

U.S. Fish & Wildlife Service

Division of Wildlife & Sport Fish Restoration Program

Project Leaders Course

2014 Workbook



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Revised 07/10/13

Filename: s:\federalaid\courses\course_modules02-08\courseinfo\to\plc-toc.doc

Enter Name of Course:
Project Leaders Course

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Revised 07/10/13

Filename: s:\federalaid\courses\course_modules\courseinfo\welcome\plc-welcome.doc

Enter Name of Course:
Project Leaders Course

Welcome-Instructor Notes

Enter Tab Number:
0

<p>PROJECT LEADERS COURSE</p> <p>Welcome & Introduction</p>	<p>Display while participants are finding their seats.</p>
	<p>Course Leader: Welcome to the Project Leaders Course. Instructor introduction and give brief job experience. Have regional representative or co-instructors introduce themselves. Are all accommodations satisfactory, any difficulties with travel or issues to be resolved? If so, please see the course coordinator.</p> <p>Thank state coordinator or contact for assisting with course arrangements.</p> <p>Thanks for being here and working with us.</p>

Housekeeping:

Location of restrooms, break area, telephones.

Announcements / messages are posted on message board located in break area.

Please turn off or put your cell phones and pagers on silent.

Course Material:

- Everyone should have a course notebook. The notebook contains handouts that will be used in class.
- Each person has an iPad that will be used to look up information in the Toolkit.
- We'll be working in pairs and groups on exercises throughout the course.
- Parking Lot – You may ask questions anytime during the course. If we cannot immediately answer the question we will write it down and post it on the question parking lot. The question may be answered later in the course or if it isn't we'll get an answer as soon as possible.
- Everyone should have completed pre-course work online courses.
- Evaluation Form –Tell participants at the end of the course there will be evaluation forms and we would like their feedback. Explain that these are important tools for improving future courses.

<p>Please Tell Us...</p> <hr/> <ul style="list-style-type: none">➤ Your Name➤ Agency Position➤ Years of Service➤ Grant Program(s)  <p style="text-align: right;">2</p>	<p>Ask participants to stand and give the following information:</p> <p>Name, Agency position, years of service and grant program.</p>
<p>Agenda Review</p> <hr/> <ul style="list-style-type: none">➤ Start & Stop Times➤ Breaks & Lunch➤ Course Evaluation  <p style="text-align: right;">3</p>	<p>Please open your notebook to Tab 1 and we'll review the Agenda:</p> <ul style="list-style-type: none">• Start & stop times.• Flexibility of break and lunch schedules.• The course follows the grant management process. We have scheduled breaks, but the schedule is flexible. Let us know if you need a break.

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TAB 1

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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
- CMS Grant Standards and interfacing with TRACS – Unit 3

LUNCH

AFTERNOON SESSION

- Compliance – Unit 4
- Pre- Award: The Grant Application Package – Unit 5
- Award: Notice of Award – Unit 6
- 4:30 p.m. Adjourn

Day 2

MORNING SESSION

8:30 a.m. Review Day 1/Preview Day 2

Post Award: Implementation, Managing and Monitoring – Unit 7

Post Award: Program Income – Unit 8

Post Award: Reporting Requirements – Unit 9

LUNCH

AFTERNOON SESSION

Grant Closure – Unit 10

Post Closure: Ongoing Responsibilities
Audits, Assent Legislation – Unit 11

Parking Lot / Discussion

Wrap-Up/Post Course Survey

4:00 Adjourn

TAB 2

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Revised 7/12/2013

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Enter Name of Course:
Project Leaders Course

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2

<p style="text-align: center;">Project Leaders Course</p> <hr/> <p>Tab 2: Goals & Objectives</p> <p style="text-align: right;">4</p>	
<p style="text-align: center;">Training Program Goal</p> <hr/> <ul style="list-style-type: none"> ▣ Systematic/ongoing training ▣ Develop grants management knowledge & skills <p style="text-align: center;">Resulting in...</p> <ul style="list-style-type: none"> ▣ Consistent/sensible management ▣ Knowledgeable decisions <p style="text-align: right;">5</p>	<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>Mention other courses/resources from National Training Program?</p>
<p style="text-align: center;">Course Objectives</p> <hr/> <p>Increase Project Leader knowledge, skills, and/or abilities</p> <ul style="list-style-type: none"> > Project managing and monitoring > Compliance requirements (NEPA and Section 7) > Cost accounting processes > Writing/submitting performance reports > Communicate/coordinate within WSFR Program <p style="text-align: right;">6</p>	<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>Mention acronyms and glossary in the Toolkit: General Guidance > WSFR Program Glossary</p> <p>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. Project managing and monitoring
2. Compliance requirements, especially NEPA and Section 7
3. Grant cost accounting processes
4. Writing/submitting performance reports
5. Communicating, and coordinating with individuals/agencies involved with WSFR grant programs

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E- Learning Evaluation Questions

Select all correct answers for each question. More than one answer may apply.

- 1) The source of revenue for the Wildlife Restoration Trust Fund is generated through a federal excise tax placed on which of the following items?
- A. Sporting arms and ammunition
 - B. Pistols, handguns and revolvers
 - C. Bows, archery and arrow components
 - D. All of the above

Answer D

- 2) Which of the following activities are eligible for funding through the programs supported with the Wildlife Restoration Trust Fund?
- A. Projects for the conservation of wild birds, mammals and their habitat
 - B. Projects for education of hunters and development of shooting ranges
 - C. Projects for the conservation of reptiles and amphibians

Answer A and B.....wild birds and mammals are the only animals eligible for Wildlife Restoration funding. Hunter Education activities including shooting range construction and maintenance became eligible in 1972 when handguns and revolvers were added to the items being taxed.

- 3) Which of the following broad categories of activities are **not** eligible for Wildlife and Sport Fish Restoration funding?
- A. Projects with a major emphasis on law enforcement
 - B. Projects with the main purpose of producing revenue
 - C. Public relation activities promoting a state fish and game agency
 - D. All of the above

Answer D.....law enforcement, revenue producing, and public relation activities are not eligible for funding.

- 4) What are the factors in the distribution formula of Wildlife Restoration funds to the states?
- A. The state's overall population in proportion to the overall U.S. population
 - B. The number of hunting licenses sold annually in proportion to the national total
 - C. The total square miles of a state's land and inland waters in proportion to the national total
 - D. The square miles of a state's land available for public use

Answer B and C

- 5) Which of the following indicates the required minimum state share of Wildlife and Sport Fish Restoration grant project costs?
- A. 50%
 - B. 75%

- C. 65%
- D. 25%

Answer D.... The state is required to provide 25% match for project costs.

- 6) Who was the author of the Wildlife Restoration legislation bill?
- A. Senator Key Pittman
 - B. Representative Willis Robertson
 - C. Representative John Dingell
 - D. Carl Shoemaker

Answer DPittman and Robertson sponsored the bill but did not write it. John Dingell was one of the sponsors of the Sport Fish Restoration Act.

- 7) Which following statement is not fully in compliance with assent legislation?
- A. Must restrict control and use of a state's hunting and fishing license revenue solely for the administration of the state fish and game agency
 - B. Must restrict a state's hunting and fishing license revenue solely for fish and wildlife management projects

Answer B..... assent legislation requires that license revenue be restricted to control by the state fish and game agency and be used only for its administration.

- 8) What are the factors in the distribution formula of Sport Fish Restoration funds to the states?
- A. The state's overall population in proportion to the national total
 - B. The number of fishing licenses sold annually in proportion to the national total
 - C. The total square miles of a state's land, inland and coastal waters in proportion to the national total
 - D. The square miles of a state's land and waters available for public use

Answer B and C

- 9) Which of the following is not a source of revenue for the Sport Fish Restoration and Boating Trust Fund?
- A. A federal excise tax on fishing tackle
 - B. Import duty on recreational boats
 - C. A portion of marine fuel tax revenue
 - D. All of the above

Answer D

- 10) Which of the following answers are requirements of the Sport Fish Restoration Program?
- A. Each state must obligate at least 15% of its annual Sport Fish apportionment on Boating Access projects
 - B. Each state is limited to spend no more than 15% of its annual Sport Fish apportionment on Boating Access projects
 - C. Each state must obligate at least 15% of its annual Sport Fish apportionment on Aquatic Education projects
 - D. Each state may obligate no more than 15% of its annual Sport Fish apportionment on Aquatic Education projects

Answer A and D.... 15% annual minimum spending requirement is mandated for Boating Access projects (although this is combined with all other states in the federal region and averaged over 5 years). A 15% maximum restriction is placed on annual Sport Fish Restoration apportionments for Aquatic Education spending. There is no minimum required spending on Aquatic Education.

- 11) The State Wildlife Grant Program provides funding for which of the following group of animals?
- A. Only animals on the endangered species list
 - B. Only non-game (not hunted or fished) species
 - C. Species of greatest conservation need

Answer C....State Wildlife Grant funds may include endangered species but are not exclusively for endangered species. The State Wildlife Grant program does not exclude projects that benefit species that are hunted or fished.

- 12) Which of the following indicates the required state share of costs for **implementation** projects funded with State Wildlife Grant funds (as of October 1, 2010)?
- A. 30%
 - B. 75%
 - C. 35%

Answer C

GMP Questions

Pre-Award Review Questions:

Whose responsibility is it to review project information on NEPA, Sec 7 of the Endangered Species Act and the Historic Preservation Act and make final determinations for compliance? (B)

Whose responsibility is it to review and approve a grant proposal? (B)

Award Review Questions

Whose responsibility is it to distribute terms and conditions of the Award letter to state project leaders and staff? (A)

Whose responsibility is it to obligate the federal authorized amount of funds? (B)

Post Award Review Questions

Whose responsibility is it to conduct activities to accomplish grant objectives? (A)

Whose responsibility is it to monitor sub-grantee activities? (A)

Award Close-Out Review Questions

Whose responsibility is it to provide final performance and financial reports (A)

Whose responsibility is it to officially record the final financial report and close out the grant? (B)

Post Close-Out Review Questions

Whose responsibility is it to maintain management control of WSFR acquired real property assets? (A)

Whose responsibility is it to provide program accomplishments to interested parties? (C)

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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TAB 3

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Revised 11/2013

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plc\workbook\4_CMSstandards_detail.doc

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Program Leaders Course 2014

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3

Handouts:

<p>PROJECT LEADER'S COURSE</p> <hr/> <p>Tab 3:</p> <p>Comprehensive Management System Standards</p> <p style="text-align: right;">7</p>	<p>Review objectives for topic.</p> <p>In this module we'll take a detailed look at required standards for a CMS.</p>
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Comprehensive Management System Grant Standards

Objectives:

1. Identify the required components of a Comprehensive Management System (CMS) Grant
2. Understand the standards for approving a CMS Grant
3. Describe the methods for evaluating a CMS grant

CMS Standards (Act)

WILDLIFE RESTORATION ACT
1970 Amendment--Pub. L. 91-503

Provided alternative option for submitting grants and receiving funding.

Referred to as the program funding option.

8

The 1970 amendment to the WR act added an alternative option for submitting grants and receiving funding.

Congress intended to encourage state agencies to develop a CMP recognizing planning processes resulted in better decision making and better utilization of resources.

CMS Standards

- ◆ Ensure perpetuation of fish/wildlife resources.
- ◆ Be for a period of not less than five years.
- ◆ Based on fifteen year minimum projected needs.
- ◆ Be updated at three year intervals.
- ◆ Be provided in a format required by the Secretary of the Interior.

3

Pub. L. 91-503 inserted an alternative method of application for funds by the submission of a comprehensive fish and wildlife resource management plan for a period of five years based on projections for fifteen years, to be updated every three years, laid down a maximum limit of federal assistance of 75 percent of the estimated cost of the implementation of the plan.

CMS Standards (50 CFR)

CMS Definition (50 CFR 80.2)

A State's method of operations that links programs, financial systems (including budget), human resources, goals, products, and services together into one interconnected system.....

10

This new grant option focused on a comprehensive fish and wildlife management plan. The common rule provided that a management system was required to implement and manage the plan. The standards for a comprehensive management system were never officially established until Service Manual 522 chapter 4 was written.

CMS Standards (50 CFR)

The System:

- Assesses current, projected & desired status of fish and wildlife
- Develops a Strategic Plan
- Carried out through an Operational Plan
- Evaluates results

11

Chapter 4 established that a CMS was an agency's method of operations that linked agency programs such as fish and wildlife programs, financial systems, human resources, mission and vision into one interconnected system that provided a framework for systematic structured decision-making.

Standards of a Comprehensive Fish and Wildlife Resource Management Plan

The 1970 amendment to the Wildlife Restoration Act (Pub. L. 91-503) provided an alternative method of application for WR funds. The amendment provides that the State shall prepare and submit to the Secretary of the Interior a comprehensive fish and wildlife resource management plan which shall:

- Insure the perpetuation of these resources for the economic, scientific and recreational enrichment of the people.
- Be for a period of not less than five years
- Be based on projections of desires and needs of the people for a period of not less than fifteen years.
- Include provisions for updating at intervals of not more than three years
- Be provided in a format as may be required by the Secretary of the Interior.

How does 50 CFR 80.2 (program rule) define a Comprehensive Management System?

A State's method of operations that links programs, financial systems (including budget), human resources, goals, products, and services together into one interconnected system.

	CMS Standards
WR Act sec 669e (1)	Submission and Approval of Plans and Jobs
50 CFR Part 80.1	Administrative Requirements Federal Aid in Fish and Federal Aid in Wildlife Restoration
522 FW 4	Federal Aid Program Guidance, CMS Grants

<p style="text-align: center;">CMS Standards (SM FW 4)</p> <hr/> <p>Four Distinct Elements</p> <ul style="list-style-type: none"> ➤ <u>Inventory & Assessment</u> - What is the current condition? ➤ <u>Strategic Plan</u> - What is the desired condition? ➤ <u>Operational Plan</u> -What are the options to achieve the desired condition? ➤ <u>Evaluation</u> -Was the desired condition achieved? Were the costs and efforts reasonable? <p style="text-align: right;">12</p>	<p>A CMS is a state fish and wildlife agency’s system of:</p> <ol style="list-style-type: none"> (1) Assessing the current, projected, and/or desired status of fish and wildlife resources. (2) Developing a strategic plan (or its equivalent) for its fish and wildlife resources. (3) Implementing the strategic plan by means of an operational planning process (operational plan). (4) Evaluating the results to determine whether or not objectives were met, what costs and investments were made to achieve results, and how well the system is working. <p>Thus we find a CMS contains four distinct elements working together within one contiguous management system. Break it down and look at each element individually.</p>
<p style="text-align: center;">CMS Standards (SM FW 4)</p> <hr/> <p>Inventory and Assessment</p> <ul style="list-style-type: none"> ➤ The process(es) used for gathering information on current, projected, and/or desired status of the fish and wildlife resources ➤ The process(es) used for gathering information on past, present, and projected future uses of and public benefits from fish and wildlife resources <p style="text-align: right;">13</p>	<p>Inventory and assessment: The process that a State fish and wildlife agency uses to determine the current and future status of fish and wildlife resources. Should consider the state’s current and future financial and human resources. What are the constituents needs? The process used for gathering information on past, present, and projected future uses of fish and wildlife resources and the public benefits. Informed and educated predictions of future trends. What tools do states have to make these assessments? Creel surveys, human dimensions data, harvest data, population (species) surveys, public attitude surveys, the USFWS National survey. Could be called the state of the state.</p>
<p style="text-align: center;">CMS Standards (SM FW 4)</p> <hr/> <p>Strategic Plan</p> <ul style="list-style-type: none"> ➤ Establishes the overall direction for agency (long term, broad vision of future) ➤ Describes agency programs in terms of goals, objectives and strategies ➤ Identifies issues, problems & opportunities ➤ Summarizes statutory & regulatory authority <p style="text-align: right;">14</p>	<p>Strategic plan is a long-term broad based vision of the future. The strategic plan will identify issues problems or opportunities that the state agency will need to address to accomplish their mission. The plan is a direction-setting document describing the State fish and wildlife agency’s programs. The strategic plan also summarizes the statutory, regulatory, and State constitutional requirements. Serves as a communication tool. It allows an agency to function proactively rather than reacting. (putting out brush fires). Keeps an agency true to their mission. Should allow for broad public and PAI input.</p>

Required Components of a Comprehensive Management System

A CMS is a state fish and wildlife agency's system of:

- (1) Assessing the current, projected, and/or desired status of fish and wildlife resources.
- (2) Developing a strategic plan (or its equivalent) for its fish and wildlife resources.
- (3) Implementing the strategic plan by means of an operational planning process (operational plan).
- (4) Evaluating the results to determine whether or not objectives were met, what costs and investments were made to achieve results, and how well the system is working.

A CMS contains four elements working together within one contiguous management system.

