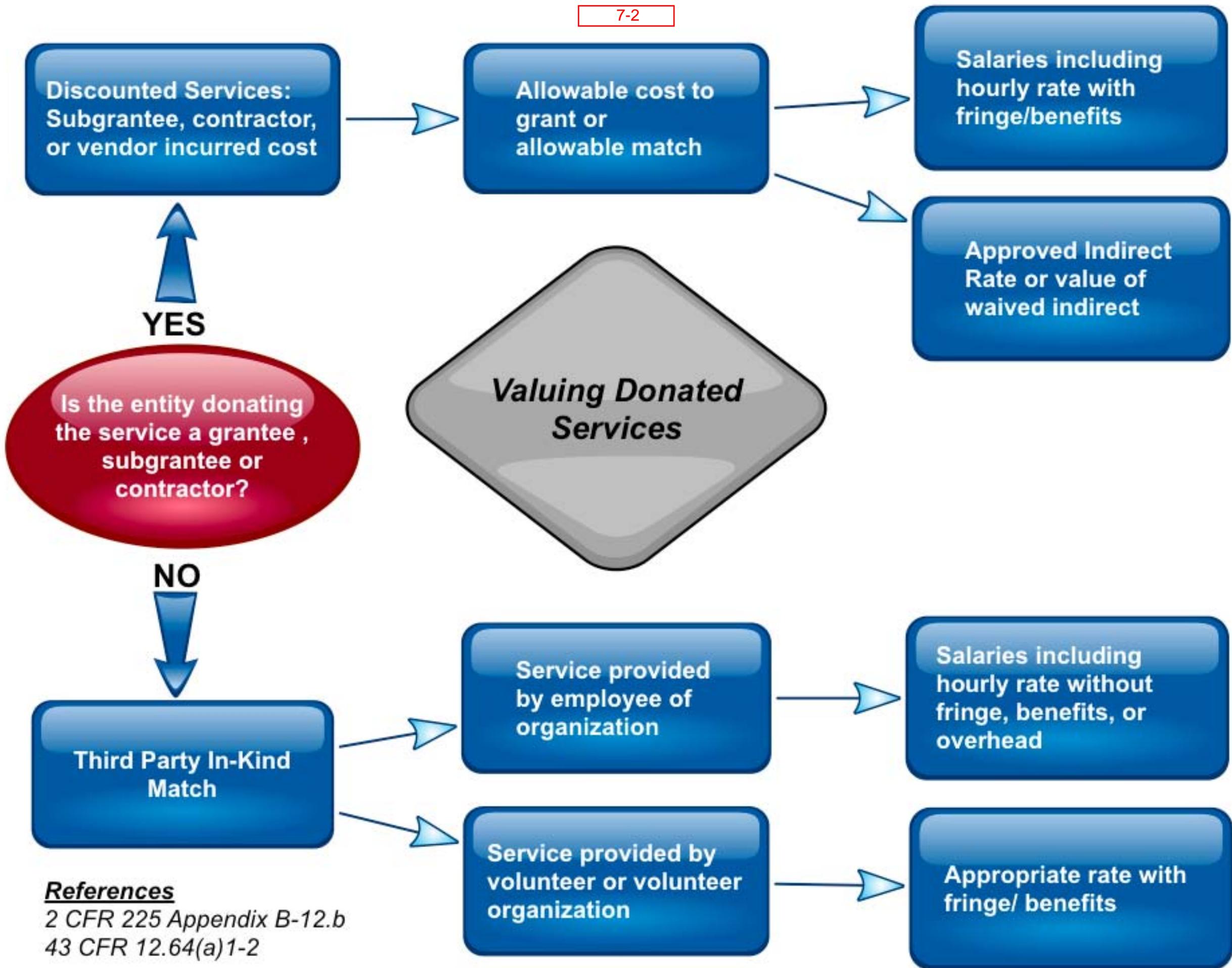
7-1



**Real Property** - Proceeds from the disposal of real property are not program income. Proceeds from the disposal of real property must be returned to the applicable program. Consult the FWS Regional Office for instructions. The disposal of real property requires prior approval from the FWS. (50 CFR 80.137)

**Barter Transactions** - The exchange of goods or services for other goods or services without the use of cash. Barter transactions are to handled in accordance with 50 CFR 80.98.

**Governmental Revenues** - Taxes, special assessments, levies, fines, and other such revenues raised by a grantee or subgrantee are not program income unless the revenues are specifically identified in the grant agreement or Federal agency regulations as program income. (43 CFR 12.65)



**References**

2 CFR 225 Appendix B-12.b

43 CFR 12.64(a)1-2

Revised 7/12/2013

Filename: s:\federalaid\courses\ilt\plc2012\base plc 2012\workbook\10-post  
award - reporting requirements.doc

Enter Name of Course:

**Project Leaders Course**

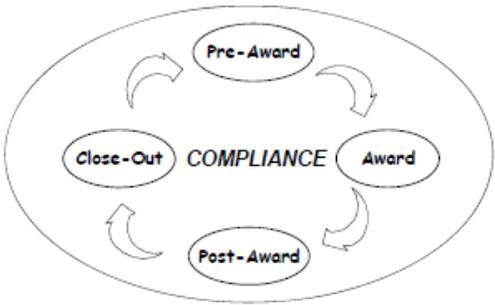
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**8**

Handouts:

Interim Report Due Date Charts

Notes:

<p><b>Project Leaders Course</b></p> <hr/> <p><b>Tab 8:</b></p> <p><b>Post Award - Reporting Requirements</b></p>  <p>75</p>	<p>Review objectives for topic.</p> <p>In addition to project implementation, managing and monitoring the Post-Award phase includes financial and performance reporting.</p> <p>In this module we'll look at the grant reporting requirements for various project types, reporting periods and report due dates.</p>
<p><b>Grants Management Process</b></p> <hr/>  <p>76</p>	

## **Post Award: Performance Reporting**

### **Objectives:**

1. Identify reporting requirements
2. Explain the consequences of not meeting the reporting requirements

<div data-bbox="256 279 748 646" style="border: 1px solid black; padding: 5px;"><p style="text-align: center;"><b>Reporting Requirements</b></p><ul style="list-style-type: none"><li>&gt; Financial Report<ul style="list-style-type: none"><li>▪ SF 425 Federal Financial Report</li><li>▪ Hard copy, electronic, scanned or faxed</li><li>▪ Signature of authorized representative (may be electronic)</li></ul></li> <li>&gt; Performance Report (43 CFR)<ul style="list-style-type: none"><li>▪ No standard or printed form</li><li>▪ Hard copy, electronic, scanned, faxed or email containing required information</li><li>▪ Must be received from grantee or authorized representative of grantee</li></ul></li></ul><p style="text-align: right; font-size: small;">91</p></div>	<p>Reports are used to let Congress and stakeholders know of grant accomplishments. Helps us tell our story. Demonstrates results of WSFR programs. Probably weakest link in many of our agencies. We don't evaluate our progress well because it forces us to look backwards instead of forward.</p>
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## Reporting Requirements

### Federal Financial Report (FFR)

- SF 425
- Hard copy, electronic, scanned or faxed
- Signature of authorized representative (may be electronic)

### Performance Report (43 CFR)

- No standard or printed form
- Required information
- Hard copy, electronic, scanned, faxed or email containing required information
- Must be received from grantee or authorized representative of grantee

### TRACS Performance Reports

Actions created in TRACS are managed and monitored through a workflow process. At the end of the reporting period the progress of Actions are entered and a PDF Performance Report is generated by TRACS for each project. TRACS will submit the Performance Reports to WSFR.

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### Reporting Due Dates

Required at least annually for grants over one year (annual interim) and at end of grant period (final)

- > Annual interim
  - Due 90 calendar days after the end of each 4 FULL Quarters based on fiscal quarters (March 31, June 30, September 30 and December 31)
- > Final
  - Due 90 calendar days after the grant ending date

WSFR may require reports quarterly or more frequently under certain conditions. Will be clearly stated in pre-award, award or post-award.

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### Annual Interim Reporting Periods and Due Dates

Project Start Date	First Annual Interim Reporting Period	First Annual Interim Report Due Date
January 1	December 31	March 31
January 2- March 31	March 31	June 29
April 1	March 31	June 29
April 2- June 30	June 30	September 28
July 1	June 30	September 28
July 2- September 30	September 30	December 29
October 1	September 30	December 29
October 2 - December 31	December 31	March 31

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### Reporting Extensions

- ❑ Extension may be requested for annual interim or final
  - Request must be in writing; letter, fax or email
  - Prior to original due date
  - Include justification, revised due date and type of report
- ❑ If extension is approved
  - Issue extension in writing; letter, fax or email
  - Notification includes non-compliance sanctions that may be imposed
  - WSFR may approve one extension up to 90 days

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Quarters are:  
 January 1- March 31  
 April 1- June 30  
 July 1- September 30  
 October 1- December 31

**Refer to handout.**

Assume these are two year grants and the chart reflects due dates for interim reports.

First column is start date of first reporting period.

Second column is end date of first reporting period.

Third column is report due date which comes 90 days after end of the reporting period (when 4 full quarters completed). Reporting period must include partial quarters.

WSFR Program may approve one extension up to 90 days. Best to go for all 90 days. If you get report done early—great. Don't ask for 30 days and realize you need more time. Only one extension can be offered by WSFR without possible sanctions.