Inventory and Assessment

- Resource Status (critters and habitat)
- Resource Use (trends, needs analysis, surveys)
- Human dimensions (expectations, desires)
- Educated Predictions (management challenges, resource sustainability, user expectations)

Strategic Planning

- Establishes the overall direction for agency
- Describes agency programs in terms of goals, objectives and strategies
- Identifies issues, problems & opportunities
- Summarizes statutory authority

<div style="border: 1px solid black; padding: 5px;"> <p style="text-align: center;">CMS Standards (SM FW 4)</p> <hr/> <p>Operational Planning</p> <ul style="list-style-type: none"> ➤ Description of process for developing, reviewing, selecting and prioritization of work activities for proposed budget and work plan for each subproject. ➤ Determines eligibility for federal funding and meeting compliance requirements ➤ Describes method for monitoring expenditures and cost accounting </div>	<p>Operational Plan: a recipe for what you think can be accomplished in the time frame given. Must link to strategic plan.</p> <p>The process used for developing, reviewing, and selecting work activities for the proposed budget and work plan. Should include process for determining eligibility of work for federal funding and meeting compliance requirements. It also includes a description of how the State tracks and monitors expenditures of money and time (i.e., cost accounting). The cost accounting procedures must meet the standards of 43 CFR 12.60.</p> <p>Evaluation: The process that a state fish and wildlife agency uses to determine how well the CMS is working as a whole (including financial systems, compliance review process, eligibility and allowability of costs. The process must include measuring accomplishments toward stated objectives in the strategic plan and using this information to modify the strategic and operational plans. It also must include procedures used to capture the costs of activities or tasks.</p> <p>Arizona has a slightly different model. Notice an intermediate planning step from Strategic to Operational plan to Annual work plan.</p>
<div style="border: 1px solid black; padding: 5px;"> <p style="text-align: center;">CMS Standards (SM FW 4)</p> <hr/> <p>Evaluation</p> <ul style="list-style-type: none"> ➤ Determine how well the CMS is working as a whole ➤ Process to measure accomplishments toward stated strategic objectives. ➤ Uses results to modify strategic and operational plans as needed. </div>	
<div style="border: 1px solid black; padding: 5px;"> <p style="text-align: center;">Other Elements Used</p> <p>Project.....what is it in a CMS grant?</p> <ul style="list-style-type: none"> ➤ <u>The WFR Act</u> "Project" may be defined as a wildlife program, all other definitions notwithstanding. ➤ <u>50 CFR 80.2</u> For convenience of reference in this part, the meaning of project includes an agency's fish and wildlife program under a comprehensive management system grant. </div>	
<div style="border: 1px solid black; padding: 5px;"> <p style="text-align: center;">Other Elements Used</p> <p>Program SM 4.4</p> <ul style="list-style-type: none"> ➤ Specific to CMS grants, "program" means the State's wildlife and/or fishery program as described in their comprehensive fish and wildlife plan. </div>	
<div style="border: 1px solid black; padding: 5px;"> <p style="text-align: center;">Other Elements Used</p> <p>Subproject</p> <ul style="list-style-type: none"> ➤ Categories or subdivisions of fish and wildlife agency work authorized by the PR and DJ Acts, respectively. ➤ Examples are fisheries, wildlife, hunter education, aquatic education, Coastal Wetlands, boating access, etc.. </div>	

Required Components of a Comprehensive Management System

Operational Planning

- Description of process for developing, reviewing, selecting and prioritization of work activities for proposed budget and work plan for each subproject.
- Determines eligibility for federal funding and meeting compliance requirements.
- Describes method for monitoring expenditures and cost accounting

Evaluation

- Determine how well the CMS is working as a whole
- Process to measure accomplishments toward stated strategic & operational objectives.
- Uses results to modify strategic and operational plans as needed.

Other Elements Used

Project.....what is it in a CMS grant?

- The WR Act ...“Project” may be defined as a wildlife program, all other definitions notwithstanding.
- 50 CFR 80.2...For convenience of reference in this part, the meaning of project includes an agency’s fish and wildlife program under a comprehensive management system grant.

Program

- SM 4.4...Specific to CMS grants, “program” means the State’s wildlife and/or fishery program as described in their comprehensive fish and wildlife plan.

Subproject

- SM 4.4...Categories or subdivisions of fish and wildlife agency work authorized by the PR and DJ Acts, respectively. Examples are fisheries, wildlife, hunter education, aquatic education, Coastal Wetlands, boating access, etc..

<p style="text-align: center;">CMS Standards</p> <hr/> <p>Benefits</p> <ul style="list-style-type: none">➤ Proactive rather than reactive➤ Provides clear direction➤ Keeps staff focused in a common direction➤ Provides a forum for public involvement➤ Reduces unnecessary activities➤ Agency-wide input & buy in➤ Fewer grants to manage <p style="text-align: right;"><small>20</small></p>	<p>Promotes buy-in from all levels of staff—common focused direction, reduces unnecessary activities Provides consistency. <i>Efficient effective grant mgt and use of grant funds. Reduces waste of funds on unwarranted activities.</i></p>
<p style="text-align: center;">Summary</p> <hr/> <ul style="list-style-type: none">➤ Four Distinct Components<ul style="list-style-type: none">➤ Inventory Process➤ Strategic Plan➤ Operational Plan➤ Evaluation Process➤ Other Elements<ul style="list-style-type: none">➤ Project➤ Program➤ Subproject <p style="text-align: right;"><small>21</small></p>	

Benefits of Developing and Implementing a CMS

- Allows an agency to be proactive rather than reactive
- Provides clear direction
- Keeps staff focused in a common direction
- Provides a forum for public involvement
- Prevents unnecessary activities
- Agency-wide input & buy in
- Fewer grants to manage

CMS Standards Summary

Four Distinct Components

- Inventory Process
- Strategic Plan
- Operational Plan
- Evaluation Process

Other Elements

- Project
- Program
- Subproject

<p style="text-align: center;">CMS Standards</p> <hr/> <p>References: 522 FW 4</p>  <p style="text-align: right;">22</p>	<p>Exercise Review 522 FW 4 Instruct students to go to use the toolkit SM 522 FW4 to answer the questions on page 4-6</p> <p>Let's turn to the Exercise in your workbook and complete questions.</p> <p>You may work together and we will debrief this exercise in 20 minutes. Please be prepared to discuss your answers.</p> <p>Refer to exercise section for debrief notes.</p>
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Exercise: Reviewing CMS Standards

Instructions: Answer the following questions using 522 FW 4 in the toolkit as a reference.

1. What type of information should a state agency gather during the inventory and assessment process of the CMS cycle?

Status of fish and wildlife resources, Projected future uses of and public benefits from fish and wildlife resources, Identify management problems, issues, needs, and/or opportunities**4.4 D**

2. How often is a State required to review the CMS and what must they do with the results of such reviews?

The CMS must be reviewed and revised, if needed, at least every 3 years.. The State must notify the Service in writing of the results of the review. **4.6**

3. Under what conditions must a CMS grant be amended?

When an addition or deletion of an activity in the CMS is made, change in the financial mgt system, change in organizational structure in the CMS **4.12**

4. Can the Service delegate compliance determinations of environmental impacts of subprojects in a CMS grant to the State for NEPA, Sec 7 of the ESA and the National Historic Preservation Act?

No. It is the Service's responsibility to determine potential environmental impacts of subprojects (jobs / activities) included in a CMS grant
4.5 C1

5. List State and Federal roles in monitoring a CMS.

Both.....Regular monitoring of processes, products and outcomes, through regularly scheduled field visits, spot checking job files and products and , observing management system process(es),**4.14**

<p style="text-align: center;">CMS Standards</p> <hr/> <p>Exercise: Review 522 FW 4</p>  <p style="text-align: right;">13</p>	<p>Debrief exercise by discussing answers as a group.</p>
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	Learning Points
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- ✓ The required processes in a Comprehensive Management System are Assessment, Strategic Planning, Operational Planning and Evaluation.
- ✓ A Comprehensive Fish and Wildlife Resource Management Plan shall be for a period of five years based on projections for fifteen years, and shall be updated every three years.
- ✓ A CMS grant must be substantial in character and design to be approved for WSFR grant funding.
- ✓ Regular monitoring of all processes is critical to maintaining the effectiveness of a CMS.

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TAB 4

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Revised 7/12/2013

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Enter Name of Course:

Project Leaders Course

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4

Handouts:

NEPA Process

Section 7 Process

NHPA

<div data-bbox="256 310 708 648"><p>PROJECT LEADERS COURSE</p><p>Tab 4: Project Dependent Compliance</p><p>23</p></div> <div data-bbox="256 1247 760 1625"><p>Compliance Requirements National Environmental Policy Act</p></div>	<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><u>Non-Discrimination</u> (Civil Rights, 504 rehab ADA, Title 9)</p> <p><u>Environmental</u> (floodplains wetlands, NEPA, SEC 7 ESA)</p> <p><u>Historic & Cultural</u> (SHPO/THPO)</p> <p><u>Administrative</u> (lobbying, debarment/suspension, drug free work place, relocation assistance.</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>
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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"> ➤ Consider detailed information concerning every significant environmental impact on the human environment ➤ Ensure the public plays a role in both the decision-making process and the implementation of that decision 	<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"> ➤ Approval of a Federal grant constitutes a Federal action ➤ All Federal actions must comply with NEPA ➤ All projects, activities or jobs must be reviewed prior to approval to determine the effects of the proposed work ➤ NEPA determinations / decisions must be documented 	<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"> ➤ WSFR Program is ultimately responsible for decision-making, documentation, and funding grant ➤ States play an important role in providing adequate information for decision-making, identifying and notifying interested / affected parties 	<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 & Documentation</p> <ul style="list-style-type: none"> ➤ Project scope ➤ Potential for significant impact on the human environment ➤ Public interest and/or controversy generated 	<p>The NEPA Process & Documentation chart <i>represents this decision making process.</i> See handout.</p>
<p>NEPA Process & Documentation</p> <p>Significance</p> <ul style="list-style-type: none"> ➤ Context - Society as a whole, affected region(s), affected interests, locality ➤ Both short- and long-term effects are relevant ➤ Intensity - Severity of impact (Extraordinary Circumstances) 	<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. No federal funds can be used on a project until a NEPA decision is made & documented.</p>
<p>NEPA Process & Documentation</p> <p>Human Environment</p> <ul style="list-style-type: none"> ➤ Ecological, aesthetic, historic, cultural, economic, social, health <ul style="list-style-type: none"> ➤ Direct, indirect, cumulative ➤ Economic and/or social effects by themselves not 'significant' 	<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 & Documentation</p> <ul style="list-style-type: none"> ➤ Categorical Exclusion (Cat-Ex) <ul style="list-style-type: none"> • Exclusion Requirements Satisfied • Environmental Action Statement (EAS) ➤ Environmental Assessment (EA) <ul style="list-style-type: none"> • Finding of No Significant Impact (FONSI) or (NOD) ➤ Environmental Impact Statement (EIS) <ul style="list-style-type: none"> • Record of Decision (ROD) 	<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;">Categorical Exclusions</p> <hr/> <p>References: Policy & 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. See handout.</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>

	Exercise: Categorical Exclusions
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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](#)

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

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

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.](#)

<p style="text-align: center;">Compliance Requirements Section 7 - Endangered Species Act</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;">Section 7 - ESA Interagency cooperation</p> <ul style="list-style-type: none"> ➤ Section 7(a)(1): All <u>Federal</u> agencies must determine how to use their existing authorities to further the purposes of the ESA ➤ 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"> a) jeopardize existence of listed species b) adversely modify designated critical habitat <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;">Section 7 - ESA Interagency Cooperation</p> <p>Federal Action Agencies Cooperate with USFWS or NOAA who will:</p> <ul style="list-style-type: none"> ➤ 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" <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;">Section 7 - ESA Intra-service Consultation</p> <p>Consultation process for WSFR</p> <ul style="list-style-type: none"> ➤ Federal Action is granting an award ➤ State is applicant, USFWS is Action Agency ➤ Must consider T&E, proposed and candidate species <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>

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:

<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"> > No consultation? > Informal consultation? > Formal consultation? <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"> > Identify Stressors caused by Actions > Determine if species will be exposed to Stressors > Determine species and habitat response after exposure to stressor > EXPOSURE + RESPONSE = EFFECTS <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"> > No effect > May affect <ul style="list-style-type: none"> ▪ Not likely to adversely affect ▪ Is likely to adversely affect <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"> > <u>No Effect:</u> <ul style="list-style-type: none"> ▪ No known occurrence of species ▪ Nature of work not on the ground ▪ Work ceases if species are discovered <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"> > <u>No Effect:</u> Activity will not affect a listed species or habitat (ie... administrative). > <u>Is Not Likely to Adversely Affect:</u> "Take" not likely. Effects are expected to be discountable, insignificant or completely beneficial. > <u>Is Likely to Adversely Affect:</u> "Take" likely. <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

EXPOSURE + RESPONSE = EFFECTS

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:

<p>Section 7 – ESA Intra-service Consultation</p> <hr/> <p>Consultation Process:</p> <ul style="list-style-type: none"> > <u>No Effect</u>: No consultation or concurrence required > <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 > <u>Is Likely to Adversely Affect</u>: Formal consultation is required. (30, 90, 45 days) <p style="text-align: right;">50</p>	
<p>Section 7 – ESA Intra-service Consultation</p> <hr/> <p>Formal Consultation Process:</p> <ul style="list-style-type: none"> > Action Agency (Grantee and or WSFR) issues Biological Evaluation/Assessment > USFWS will issue a Biological Opinion to determine if: <p style="padding-left: 40px;">Jeopardy or Adverse Modification?</p> <p style="text-align: right;">51</p>	
<p>Section 7 – ESA Intra-service Consultation</p> <hr/> <p>Formal Consultation Process:</p> <ul style="list-style-type: none"> > 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). > If No..... issue an <i>Incidental Take Statement</i> which provides exemption from sec 9 prohibitions...unless no RPA <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:

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

<div data-bbox="224 197 643 516"> <p>Compliance Requirements National Historic Preservation Act</p>  </div> <div data-bbox="224 525 633 827"> <p>Historic and Cultural Preservation</p> <ul style="list-style-type: none"> ➤ Section 106: requires Federal agencies to take into account the effects of their undertakings ➤ State Historic Preservation Office (SHPO) advises and assists ➤ Tribes have Tribal Historic Preservation Office (THPO) ➤ Consult with all interested Parties </div>	<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>
<div data-bbox="224 844 620 1146"> <p>SHPO Consultation Process</p> <p>Grantee Responsibility</p> <ul style="list-style-type: none"> ➤ Determine if Undertaking ➤ Determine Area of Potential Effects ➤ Historic properties present? ➤ If no, receive letter from SHPO ➤ If yes, evaluate for adverse affects </div> <div data-bbox="224 1155 617 1457"> <p>SHPO Consultation Process</p> <p>SHPO Responsibility</p> <ul style="list-style-type: none"> ➤ Provide written response (30 days) ➤ Agreement with finding of no historic properties present, or ➤ No adverse effects, or ➤ Prescribe actions to resolve adverse effects (avoid, minimize, mitigate) </div> <div data-bbox="224 1465 613 1768"> <p>SHPO Consultation Process</p> <p>Avoid Pitfalls</p> <ul style="list-style-type: none"> ➤ Official Delegation of Authority? ➤ Due diligence to consult with all interested parties? ➤ Review process performed by qualified persons with proper credentials? </div>	<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>Go to the toolkit 36 CFR (PART 800.5 a 2) and review potential adverse affects to historic properties.</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.

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

<p style="text-align: center;">Review Undertakings</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;">National Historic Preservation Act</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;">National Historic Preservation Act</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:

<p style="text-align: center;">Project Dependent Compliance</p> <hr/> <ul style="list-style-type: none">➤ Permits➤ Engineering Diagrams➤ Appraisals➤ Third Party Agreements➤ Statement of Assurances➤ EO 12372➤ Lobbying <div style="text-align: right;"><p>Service Manual 522 FW 3 - 15</p><p>36</p></div>	<p>Instructor notes</p>

Additional Job 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.

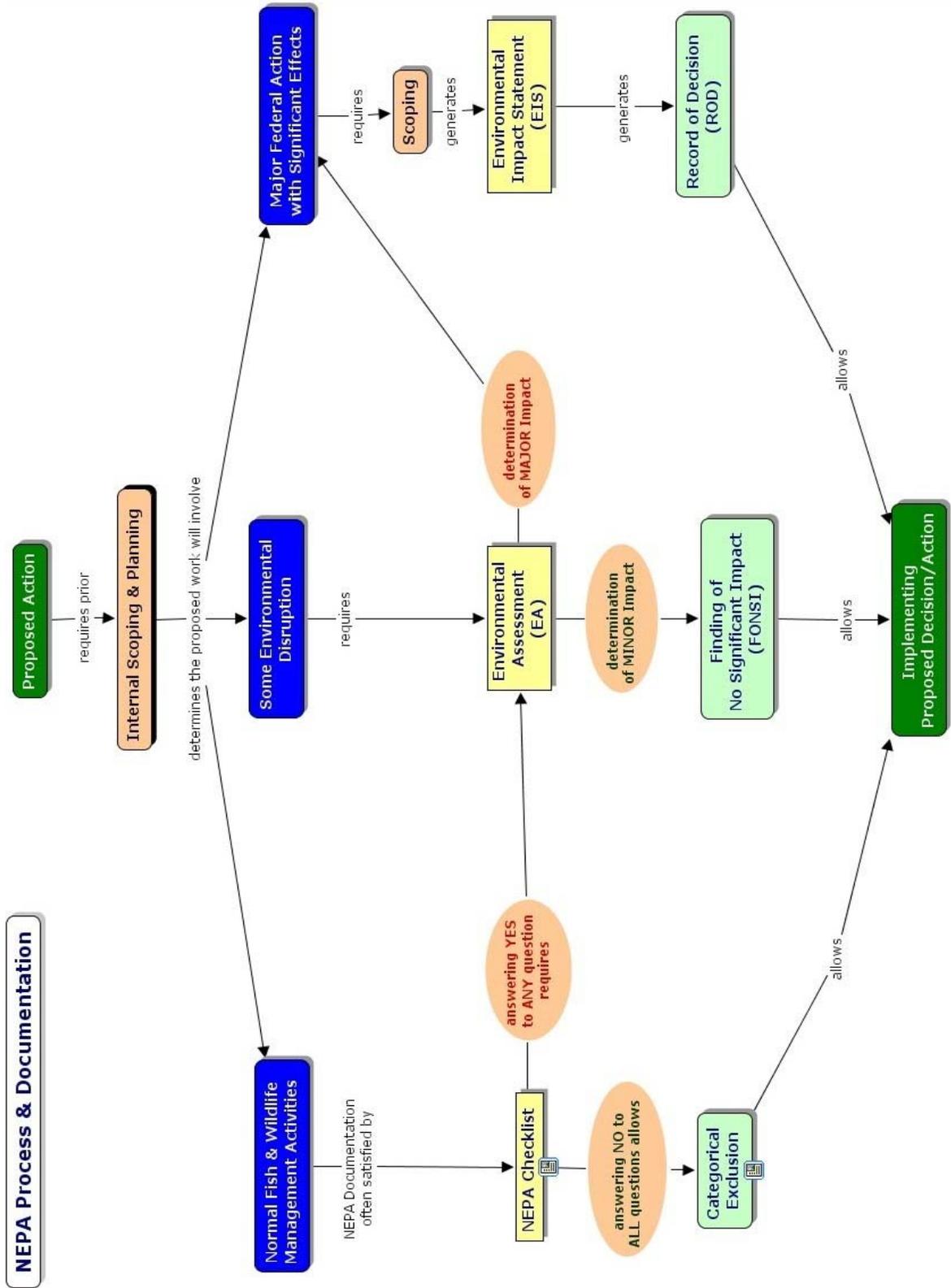
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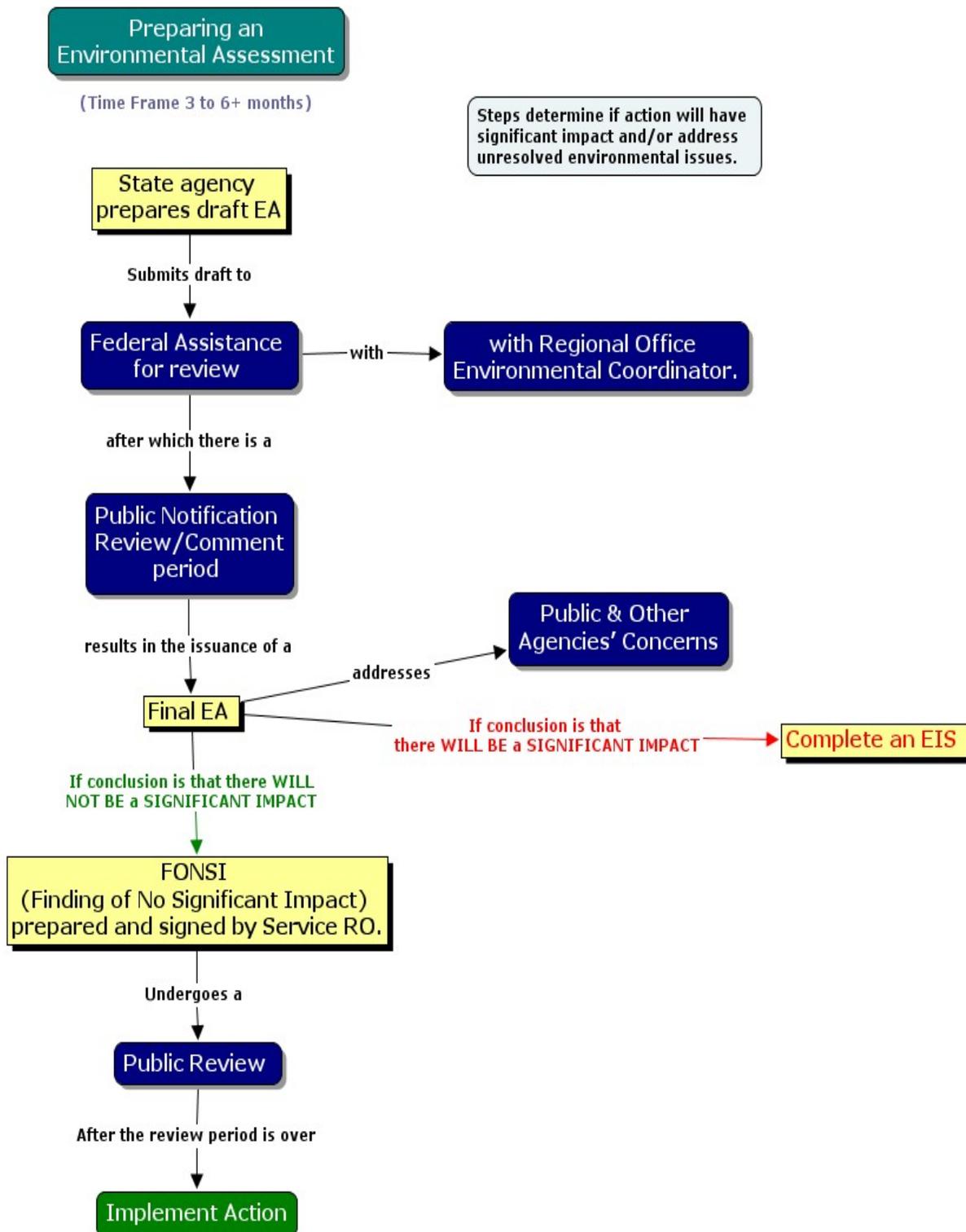
	<p>Review learning points.</p> <p>More about NEPA/Section 7 or go to Pre-Award.</p> <p>Now that we have an idea of the compliance requirements that exist during the grant process, in the next module we'll begin Pre-Award, actually looking at the documents and considerations when applying for a grant.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



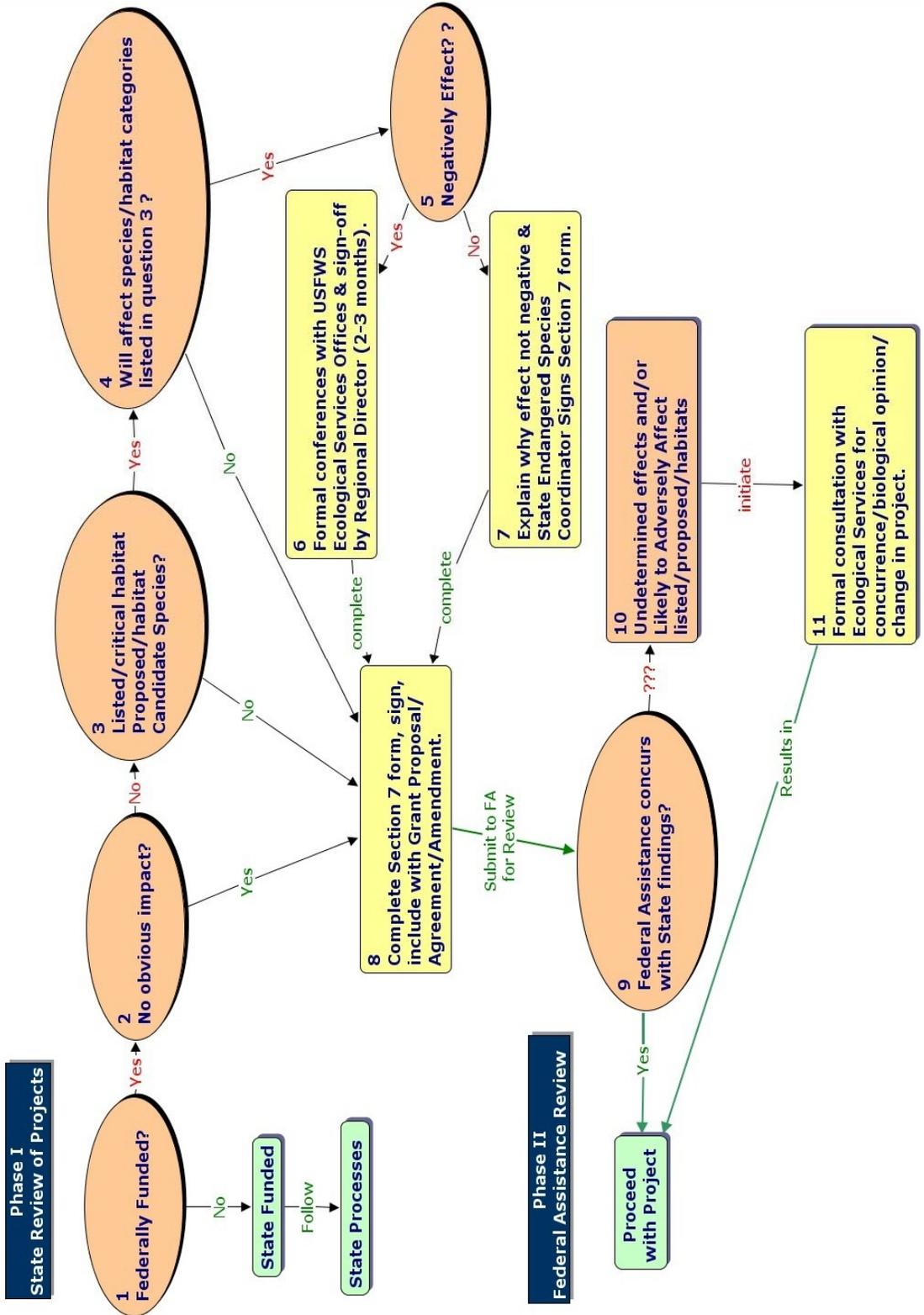
Learning Points

- ✓ 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



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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

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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.

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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/.

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 or Steven P. Blazek, NEPA Compliance Officer, (303) 275-4723 or 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.



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.

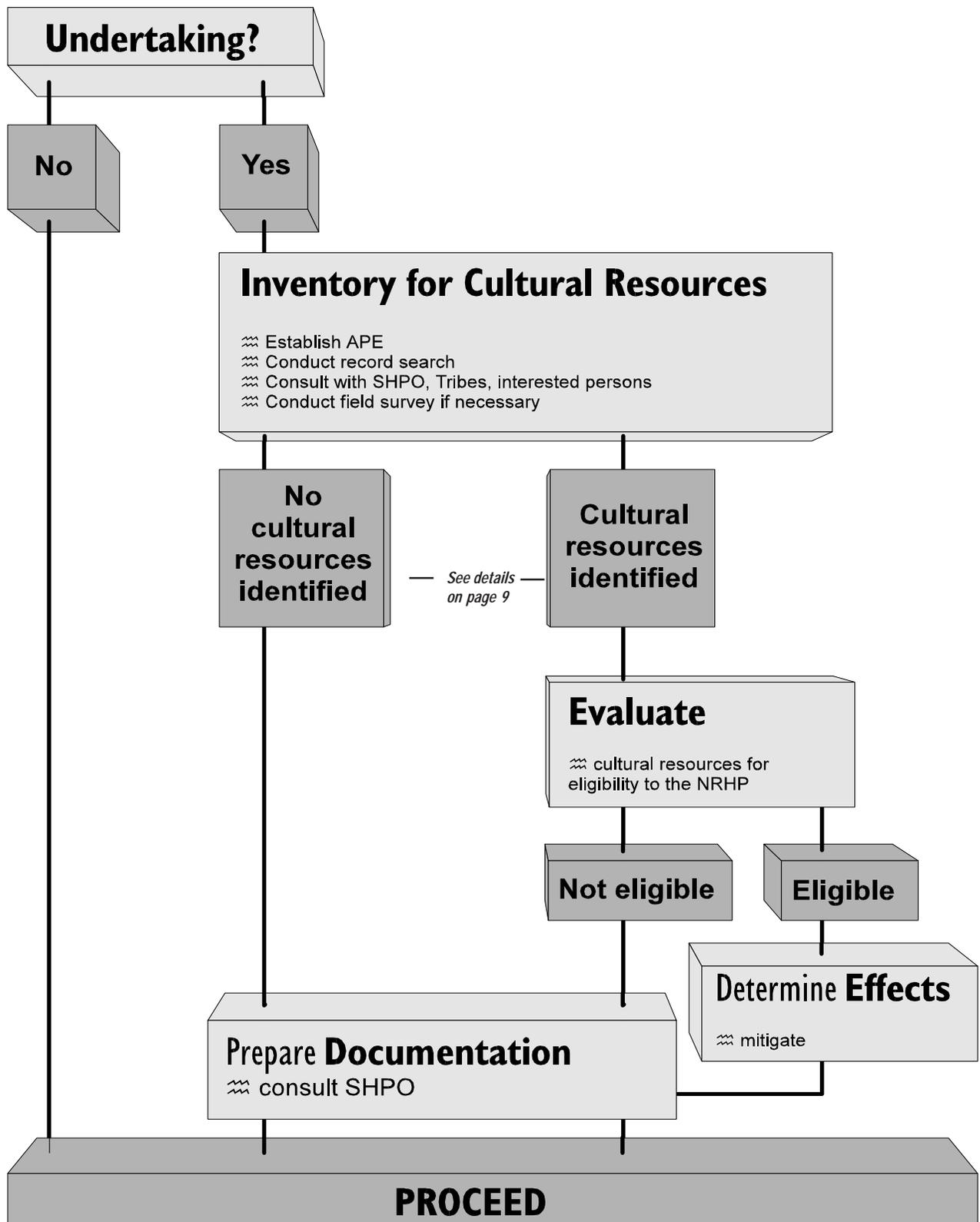
Assess effects: If listed or eligible properties are identified, the Service must assess the potential effects of the proposed undertaking on the resource. Working with SHPO and other interested parties, the Service determines that a) the undertaking will not effect historic properties-no effect, b)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

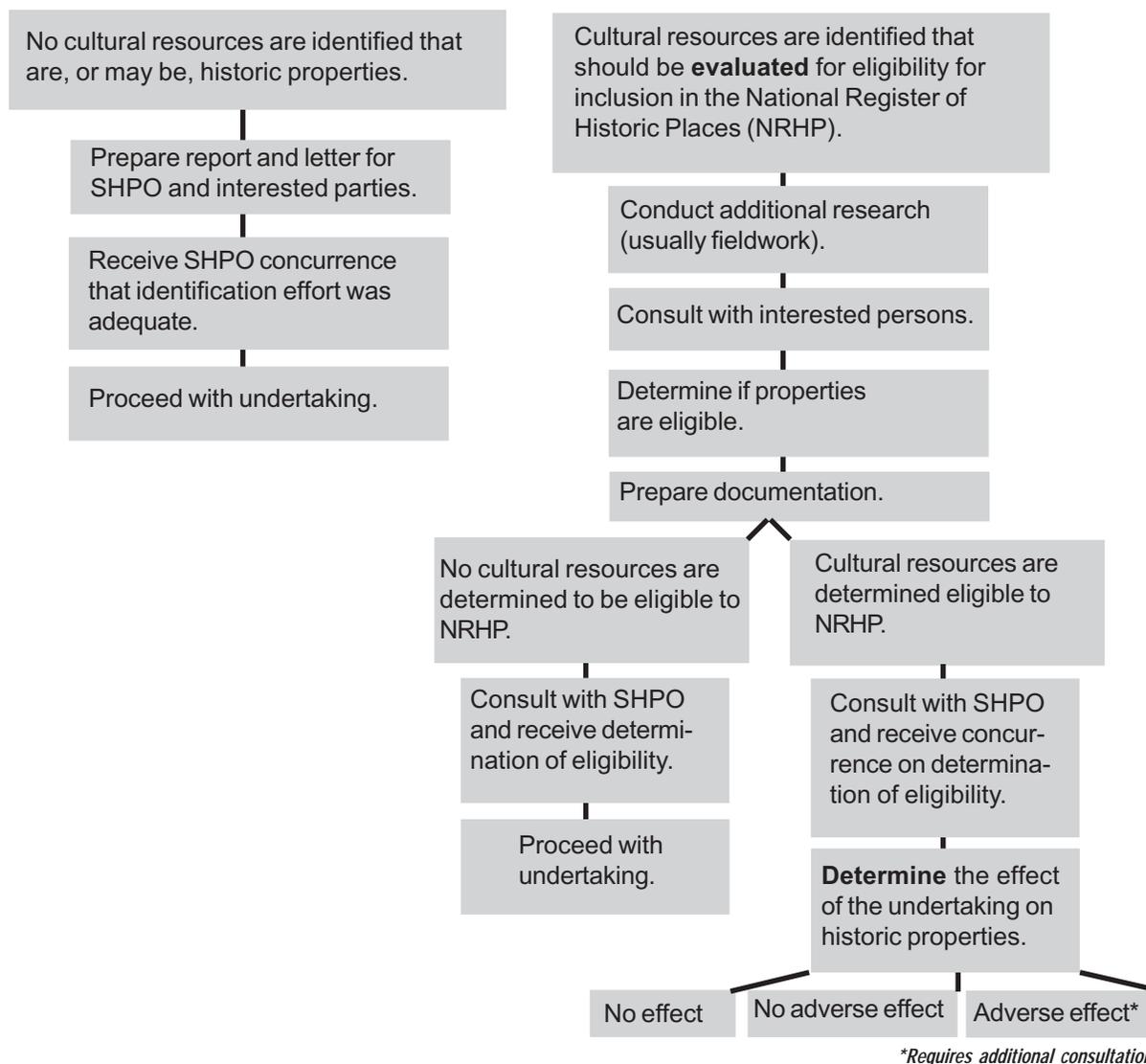
Identification Process

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*



**Memorandum of Understanding
Among the
U.S. Department of Defense,
U.S. Department of the Interior,
U.S. Department of Agriculture,
U.S. Department of Energy,
and the Advisory Council on Historic Preservation
Regarding Interagency Coordination and Collaboration for the
Protection of Indian Sacred Sites**

I. Purpose and Principles

The Departments of Defense, the Interior, Agriculture, and Energy and the Advisory Council on Historic Preservation (Participating Agencies) enter into this Memorandum of Understanding (MOU) to improve the protection of and tribal access to Indian sacred sites through enhanced and improved interdepartmental coordination and collaboration.