**Frequency**

- Required at least annually for grants over one year (annual interim) and at end of grant period (final)
- Annual interim due 90 calendar days after the end of each 4 FULL Quarters based on fiscal quarters (March 31, June 30, September 30 and December 31)
- Final
  - Due 90 calendar days after the grant ending date
- Extension may be requested for annual interim or final
  - Request must be in writing; letter, fax or email
  - Prior to original due date
  - Include justification, revised due date and type of report
- If extension is approved
  - Issue extension in writing; letter, fax or email
  - Notification includes non-compliance sanctions that may be imposed
  - WSFR Program may approve one extension up to 90 days

**WSFR may require reports quarterly or more frequently under certain conditions. This will be clearly stated in pre-award, award or post-award.**

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<p><b>Remedies for Noncompliance</b></p> <p>Within 30 days of report due date WSFR will:</p> <ul style="list-style-type: none"> <li>- Issue written warning notice stating non-compliance with grant terms</li> <li>- Require report to be submitted within 10 calendar days or no further payments will be made and award suspended</li> </ul>	<p>Audit findings of WSFR have necessitated the restrictive reporting sanctions. Reporting was too lax in the past. Service must take more seriously. If reports are not received by either the original due date, approved extension date, or an acceptable explanation received (disaster, emergency) WSFR must:</p>
<p><b>Remedies for Noncompliance</b></p> <p>Report or explanation is not received by end of 10 day period:</p> <ul style="list-style-type: none"> <li>- Grant award and payments suspended</li> <li>- If report is not submitted within 30 calendar days of suspension, without further notice, suspension may convert to termination and further awards withheld for the grant program</li> </ul>	<p>(1) <u>Notify the grantee in a letter</u> accompanied by a fax and/or e-mail within 30 days that the due date has passed and that WSFR has not received the required Financial Status and/or Performance Report.</p> <p>(2) Inform the grantee that failure to submit reports by the required due dates renders it <u>not in compliance</u> and may result in the imposition of sanctions including:</p> <p>(a) <u>Withholding cash payments</u> pending receipt of the required report(s) [not required on a notification for an overdue final report];</p> <p>(b) <u>Denying the use of Federal funds</u> and credit for the use of matching cash and in-kind contributions for all or part of the cost of the activity or action not in compliance [not required on a notification for an overdue final report];</p> <p>(c) <u>Whole or partial suspension or termination</u> of the current award for the grantee's or subgrantee's program [not required on a notification for an overdue final report];</p> <p>(d) <u>Withholding of further awards</u> for the program until the required report(s) are received; or</p> <p>(e) Other legal remedies.</p>
<p><b>Remedies for Noncompliance</b></p> <p>After 30 days:</p> <p>Grant award is terminated and further awards for the grant program are withheld until compliance is met.</p>	<p>(3) Request immediate receipt of the report(s) from the grantee.</p> <p>(4) Negotiate a proposed extension date (in cases where WSFR has already granted an extension, this will be an additional extension) not to exceed 30 calendar days. The additional extension must start on the date that WSFR notifies the grantee in writing that a report is late. WSFR must approve the proposed extension date and notify the grantee in a letter accompanied by a fax, and/or e-mail that an approved extension has been granted. The notification must also reiterate the warning and possible sanctions in (2) above.</p> <p>Don't wait for a notification. Use the FAIMS Report by Period (gives 0-31 days, 32-60 days), Tickler Report &amp; Overdue Report Tickler to monitor. Call RO for status on reports.</p>

**Remedies for Non-Compliance**

- Report is not received by due date within 30 days WSFR will:
  - Issue written warning notice stating non-compliance with grant terms
  - Require report to be submitted within 10 calendar days or no further payments will be made and award suspended
  
- Report or explanation is not received by end of 10 day period:
  - Grant award and payments suspended
  - Require report to be submitted within 30 calendar days of suspension or suspension will be converted to termination and further awards withheld for the grant program

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<p><b>Performance Report (43 CFR)</b></p> <ul style="list-style-type: none"> <li>➤ Actual accomplishments vs. proposed objectives</li> <li>➤ Reason of slippage</li> <li>➤ Project type specific requirements</li> <li>➤ Additional pertinent information</li> </ul>	<p>We won't go over the financial reports in the PLC.</p>
<p><b>TRACS Performance Reporting</b></p> <p>Accomplishment reporting now occurs at the Action level!</p> 	<p>The information in project statements, the work described and the performance reports must “connect”. Remember you are reporting on the objectives written in the project statement.</p>
<p><b>TRACS Structure</b></p> <p>Action creation in TRACS is two step process:</p> <ol style="list-style-type: none"> <li>1. Geo-Spatial mapping</li> <li>2. Enter Information</li> </ol> 	<p>Performance reports should contain the following information:</p>
<p><b>Action Classification</b></p> <p>Level 1 Action <u>Category</u>: Facilities and Areas O &amp; M</p> <p>Level 2 Action <u>Strategy</u>: Wildlife Management Areas</p> <p>Level 3 Action <u>Activity</u>: Parking Lots</p> 	<p>Actual accomplishments vs. planned objectives for the period</p>
<p><b>Submitting the Performance Report</b></p> <p>Connecting the Dots</p> <ul style="list-style-type: none"> <li>➤ If Actions are successfully completed</li> <li>➤ Objectives will be accomplished</li> <li>➤ The Need will be resolved</li> </ul>	<p>Reasons for slippage, if objectives were not met  <u>Additional pertinent information</u> – analysis and explanation of <i>cost overruns</i> or high unit costs, <b>photos, brochures</b>, other information required for specific grant program or type.</p>
<p><b>Submitting the Performance Report</b></p> <ul style="list-style-type: none"> <li>➤ TRACS will generate a performance report bundle (PDF) that groups all actions by project and projects by WSFR grant</li> <li>➤ Submit the performance report in the TRACS system</li> </ul>	<p><b>See Service Manual Chapters 3-15.</b> Remember from earlier discussions on information to include in the project statement and additional compliance requirements these chapters contain specific guidance about reporting for a specific project type, land acquisition, research, etc.</p>
	<p>Examples:                  Land Acquisition (6) - Summary of Land Costs and Title Vesting Evidence</p>
	<p>Research (11) - Final scientific report, professional paper or thesis that draws conclusions about the research.</p>
	<p>Survey &amp; Inventory (12) - Evaluation of the need to continue the survey and inventory work. Speak to the Adequacy, Need Reliability and Efficiency of continued data collection.</p>
	<p>Population Management (8) - Report on the species, numbers and locations of stocking efforts.</p>
	<p>LIP evaluated based on previous grants – ranking criteria 10 points. Others?</p>
	<p><b>Report any significant developments (interim reports):</b>                  Inform WSFR as soon as conditions are known.                  Problems, delays, adverse conditions that will materially impact objectives                  Favorable developments – sooner time schedules, lower costs, more benefits</p>
	<p>Regional Offices must use the performance reports to report on WSFR's GPRG goals (18 broad goals). This is accomplished by assigning one of the 41 FAIMS activity codes.</p>

**Performance Reports (43 CFR)**

There is no standard report format, but specific information is required. Information in project statements and performance reports must “connect”.

- Performance Reports will contain, for each grant award, brief information on the following: (43 CFR Part 12.80 (b) (2))
  - A comparison of actual accomplishments to the objectives established for the period
  - The reason for slippage, if established objectives were not met.
    - Weather, Permit
    - Contractors, Budget
    - Changes in Key Personnel
  - Additional pertinent information including, when appropriate, analysis and explanation of cost overruns or high unit costs
    - Photos, Brochures, Supporting Information
- Additional information relating to the type of project (Service Manual Chapters 522 FW 3 through 15)

**Performance Reporting (TRACS)**

- Actions (approaches) are created any time after the post award phase
- Accomplishment reporting now occurs at the action level
- TRACS will generate a performance report bundle (PDF) that groups all actions for each project and all projects by WSFR grant
- Submit the performance report using the TRACS system

	<b>Performance Reports</b>
522 FW 1.22	Monitoring & Reporting Performance
522 FW 3 through 15	Chapters on Project Types
43 CFR 12.80	Monitoring & Reporting Performance

<p style="text-align: center;"><b>Reporting Requirements</b></p> <hr/> <p>Reference: 522 FW 6, 11, 12</p> <div style="text-align: center;"></div> <p style="text-align: right;"><small>57</small></p>	<p>Answer the questions on the next page using the toolkit <b>522 FW 3-16</b> as a reference.</p> <p>Research projects require a higher level or standard of report due to the fact that the results may be used to apply management strategies. Other professionals in the scientific community may use the results.</p> <p>Don't forget that all reports require standard info but additional info may be required depending on the project type.</p>
--	---

	<b>Exercise: Reporting Requirements</b>
---	---

Use the toolkit **522 FW 3-16** to answer the reporting questions below

1. What information is required in a final performance report for a research project?

The problem or need which prompted the research,  
Evidence of a review of prior research and studies in progress  
The objective(s) addressed, The approach or procedures used  
A discussion of the findings related to the objective(s), problem, or need.  
Include a discussion of the management implications of findings  
The approach or procedures used. 522 SM 11

2. What additional information must be submitted with a land acquisition performance report?

Summary of land costs, title vesting evidence and property valuation, (appraisals) surveys, deed  
522 SM 6

3. What special conditions apply to surveys and inventories?

522 SM 12.4 State must evaluate need to continue ongoing survey projects  
Data- Adequate to answer decision makers questions? Necessity of data--is it being used?  
Reliability of Data –decision makers confident in data and techniques used?  
Efficiency--consider cost of data collection relative to applicable use of data?

	<b>Performance Reports</b>
522 FW 3-16	Project Specific Requirements

	Debrief Exercise.
--	-------------------



**Learning Points**

- ✓ Financial and Performance reports are due 90 days after the grant period or annually depending on award period
- ✓ Performance reports have specific information requirements
- ✓ There are negative consequences for not complying with reporting requirements

## Determining the Reporting Periods and Due Dates Reports

Funding Period Effective Date	Annual Interim Report End Effective Date	Annual Interim Report Due Dates
January 1	December 31	March 31
January 2- March 31	March 31	June 29
April 1	March 31	June 29
April 2- June 30	June 30	September 28
July 1	June 30	September 28
July 2- September 30	September 30	December 29
October 1	September 30	December 29
October 2 – December 31	December 31	March 31

### Examples of Reporting Periods and Report Due Dates

Award Funding Period		Length of Award	First Annual Interim Reporting Period	First Annual Interim Report Due Date	Subsequent Annual Interim Reporting Periods	Subsequent Annual Interim Report Due Dates	Final Report Due Date
Award Start Date	Award End Date						
4/1/2009	3/31/2010	12 Months	Not Required	Not Required	Not Required	Not Required	6/29/2010
4/2/2009	6/30/2010	Almost 15 Months	Not Required	Not Required (See Note 1)	Not Required	Not Required	9/28/2010
4/1/2009	6/30/2010	15 Months	4/1/2009-3/31/2010	06/28/2010	Not Required	Not Required	9/28/2010 (See Note 2)
4/2/2009	9/30/2010	Almost 18 Months	4/2/2009-6/30/2010	9/28/2010	Not Required	Not Required	12/29/2010 (See Note 2)
4/2/2009	6/30/2011	Almost 27 Months	4/2/2009-6/30/2010	9/28/2010	Not Required	Not Required	9/28/2011
4/1/2009	9/30/2011	30 Months	4/1/2009-3/31/2010	6/28/2010	4/1/2010-3/31/2011	06/28/2011	12/29/2011
4/2/2009	9/30/2011	Almost 30 Months	4/2/2009-6/30/2010	9/28/2010	7/1/2010-6/30/2011	9/28/2011 (See Note 2)	12/29/2011 (See Note 2)

#### NOTES:

1 – An Annual Interim Report is not required until the award period contains 4 full quarters. In the example, the award start date of April 2<sup>nd</sup> prevents the 1<sup>st</sup> quarter from being a full quarter (short by 1 day).

2 - Grantees may submit the Final Report by the Annual Interim Report due date to avoid submitting both an Annual Interim and Final Report.