II. Background

Federal land managing agencies hold in public trust a great diversity of landscapes and sites, including many culturally important sites held sacred by Indian tribes. Indian tribes are defined here as an Indian or Alaska Native tribe, band, nation, pueblo, village, or community that the Secretary of the Interior has published on the list of federally-recognized tribes pursuant to Public Law No. 103-454, 108 Stat. 4791. All Federal agencies are responsible for assessing the potential effects of undertakings they carry out, fund, or permit on historic properties of traditional cultural and religious importance to Indian tribes. While the physical and administrative contexts in which Federal agencies encounter sacred sites vary greatly, similarities do exist. Because of those similarities, the Participating Agencies recognize that consistency in policies and processes can be developed and applied, as long as they remain adaptable to local situations.

For purposes of this MOU, a “sacred site” retains the same meaning as provided in Executive Order 13007; that is, “any specific, discrete, narrowly delineated location on Federal land that is identified by an Indian tribe, or Indian individual determined to be an appropriately authoritative representative of an Indian religion, as sacred by virtue of its established religious significance to, or ceremonial use by, an Indian religion; provided that the tribe or appropriately authoritative representative of an Indian religion has informed the agency of the existence of such a site.” Such sacred sites may also be eligible for the National Register of Historic Places as historic properties of religious and cultural significance to Indian tribes.

Sacred sites often occur within a larger landform or are connected through features or ceremonies to other sites or a larger sacred landscape. Agencies should consider these broader areas and connections to better understand the context and significance of sacred sites. Sacred sites may include, but are not limited to geological features, bodies of water, archaeological sites, burial locations, traditional cultural properties, and stone and earth structures.

III. Authorities Which May be Relevant to the Protection and Preservation of Sacred Sites

The Participating Agencies will review the following authorities to determine their potential relevance to sacred sites and to determine if additional inter-agency measures may be warranted to better protect sacred sites:

Executive Order 13007: Indian Sacred Sites
National Historic Preservation Act
National Environmental Policy Act
Native American Graves Protection and Repatriation Act
American Indian Religious Freedom Act
Religious Freedom Restoration Act
Executive Order 13175: Consultation and Coordination with Indian Tribal Governments

IV. Participating Agency Agreement

The Participating Agencies hereby agree to work together to accomplish and consult with Indian tribes as appropriate in developing and implementing the following actions:

1. Creating a training program to educate Federal staff on (a) the legal protections and limitations regarding the accommodation of, access to, and protection of sacred sites and (b) consulting and collaborating effectively with Indian tribes, tribal leaders, and tribal spiritual leaders to address sacred sites;
2. Developing guidance for the management and treatment of sacred sites, including best practices and sample tribal-agency agreements;
3. Creating a website that includes links to information about Federal agency responsibilities regarding sacred sites, agency tribal liaison contact information, the websites of the agencies participating in this MOU, and information directing agencies to appropriate tribal contact information for project consultation and sacred sites issues; this website would be hosted by one of the Participating Agencies;
4. Developing and implementing a public outreach plan focusing on the importance of maintaining the integrity of sacred sites and the need for public stewardship in the protection and preservation of such sites;
5. Identifying existing confidentiality standards and requirements for maintaining the confidentiality of sensitive information about sacred sites, analyzing the effectiveness of these mechanisms, and developing recommendations for addressing challenges regarding confidentiality;
6. Establishing management practices that could be adopted by Participating Agencies; for example, these could include mechanisms for the collaborative stewardship of sacred sites with Indian tribes, such as Federal-tribal partnerships in conducting landscape-level cultural geography assessments;
7. Identifying impediments to Federal-level protection of sacred sites and making recommendations to address the impediments;

8. Developing mechanisms to exchange and share subject matter experts among Federal agencies and identifying contracting mechanisms for obtaining tribal expertise;
9. Developing outreach to non-Federal partners to provide information about (a) the political and legal relationship between the United States and Indian tribes; (b) Federal agency requirements to consult with Indian tribes; and, (c) the importance of maintaining the integrity of sacred sites;
10. Exploring mechanisms for building tribal capacity to participate fully in consultation with Federal agencies and to carry out the identification, evaluation, and protection of sacred sites;
11. Establishing a working group of appropriate staff from each of the Participating Agencies to facilitate the implementation of the provisions of this MOU and address issues as they arise. The working group will develop an action plan for implementation of this MOU within 90 days. Participating Agency representatives will serve on the working group until replaced by their agencies. The working group will be chaired by one of the Participating Agencies chosen by majority vote of the working group and will serve a 2-year term. At the expiration of the chair's term, the Participating Agencies shall select a new chair from among the Participating Agencies.

V. Non-Funding Obligating Document

Participating Agencies will handle their own activities and use their own resources in pursuing these objectives. Each party will carry out its separate activities in a coordinated and mutually beneficial manner.

Nothing in this MOU shall obligate any Participating Agency to obligate or transfer funds. Specific work projects or activities that involve the transfer of funds, services, or property among the various Participating Agencies will require execution of separate agreements and will be contingent upon the availability of appropriated funds. Any such activities must be independently authorized by appropriate statutory authority. This MOU does not provide such authority. Negotiation, execution, and administration of each such agreement must comply with all applicable statutes and regulations.

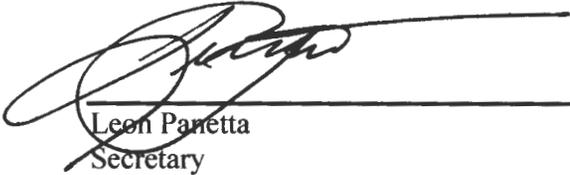
VI. Third Parties

This MOU is not intended to and does not create any right, benefit, or trust responsibility, substantive or procedural, enforceable at law or equity, by any party against the United States, its agencies, its officers, or any person.

VII. Administrative Provisions

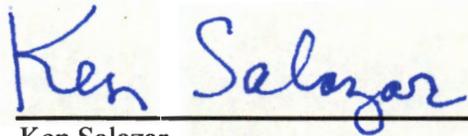
1. This MOU takes effect upon the signature of all Participating Agencies and shall remain in effect until December 31, 2017. This MOU may be extended or amended upon written consent from any Participating Agency and the subsequent written concurrence of the others.
2. Any Participating Agency can opt out of this MOU by providing a 60-day written notice to the other signatories.
3. Other Federal agencies may participate in this MOU at any time while the MOU is in effect. Participation will be evidenced by an agency official signature on the MOU.

VIII. Signatures of the Participating Agencies of the MOU on Indian Sacred Sites



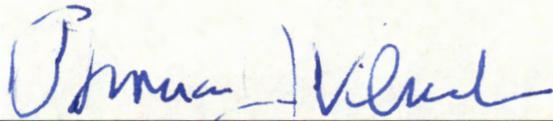
Leon Panetta
Secretary
U.S. Department of Defense

12/4/12
Date



Ken Salazar
Secretary
U.S. Department of the Interior

11/30/12
Date



Thomas J. Vilsack
Secretary
U.S. Department of Agriculture

11/30/12
Date



Steven Chu
Secretary
U.S. Department of Energy

NOV 30 2012
Date



Milford Wayne Donaldson, FAIA
Chairman
Advisory Council on Historic Preservation

NOV 30 2012
Date

National Historic Preservation Act

Definitions:

Consultation means the process of seeking, discussing, and considering the views of other participants, and, where feasible, seeking agreement with them regarding matters arising in the section 106 process. The Secretary's "Standards and Guidelines for Federal Agency Preservation Programs pursuant to the National Historic Preservation Act" provide further guidance on consultation. (36 CFR Part 800)

Council means the Advisory Council on Historic Preservation or a Council member or employee designated to act for the Council. (36 CFR Part 800)

Effect means alteration to the characteristics of a historic property qualifying it for inclusion in or eligibility for the National Register. (36 CFR Part 800)

Historic Property means any prehistoric or historic district, site, building, structure, or object included in, or eligible for inclusion in, the National Register of Historic Places maintained by the Secretary of the Interior. This term includes artifacts, records, and remains that are related to and located within such properties. The term includes properties of traditional religious and cultural importance to an Indian tribe or Native Hawaiian organization and that meet the National Register criteria. (36 CFR Part 800)

National Register means the National Register of Historic Places maintained by the Secretary of the Interior. (36 CFR Part 800)

Programmatic Agreements The Council and the agency official may negotiate a programmatic agreement to govern the implementation of a particular program or the resolution of adverse effects from certain complex project situations or multiple undertakings. (36 CFR Part 800)

State Historic Preservation Officer means the official appointed or designated pursuant to section 101(b)(1) of the act to administer the State historic preservation program or a representative designated to act for the State historic preservation officer. (36 CFR Part 800)

Tribal Historic Preservation Officer means the tribal official appointed by the tribe's chief governing authority or designated by a tribal ordinance or preservation program who has assumed the responsibilities of the SHPO for purposes of section 106 compliance on tribal lands in accordance with section 101(d)(2) of the act. (36 CFR Part 800)

Undertaking means a project, activity, or program funded in whole or in part under the direct or indirect jurisdiction of a Federal agency, including those carried out by or on behalf of a Federal agency; those carried out with Federal financial assistance; and those requiring a Federal permit, license or approval. (36 CFR Part 800)

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TAB 5

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Revised 7/12/2013

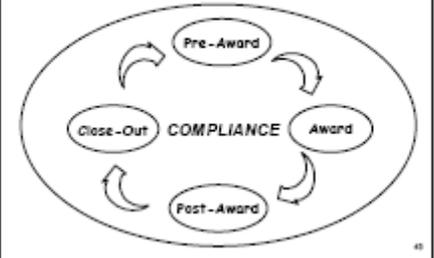
Filename: s:\federalaid\courses\ilt\plc2012\base plc 2012\workbook\7-preaward.doc

Enter Name of Course:
Project Leaders Course

Enter Tab Number:
5

Handouts:

Example grant application package

<p>PROJECT LEADERS COURSE</p> <p>Tab 5: Pre-Award: Grant Application Package</p> <p>54</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>Grants Management Process</p>  <p>55</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

Grant Application Package

Examining the Grant Application Package

Reference:

50 CFR 80.81

522 FW 1 (appendix 1)

522 FW 4



3

In the following exercise we're going to examine the documents submitted for our example grant assuming they were submitted using paper documents.

Debrief:

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.

Budget info to make substantial in character & design determination and to obligate funds by subprogram, SHPO, permits or other compliance issues must be addressed for any projects that will be funded.

May also have to include SF-LLL to disclose lobbying with funds other than federal.

If land acquisition may need to provide appraisals, surveys, title vesting certificate, deed, statement of just compensation.

If construction may need to provide drawings and engineering designs.

May see old forms in previous grant documents **no longer required** as of 10/1/06:

DI-2010 Certification form, NEPA Checklist, Section 7 form



Exercise: The Grant Application Package

Use the Toolkit to review **50 CFR 80.81**, Service Manual Chapters **Part 522 FW 1 (appendix 1) and Part 522 FW 4** to answer the following questions:

1. List the documents required in a grant application package.

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

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

Statement of Costs estimates by subaccount

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

Supporting documents how proposed work complies with the Act and other laws and regulations

Statement of intent to carry out and fund all or part of CMS through a grant

Description of CMS components

Information needed to meet compliance requirements. NEPA/Sec 7.

2. Must a CMS state submit any subproject level information with the grant application package?

Yes, subproject information must be submitted for the Service to

make environmental compliance determinations for NEPA, Sec7 and NHPA

522 FW 4.10

<p style="text-align: center;">CMS Standards</p> <hr/> <p>Comparison Grant Application Package - All grants (CMS and Traditional)</p> <ul style="list-style-type: none"> ➤ SF 424 Application for Federal Assistance ➤ Statement of Assurances ➤ Compliance Documentation ➤ Budget Information ➤ State Process Documents (clearinghouse) <p style="text-align: right;"><small>67</small></p>	<p>Let's identify and assemble the grant application package.</p>
<p style="text-align: center;">CMS Standards</p> <hr/> <p>Comparison Grant Application Package - CMS (50 CFR 80.81)</p> <ul style="list-style-type: none"> ➤ Description of agency's CMS including all four elements ➤ Description of Program(s) covered by the CMS ➤ Identify agency employee who maintains CMS ➤ Description of public input process <p style="text-align: right;"><small>68</small></p>	<p>SF 424 – Various SF 424s in Toolkit & on grants.gov. Will discuss when we take a closer look at info on SF-424.</p>
<p style="text-align: center;">CMS Standards</p> <hr/> <p>Comparison Grant Application Package - Traditional project by project (50 CFR 80.82)</p> <ul style="list-style-type: none"> ➤ Project Statement(s): Need, Objective, Expected Benefits, Approach, Location, Cost,..... ➤ Other Project Dependent Documents <p style="text-align: right;"><small>69</small></p>	<p><i>SF 424 also includes assurances and budget forms. State may use their own version of budget form. Budget documents may be included in package. State may choose to give information for subsequent years – previously submitted on a 5 year WSFR. Budget info used to make substantial in character & design determination.</i></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. http://www.whitehouse.gov/omb/grants/spoc.html</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.

Documents	Included?
SF - 424	
CMS Project Description (programs, contact, public input)	
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

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
			3. DATE RECEIVED BY STATE	State Application Identifier W-777-E
			4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier
5. APPLICANT INFORMATION				
Legal Name: State of Grace			Organizational Unit: Department: Department of Conservation	
Organizational DUNS: 123456789			Division: Fish and Wildlife	
Address: Street: 200 Bluebird Way			Name and telephone number of person to be contacted on matters involving this application (give area code) Prefix: First Name: Ed	
City: Essex			Middle Name U	
County: Branch			Last Name Cator	
State: Grace		Zip Code 30001	Suffix:	
Country: United States			Email: Educator@Grace.gov	
6. EMPLOYER IDENTIFICATION NUMBER (EIN): 31-00000000			Phone Number (give area code) (555) 777-8888	Fax Number (give area code) (555) 777-8881
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.) Other (specify)			7. TYPE OF APPLICANT: (See back of form for Application Types) A. State Other (specify)	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: 15-611 TITLE (Name of Program): Wildlife Restoration Basic HE			9. NAME OF FEDERAL AGENCY: U.S. Department of Interior, Fish and Wildlife Service	
12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.): Statewide			11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: Grace Basic Hunter Education Student Training	
13. PROPOSED PROJECT Start Date: 07/01/2014 Ending Date: 06/30/2015			14. CONGRESSIONAL DISTRICTS OF: a. Applicant 25 b. Project 32	
15. ESTIMATED FUNDING:			16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal	\$	266,250.00	a. Yes. <input type="checkbox"/> THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE:	
b. Applicant	\$		b. No. <input checked="" type="checkbox"/> PROGRAM IS NOT COVERED BY E. O. 12372	
c. State	\$	88,750.00	<input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
d. Local	\$		17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?	
e. Other	\$		<input type="checkbox"/> Yes If "Yes" attach an explanation. <input checked="" type="checkbox"/> No	
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 <i>Forest Game</i>	e. Date Signed 5/30/2014			

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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

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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

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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:

Signature: Ed U. Cator

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

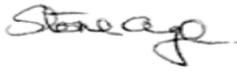
Project: W-777-E Grace Basic Hunter Education Student Training

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 that reads "Stone Age".

Stone Age
State Historic Preservation Officer

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TAB 6

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Revised 7/12/2013

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

Enter Name of Course:

Project Leaders Course

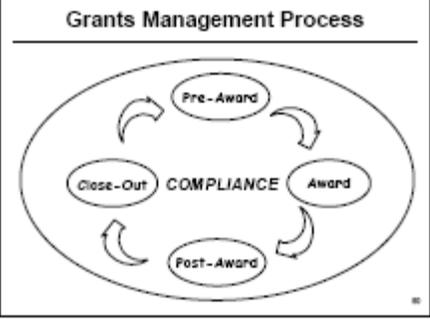
Enter Tab Number:

6

Handouts:

Example grant award letter

Program Income Chart

<p>PROJECT LEADERS COURSE</p> <p>Tab 6: Award: Notice of Grant Award</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>Grants Management Process</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;">Notice of Grant Award</p> <p>Transmittal Memo</p> <ul style="list-style-type: none">> Federal Identifier / amendment number> Dates> Federal Share Authorized> Terms of Acceptance> Special Provisions / Conditions> Signature of Authorized Federal Personnel <p style="text-align: right;"><small>62</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>Federal ID # - grant award number Dates – performance period, effective dates, grant period Federal share – awarded amount – may not all be obligated, may have a conditional statement, may also list state share (matching). Terms of Acceptance – DOI standard terms, references from 43 CFR 12 and others. Special Provision/Conditions – apply to this particular grant, pay close attention. Signature – 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

<p style="text-align: center;">Notice of Grant Award</p> <p>Reference: 522 FW 16, 17, 23, 25</p>  <p style="text-align: right;"><small>63</small></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, 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.



Exercise: Notice of Grant Award (continued)

6. 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.

7. 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



United States Department of the Interior

FISH AND WILDLIFE SERVICE
P.O. Box 1306
Albuquerque, New Mexico 87103



In Reply Refer To:
FWS/R2/RD-WSFR
F13AF01047

JUL 25 2013

Larry D. Voyles, Director
Arizona Game and Fish Department
5000 W. Carefree Highway
Phoenix, Arizona 85086-5000

Attention: Sherry Crouch, Funds and Planning Chief

Dear Mr. Voyles:

The enclosed Application for Federal Assistance (AFA), F13AF01047, AZ FW-100-P-21 Comprehensive Management System, is approved for funding under the Sport Fish Restoration Grant Program (CFDA# 15.605), Wildlife Restoration - Section 4 Grant Program (CFDA# 15.611) and the Wildlife Restoration - Section 10 Grant Program (CFDA# 15.626). The grant agreement period is July 1, 2013 - June 30, 2014, with the following approved cost share:

Program Subaccount Code		Approved Funding		Approved Funding
9511	Federal	\$ 234,410	State	\$ 78,137
9514-CAMP	Federal	\$ 118,695	State	\$ 39,565
9514	Federal	\$ 6,366,401	State	\$ 2,122,134
5222	Federal	\$ 9,867,470	State	\$ 3,289,157
5221	Federal	\$ 2,809,911	State	\$ 936,637
5231	Federal	\$ 231,136	State	\$ 77,046
	Total Federal	\$ 19,628,023	Total State	\$ 6,542,676
			Grand Total	\$ 26,170,699

Grant is eligible for reimbursement of the amount obligated not to exceed 75% of total allowable expenditures. An AFA amendment will be required to add or delete a project, increase or decrease the Federal funds, change key personnel, and/or modify the agreement period.

This grant award is subject to the following terms and conditions:

a. Reporting requirements:

- 1) Submit a Final Federal Financial Report and a Final Performance Report, 90 days after the end of the grant period. Final reports (financial and performance) for this grant will be due no later than **September 28, 2014**.

- 2) Requests for an extension of report due date up to an additional 90 days must be submitted to, and received by, this office, **1 day before** the report due date. If these reports are not received by the original or extended due date, the WSFR Program may: 1) withhold cash payments; 2) deny the use of Federal funds and credit for the use of matching cash and in-kind contributions for all or part of the award; 3) suspend or terminate the award, partially or entirely; 4) withhold further awards for the grant program; and 5) pursue other legal remedies. The sanctions that the WSFR Program imposes will remain in effect until the required reports are received [(43CFR12.80(b)(1); 43CFR12.81(b)(3); U.S. Fish and Wildlife Service Manual Chapters 516 FW 1 and 516 FW 2].
- b. The grant has been approved to include third party in-kind match. The in-kind match is subject to the provisions of 43 CFR, Part 12. In summary, the in-kind match must: 1) be documented in accordance with OMB requirements for each grant; 2) not be used to match any other grant; 3) be necessary and reasonable for accomplishment of grant objectives; 4) be allowable costs under provisions of 2 CFR Part 225; and 5) not be paid from other Federal funds unless specifically authorized by law or regulation.
- c. In-kind match of volunteer labor is based on Programs Projects Specialist I at \$20.20 per hour, Administrative Assistant I at \$15.05 per hour, and Programs Projects Specialist II at \$21.69 per hour.
- d. In accordance with 522 FW 19, income earned as a result of grant-supported activities during the grant period must be accounted for in accordance with 43 CFR 12.65 and income earned after the grant period must be protected as if it were license fee revenue. Estimated program income is \$3,000,000, using the additive method of crediting program income.
- e. In accordance with 522 FW 16.5 pre-agreement costs in the amount of \$500,000 specified in the grant documents are approved.
- f. The U.S. Fish and Wildlife Service must concur with the useful life or the lengthened useful life that the State proposes for each capital improvement that will be constructed or rehabilitated under this grant agreement.
- g. Unrecovered indirect costs are approved to be used as match during this grant period. Please identify these costs in the comments section of the Federal Financial Report (SF-425).
- h. Approval is limited to activities or costs associated with those activities previously approved and identified on the Quarterly Compliance Spreadsheet (spreadsheet). Activities and projects not identified in the grant application approval are required to have compliance completed by the WSFR Program prior to implementation of any activities in the field. All on-the-ground activities require individual site specific compliance approved in writing by the WSFR Program before implementation. Preparation of compliance related documents (i.e., NEPA, ESA, NHPA, etc.) is an approved activity.
- i. The WSFR Program must consult with the State Historic Preservation Officer (SHPO) and affected Tribes on all on-the-ground projects prior to implementation. Any cultural and/or paleontological resource (historic or prehistoric site or object) discovered by the Grantee, or any person working on the Grantee's behalf, shall be immediately reported to the WSFR Program and the SHPO. The Grantee shall stop all operations in the area of potential effect until written authorization to proceed is issued by the WSFR Program after determination of appropriate actions to prevent the loss of significant cultural, religious, or scientific values.

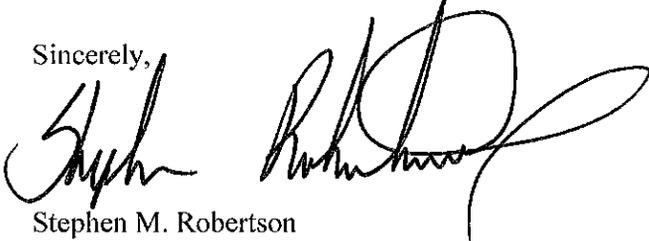
- j. An updated spreadsheet showing all approved or pending compliance will be submitted on a quarterly basis as follows:

Quarter	Period Covered	Due Date
1	July 1 to September 30, 2013	October 5, 2013
2	October 1 to December 31, 2013	January 4, 2014
3	January 1 to March 31, 2014	April 5, 2014
4	April 1 to June 30, 2014	September 28, 2014

- k. The requested equipment purchases have been approved (Sport Fish Management \$313,000; Administration \$44,000; Habitat and Facilities Enhancement, Development, Operations and Maintenance \$515,000, Statewide Shooting Ranges \$50,000).
- l. Addition or deletion of projects/activities on the CAMP are a “change in scope” and will require an amendment to the AFA.
- m. All CAMP related activities with or without Sport Fish Restoration (SFR) funding must be reported on under this grant award. CAMP reporting must be submitted in a standalone document.
- n. For all CAMP activities funded by SFR, the amount of SFR funds and match (including source) must be accounted for at the individual measure level as identified in the annual CAMP Implementation Plan.
- o. Approval of the CAMP Implementation Plan is limited to activities or costs associated with planning, design, and coordination. Field activities at the individual measure level are not authorized until the CAMP Implementation Plan is amended to identify measure specific budgets. SFR funded measures must include site specific project proposals and environmental compliance documentation approved by written confirmation from the WSFR Program.

Acceptance of a Federal financial award carries with it the responsibility to be aware of and comply with the terms and conditions of the award, including those assurances submitted annually by your agency per http://www.doi.gov/pam/programs/financial_assistance/TermsandConditions.cfm. Acceptance is defined as the start of work, drawing down funds, or accepting the award via electronic means. Awards are based on the application and supporting documents as submitted to and approved by the WSFR Program.

Please contact Nicole Jimenez, Grant Manager, at 505-248-7466; or me at 505-248-7465, with any questions or concerns about the terms of this award.

Sincerely,

 Stephen M. Robertson
 Chief, Wildlife and Sport Fish Restoration Program

Enclosure

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TAB 7

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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:

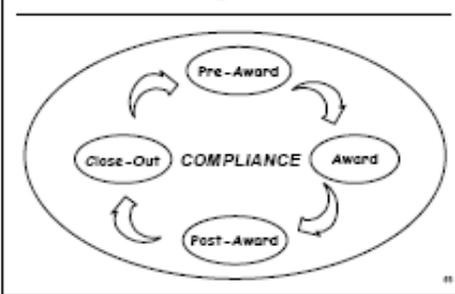
7

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>PROJECT LEADERS COURSE</p> <p>Tab 7: Post Award: Implementation, Managing and Monitoring</p> <p>64</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>  <p>65</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. Don't tell them the answers –ask them—or draw answers out.</p> <p>There's a list on page X-2 to help us get started thinking about the next steps – implementation.</p> <p>Plan ahead. Think about the activities that take excessive time to complete, hiring staff, purchasing items that require a bid process. Engineering design and securing contractors. Be proactive and hit the ground running to set yourself up for success.</p> <p>If BGM course discuss general activities, coordination, etc. If PLC have accountant or coordinator help to identify State specific process.</p>
---	---

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](#)

[Special conditions](#)

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?](#)

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

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?](#)

[Enter into contracts.](#)

<p>Factors Affecting Allowability</p> <ul style="list-style-type: none"> ☐ Necessary and reasonable ☐ Allocable under 2 CFR 225 ☐ Authorized /not prohibited under State or local laws or regulations ☐ Comply with laws, terms/conditions, governing regulations ☐ Be consistent 	<p>How do I know what costs can be coded or charged to my project?</p>
<p>Factors Affecting Allowability</p> <ul style="list-style-type: none"> ☐ Conformance with GAAP ☐ Not included in cost/match of other federally funded activity ☐ Net of all applicable credits ☐ Adequately documented 	<p>Two broad principles to take into consideration: Necessary/ Reasonable Proper allocation of costs to projects Most common audit finding—questioned costs. Project leaders need to become familiar with federal cost principles-you are often on the front line in determining allowable costs.</p>
<p>Reasonable Costs</p> <ul style="list-style-type: none"> ☐ Does not exceed what a prudent person would pay ☐ Factors determining reasonable <ul style="list-style-type: none"> • Generally recognized as ordinary for government operations • Sound, arm's length, complying with State & Federal laws • Market prices • Acted with prudence • Significant deviations from established practices 	<p>Allocable= costs should be allocated to projects or activities in proportion to benefits received.</p>
<p>Allocable</p> <ul style="list-style-type: none"> ☐ Chargeable or assignable to objective in accordance with relative benefits ☐ Not charged to other Federal awards to overcome a deficiency ☐ All activities receive an appropriate allocation of indirect costs. ☐ Cost allocation plan 	<p>Compliance with law/regs- Can't use DJ \$ for non-game fish (darters).</p>
<p>Applicable Credits</p> <ul style="list-style-type: none"> ☐ Reduction of expenditure transactions ☐ Credited to Federal award, cost reduction or cash ☐ Netting credit items 	<p>Can't apply different standards or accounting procedures to federal awards.</p>
	<p>No double-dipping</p>
	<p>Credits = 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>Allocable= 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&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:

<p style="text-align: center;">In-Kind Match</p> <ul style="list-style-type: none"> ◆ 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. 	<p>Many audit findings for unsupported volunteer hours. Have a procedure and maintain records.</p>		
<p style="text-align: center;">In-Kind Match (cont.)</p> <ul style="list-style-type: none"> ◆ Allowable costs under OMB rules ◆ Not paid from other Federal funds ◆ Must occur within the effective dates of the grant (Exception: Land) 	<p>No double-dipping</p>		
<p style="text-align: center;">Is it In-Kind Match?</p> <pre> graph TD Q[Is the individual/entity that is providing the service receiving grant funds?] -- YES --> A[Value of service is considered a Grantee, subgrantee, vendor or contractor incurred cost (State Match).] Q -- NO --> B[Value of the service is considered third party in-kind match.] </pre>	<p>Instructor hours as match for hatchery operations.</p>		
<p style="text-align: center;">Valuing In-Kind Match</p> <p style="text-align: center;">Who is the service being provided by?</p> <table border="0" style="width: 100%;"> <tr> <td style="text-align: center; width: 50%;"> <p>Organization</p> <p>↓</p> <p>Valued at salary paid by organization to employee - Hourly rate without fringe, benefits, or overhead</p> </td> <td style="text-align: center; width: 50%;"> <p>Volunteer (Individual)</p> <p>↓</p> <p>Appropriate rate with fringe/ benefits</p> </td> </tr> </table>	<p>Organization</p> <p>↓</p> <p>Valued at salary paid by organization to employee - Hourly rate without fringe, benefits, or overhead</p>	<p>Volunteer (Individual)</p> <p>↓</p> <p>Appropriate rate with fringe/ benefits</p>	<p>Research vessel necessary for hatchery operations???</p>
<p>Organization</p> <p>↓</p> <p>Valued at salary paid by organization to employee - Hourly rate without fringe, benefits, or overhead</p>	<p>Volunteer (Individual)</p> <p>↓</p> <p>Appropriate rate with fringe/ benefits</p>		
	<p>Same cost principles we just discussed.</p>		
	<p>Can't accept services from National Park or Forest service employee as in-kind match for fed award. Must come from non-fed source.</p>		
	<p>Not always crystal clear if in-kind or state match. Good test.</p>		
	<p>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.</p>		
	<p>Fringe rate can be added to value of volunteer services but not if they represent an organization.</p>		
	<p>Chart in back of this module—good tool to assist you in determining value of in-kind.</p>		

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!

Notes:

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. 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.



Exercise: Managing and Monitoring cont'd

7. 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.

8. 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

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

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	_____ (with reference)
<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.

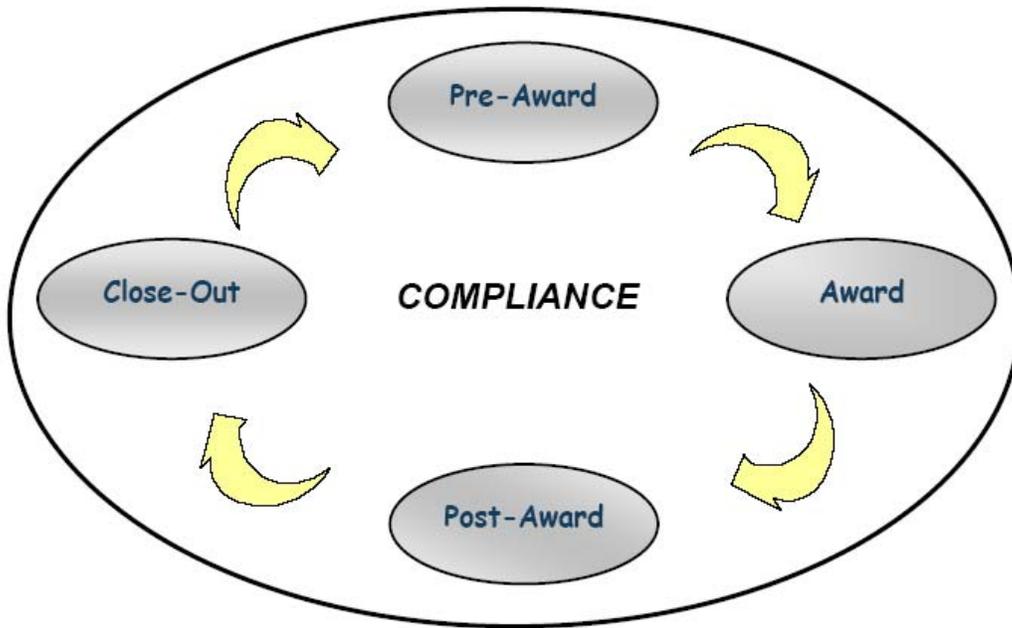
Notes:

	Modifying Grants
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.