# Final Performance Report

Date Generated: October 18, 2013

## BMP\_HE

SAP/PO Number# SAMPLE1008

Mod Number- 0-BASE

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### Grant Performance Snapshot

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  - [Project Statement # 370478 - Basic Hunter Education](#)

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- [Grant # SAMPLE1008 - BMP\\_HE](#)

### Appendix B: Project Statement Details

- [Project # 370477 - BMP\\_Hunter Education](#)
  - [Project Statement # 370478 - Basic Hunter Education](#)

### Appendix C: Project Details

- [Project # 370477 - BMP\\_Hunter Education](#)

### Appendix D: Action Details

- [Action # 370493 - Basic Hunter Education Courses](#)
- [Action # 370512 - Student Certification](#)
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## Grant Performance Snapshot

### Grant Snapshot #SAMPLE1008 - BMP\_HE

[\[View Grant Details\]](#) [\[top\]](#)

Grant SAP/PO Number    SAMPLE1008  
 Grant Mod Number        0-BASE  
 Start Date                July 1, 2012  
 End Date                  June 30, 2017

### Grant Funds Allocated to Actions

Action	Action Category	Est. WSFR Fed Cost	Est. WSFR Non-Fed Match	Est. Total Amount
Volunteer Coordination	Education	\$40,000	\$10,000	\$50,000
Basic Hunter Education Courses	Education	\$40,000	\$10,000	\$50,000
Student Certification	Education	\$40,000	\$10,000	\$50,000
Volunteer Instructor Recruitment	Education	\$40,000	\$10,000	\$50,000
Totals		\$160,000	\$40,000	\$200,000

### Project Statement Performance #370478 - Basic Hunter Education

[\[View Statement Details\]](#) [\[top\]](#)

Project Name                BMP\_Hunter Education  
[\[View Project Details\]](#)

## SMART Objectives - Needs/Threats

### 1 - Training Needs

Need/Threat Level	2
Level 1 Need/Threat	Recreation Needs
Description	The hunting culture in WV has resulted in unsatisfactory levels of hunting incidents. According to the National Hunter Education Association, over the last two decades, the State of WV had a hunting incident rate 12% above the national average. The number of basic hunter education courses offered annually in the State of WV was grossly inadequate to meet the demand for all potential first time hunters.

### Objectives

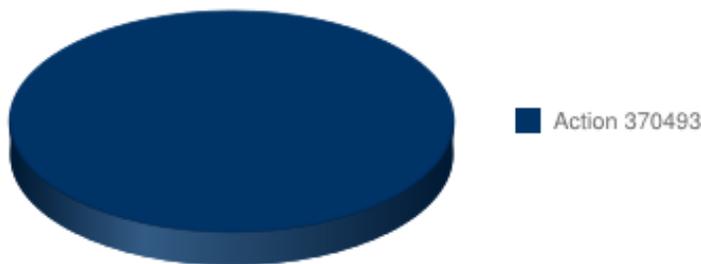
#### Objective ID - 1

Objective Name	Basic Hunter Education Courses
Objective Statement	Conduct a minimum of 600 basic hunter education courses statewide in West Virginia through multiple delivery methods by June 30, 2013

#### Custom Quantitative Indicators

Desired Future Value	Base Value	Output	Deadline
600	0	courses	June 29, 2013

#### % of Desired Output Reported by Action

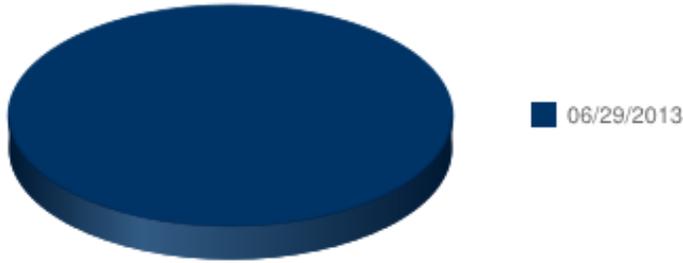


#### Addressing Actions

#### Action # 370493 - Basic Hunter Education Courses

[\[View Action Details\]](#)

#### % of Desired Output by Date



Date Reported	Reported Value	Output	% of Desired Output
June 29, 2013	650	courses	108%
<b>Results</b>	Conducted 650 basic hunter education courses statewide.		
<b>Totals</b>	650	courses	108%

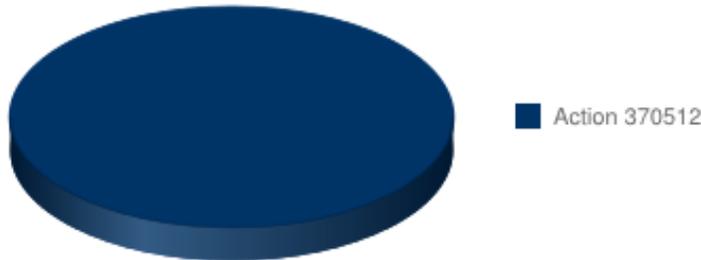
**Objective ID - 2**

Objective Name            Student Certification  
 Objective Statement    Train and certify 18,000 students in basic hunter education by June 30, 2013

**Standard Indicators**

Desired Future Value	Base Value	Output	Deadline
18000	0	Students	June 29, 2013

**% of Desired Output Reported by Action**

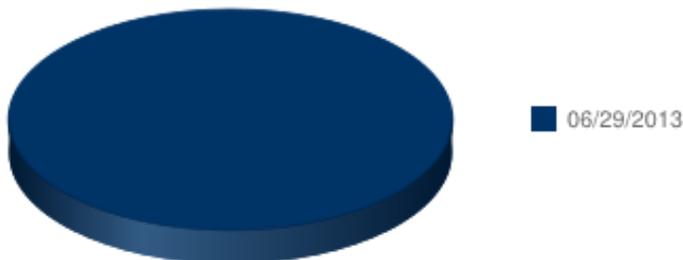


**Addressing Actions**

**Action # 370512 - Student Certification**

[\[View Action Details\]](#)

**% of Desired Output by Date**



Date Reported	Reported Value	Output	% of Desired Output

June 29, 2013	18500	Students	103%
<b>Results</b>	Trained and certified 18,500 students in basic hunter education.		
<b>Totals</b>	18500	Students	103%

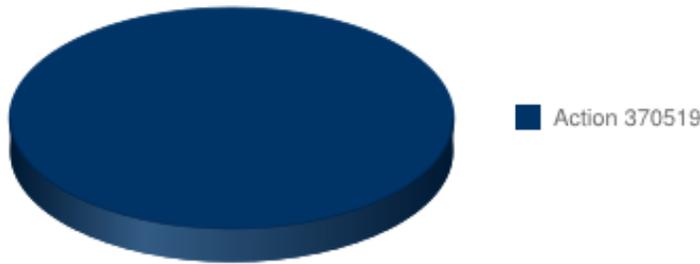
**Objective ID - 3**

Objective Name Volunteer Coordination  
 Objective Statement Develop and maintain the existing corps of 1800 volunteer hunter education instructors by June 30, 2013.

**Standard Indicators**

Desired Future Value	Base Value	Output	Deadline
1800	0	Instructors	June 29, 2013

**% of Desired Output Reported by Action**

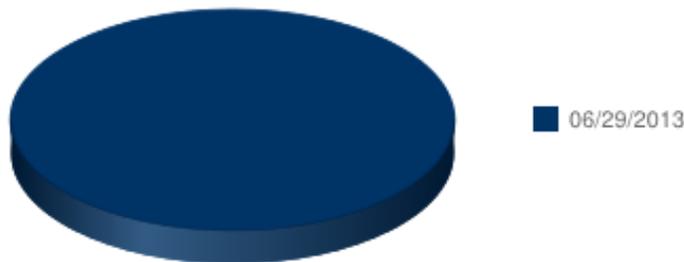


**Addressing Actions**

**Action # 370519 - Volunteer Coordination**

[\[View Action Details\]](#)

**% of Desired Output by Date**



Date Reported	Reported Value	Output	% of Desired Output
June 29, 2013	1800	Instructors	100%
<b>Results</b>	Provided training, evaluation, recognition and coordination of current volunteer staff.		
<b>Totals</b>	1800	Instructors	100%

**Objective ID - 4**

Objective Name Volunteer Instructor Recruitment

Objective Statement Recruit and train 200 new volunteer instructor corps by June 30, 2013.

**Standard Indicators**

Desired Future Value	Base Value	Output	Deadline
200	0	Instructors	June 29, 2013

**% of Desired Output Reported by Action**



**Addressing Actions**

**Action # 370525 - Volunteer Instructor Recruitment**

[\[View Action Details\]](#)

**% of Desired Output by Date**



Date Reported	Reported Value	Output	% of Desired Output
June 29, 2013	180	Instructors	90%
<b>Results</b>	Succesfully recruited and trained 180 new volunteer hunter education instructors		
<b>Totals</b>	180	Instructors	90%

**Appendix A: Grant Details**

**Grant Details #SAMPLE1008 - BMP\_HE**

[\[top\]](#)

Grant SAP/PO Number SAMPLE1008  
 Grant Mod Number 0-BASE  
 Recipient State West Virginia  
 Start Date July 1, 2012

End Date June 30, 2017

**Grant Sub Accounts**

Program	Sub Activity	Est. WSFR Fed Cost	Est. WSFR Non-Fed Match
Sec. 4 Hunter Education	Sec. 4 Hunter Education	\$160,000	\$40,000
Sec. 10 Hunter Education Program	Sec. 10 Hunter Education Grants	\$80,000	\$20,000
<b>Totals</b>		<b>\$240,000</b>	<b>\$60,000</b>

Grantors U.S. Fish and Wildlife Service  
 Agency Grantees WV Department of Natural Resources

**Appendix B: Project Statement Details**

**Project Snapshot #370477 - BMP\_Hunter Education**

[\[View Project Details\]](#) [\[top\]](#)

Primary Agency WV Department of Natural Resources  
 Start Date June 30, 2012  
 End Date June 29, 2013  
 Project Categories Recreation, Administration

**Project Statement Details #370478 - Basic Hunter Education**

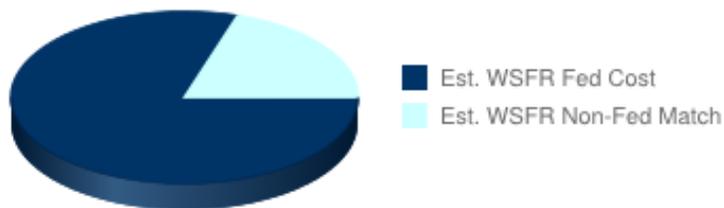
[\[top\]](#)

**Properties**

Is Revision? No  
 Grant Programs Sec. 4 Hunter Education (5221)

Project Statement Cost Breakdown	Estimated WSFR Federal Cost:	\$160,000
	Estimated WSFR Non-Federal Match:	\$40,000
	<b>Total Estimated Cost:</b>	<b>\$200,000</b>

Cost Breakdown Graph



**Need Statement**

The State of West Virginia (WV) has enjoyed a rich hunting heritage throughout its history. Hunting provides benefits to the WV economy, improves wildlife management in WV and provides wildlife dependent recreation. West Virginia's abundance of natural habitat, public lands and

bountiful game species allows for limitless opportunities for people to participate in hunting. Unfortunately, the hunting culture in WV has resulted in unsatisfactory levels of hunting incidents. According to the National Hunter Education Association, over the last two decades the State of WV had a hunting incident rate 12% above the national average. A survey of current, former and potential new hunters, performed by State University in 2009, revealed that the number of basic hunter education courses offered annually in the State of WV was grossly inadequate to meet the demand for all potential first time hunters. The survey revealed hunter dissatisfaction over the lack of courses offered at convenient locations and times throughout the year. It is imperative that WV DNR meet the statewide demand to provide basic hunter education courses to develop safe and responsible hunters. Failure to take action to meet the demand for hunter education will result in continued unsatisfactory levels of hunting incidents and will significantly jeopardize West Virginia's ability to sustain a rich hunting heritage and safe hunting experience.