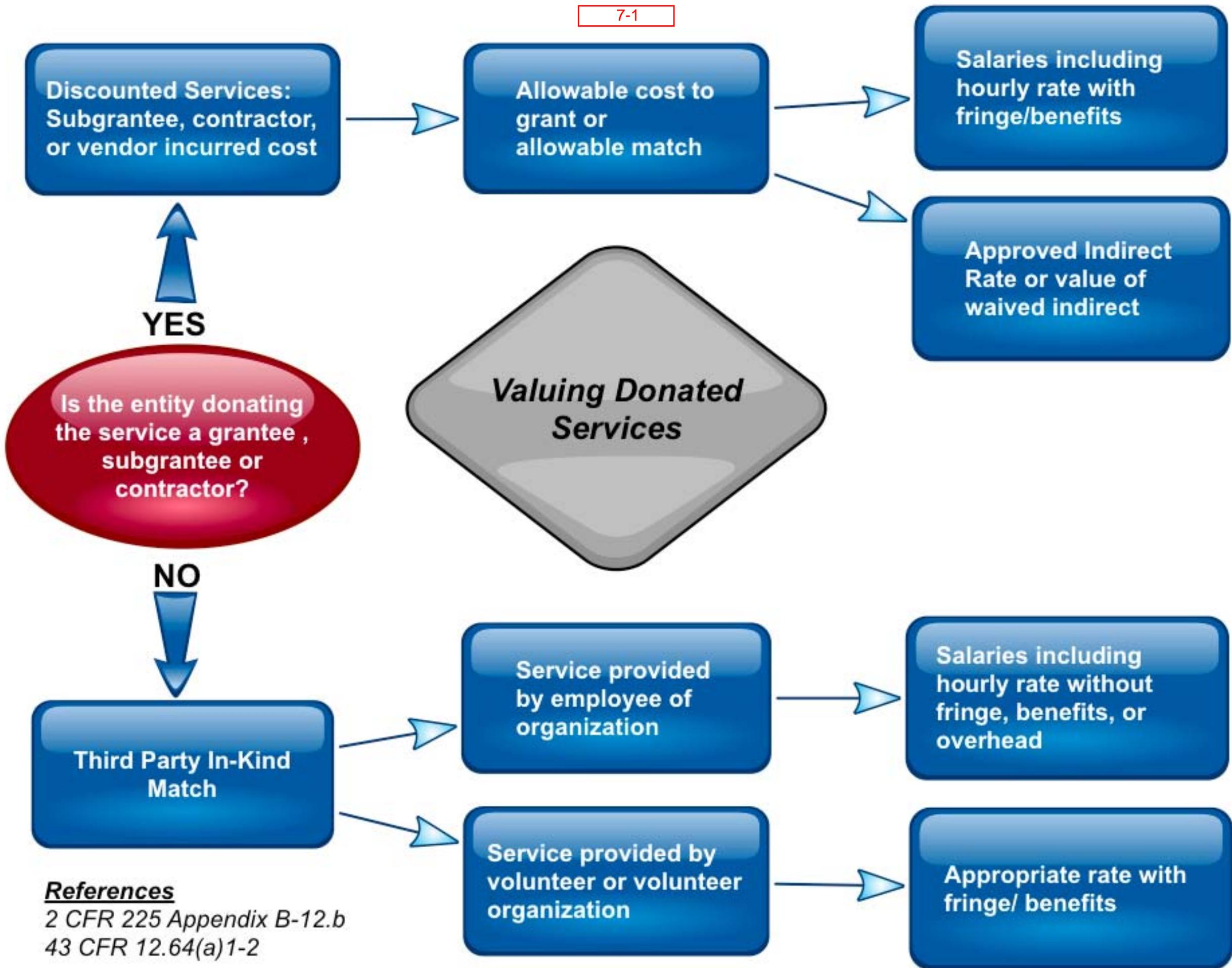


Notes:



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



References

2 CFR 225 Appendix B-12.b

43 CFR 12.64(a)1-2

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TAB 8

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Enter date revised:
10/10/2013

Filename: s:\federalaid\courses\advancedcoursedevelop\completed
modules\8d_program_income.doc

Enter Name of Course:
Project Leader's Course

Module time = 60 minutes

Enter Tab Number:
8

<p>PROJECT LEADERS COURSE</p> <p>Tab 8:</p> <p>PROGRAM INCOME</p> <p>79</p>	<p>Review learning points</p>
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Program Income

Objectives:

1. Define program income
2. Describe and demonstrate the methods of handling program income
3. Explain the treatment of proceeds from the sale of property as program income
4. Discuss the documentation and reporting of program income
5. Discuss program income earned by non-profit and for-profit sub-grantees

<p>Program Income Definition of Program Income</p> <p>> Gross income received by the grantee or subgrantee directly generated by a grant supported activity, or earned only as a result of the grant award during the grant period</p> <p>80</p>	<p>Define program income: Gross income received by the grantee or subgrantee directly generated by a grant supported activity, or earned only as a result of the grant award during the grant period.</p> <p>Clarify definition – show slide</p>
	<p>Net or Gross Income:</p> <p>Gross Income is the default</p> <p>Net Income can be used if approved by WSFR Program cost incident to the generation of the program income</p>

Program Income

The definition of program income is **gross** income received by the grantee or subgrantee **directly generated** by a grant supported activity, or earned only as a result of the grant award **during the grant period**. “During the grant period” is the time between the effective date of the award and the ending date of the award reflected in the final financial report. Grantees are encouraged to earn income to defray program costs.

Incidental costs in the generation of program income may be deducted from gross income to determine program income, if authorized by regulation or grant

Grant Supported Activities

Income generated during the grant period as a result of grant supported activities is considered program income.

After the grant is closed, if the activities are supported with revenue from license fees any income received has the same restrictions as license fee revenues (i.e. used for the administration of the Fish and Wildlife Agency).

	Program Income
43 CFR 12.65	Administrative Requirements
522 FW 19	Program Income From FA Grants
522 FW 1.14	Service Manual Chapter

<p style="text-align: center;">Program Income Definition of Program Income</p> <ul style="list-style-type: none">> Real property disposal is not program income, but is treated in the same manner> Proceeds from the sale of personal property acquired with federal funds may be required to be returned to the federal program. <p style="text-align: right;">82</p>	<p>Income Generated from the Disposal of Real Property</p> <ul style="list-style-type: none">• Federal share of sale proceeds returned to the program or acquire other lands of equal fair market value as replacement
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Real Property Acquired with Federal Funds (43 CFR 12.71)

Disposal of real property acquired with federal funds requires prior approval from the Regional Director, even if the grant is closed. The Regional Director and State negotiates disposal terms. Real property includes oil and gas, other minerals, right of ways, easements, etc. Proceeds from the sale of real property may be returned to WSFR using either the deductive or additive program income disposal methods. Grant terms and Regional Office will prescribe additional requirements.

Real property disposal is not program income, but is treated in the same manner

An exception exists for timber and other renewable resource sales. While harvested timber, grazing and crop sharing is not considered real property, income generated from these items on property acquired with federal funds while the grant is open is considered program income. If the grant is closed the income must be treated as license fee revenue and be used for the administration of the Fish and Wildlife Agency.

Personal Property (43 CFR 12.72)

Proceeds from the sale of personal property acquired with **federal funds** may be required to be returned to the federal program. However, 43 CFR 12.72 requires States to use, manage and dispose of equipment in accordance with State laws. If a grant condition requires the proceeds from the sale of personal property be returned to the program it may be treated as “program income”.

Subrecipients

States should address methods of handling income outside the subaward / award period with subrecipients in the third party agreement. See program specific guidance and Director’s Memo, dated 12/12/05, for LIP and SWG programs.

<p>Program Income</p> <p>Program Income vs. License Revenue</p> <p>Reference: pages 8-4 - 8-6</p>  <p>81</p>	<p>Have participants work through examples using guidance.</p> <p>Debrief by showing summary slides of program income chart.</p>
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Exercise: Income Determination

Using the guidance provided determine if the income in each scenario is program income, treated as license revenue, treated as program income or has no requirement.

1. Income is received as a result of issuing duplicate hunter education cards. The activities are supported in an open hunter education grant.

Program income

2. Revenue is received from timber sales on land acquired with license revenue. The activities are being managed by an open WR grant. Managing timber for wildlife habitat is listed as an activity in the project statement.

Program income

3. The fish and wildlife agency sells a surplus vehicle that was acquired with a WR grant. The grant is now closed and did not contain any conditional statements relating to equipment disposition. The fair market value of the vehicle is \$5,500.

State license revenue – license funds used to match so carries nexus of license revenue requirement. Exception: conditional statement on grant.

4. Income from coal royalties are received from land acquired with SWG grant. The grant is open at the time royalties are received.

Program income

5. The fish and wildlife agency received income from oil and gas royalties. The land was land acquired with a federal grant that has since closed. The land is currently being managed with State license revenue.

License revenue or may be treated as program income if stipulated in grant award.

	Continue PI exercise.
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Exercise: Income Determination (continued)

6. A subrecipient (private marina) is collecting usage fees for a pump out facility that was renovated using a CVA grant. The grant was closed last year.

State agency should have provisions in third party for marina to limit fees charged as well as use of fees to go back into the maintenance of facility.

7. The fish and wildlife agency sells a research vessel that no longer serves the useful purpose of the SFR grant (75/25) under which it was acquired. The grant is closed, but had a conditional statement in the award letter stating that equipment purchased with grant funds was to be used on this grant or other WSFR Program grants until no longer needed and proceeds from disposition after deducting disposal fees are to be returned to the grant program. The vessel was sold at auction for \$10,000 by the State Surplus Agency. The Surplus Agency charges a 10% fee for handling surplus equipment.

Right of way is considered real property. Since land was purchased with federal funds, prior approval must be received from RD. If revenue is returned to the program it may be returned using program income method. Auditors may consider this program income even though activity is not

8. The fish and wildlife agency received revenue generated from oil and gas royalties on land acquired with license revenue. The land is managed by an open WR grant. The activities listed in the project statement include maintaining roads.

Right of way is considered real property. Since land was purchased with federal funds, prior approval must be received from RD. If revenue is returned to the program it may be returned using program income method. Auditors may consider this program income even though activity is not directly supported because of road use by oil and gas company. This should be treated as license revenue.

9. Revenue is received from the lease of a right of way on land acquired with a WR grant. The WR grant is closed and property is managed using license revenue.

Right of way is considered real property. Since land was purchased with federal funds, prior approval must be received from RD. If revenue is returned to the program it may be returned using program income method.

	<p>Use slides to debrief and summarize.</p> <p>Participants use program income flow to follow along.</p>
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Exercise: Income Determination (continued)

10. A subrecipient received income generated from the sale of timber on his land. The sale of timber resulted from managing wildlife habitat under an open SWG grant.

Unrestricted, not treated as program income. See Director's Memo.

Right of way is considered real property. Since land was purchased with federal funds, prior approval must be received from RD. If revenue is

11. Bill's Bait Shop receives revenue from concession and bait shop operations on a State WMA. The WMA is managed with federal funds.

Unrestricted, not treated as program income. Not received by the State.

Right of way is considered real property. Since land was purchased with returned to the program it may be returned using program income method.

12. The Wildlife Management Area supervisor enters into an agreement with a local farmer to allow the farmer's cattle to graze in an area that will not interfere with wildlife habitat. In exchange for grazing rights the farmer has agreed to perform fencing repairs on the WMA. The WMA is listed as a grant supported activity in the State's WR grant.

Non cash transaction. Noted in the Grant Narrative.

Right of way is considered real property. Since land was purchased with federal funds, prior approval must be received from RD. If revenue is

13. The fish and wildlife agency sells land acquired with a WR grant. The agency receives market value for the property and does not replace the property. WSFR Program approved the sale in advance and instructed the agency to return the proceeds to the WR program.

Treated as program income to return to program.

Right of way is considered real property. Since land was purchased with federal funds, prior approval must be received from RD. If revenue is

<p style="text-align: center;">Program Income Disposition Methods</p> <ul style="list-style-type: none"> > Deductive Default method (subtracted from total expenditures) > Additive Added to funds committed to award > Cost-Sharing Used to finance part/all non-federal match 	<p>Methods of accounting for Program Income</p> <ul style="list-style-type: none"> • Deductive • Additive • Cost-Sharing <p>Declaring and Reporting Program Income:</p>
<p style="text-align: center;">Program Income Accounting for Program Income</p> <p>Declaring and Reporting Program Income</p> <ul style="list-style-type: none"> > Anticipated program income must be declared and estimated in the grant award application > Must be reported on the FFR 	<p>Anticipated program income must be declared and estimated in the grant award application.</p> <p>Must be reported on the Federal Financial Report (FFR) 425</p>

43 CFR 12.65 (g) - Use of Program Income

Methods of using Program Income

- Deductive
 - Unless otherwise approved in the grant award use of program income defaults to deductive
 - Gross program income received is applied to the total allowable project costs during the grant period. Exception: Net program income may be used if approved by WSFR Program
 - Program income reduces both the federal and non-federal share of project costs
 - Program income used in accordance with the deductive method shall not exceed total approved award amount
 - Excess program income may be applied to subsequent grant within same grant program
 - Must be deducted prior to requesting reimbursement (drawdown)

- Additive
 - Gross program income is added to the funds committed to the award
 - Should be estimated in grant application
 - Must be approved in award
 - Amounts in excess of approved amount shall be used in accordance with deductive method
 - Must be used prior to requesting reimbursement (drawdown)

- Cost-Sharing
 - Used to finance part/all non-federal match

Declaring and Reporting Program Income

- Anticipated program income must be declared and estimated in the grant application
- Must be reported on the Federal Financial Report

<p style="text-align: center;">Program Income Accounting for Program Income cont'd</p> <p>Net or Gross Income?</p> <ul style="list-style-type: none"> ➢ Gross Income is the default ➢ Net Income can be used if approved by FA ➢ Cost incident to generate program income <p style="text-align: right;">85</p>	<p>Excess Program Income</p> <ul style="list-style-type: none"> • Applied to subsequent grant that has purposes consistent with the grant that generated the excess program income • <p>Income Generated Outside the Grant Period</p> <ul style="list-style-type: none"> • Grant award will specify • Treated as license revenue and used to support the administration of the State fish and wildlife agency • If the State so requests, used as additional funding for purposes consistent with the grant or the program that generated the income • If not specified treat as license revenue <p>Unless specified in the grant award, program guidance or in the State's cooperative agreement, program income generated outside the grant period by sub-grantees has no further restriction</p>
<p style="text-align: center;">Program Income Accounting for Program Income cont'd</p> <p>Excess Program Income</p> <ul style="list-style-type: none"> ➢ Applied to subsequent grant purposes consistent with grant generating excess program income <p style="text-align: right;">86</p>	
<p style="text-align: center;">Program Income Accounting for Program Income cont'd</p> <p>Income Generated Outside the Grant Period</p> <ul style="list-style-type: none"> ➢ Grant award specifies ➢ Treated as license revenue ➢ Used as additional funding grant/ program if not specified treat as license revenue <p style="text-align: right;">87</p>	
<p style="text-align: center;">Program Income Accounting for Program Income cont'd</p> <p>Program income generated outside the grant period by sub-grantees has no further restriction</p> <ul style="list-style-type: none"> ➢ unless stipulated in third party agreement <p style="text-align: right;">88</p>	

Accounting for Program Income

Net or Gross Income?

- Gross Income is the default
- Net Income can be used if approved by FA
- Cost incident to generate program income

Excess Program Income

Applied to subsequent grant purposes consistent with grant generating excess program income

Income Generated Outside the Grant Period

- Grant award specifies
- Treated as license revenue
- Used as additional funding grant/ program if not specified treat as license revenue
- Program income generated outside the grant period by **sub-grantees** has no further restriction....unless stipulated in third party agreement

Notes

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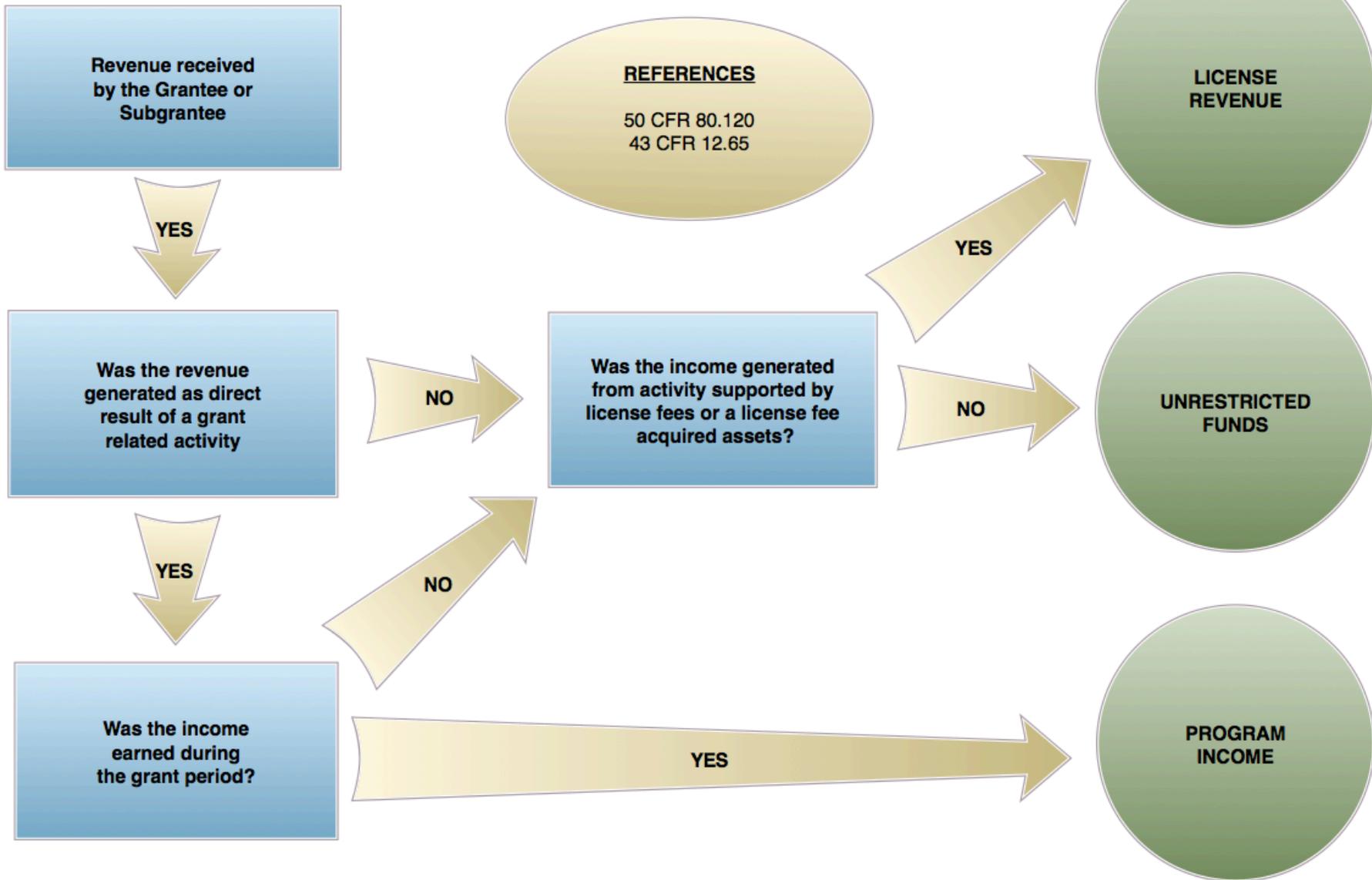
Learning Points

- ✓ Program income is defined as gross income received during the grant period generated by a grant supported activity
- ✓ There are no Federal requirements governing the disposition of program income earned after the end of the award period, unless the terms of the award or WSFR Program regulations provide otherwise
- ✓ The proceeds from the sale of real or personal property may be returned to the grant program by treating it as if it were program income. This is a method to return the income to the grant program
- ✓ Records must be maintained on program income received and these records retained for 3 years from the close of the grantee's fiscal year in which the income is used

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

8-1



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)

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TAB 9

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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

Enter Tab Number:

9

Handouts:

Interim Report Due Date Charts

Notes:

<p>Project Leaders Course</p> <hr/> <p>Tab 9:</p> <p>Post Award - Reporting Requirements</p> <p>69</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>Grants Management Process</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;">Reporting Requirements</p><ul style="list-style-type: none">> Financial Report<ul style="list-style-type: none">▪ SF 425 Federal Financial Report▪ Hard copy, electronic, scanned or faxed▪ Signature of authorized representative (may be electronic) > Performance Report (43 CFR)<ul style="list-style-type: none">▪ No standard or printed form▪ Hard copy, electronic, scanned, faxed or email containing required information▪ Must be received from grantee or authorized representative of grantee<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.

Notes:

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.

Notes:

<p>Remedies for Noncompliance</p> <p>Within 30 days of report due date WSFR will:</p> <ul style="list-style-type: none"> - 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 	<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>Remedies for Noncompliance</p> <p>Report or explanation is not received by end of 10 day period:</p> <ul style="list-style-type: none"> - Grant award and payments suspended - 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 	<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>Remedies for Noncompliance</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 & 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

Notes:

<p>Performance Reporting Requirements</p> <p>SM 4.17 What performance reporting is required?</p> <ul style="list-style-type: none"> ➤ A report of work completed compared to the subprojects listed (e.g., annual work plan) ➤ Explanation of disparities between work planned and work accomplished ➤ The costs incurred for the subprojects ➤ An explanation of material disparities between costs incurred and cost 	<p>We won't go over the financial reports in the PLC.</p>
<p>TRACS Performance Reporting</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>TRACS Structure</p> <p>Action creation in TRACS is two step process:</p> <ol style="list-style-type: none"> 1. Geo-Spatial mapping 2. Enter Information 	<p>Performance reports should contain the following information:</p>
<p>Action Classification</p> <p>Level 1 Action <u>Category</u>: Facilities and Areas O & 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>Submitting the Performance Report</p> <p>Connecting the Dots</p> <ul style="list-style-type: none"> ➤ If Actions are successfully completed ↓ ➤ Objectives will be accomplished ↓ ➤ The Need will be resolved 	<p>Reasons for slippage, if objectives were not met</p>
<p>Submitting the Performance Report</p> <ul style="list-style-type: none"> ➤ TRACS will generate a performance report bundle (PDF) that groups all actions by project and projects by WSFR grant ➤ Submit the performance report in the TRACS system 	<p><u>Additional pertinent information</u> – analysis and explanation of <i>cost overruns</i> or high unit costs, photos, brochures, other information required for specific grant program or type.</p>
	<p>See Service Manual Chapters 3-15. 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 & 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>Report any significant developments (interim reports): 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 GPRA 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

	Performance Reports
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;">Reporting Requirements</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 522 FW 3-16 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>
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	Exercise: Reporting Requirements
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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?

	Performance Reports
522 FW 3-16	Project Specific Requirements

	Debrief Exercise.
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	Learning Points
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- ✓ 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

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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 2nd prevents the 1st 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: January 31, 2014

BMP_HE

SAP/PO Number# SAMPLE1008

Mod Number- 0-BASE

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Grant Performance Snapshot

- Grant # SAMPLE1008 - BMP_HE
 - Project Statement # 370478 - Basic Hunter Education
 - Project Statement # 370489 - Shooting Range Renovation

Appendix A: Grant Details

- Grant # SAMPLE1008 - BMP_HE

Appendix B: Project Statement Details

- Project # 60000000 - BMP_Hunter Education
 - Project Statement # 370478 - Basic Hunter Education
 - Project Statement # 370489 - Shooting Range Renovation

Appendix C: Project Details

- Project # 60000000 - BMP_Hunter Education

Appendix D: Action Details

- Action # 370493 - Basic Hunter Education Courses
- Action # 370512 - Student Certification
- Action # 370519 - Volunteer Coordination
- Action # 370525 - Volunteer Instructor Recruitment
- Action # 370531 - Additional shooting facilities

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, 2013

Grant Funds Allocated to Actions

Action	Action Category	Est. WSFR Fed Cost	Est. WSFR Non-Fed Match	Est. Total Amount
Volunteer Coordination	Education	\$30,000	\$10,000	\$40,000
Basic Hunter Education Courses	Education	\$30,000	\$10,000	\$40,000
Additional shooting facilities	Facilities and Areas (Major Renovation)	\$60,000	\$20,000	\$80,000
Student Certification	Education	\$30,000	\$10,000	\$40,000
Volunteer Instructor Recruitment	Education	\$30,000	\$10,000	\$40,000
Totals		\$180,000	\$60,000	\$240,000

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

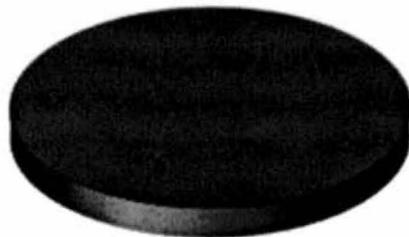
Objective Name Basic Hunter Education Courses

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



■ Action 370493

Addressing Actions

Action # 370493 - Basic Hunter Education Courses

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

% of Desired Output by Date



06/29/2013

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



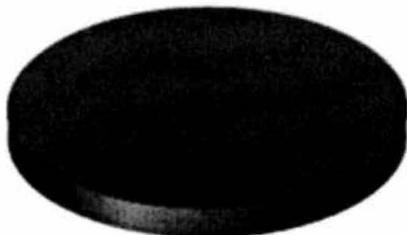
Action 370512

Addressing Actions

Action # 370512 - Student Certification

[View Action Details]

% of Desired Output by Date



06/29/2013

Date Reported	Reported Value	Output	% of Desired Output
June 29, 2013	18500	Students	103%

Results	Trained and certified 18,500 students in basic hunter education.		
Totals	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%
Results	Provided training, evaluation, recognition and coordination of current volunteer staff.		
Totals	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%
Results	Succesfully recruited and trained 180 new volunteer hunter education instructors		
Totals	180	Instructors	90%

Project Statement Performance #370489 - Shooting Range Renovation

[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, the State of WV has a hunting incident rate 12% above the

national average over the last two decades. There is a lack of adequate shooting ranges in WV where hunters can develop safe shooting and gun handling skills.

Objectives

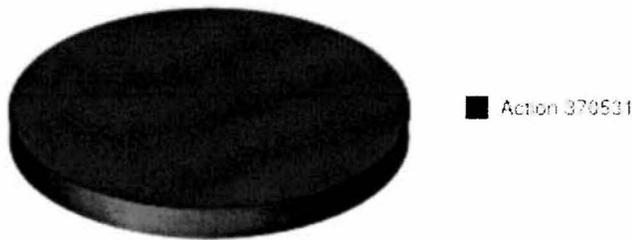
Objective ID - 1

Objective Name Additional Shooting Facilities
 Objective Statement Renovate 4 existing WV DNR managed shooting ranges to provide 3 additional shooting lanes at each range for a total of 12 new shooting lanes statewide by June 30, 2013.

Standard Indicators

Desired Future Value	Base Value	Output	Deadline
4	0	Sites	June 29, 2013

% of Desired Output Reported by Action

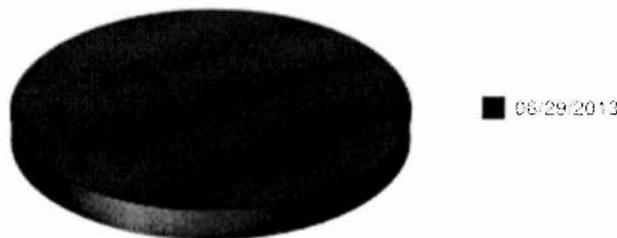


Addressing Actions

Action # 370531 - Additional shooting facilities

[View Action Details]

% of Desired Output by Date



Date Reported	Reported Value	Output	% of Desired Output
June 29, 2013	4	Sites	100%
Results	Construction completed of 12 new shooting lanes at 4 existing shooting ranges operated and maintained by WV DNR for a total of eight new shotgun lanes and 4 new rifle lanes.		
Totals	4	Sites	100%

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, 2013

Grant Programs

Program	Est. WSFR Fed Cost	Est. WSFR Non-Fed Match
Hunter Ed - Enhanced	\$60,000	\$20,000
Hunter Ed - Basic	\$120,000	\$40,000
Totals	\$180,000	\$60,000

Grantors U.S. Fish and Wildlife Service
Agency Grantees WV DNR

Appendix B: Project Statement Details

Project Snapshot #60000000 - BMP_Hunter Education

[View Project Details] [top]

Primary Agency WV Department of Natural Resources
Start Date June 29, 2012
End Date June 28, 2013
Project Categories Recreation,
 Administration

Project Statement Details #370478 - Basic Hunter Education

[top]

Properties

Is Revision? No
Grant Programs Hunter Ed - Basic

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

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 Grace’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 managements 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.
- 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 project W-001-E Enhanced Student Training.

Timeline

- July 1-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
Description

Recreation Needs

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

Project Statement Details #370489 - Shooting Range Renovation

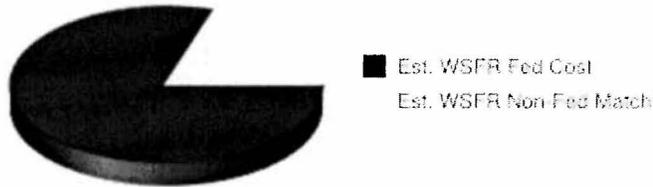
[top]

Properties

Is Revision? No
Grant Programs Hunter Ed - Enhanced

Project Statement	Estimated WSFR Federal Cost:	\$80,000
Cost Breakdown	Estimated WSFR Non-Federal Match:	\$20,000
	Total Estimated Cost:	\$100,000

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, the State of WV has a hunting incident rate 12% above the national average over the last two decades. A survey of current, former and potential new hunters, performed by Grace State University in 2009, revealed that there is a lack of adequate shooting ranges in WV where hunters can develop safe shooting and gun handling skills. It is imperative that WV DNR meet the statewide demand to provide shooting facilities 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 WV's ability to sustain a rich hunting heritage and safe hunting experience.

Approach

Contracts will be offered to renovate 4 existing WV DNR managed shooting ranges in the four establish geographic districts. Renovations will be to construct 3 additional (2 shotgun and 1 rifle) shooting lanes at each range. Renovations will begin in September after contracts are awarded and engineering designs have been completed and approved. Compliance reviews for NEPA, Sec 7 of the ESA and NHPA will be conducted before renovations begin.

Expected Results

- A decrease in hunting incidents below the national average.
- Customer demand for shooting facilities fully satisfied.
- Increased access and opportunity to state managed shooting ranges
- A decrease in hunting incidents below the national average.
- Customer demand for shooting facilities fully satisfied.
- Increased access and opportunity to state managed shooting ranges

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

25 years expected useful life for the new shooting lanes based on prior experience with operation and maintenance of shooting facilities.

Program Income

None anticipated. No range fees collected

Multipurpose Projects

NA

Relationship with Other Grants

West Virginia Basic Hunter Education W-000-E

Timeline

- Engineering design for range renovations completed by September 1, 2012.
- Range renovation begins September 1, 2012 and completed by April 1, 2013.

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, the State of WV has a hunting incident rate 12% above the national average over the last two decades. There is a lack of adequate shooting ranges in WV where hunters can develop safe shooting and gun handling skills.

Objectives**Objective ID - 1**

Objective Name	Additional Shooting Facilities
Objective Statement	Renovate 4 existing WV DNR managed shooting ranges to provide 3 additional shooting lanes at each range for a total of 12 new shooting lanes statewide by June 30, 2013.

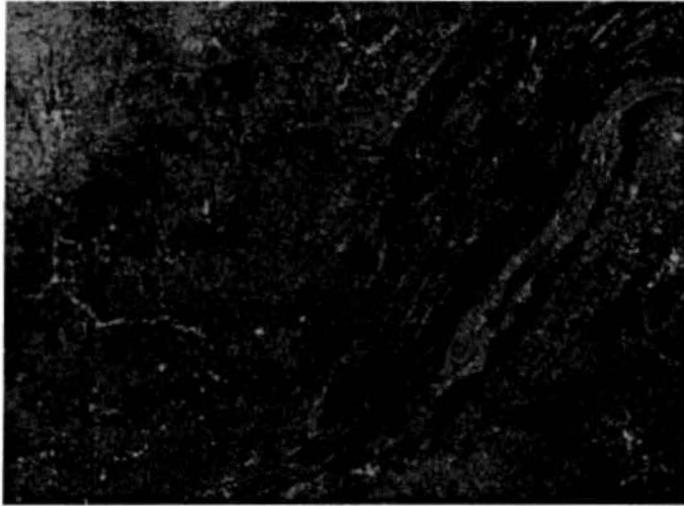
Standard Indicators

Desired Future Value	Base Value	Output	Deadline
4	0	Sites	June 29, 2013

Appendix C: Project Details

Project Details #60000000 - BMP_Hunter Education

[top]



Properties

Status	Active
Primary Agency	WV Department of Natural Resources
Primary Contact	Ed Cator
Start Date	June 29, 2012
End Date	June 28, 2013
Is Project Sensitive?	No
Project Categories	Recreation, Administration
Action Categories	Education, Facilities and Areas (Major Renovation)

Project Description

Basic Hunter Education has played an important role in making West Virginia a safe place to live and enjoy its bountiful natural resources. It also is critical to the continued enjoyment of the important part of West Virginia's tradition and heritage. The Hunter Education Program is intended to impact the new hunter's knowledge, skill, attitude, behavior, and hunting incident rate. The program provides educational experiences to improve hunter-landowner relationships and acceptance of hunting by nonhunting citizens. The program also teaches students about wildlife biology, conservation, and habitat.