## Approach

Employ one full time professional and two part time staff involved in the management and oversight of the state mandated Basic Hunter Education program. Staff will develop, manage and provide support services for the ongoing operation of the state mandated Basic Hunter Education program. Responsibilities include maintenance of a reliable state-of-the-art, customer-friendly student registration and record management system via web-based technology. Hunter education students will be able to locate and register for any hunter education class via the Internet. Volunteer instructors will be able to conveniently and efficiently manage student and course records. The Hunter Education staff will acquire training equipment, event supplies and materials to conduct above programs and activities. The Hunter Education staff will develop and implement multiple course delivery methods including instructor-led, home study and on-line courses. Courses will be added in strategic locations where demand is highest. Hunter Education staff will be responsible for the recruitment, training and recognition of at least 200 new volunteer instructors. This includes conducting a minimum of six (6) new instructor training workshops annually that provide standardized training on subjects such as: lesson plan development, records management, public speaking, learning styles & educational theory, use of teaching aids, interactive teaching methods, student evaluations, conducting skill-based training exercises, dilemma-style teaching methods, program policy and procedures, child protection and sexual harassment. To provide for the ongoing development and implementation of instructor training curricula and programs, staff will conduct at least six (6) in-service instructor training workshops for 1800 existing volunteer instructors to address ongoing and current training needs. To maintain and develop a volunteer corps, staff will develop, acquire, distribute and maintain teaching aids, course materials, volunteer uniforms and equipment used in the recruitment, training, recognition and management of all hunter education program instructors. To maintain and develop volunteer instructor corps an incentive program for volunteer instructors will be developed and implemented whereby instructors will be presented awards based upon established performance standards, such as "number of classes taught", "number of training events attended", etc.

## Expected Results

• A decrease in hunting incidents below the national average. • Customer demand for basic hunter education training fully satisfied. • A well developed, highly skilled and trained volunteer instructor corps.

## General

The proposed project activities are eligible for funding and meet criteria for substantiality in

character and design under 50 CFR 80.50 (b)

**Useful Life**

NA

**Program Income**

None anticipated

**Multipurpose Projects**

NA

**Relationship with Other Grants**

Volunteer instructors once trained may be used for instructing advanced hunter education topics such as tree stand safety, turkey hunting, target shooting and archery instruction through the National Archery in the Schools (NASP) program. These courses are conducted under WSFR projec W-001-E Enhanced Student Training.

**Timeline**

? July1-August 30, 2012- All equipment, supplies and materials procured. ? August - September 30 2012, six volunteer instructor training courses conducted regionally. ? One in-service instructor training course and recognition event conducted bi-monthly. ? Hunter education courses and workshops conducted monthly.

**SMART Objectives - Needs/Threats**

**1 - Training Needs**

Need/Threat Level	2
Level 1 Need/Threat	Recreation Needs
Description	The hunting culture in WV has resulted in unsatisfactory levels of hunting incidents. According to the National Hunter Education Association, over the last two decades, the State of WV had a hunting incident rate 12% above the national average. The number of basic hunter education courses offered annually in the State of WV was grossly inadequate to meet the demand for all potential first time hunters.

**Objectives**

**Objective ID - 1**

Objective Name	Basic Hunter Education Courses
Objective Statement	Conduct a minimum of 600 basic hunter education courses statewide in West Virginia through multiple delivery methods by June 30, 2013

**Custom Quantitative Indicators**

Desired Future Value	Base Value	Output	Deadline
600	0	courses	June 29, 2013

**Objective ID - 2**

Objective Name Student Certification  
 Objective Statement Train and certify 18,000 students in basic hunter education by June 30, 2013

**Standard Indicators**

Desired Future Value	Base Value	Output	Deadline
18000	0	Students	June 29, 2013

**Objective ID - 3**

Objective Name Volunteer Coordination  
 Objective Statement Develop and maintain the existing corps of 1800 volunteer hunter education instructors by June 30, 2013.

**Standard Indicators**

Desired Future Value	Base Value	Output	Deadline
1800	0	Instructors	June 29, 2013

**Objective ID - 4**

Objective Name Volunteer Instructor Recruitment  
 Objective Statement Recruit and train 200 new volunteer instructor corps by June 30, 2013.

**Standard Indicators**

Desired Future Value	Base Value	Output	Deadline
200	0	Instructors	June 29, 2013

**Appendix C: Project Details****Project Details #370477 - BMP\_Hunter Education**

[\[top\]](#)



Start Date	June 30, 2012
End Date	June 29, 2013
Action Category	Education
Action Strategy	Student training

### **Action # 370512 - Student Certification**

[\[View Action Details\]](#)

Start Date	June 30, 2012
End Date	June 29, 2013
Action Category	Education
Action Strategy	Student training

### **Action # 370519 - Volunteer Coordination**

[\[View Action Details\]](#)

Start Date	June 30, 2012
End Date	June 29, 2013
Action Category	Education
Action Strategy	Educator/Instructor training

### **Action # 370525 - Volunteer Instructor Recruitment**

[\[View Action Details\]](#)

Start Date	June 30, 2012
End Date	June 29, 2013
Action Category	Education
Action Strategy	Educator/Instructor training

### **Action # 370531 - Additional shooting facilities**

[\[View Action Details\]](#)

Start Date	June 30, 2012
End Date	June 29, 2013
Action Category	Facilities and Areas (Major Renovation)
Action Strategy	Hunter education - firearm shooting ranges

---

## **Appendix D: Action Details**

### **Action Details #370493 - Basic Hunter Education Courses**

[\[top\]](#)



### Properties

Project Name	BMP_Hunter Education <a href="#">[View Project Details]</a>
Status	Completed
Start Date	June 30, 2012
End Date	June 29, 2013
Action Category	Education

### Action Strategy

Strategy	Measured Output	Output Unit
Student training	600	Students

### Activities

Activity	Measured Output	Output Unit
Wildlife education	0	Students
Hunter education - other archery	0	Students
Hunter education - Archery in the Schools	0	Students
Hunter education - firearms	0	Students
Aquatic resource education	0	Students

### Action Details #370512 - Student Certification

[\[top\]](#)



### Properties

Project Name	BMP_Hunter Education <a href="#">[View Project Details]</a>
Status	Completed
Start Date	June 30, 2012
End Date	June 29, 2013
Action Category	Education

### Action Strategy

Strategy	Measured Output	Output Unit
Student training	18000	Students

### Activities

Activity	Measured Output	Output Unit
Wildlife education	0	Students
Hunter education - other archery	0	Students
Hunter education - Archery in the Schools	0	Students
Hunter education - firearms	0	Students
Aquatic resource education	0	Students

### Action Details #370519 - Volunteer Coordination

[\[top\]](#)



### Properties

Project Name	BMP_Hunter Education <a href="#">[View Project Details]</a>
Status	Completed
Start Date	June 30, 2012
End Date	June 29, 2013
Action Category	Education

### Action Strategy

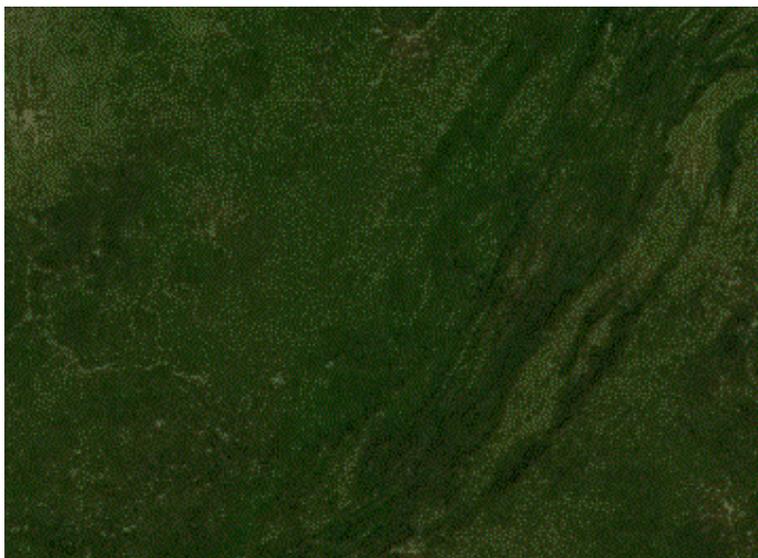
Strategy	Measured Output	Output Unit
Educator/Instructor training	1800	Instructors

### Activities

Activity	Measured Output	Output Unit
Hunter education - firearms	0	Instructors
Aquatic resource education	0	Instructors
Cumulative number of active instructors	0	Instructors
Cumulative hours of volunteer effort	0	Hours

### Action Details #370525 - Volunteer Instructor Recruitment

[\[top\]](#)



### Properties

Project Name	BMP_Hunter Education <a href="#">[View Project Details]</a>
Status	Completed
Start Date	June 30, 2012
End Date	June 29, 2013
Action Category	Education

### Action Strategy

Strategy	Measured Output	Output Unit
Educator/Instructor training	200	Instructors

### Activities

Activity	Measured Output	Output Unit
Hunter education - firearms	0	Instructors
Aquatic resource education	0	Instructors
Cumulative number of active instructors	0	Instructors
Cumulative hours of volunteer effort	0	Hours

Revised 7/12/2013

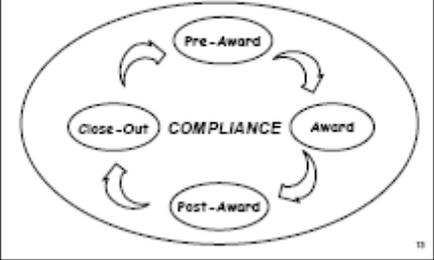
Filename: s:\federalaid\courses\ilt\plc2012\base plc 2012\workbook\11-grant-closure.doc

Enter Name of Course:

**Project Leaders Course**

Enter Tab Number:

**9**

<p><b>PROJECT LEADERS COURSE</b></p> <p>Tab 9: Grant Closure</p>  <p>10</p>	<p>Review objectives for topic.</p>
<p><b>Grants Management Process</b></p>  <p>11</p>	

## **Grant Closure**

### **Objectives:**

1. Describe the actions and documentation that initiate grant closure
2. Become familiar with the dissemination of information
3. Describe the communication and people involved in grant closure
4. Understand your role in closing a grant

<p style="text-align: center;"><b>Grant Closure Process</b></p> <p>The Grantee is responsible for</p> <ul style="list-style-type: none"><li>◆ Final Drawdown</li><li>◆ Performance Report</li><li>◆ Federal Financial Report</li></ul> <p>The Regional FA Office is responsible for</p> <ul style="list-style-type: none"><li>◆ Monitoring State accomplishments</li><li>◆ Processing the Federal Financial Report</li><li>◆ Updating management systems</li></ul> <p style="text-align: right;">90</p>	<p>One of the things being monitored is the end date of the grant award. As we discussed previously reporting is based on grant award dates. When a grant award comes to an end, reports, performance &amp; financial are due 90 days after the ending date.</p> <p>Submitting the final federal financial report initiates the grant closure phase of the cycle. Prior to the end date grantees should be sure all expenditures are charged against project, work is completed, field personnel are aware of grant closing (no more charges) and drawdowns are completed.</p> <p>Once the Regional Office receives the federal financial report the process of actually closing the grant financially begins.</p>
	<p>Make sure participants understand the difference in submitting reports to close grants versus annual reporting.</p>

## Grant Closure Process

### The Grantee/State must submit a:

1. **Final Drawdown** (request for reimbursement)
2. **Performance Report** (a final report if closing out a research grant)
3. **Federal Financial Report** (SF-425)

A final drawdown should be made through Smartlink to request reimbursement for federal share of grant expenditures.

The performance and financial reports are due to the Regional Wildlife and Sport Fish Restoration Program Office within 90 days after the grant's ending date. If these reports cannot be provided within the 90 day period, a written request for an extension must be submitted prior to the deadline.

### The Regional Wildlife and Sport Fish Restoration Program Office is responsible for:

1. **Monitoring State accomplishments** (performance reports, site visits, etc.)
2. **Processing the Federal Financial Report** (SF-425)
3. **Updating FBMS**

Federal staff reviews and accepts the closure documentation. Information is entered into the Federal Business Management System (FBMS).

## Closure and Disposition of Remaining Funds

Submission and acceptance of the final Federal Financial Report (SF-425) closes the grant award and denotes disposition of the remaining balance on the award (unused balance of grant funds). The grant award is closed financially.

The unused balance may be returned to the grantee, reverted back to the program or used for other purposes depending on the established rules and regulations for each specific grant program.

<p style="text-align: center;"><b>Tell Our Story</b></p> <hr/> <ul style="list-style-type: none"><li>◆ Fishing, hunting, boating and outdoor shows</li><li>◆ Journals and magazines</li><li>◆ Internet Social Media (Facebook &amp; Twitter)</li><li>◆ Accomplishment Reports</li></ul> <p style="text-align: right;">91</p>	<p>Mention FWS Reference Service.</p> <p>Info still being collected.</p>
<p>Point out that the FAIMS information can be obtained on the internet and emphasize the URL of the FAIMS web page: <a href="http://faims.fws.gov">http://faims.fws.gov</a></p> <p>Access to FAIMS data on the Internet we call iFAIMS. It is available to anyone who has an internet connection.</p> <p>This is an example of the type of information that can be gleaned from the report data used to meet public information requests and to track your grant information.</p> <p>Discuss how future electronic reporting (FAIMS on the Internet) and the flow of information will be important in disseminating information and meeting accountability standards</p>	

### **Distribution of Information**

One of the last things to happen is the distribution of information about the project results.

Both Federal and State agencies distribute information through:

- Fishing, hunting, boating, and outdoor shows
- Journals and magazines
- Technical assistance with other states
- Accomplishment Reports
- FBMS

Notes:

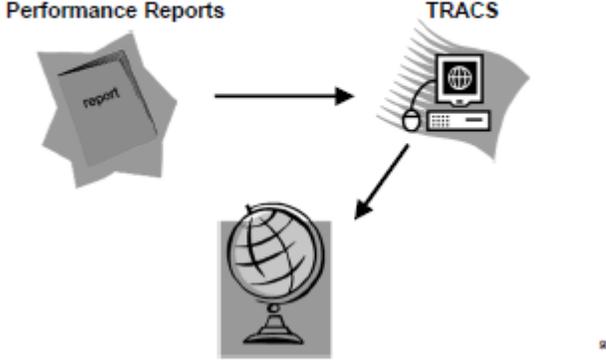
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<p style="text-align: center;"><b>Tell Our Story</b></p> <hr/> <p>Performance Reports</p>  <p>TRACS</p> <p>The diagram illustrates a process flow. On the left, under the heading 'Performance Reports', there is an icon of a report document. An arrow points from this report to a computer monitor icon labeled 'TRACS'. From the TRACS icon, another arrow points to a globe icon, which is positioned below the TRACS icon. A small '92' is visible in the bottom right corner of the diagram area.</p>	<p>Summarize the discussion and emphasize the following learning points.</p> <ol style="list-style-type: none"><li>1) Performance reports are required.</li><li>2) State's responsibility to make final draw.</li><li>3) State needs to submit SF-425, Federal Financial Report only after # 2 above is done.</li><li>4) SF-425 is required within 90 days after the expiration date of the grant.</li><li>5) An extension of the 90-day period must be in writing.</li><li>6) Disposition of funds – check reports</li><li>7) Dissemination of information – available for stakeholders, etc.</li></ol>

## REVIEW

### Steps in the Grants Management Process

1. Needs Assessment - identifies needs, issues and problems
2. Identify a Project that would meet the need(s) identified in the needs assessment
3. Identify the grant program and grant type appropriate for the project
4. Prepare and submit a Grant Application package: SF-424, Standard Assurances, Project Statement, and other required documents
5. Grant application package is reviewed, approved and awarded
6. Implementation, Monitoring and Evaluation of the grant
7. Grant changes and continued implementation, monitoring and evaluation
8. Grant closure
9. Dissemination of information
10. Re-assess needs for new grant and monitor for post closure issues




### Learning Points

- ✓ The grant closure process requires effective communication among several people
- ✓ Grantee initiates grant closure by submitting final financial and performance reports
- ✓ Submission and acceptance of final financial report closes grant award and disposes of unused grant funds
- ✓ Information from performance reports is distributed in various formats to program stakeholders
- ✓ The primary role of a project leader in closing a grant is the completion of the performance report and ensuring all charges to the grant are submitted

Revised 7/12/2013

Filename: s:\federalaid\courses\ilt\plc2012\base plc 2012\workbook\12-post-closure.doc

Enter Name of Course:

**Project Leaders Course**

Enter Tab Number:

**10**

<p><b>PROJECT LEADERS COURSE</b></p> <hr/> <p>Tab 10: Post Closure</p>  <p>93</p>	<p>Review objectives for topic.</p>

## **Post Closure: Ongoing Responsibilities**

### **Objectives:**

1. Identify responsibilities that continue after grant closure
2. Discuss A-133 and Program Audits
3. Describe importance of understanding and applying grant program requirements and guidance

<p style="text-align: center;"><b>Post Grant Responsibilities</b></p> <hr/> <ul style="list-style-type: none"> <li>◆ Land Issues</li> <li>◆ Facilities</li> <li>◆ Equipment</li> <li>◆ Cooperative Agreements and Sub-Grantees</li> <li>◆ Record Retention</li> <li>◆ Single Audits and Program Audits</li> </ul>	<p>The facilities, land and equipment must be maintained according to the grant program rules and regulations.</p> <p>The federal strings attached don't disappear when the grant award end date is reached or the final reports are submitted.</p> <p>Past performance on grants may affect future funding. Congress and stakeholders want to see progress on the ground before committing additional funds.</p> <p>FWS will be putting useful life into grant award – may go back to make determination on past grants.</p>
	<p>In addition to these issues grantees may have contracted or subgranted funds to marinas, local governments, etc., for boat ramps, pumpout stations, mooring and boat docks.</p> <p>There is probably an agreement or contract (MOU) in place that will need to be monitored beyond the grant date.</p> <p>There's also audit of subgrantees that may need to be monitored.</p> <p>Examples of sub-grantees: LIP, SWG, CVA, BIG, Boating Access Shooting Ranges Boating Access</p>

## Post Grant Closure Responsibilities

Land purchased with WSFR funds or license revenue

Land purchased with federal funds carries a perpetual federal nexus which applies to all land use, ownership, control and disposition. Income issues with bartering, timbering and mineral extraction. Land purchased with license revenue must stay within the control of the F&W agency because of the license fee requirement in WR & SFR Acts. 50 CFR 80.14 (b) 80.18 (c) and 43 CFR 12.71 (b &c), 522 FW 20, 21, 22, 19.

Facilities purchased, constructed, or improved with WSFR funds

Have ongoing responsibilities such as useful life, **access** and program income. FWS will be putting useful life in grant award and may go back to make determination on past grants. 522 FW 10, FW 7 522 FW 21, 22, 43 CFR 80.14

Equipment acquired using WSFR funds

Must be used by the grantee or subgrantee in the project for which it was acquired as long as needed whether activity continues to be funded by WSFR.

When no longer needed may be used for activity currently or previously supported by federal agency. 43 CFR 12.72 (b). High dollar equipment purchased on a 1 year grant may have conditional statement on award.

Monitoring Cooperative Agreements and Sub-grantees

Binding contracts that have protection and performance requirements that often extend beyond the grant ending date. ie..state park boat ramps public access and hunter education program use of shooting, ranges disposition/use of user fees. Access, maintenance and useful life.

	<p>Single Audit Act Requirements OMB A-133</p> <p>The Single Audit Act requires States, Local, and Tribal governments, nonprofit organizations, colleges, universities and hospitals that expend \$500,000 or more in Federal grant funds to obtain an annual audit in accordance with the Single Audit Act Amendments of 1996, OMB Circular A-133.</p> <p>Entities expending less than \$500,000 in a year, non U.S. based and for-profit grantees are exempt from the Single Audit Act but must make records available for review or audit by Federal agencies or pass-through entities.</p> <p>Because these audits rarely reached WSFR programs the 2000 improvement Act mandated program audits.</p>

## Post Grant Closure Responsibilities (continued)

### Record Retention

Grantees must retain grant records according to 43 CFR 12.82 and other program specific regulations. Records are used for audits and reviews to verify financial transactions to determine if funds are used in accordance with laws & regulations. Provide objective appraisals of financial accounting systems and administrative controls. Determines reliability of financial records and reports. Generally must be kept for 3 years unless audit finding.

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### Single Audits and Program Audits

The single audit is intended to meet the needs of both the non-Federal entity and the Federal awarding agency. Additional audits by the Federal government build upon the work performed in the Single Audit

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Only Federal programs determined to be major Federal programs are reviewed or tested.

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Program audits mandated in 2000 Improvement Act.

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## Wildlife and Sport Fish Restoration Program Audits

As specified in the Wildlife and Sport Fish Restoration Program audits Improvement Act of 2000, grantees are audited once each 5 year period for the two most recent completed State Fiscal Years. The Wildlife and Sport Fish Restoration Program audits supplement the Single Audit Act audits.

Currently the audits only cover the Sport Fish (SFR) and Wildlife Restoration (WR) programs, but there are plans to begin auditing the State Wildlife Grant Program (SWG) and the Landowner Incentive Program (LIP).

Wildlife and Sport Fish Restoration Program has contracted with the Department of Interior, Office of Inspector General to perform the program audits.

The audit encompasses assent legislation, license certifications, the income and expenses associated with license revenues, grant expenditures and program income for the most recent two-year period. In addition, the audit includes a review of historical records for the acquisition, condition, use, management, and disposal of real and personal property purchased with either license fees or federal grant funds.

Audit findings must be addressed in the corrective action plan (CAP).

	<b>Wildlife and Sport Fish Restoration Program Audits</b>
417 FW 1 through 6	Wildlife and Sport Fish Restoration Program Audits
Congressional Acts	Wildlife Restoration Act Sport Fish Restoration Act
	General Guidance > Audit Guidelines

<p><b>Grants Management Process</b></p>  <p>4</p>	<p>Review and cover learning points.</p>
<p><b>Questions / Parking Lot</b></p>  <p>66</p>	<p>Address any Questions / Parking Lot Issues</p> <p>More information on Grants Management – Advanced Course, Project Leaders Courses, more to come.</p> <p>Post –Course Survey (10 Minutes)</p> <p>Ask participants to complete survey online or paper version.</p> <p>Reminder: Toolkit on web, anyone needing Toolkit CDs?</p> <p>Course Certificates</p>



### Learning Points

- ✓ Compliance issues continue, even after the grant is closed
- ✓ The Improvement Act of 2000 required additional audits of SFR and WR programs once during a 5 year period
- ✓ Taking the appropriate actions improve the audit experience for all parties
- ✓ Generally records must be maintained for 3 years from the date of submission of the last expenditure report unless actions involving audits, litigation, claims or negotiations. Records for real property and equipment must be retained until final disposition
- ✓ Grantees are accountable for all federal funds received including funds passed through or sub awarded. Grantees should have monitoring techniques in place for subrecipients

## Boating Infrastructure Grant Program

**1. Enabling Legislation:**

- Sport Fishing and Boating Safety Act of 1998

**2. Purpose:**

- Grants to States and Territories to construct, renovate, or maintain tie-up facilities for recreational boats 26 feet or more in length

**3. Eligible Grantees:**

- States and Territories

**4. Eligible Projects:**

- Construction, renovation and maintenance of boating infrastructure tie-up facilities either publicly or privately owned for non-trailerable recreational vessels 26 feet or more in length
- Produce information and education materials such as charts, cruising guides and brochures

**5. Source of funds:**

Permanent/Indefinite Appropriation

2% of amount in Sport Fish Restoration & Boating Trust Fund (authorized through 2009) - revenues from the following:

- Excise taxes on sport fishing equipment, electric motors and sonar
- Import duties on fishing tackle, yachts and pleasure craft
- Portion of gasoline tax attributable to motorboats and small engines
- Interest earned on Trust Fund

**6. Distribution method:**

- Tier 1 - Non-competitive \$100,000 per year for each State
- Tier 2 - Nationally competitive based on ranking criteria

**7. Spending mandates, fund matching requirements, and/or limitations on availability of funds:**

- Must be spent on needs identified in Act
- Requires 25% matching, federal share not to exceed 75% of total costs
- Funds are available from time of obligation on awarded grant until grant closing date. Unspent funds are returned to the BIG Program to be awarded in addition to new funds in the subsequent year
- Funds not obligated 3 years from date of availability are reverted and made available to the U.S. Coast Guard for use on Boating Safety

**8. Special conditions or requirements:**

- Facilities constructed, operated or maintained with grant funds must have reasonable access for all recreational vessels for the full period of their useful life
- Be open for reasonable periods
- Charge equitable fees based on prevailing rate in area
- New construction and renovations must be designed to last at least 20 years

**9. Governing Guidance:**

- Sport Fishing and Boating Safety Act of 1998
- 50 CFR Part 86
- 43 CFR Part 12
- USFWS Manual Chapters

## Clean Vessel Act

**1. Enabling Legislation:**

- Clean Vessel Act of 1992 (amendment to the Sport Fish Restoration Act)

**2. Purpose:**

- Grants to coastal and inland States for pump-out stations and waste reception facilities to dispose of recreational boater sewage

**3. Eligible Grantees:**

- Coastal and Inland States

**4. Eligible Projects:**

Coastal States:

- Identifying operational pump-out & dump stations
- Survey of recreational vessels in coastal waters with holding tanks/portable toilets
- Cost of developing list of operational pump-out & dump stations and plans for construction/renovation of pump-out & dump stations in coastal zone

All States:

- Education / information program to educate / inform recreational boaters about environmental pollution resulting from sewage discharges from vessels
- Location of pump-out & dump stations
- Construction, renovation, operation and maintenance of pump-out & dump stations including floating restrooms used by boaters
- Activities involved with holding, transporting, and getting sewage treatment facilities to accept sewage

**5. Source of funds:**

Permanent/Indefinite Appropriation

2% of amount in Sport Fish Restoration & Boating Trust Fund (authorized through 2009) - revenues from the following:

- Excise taxes on sport fishing equipment, electric motors and sonar
- Import duties on fishing tackle, yachts and pleasure craft
- Portion of gasoline tax attributable to motorboats and small engines

- Interest earned on Trust Fund

**6. Distribution method:**

- Nationally competitive based on ranking criteria

**7. Spending mandates, fund matching requirements, and/or limitations on availability of funds:**

- Must be spent on needs identified in Act
- Requires 25% matching, federal share not to exceed 75% of total costs
- Funds are available from time of obligation on awarded grant until grant closing date. Unspent funds are returned to the CVA Program to be awarded in addition to new funds in the subsequent year
- Funds not obligated 3 years from date of availability are reverted and made available to the U.S. Coast Guard for use on Boating Safety

**8. Special conditions or requirements:**

- Requires each coastal State to conduct survey of facilities and recreational vessels with certain marine sanitation devices
- Requires each coastal State to develop and submit plan for construction and/or renovation of facilities within coastal zone
- Facilities constructed, operated or maintained with grant funds must be accessible to public for the full period of their useful life
- Limits charges for use of these facilities

**9. Governing Guidance:**

- Clean Vessel Act of 1992
- 50 CFR Part 85
- 43 CFR Part 12
- Service Manual 523 FW 1

## Endangered Species Grant Program

### 1. Enabling Legislation:

- Endangered Species Act of 1973 – Section 6

### 2. Purpose:

- Provide assistance to State fish and wildlife agencies to assist in development of programs for the conservation of endangered and threatened species on non-federal lands

### 3. Eligible Grantees:

- All State and Territory agencies that have entered into a cooperative agreement with the Secretary of Interior

### 4. Eligible Projects:

- Animal, plant and habitat surveys; research; planning; monitoring; habitat protection, restoration, management and acquisition; and public education

### 5. Source of funds:

Annual Appropriation

- Cooperative Endangered Species Conservation Fund

### 6. Distribution method:

- Traditional Conservation Grants – funding allocated by formula to USFWS Regions based on number of species covered in cooperative agreements. Regions further allocate funding to States by formula or competitive basis.
- Habitat Conservation Planning Assistance Grants – awarded based on National competition
- Habitat Conservation Plan Land Acquisition Grants – awarded based on National competition
- Recovery Land Acquisition Grants – awarded based on Regional competition

### 7. Spending mandates, fund matching requirements, and/or limitations on availability of funds:

- Provides up to 75% federal funding, 25% required from non-federal sources (up to 90% federal funding when two or more States cooperate to conserve an endangered or threatened species of common interest)
- 100% federal funds for Virgin Islands, Guam, American Samoa and N. Mariana Islands

### 8. Special conditions or requirements:

- State or Territory must currently have or enter into a cooperative agreement with USFWS
- Submit proposals meeting eligibility requirements for specific grant program

### 9. Governing Guidance:

- Endangered Species Act
- Notice of Availability of Federal Assistance for Section 6 ESA Grant Program
- 43 CFR 12
- USFWS Manual Chapters

## Landowner Incentive Program

### 1. Enabling Legislation:

- Annual Appropriations Act

### 2. Purpose:

- Establish or supplement landowner incentive programs that protect and restore habitat on private lands to benefit Federally listed, proposed or candidate species or other species determined to be at-risk.
- Provide technical and financial assistance to private landowners for habitat protection and restoration

### 3. Eligible Grantees:

- All State and Territory agencies with primary responsibility for fish and wildlife

### 4. Eligible Projects:

- Tier 1 grants to fund staff and associated support necessary to develop or enhance existing landowner program to benefit private landowners and other partners to help manage and protect habitats that benefit species at-risk
- Tier 2 grants to provide funding for technical and financial assistance to private landowners for the protection and restoration of habitats that benefit Federally listed, proposed, or candidate species or other at-risk species on private land
- Tier 2 grants to expand existing landowner incentive programs or those created under Tier 1

### 5. Source of funds:

Annual Appropriation

Land and Water Conservation Fund – revenues from:

- Outer Continental Shelf Oil & Gas

### 6. Distribution method:

- Tier 1 – each State receives \$180,000, Territories and DC receive \$75,000 for eligible projects meeting Tier 1 criteria
- Tier 2 – Nationally competitive based on criteria

### 7. Spending mandates, fund matching requirements, and/or limitations on availability of funds:

- Provides up to 75% federal funding, 25% required from non-federal sources
- 100% federal funds for Virgin Islands, Guam, American Samoa and N. Mariana Islands
- Funds are available from time of obligation on awarded grant until grant closing date. Unspent funds are returned to the LIP to be awarded in addition to new funds in the subsequent year

### 8. Special conditions or requirements:

- Submit proposals meeting eligibility requirements for Tier 1 and/or Tier 2 funding

### 9. Governing Guidance:

- Appropriations Act
- Landowner Incentive Grant Program Implementation Guidelines
- 43 CFR 12
- USFWS Manual Chapters

## Multi-State Grant Program

**1. Enabling Legislation:**

- Wildlife and Sport Fish Restoration Programs Improvement Act of 2000, amended Sport Fish Restoration (Dingell-Johnson) and Wildlife Restoration (Pittman-Robertson)

**2. Purpose:**

- Provide funding for wildlife and sport fish restoration projects identified as priority projects by the Association of Fish & Wildlife Agencies (AFWA)
- Program is intended to address regional or national level priorities of state fish and wildlife agencies

**3. Eligible Grantees:**

- States or group of States
- USFWS, a State or group of States for the purpose of carrying out the National Survey of Fishing, Hunting and Wildlife Associated Recreation
- Non-governmental organizations

**4. Eligible Projects:**

- Sport fisheries and wildlife management and research projects, boating access development, hunter safety, aquatic education, habitat improvements and other projects consistent with Wildlife and Sport Fish Restoration Acts
- Projects must benefit at least 26 States or a majority of States in any USFWS or AFWA Region

**5. Source of funds:**

Permanent/Indefinite Appropriation

Sport Fish Restoration & Boating Trust Fund \$3 million (authorized through 2009) - revenues from the following:

- Excise taxes on sport fishing equipment, electric motors and sonar
- Import duties on fishing tackle, yachts and pleasure craft
- Portion of gasoline tax attributable to motorboats and small engines
- Interest earned on Trust Fund

Wildlife Restoration Trust Fund \$3 million (authorized through 2009) - revenues from the following:

- Excise taxes on sporting arms and ammunitions (firearms, ammunition, pistols, handguns, revolvers, bows, archery, arrow components)

**6. Distribution method:**

- Awarded through cooperative process with AFWA

**7. Spending mandates, fund matching requirements, and/or limitations on availability of funds:**

- \$6 million available annually
- No matching requirements
- Funds available to be obligated for 2 years
- Obligated funds are available from time of obligation on awarded grant until grant closing date. Unspent funds are returned to the multi-state grant program to be awarded in addition to new funds in the subsequent year

**8. Special conditions or requirements:**

- Applicants must satisfy all standard Federal application and assurance requirements as well as standards set by AFWA
- Non-governmental applicants must provide certification to AFWA that grant funds will not be used for any activities, projects or programs that promote or encourage opposition to regulated hunting or trapping of wildlife or angling for or taking of fish
- Submit proposals to AFWA

**9. Governing Guidance:**

- Wildlife and Sport Fish Restoration Acts
- 50 CFR 80
- 43 CFR 12
- USFWS Manual Chapter

## National Coastal Wetlands

**1. Enabling Legislation:**

- Coastal Wetlands Planning, Protection and Restoration Act of 1991

**2. Purpose:**

- Provide funding for long-term conservation of coastal wetland ecosystems by helping States to protect, restore and enhance coastal habitats

**3. Eligible Grantees:**

- Any agency or agencies of a coastal State designated by the Governor as having responsibility for coastal wetlands
- Usually a State natural resource agency or fish and wildlife agency
- Exception: State of Louisiana which receives funding from Coastal Wetlands Planning, Protection and Restoration Act for LA Coastal Wetlands Program

**4. Eligible Projects:**

- Acquisition of real property interest in coastal lands or waters providing that terms and conditions ensure property will be administered for long-term conservation
- Restoration, enhancement, or management of coastal wetlands ecosystems, providing restoration, enhancement, or management will be administered for long-term conservation

**5. Source of funds:**

15% annually of the 18.5% distributed to Coastal Wetlands Planning, Protection and Restoration Act from the Sport Fish Restoration & Boating Trust Fund (authorized through 2009) - revenues from the following:

- Excise taxes on sport fishing equipment, electric motors and sonar
- Import duties on fishing tackle, yachts and pleasure craft
- Portion of gasoline tax attributable to motorboats and small engines
- Interest earned on Trust Fund

**6. Distribution method:**

- Awarded through National competition to coastal States

**7. Spending mandates, fund matching requirements, and/or limitations on availability of funds:**

- Provides up to 50% federal funding, remaining 50% of costs must be from non-federal source (funds increased to 75% federal share for coastal States that have and are using a fund for acquiring coastal wetlands or other natural areas or open spaces)
- 100% Federal funding for American Samoa, Guam, N. Mariana Islands and Virgin Islands

**8. Special conditions or requirements:**

- Designated agencies of coastal States submit eligible proposals
- Provide non-federal matching funds

**9. Governing Guidance:**

- Coastal Wetlands Planning Protection and Restoration Act
- 50 CFR 84
- 43 CFR 12
- USFWS Manual Chapters

## Sport Fish Restoration Program

### 1. Enabling Legislation:

- Sport Fish Restoration Act also known as Dingell-Johnson (DJ) Act of 1950

### 2. Purpose:

- Restoration and management of fish species of material value for sport-fishing and recreation
- Provide facilities that create or add to public access for recreational boating
- Provide aquatic education to public to increase understanding of water resources and associated aquatic life

### 3. Eligible Grantees:

- All State / Territory fish and wildlife agencies with assent legislation

### 4. Eligible Projects:

- Projects restoring, conserving, managing, and enhancing sport fish having material value for sport or recreation
- Projects enhancing the public's understanding of water resources and aquatic life, assisting them in developing attitudes toward the aquatic environment

### 5. Source of funds:

Permanent/Indefinite Appropriation

57% of amount in Sport Fish Restoration & Boating Trust Fund (authorized through 2009) - revenues from the following:

- Excise taxes on sport fishing equipment, electric motors and sonar
- Import duties on fishing tackle, yachts and pleasure craft
- Portion of gasoline tax attributable to motorboats and small engines
- Interest earned on Trust Fund

### 6. Distribution method:

- Apportioned based on formula

### 7. Spending mandates, fund matching requirements, and/or limitations on availability of funds:

- Cost reimbursement
- Provides up to 75% federal funding, 25% required from non-federal sources
- 100% federal funding for Puerto Rico, Virgin Islands, Guam, American Samoa and N. Mariana Islands
- Annual apportionment available for 2 years
- Reverted funds are reapportioned to Sport Fish Restoration in subsequent cycle
- Only 15% of apportioned funds may be used for aquatic education (no limit for PR, DC, CNMI, Guam, VI and American Samoa)
- At least 15% of apportioned funds must be used for acquisition, development, renovation or improvement of facilities to create or add public access to waters for recreational boating (averaged by region over 5 year period)
- Coastal States must equitably allocate apportionment between freshwater and marine projects in proportion to number of resident marine / freshwater anglers
- Amount allocated by States for freshwater programs each fiscal year cannot be less than amount allocated for fiscal year 1988

### 8. Special conditions or requirements:

- Pass and maintain assent legislation
- Submit eligible sport fish restoration projects including boating access and/or aquatic education
- Submit annual license certification

### 9. Governing Guidance:

- Sport Fish Restoration Act
- 50 CFR 80
- 43 CFR Part 12
- USFWS Manual Chapters

## State Wildlife Grant Program

**1. Enabling Legislation:**

- Annual Appropriations Act

**2. Purpose:**

- Provide funds for development and implementation of programs that benefit wildlife and their habitat, including species not hunted or fished
- Planning and implementation programs are permitted

**3. Eligible Grantees:**

- All State and Territory fish and wildlife agencies

**4. Eligible Projects:**

- Development and implementation of programs benefiting wildlife and their habitats, including species not hunted or fished, priority placed on species of greatest conservation concern

**5. Source of funds:**

Land and Water Conservation Fund (annual appropriation) – revenues from:

- Outer Continental Shelf Oil & Gas
- General treasury since 2006

**6. Distribution method:**

- Apportioned based on formula and a portion based on a nationally competitive basis

**7. Spending mandates, fund matching requirements, and/or limitations on availability of funds:**

- Planning grants require 25% matching, federal share not to exceed 75% of total costs
- Implementation grants require 35% matching, federal share not to exceed 65% of total costs since fy 2010. 50% federal share, 50% state share prior to fy 2010.
- 100% federal funds for Virgin Islands, Guam, American Samoa and N. Mariana Islands
- Annual appropriation available for 2 years

**8. Special conditions or requirements:**

- State / Territory must develop or commit to develop a comprehensive wildlife conservation plan by October 1, 2005

**9. Governing Guidance:**

- Appropriations Act
- State Wildlife Grant Program Implementation Guidelines
- 43 CFR 12
- USFWS Manual Chapters

## Tribal Landowner Incentive Grant Program

### 1. Enabling Legislation:

- Annual Appropriations Act

### 2. Purpose:

- Provide funding to federally recognized Tribes for actions and activities that protect and restore habitats that benefit federally-listed, proposed, or candidate species or other at-risk species on tribal lands

### 3. Eligible Grantees:

- Federally recognized Tribes in all parts of the United States, including Federally recognized Tribes, pueblos, rancheros, and Alaska native villages or traditional councils as defined by the Alaska Native Claims Settlement Act

### 4. Eligible Projects:

- Projects to improve, preserve, or maintain habitat for endangered, threatened, candidate, or other at-risk species.

### 5. Source of funds:

Annual Appropriation

Land and Water Conservation Fund – revenues from:

- Outer Continental Shelf Oil & Gas
- **No current appropriations**

### 6. Distribution method:

- Competitive based on Request for Grant Proposals and Final Policy and Implementation Guidelines

### 7. Spending mandates, fund matching requirements, and/or limitations on availability of funds:

- Cost reimbursement
- Provides up to 75% federal funding, 25% required from non-federal sources
- Funds are available from time of obligation on awarded grant until grant closing date. Unspent funds are returned to the TLIP to be awarded in addition to new funds in the subsequent year

### 8. Special conditions or requirements:

- Eligible grantees submit application including Tribal resolution of support to Regional Native American Liaisons of USFWS

### 9. Governing Guidance:

- Appropriations Act
- Tribal Landowner Incentive Program Implementation Guidelines
- 43 CFR Part 12
- USFWS Manual Chapters

## Tribal Wildlife Grant Program

**1. Enabling Legislation:**

- Annual Appropriations Act

**2. Purpose:**

- Provide funding to federally recognized Tribes for development and implementation of programs that the benefit wildlife and their habitat, including species of tribal cultural or traditional importance and species that are not hunted or fished.

**3. Eligible Grantees:**

- Federally recognized Tribes in all parts of the United States, including Federally recognized Tribes, pueblos, rancheros, and Alaska native villages or traditional councils as defined by the Alaska Native Claims Settlement Act

**4. Eligible Projects:**

- Development and implementation of programs for the benefit of wildlife and their habitat, including species of tribal cultural or traditional importance and species that are not hunted or fished.
- Activities may include, but are not limited to, planning for wildlife and habitat conservation, ongoing and/new fish and wildlife management actions, fish and wildlife related laboratory and field research, natural history studies, habitat mapping, field surveys and population monitoring, habitat preservation, land acquisition, conservation easements, and outreach efforts.

**5. Source of funds:**

Land and Water Conservation Fund (annual appropriation) – revenues from:

- Outer Continental Shelf Oil & Gas
- General Treasury since 2006

**6. Distribution method:**

- Competitive based on Request for Grant Proposals and Final Policy and Implementation Guidelines

**7. Spending mandates, fund matching requirements, and/or limitations on availability of funds:**

- Cost reimbursement
- Provides up to 100% federal funding
- Annual appropriation available for 2 years

**8. Special conditions or requirements:**

- Eligible grantees submit application including Tribal resolution of support to Regional Native American Liaisons of USFWS

**9. Governing Guidance:**

- Appropriations Act
- Tribal Wildlife Grant Program Implementation Guidelines
- 43 CFR Part 12
- USFWS Manual Chapters

## Wildlife Restoration Grants

**1. Enabling Legislation:**

- Wildlife Restoration Act also known as Pittman-Roberson (PR) Act of 1937

**2. Purpose:**

- Restoration, conservation, management and enhancement of wild birds and mammals and their habitat.
- Provide public use and access to wildlife resources
- Provide for education of hunters and development of shooting ranges

**3. Eligible Grantees:**

- All State / Territory fish and wildlife agencies with assent legislation

**4. Eligible Projects:**

- Selection, restoration, rehabilitation and improvement of areas of land or water adaptable as feeding, resting, or breeding places for wildlife

**5. Source of funds:**

Permanent/Indefinite Appropriation

Wildlife Restoration Trust Fund – revenues from:

- Excise taxes on sporting arms and ammunitions (firearms, ammunition, pistols, handguns, revolvers, bows, archery, arrow components)

**6. Distribution method:**

- Apportioned based on formula

**7. Spending mandates, fund matching requirements, and/or limitations on availability of funds:**

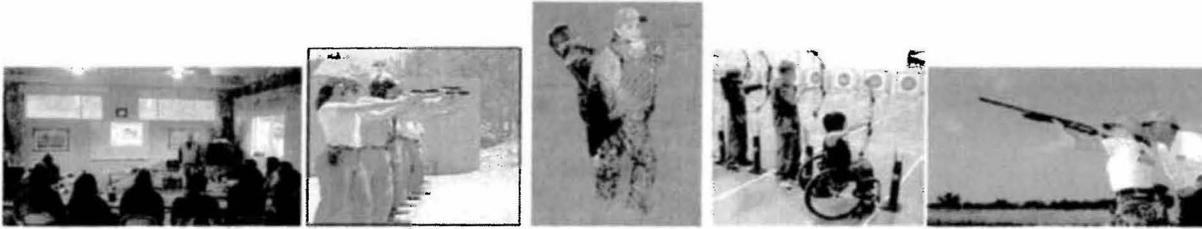
- Cost reimbursement
- Provides up to 75% federal funding, 25% required from non-federal sources
- 100% federal funding for Puerto Rico, Virgin Islands, Guam, American Samoa and N. Mariana Islands
- Annual apportionment available for 2 years
- Reverted are returned to U.S. Fish and Wildlife Service for use in Migratory Bird Program
- Basic Hunter Education (separate formula and apportionment) - may be used for hunter education or other WR Act authorized projects
- Enhanced Hunter Education (\$8 million set aside) – must be used for hunter education or shooting range enhancements (if all Basic Hunter Education funds are used for hunter education, Enhanced HE may be used for any WR Act authorized projects)
- Enhanced HE funds available for 1 year

**8. Special conditions or requirements:**

- Pass and maintain assent legislation
- Submit eligible wildlife restoration projects including hunter education and/or shooting range enhancements
- Submit annual license certification

**9. Governing Guidance:**

- Wildlife Restoration Act
- 50 CFR 80
- 43 CFR Part 12
- USFWS Manual Chapters



## PITTMAN-ROBERTSON WILDLIFE RESTORATION PROGRAM

**Question:** Why is there a difference in the eligible activities funded under the three funding categories of the Pittman-Robertson Wildlife Restoration Act: Wildlife Restoration, Basic Hunter Education and Enhanced Hunter Education?

**Answer:** The eligible activities under each of the funding categories are outlined in the respective sections of 16 U.S.C. 669-669k, as amended, and the Pittman-Robertson Wildlife Restoration program regulations (50 CFR 80). In order to be approved for grant funds, the activities must meet eligibility standards set by Congress for Wildlife Restoration (Section 4a), Basic Hunter Education (Section 4c), and Enhanced Hunter Education (Section 10).

Examples of eligible activities that support recruitment and retention efforts include, but are not limited to, the following:

**Wildlife Restoration** – carry out research and surveys that assess trends in hunter participation, including recruitment and retention, socio-economic studies and barriers to hunting; acquire, lease or manage lands to increase hunting opportunity; develop facilities to support hunters, hunting and wildlife-related recreation; and conduct tests to evaluate the results of recruitment and retention techniques.

**Basic Hunter Education** – assess the effectiveness of basic and advanced hunter education programs on recruiting and retaining participants; develop and implement model recruitment and retention programs provided the activities involve teaching skills, knowledge, and attitudes necessary to be a responsible hunter; improve public access to hunter education materials and courses; acquire land, construct and operate firearm and archery ranges; acquire, develop and maintain hunter education facilities; and provide technical assistance to target range operators.

**Enhanced Hunter Education** – develop and implement model recruitment and retention programs; offer shooting skills development programs, such as Archery in the Schools and Scholastic Clays that introduce individuals to the shooting sports; develop and sponsor exhibits at outreach events; increase opportunities for recreational shooting, such as mobile shooting clays and live fire exercises; acquire and maintain facilities that encourage hunting, firearms and archery activities; and communicate positive hunting messages through media programs.

**For additional information, contact:**

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PITTMAN-ROBERTSON WILDLIFE RESTORATION PROGRAM

The activities listed below are eligible for funding by the Pittman-Robertson Wildlife Restoration program, Basic Hunter Education and Safety subprogram (Basic Hunter Education) and the Enhanced Hunter Education and Safety program (Enhanced Hunter Education):

Wildlife Restoration (Section 4a)	Basic Hunter Education (Section 4c)	Enhanced Hunter Education (Section 10)
<p>Restore and manage wildlife for the benefit of the public.</p> <p>Conduct research on the problems of managing wildlife and its habitat if necessary to administer wildlife resources efficiently.</p> <p>Obtain data to guide and direct the regulation of hunting.</p> <p>Acquire real property suitable or capable of being made suitable for wildlife habitat, or public access for hunting and other wildlife oriented recreation.</p> <p>Restore, rehabilitate, improve, or manage areas of land or water as wildlife habitat.</p> <p>Build structures or acquire equipment, goods, and services to restore, rehabilitate, or improve lands or waters as wildlife habitat; or provide public access for hunting and other wildlife-oriented recreation.</p> <p>Operate or maintain projects that the State fish and wildlife agency completed under the Pittman-Robertson Wildlife Restoration Act or facilities that the agency acquired or constructed with other sources of funds if these facilities are necessary to carry out activities authorized by the Pittman-Robertson Wildlife Restoration Act.</p>	<p>Teach the skills, knowledge, and attitudes necessary to be a responsible hunter; and</p> <p>Construct, operate, or maintain firearm and archery ranges for public use.</p>	<p>Enhance programs for hunter education, hunter development, and firearm and archery safety. Hunter-development programs introduce individuals to and recruit them to take part in hunting, bow hunting, target shooting, or archery.</p> <p>Enhance interstate coordination of hunter-education and firearm- and archery-range programs.</p> <p>Enhance programs for education, safety, or development of bow hunters and archers.</p> <p>Enhance construction and development of firearm and archery ranges.</p> <p>Update safety features of firearm and archery ranges.</p>



## DIFFERENCE BETWEEN AQUATIC RESOURCE EDUCATION, OUTREACH AND OUTREACH AND COMMUNICATIONS

### AQUATIC RESOURCE EDUCATION ACTIVITIES:

- Grants with the purpose of the enhancement of the public's understanding of water resources, aquatic life forms, and sport fishing, and the development of responsible attitudes and ethics toward the aquatic environment
- Funding Cap: States may obligate up to 15% of their apportionment (excludes Commonwealths, territories, and DC)
- Examples:
  - Angler education courses and clinics
  - Watershed education programs
  - Teacher training institutes
  - Raising perch/bass/salmon/trout/horseshoe crabs in the classroom

### WSFR OUTREACH:

- Grants Informing the public about the accomplishments and benefits of the Sport Fish Restoration Program is an eligible activity under a WSFR Outreach grant, or as a project within an ARE grant.
- No funding cap
- Examples:
  - TV series on "Outdoor New Hampshire" featuring WSFR projects
  - Portable exhibit highlighting six WSFR projects, showing how Federal and license dollars restored habitat and wildlife, displayed at six outdoor shows
- Is outreach an eligible activity under the Aquatic Resource Education subprogram?
  - Programs to recruit anglers, to inform anglers and boaters about angling and boating opportunities, and to increase safety and best practices in angling and boating are eligible under a Sport Fish Restoration Outreach and Communications grant or as a project within an Aquatic Resource Education grant. We recommend that States carry out these activities in a separate grant because the accomplishments and expenditures for an Outreach and Communications program is reported separately from those of an Aquatic Resource Education program. A State may not use more than 15 percent of its annual Sport Fish Restoration apportionment for both programs (exception for the District of Columbia, the Commonwealths, and territories).

### OUTREACH AND COMMUNICATION:

Grants or projects to:

- Improve communications with anglers, boaters, and the general public regarding angling and boating opportunities;
- Reduce barriers to participation in these activities;

## DIFFERENCE BETWEEN AQUATIC RESOURCE EDUCATION, OUTREACH AND OUTREACH AND COMMUNICATIONS

- Advance adoption of sound fishing and boating practices;
  - Promote conservation and the responsible use of the Nation's aquatic resources; and
  - Further safety in fishing and boating.
- Funding Cap: Outreach and Communications grants are under the same 15% cap as ARE. States may not obligate more than 15% of their apportionments for both programs. This is an exception for the DC, Commonwealths, and territories – approved by Service's Regional Director.
  - Examples:
    - Placing RBFF angler recruitment messages in State tourism magazine;
    - Web site and brochures distributed at highway visitor centers; and
    - Big fishing promotion festivals with media, but no education or training.