Hunter Education provides classes targeted to certain audiences, and provides alternative delivery methods to provide an excellent opportunity to reach non-traditional hunters and hunters with previous experience.

Location Details

Is Statewide Project? Yes

Action Summaries

Action # 370493 - Basic Hunter Education Courses

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

Start Date	June 29, 2012
End Date	June 28, 2013
Action Category	Education
Action Strategy	Student training

Action # 370512 - Student Certification

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

Start Date	June 29, 2012
End Date	June 28, 2013
Action Category	Education
Action Strategy	Student training

Action # 370519 - Volunteer Coordination

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

Start Date	June 29, 2012
End Date	June 28, 2013
Action Category	Education
Action Strategy	Educator/Instructor training

Action # 370525 - Volunteer Instructor Recruitment

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

Start Date	June 29, 2012
End Date	June 28, 2013
Action Category	Education
Action Strategy	Educator/Instructor training

Action # 370531 - Additional shooting facilities

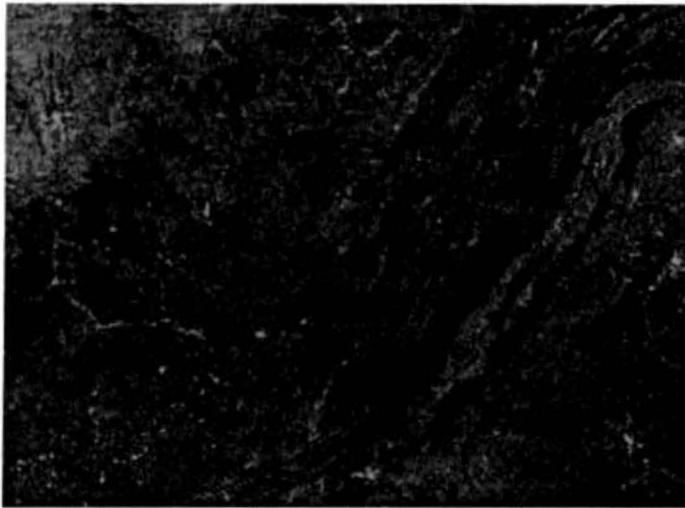
[\[View Action Details\]](#)

Start Date	June 29, 2012
End Date	June 28, 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
 [View Project Details]

Status Completed

Start Date June 29, 2012

End Date June 28, 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
Aquatic resource education	0	Students
Hunter education - firearms	600	Students
Hunter education - other archery	0	Students
Hunter education - Archery in the Schools	0	Students

Action Details #370512 - Student Certification

[top]



Properties

Project Name BMP_Hunter Education
 [View Project Details]

Status Completed

Start Date June 29, 2012

End Date June 28, 2013

Action Category Education

Action Strategy

Strategy	Measured Output	Output Unit
Student training	18500	Students

Activities

Activity	Measured Output	Output Unit
Hunter education - other archery	0	Students
Aquatic resource education	0	Students
Hunter education - Archery in the Schools	0	Students
Hunter education - firearms	18500	Students
Wildlife education	0	Students

Action Details #370519 - Volunteer Coordination

[top]



Properties

Project Name	BMP_Hunter Education [View Project Details]
Status	Completed
Start Date	June 29, 2012
End Date	June 28, 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	1800	Instructors
Aquatic resource education	0	Instructors
Cumulative hours of volunteer effort	0	Hours
Cumulative number of active instructors	0	Instructors

Action Details #370525 - Volunteer Instructor Recruitment

[\[top\]](#)



Properties

Project Name	BMP_Hunter Education [View Project Details]
Status	Completed
Start Date	June 29, 2012
End Date	June 28, 2013
Action Category	Education

Action Strategy

Strategy	Measured Output	Output Unit
Educator/Instructor training	200	Instructors

Activities

Activity	Measured Output	Output Unit
Cumulative number of active instructors	0	Instructors
Cumulative hours of volunteer effort	0	Hours
Aquatic resource education	0	Instructors
Hunter education - firearms	200	Instructors

Action Details #370531 - Additional shooting facilities

[\[top\]](#)



Properties

Project Name	BMP_Hunter Education [View Project Details]
Status	Completed
Start Date	June 29, 2012
End Date	June 28, 2013
Action Category	Facilities and Areas (Major Renovation)

Action Strategy

Strategy	Measured Output	Output Unit
Hunter education - firearm shooting ranges	4	Sites

Images

Shooting Range Expansion

[\[Download\]](#)

File Name	IMG_0091.JPG
Author	Ed U Cator
Uploaded Date	December 17, 2013

Wildlife TRACS Action Levels w Indicators **handout 3-5**

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 3-5**

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 3-5**

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)
		Instream modification				Acres	Removal of solid waste to improve habitat for wildlife (e.g., derelict vehicles, rubbish)
						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 3-5**

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 3-5**

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 3-5**

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 3-5**

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 3-5**

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 3-5**

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 3-5**

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 3-5**

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 3-5**

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 3-5**

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				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 3-5**

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 3-5**

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, ...)
			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 3-5**

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 3-5**

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 3-5**

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 3-5**

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 3-5**

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 3-5**

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 3-5**

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

TAB 10

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Revised 7/12/2013

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Project Leaders Course

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10

<p>PROJECT LEADERS COURSE</p> <p>Tab 10: Grant Closure</p> <p style="text-align: right;"><small>105</small></p>	<p>Review objectives for topic.</p>
<p>Grants Management Process</p>  <p style="text-align: right;"><small>11</small></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;">Grant Closure Process</p> <hr/> <p>The Grantee is responsible for</p> <ul style="list-style-type: none">◆ Final Drawdown◆ Performance Report◆ Federal Financial Report <p>The Regional FA Office is responsible for</p> <ul style="list-style-type: none">◆ Monitoring State accomplishments◆ Processing the Federal Financial Report◆ Updating management systems <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 & 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;">Tell Our Story</p> <hr/> <ul style="list-style-type: none">◆ Fishing, hunting, boating and outdoor shows◆ Journals and magazines◆ Internet Social Media (Facebook & Twitter)◆ Accomplishment Reports <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: http://faims.fws.gov</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:

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

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TAB 11

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Revised 7/12/2013

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Project Leaders Course

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11

<p>PROJECT LEADERS COURSE</p> <hr/> <p>Tab 11: Post Closure</p> <p style="text-align: right;"><small>110</small></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;">Post Grant Responsibilities</p> <hr/> <ul style="list-style-type: none"> ◆ Land Issues ◆ Facilities ◆ Equipment ◆ Cooperative Agreements and Sub-Grantees ◆ Record Retention ◆ Single Audits and Program Audits 	<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.

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

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

Program audits mandated in 2000 Improvement Act.

<p style="text-align: center;">Post Grant Responsibilities</p> <hr/> <p>Common Audit Findings</p> <ul style="list-style-type: none">➤ Unsupported in-kind match➤ Indirect costs applied to subgrantee➤ Personal property inventory control➤ Unreported program income➤ Real property inventory control <p style="text-align: right;">114</p>	

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).

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

	<p>One of the requirements to participate in both the WR grant program and the SFR grant program is Assent legislation. Let's look at the requirement in greater detail.</p>
<p style="text-align: center;">Post Grant Responsibilities</p> <hr/> <p>Assent Legislation</p> <ul style="list-style-type: none"> ➤ Required by the SFR and WR Acts ➤ Assent to the provision of the Acts ➤ Pass laws for conservation of fish and wildlife ➤ Hunting/ fishing license revenue solely for the administration of State fish and wildlife agency <p style="text-align: right; font-size: small;">113</p>	<p>What is required in a State's assent legislation?</p> <ul style="list-style-type: none"> • Assent to the provisions of the Acts • Pass laws for the conservation of fish and wildlife • Restrict expenditure of license fees to the administration of the State fish and wildlife agency

Assent Legislation

The Wildlife Restoration and Sport Fish Restoration Acts require grantees to pass legislation that assents to the provisions of the Acts.

What is required in a State's assent legislation?

- Assent to the provisions of the Acts
- Ensures the conservation of fish and wildlife
- Restrict license revenue to the administration of the State fish and wildlife agency

Notes:

	Assent Legislation
50 CFR 80.10	Administrative Requirements Federal Aid in Fish and Federal Aid in Wildlife Restoration
522 FW 2.4 C	Fish and Wildlife Service Manual
	Sport Fish Restoration and Wildlife Restoration Acts

	<p>What happens if a State is not in compliance with the Assent Legislation requirement?</p> <p>The State can become ineligible for participation in programs or may be declared in diversion.</p>
<p>Post Grant Responsibilities</p> <hr/> <p>Diversion occurs when paid hunting and fishing license fees are diverted to purposes other than the administration of the State fish and wildlife agency</p> <p>114</p>	<p>What is Diversion?</p> <p>Diversion occurs when paid hunting and fishing license fees are diverted to other purposes other than the administration of the State fish and wildlife agency.</p>

What happens if a State is not in compliance with the Assent Legislation requirement?

- A State/Territory not having or removing this restriction is ineligible for this program
- Eligible States/Territories removing this restriction or using revenue from license fees for purposes other than for the fish and wildlife agency may be declared ineligible and may be "in diversion"

50 CFR 80.21-23, Diversion occurs when paid hunting and fishing license fees are diverted to purposes other than the administration of the State fish and wildlife agency.

- Removal of the legislative restriction on use of funds
- Use of license funds for purposes other than administration of fish and wildlife agency
- Use of funds for wildlife damage management (under certain conditions, see 521 FW 2.11)
- Loss of control of assets purchased with license fees (522 FW 20)

	Diversion
50 CFR 80.21-23	Administrative Requirements Federal Aid in Fish and Federal Aid in Wildlife Restoration
522 FW 2.4 C	Fish and Wildlife Service Manual
	Sport Fish Restoration and Wildlife Restoration Acts
522 FW 20	Loss of Control and Disposal of Real Property

<p style="text-align: center;">Post Grant Responsibilities</p> <hr/> <p>License Fees</p> <ul style="list-style-type: none"> ➤ All proceeds from State-issued general or specific hunting and fishing licenses, permits, stamps, tags, access and use fees and other charges to hunt or fish for recreational purposes ➤ Real or personal property acquired with license revenue <p style="text-align: right;">118</p>	<p>What is considered License Fees?</p> <p>All proceeds from State-issued general or specific hunting and fishing licenses, permits, stamps, tags, access and use fees and other charges to hunt or fish for recreational purposes.</p> <p>Real or personal property acquired with license revenue</p> <p>Income from the sale, lease, or rental of, granting rights to, or a fee for access to real or personal property acquired or constructed with license revenue.</p> <p>Income from the sale, lease, or rental of, granting rights to, or a fee for access to a recreational opportunity, product, or commodity derived from real or personal property acquired, managed, maintained, or produced by using license revenue.</p> <p>Interest, dividends or other income earned on license revenues.</p> <p>Reimbursements for expenditures originally paid with license revenue.</p> <p>Payments received for services funded by license revenue. Licenses includes: stamps and permits Permits, tags. Assets include: Land, Equipment Vehicles</p>
<p style="text-align: center;">Post Grant Responsibilities</p> <hr/> <p>License Fees</p> <ul style="list-style-type: none"> ➤ Income from the sale, lease, or rental of, granting rights to, or a fee for access to real or personal property acquired or constructed with license revenue <p style="text-align: right;">118</p>	
<p style="text-align: center;">Post Grant Responsibilities</p> <hr/> <p>License Fees</p> <ul style="list-style-type: none"> ➤ Income from the sale, lease, or rental of, granting rights to, or a fee for access to a recreational opportunity, product, or commodity derived from real or personal property acquired, managed, maintained, or produced by using license revenue <p style="text-align: right;">117</p>	
<p style="text-align: center;">Post Grant Responsibilities</p> <hr/> <p>License Fees</p> <ul style="list-style-type: none"> ➤ Interest, dividends or other income earned on license revenues ➤ Reimbursements for expenditures originally paid with license revenue ➤ Payments received for services funded by license revenue <p style="text-align: right;">118</p>	
<p style="text-align: center;">What if Diversion Occurs?</p> <hr/> <ul style="list-style-type: none"> ◆ Ineligible to participate in WR/SFR Acts ◆ From time diversion is declared by USFWS Director <p style="text-align: center;">UNTIL:</p> <p style="text-align: right;">1</p>	<p>If a diversion of license fees occurs, the State becomes ineligible to participate under the Acts from the time the diversion is declared by the Director until:</p> <ul style="list-style-type: none"> • Adequate legislative prohibitions are in place to prevent diversion of license revenues. • All license revenues or assets acquired with license revenues are restored, or an amount equal to the license revenue diverted or the current market value of assets diverted (whichever is greater) is returned and properly available for use for the administration of the State fish and wildlife agency. • Federal funds obligated for projects approved prior to the date of diversion remain available for expenditure. However, the State may not make new obligations until the diversion status is resolved.
<p style="text-align: center;">What if Diversion Occurs?</p> <hr/> <ul style="list-style-type: none"> ◆ Adequate legislative prohibitions ◆ License revenues restored ◆ Interest, dividends or other income earned on license revenues ◆ Previously obligated FA funds remain available ◆ No new obligations <p style="text-align: right;">1</p>	

What are License Fees?

- All proceeds from State-issued general or specific hunting and fishing licenses, permits, stamps, tags, access and use fees and other charges to hunt or fish for recreational purposes
 - Real or personal property acquired with license revenue
 - Income from the sale, lease, rental of, granting rights to, or a fee for access to
 - real or personal property acquired or constructed with license revenue
 - a recreational opportunity, product, or commodity derived from real or personal property acquired, managed, maintained, or produced by using license revenue
 - Interest, dividends or other income earned on license revenues
 - Reimbursements for expenditures originally paid with license revenue
 - Payments received for services funded by license revenue
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What happens if a diversion of license fees occurs?

If a diversion of license fees occurs, the State/Territory becomes ineligible to participate under the Acts from the time the diversion is declared by the Director until:

- Adequate legislative prohibitions are in place to prevent diversion of license revenues
 - All license revenues or assets acquired with license revenues are restored, or an amount equal to the license revenue diverted or the current market value of assets diverted (whichever is greater) is returned and properly available for use for the administration of the State fish and wildlife agency
 - Federal funds obligated for projects approved prior to the date of diversion remain available for expenditure. However, the State may not make new obligations until the diversion status is resolved
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<p>Post Grant Responsibilities Monitoring Assent Legislation</p> <ul style="list-style-type: none">> State Executive Branch> State Legislative Branch> Agency Actions  <p>121</p>	<p>State executive branch actions:</p> <ul style="list-style-type: none">• Vehicle fleet plans and other equipment pools• Staff and services sharing• Transfer of management authority on property acquired with restricted funds• Directives to expend restricted funds on activities unrelated to the administration of the State's fish and wildlife agency <p>State legislative branch actions:</p> <ul style="list-style-type: none">• Legislation that transfers land or assets to control of another entity• Elements in the budget bill that mandate expenditures from restricted funds for activities unrelated to the administration of the State's fish and wildlife agency• Changes to the assent legislation <p>Agency actions</p> <ul style="list-style-type: none">• Law Enforcement• Parks• Environmental Protection• Nuisance animals• Agency central services
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Monitoring Assent Legislation and Diversion (522 FW 2.4)

State executive branch actions

- Vehicle fleet plans and other equipment pools
- Staff and services sharing
- Transfer of management authority on property acquired with restricted funds
- Directives to expend restricted funds on activities unrelated to the administration of the State's fish and wildlife agency

The State is responsible for monitoring actions that impact its compliance with the assent legislation requirement

State legislative branch actions

- Legislation that transfers land or assets to control of another entity
- Elements in the budget bill that mandate expenditures from restricted funds for activities unrelated to the administration of the State's fish and wildlife agency
- Changes to the assent legislation

Agency actions

- Law Enforcement
- Parks
- Environmental Protection
- Nuisance animals
- Agency central services

<p>Grants Management Process</p>  <p>4</p>	<p>Review and cover learning points.</p>
<p>Questions / Parking Lot</p>  <p>◆ Post Course Evaluation ◆ Certificates</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
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- ✓ 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
- ✓ States/Territories, to be eligible to participate in WR and SFR programs, MUST (1) pass and maintain assent legislation, (2) certify license holders, and (3) prohibit diversion of license fees

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TAB 12

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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

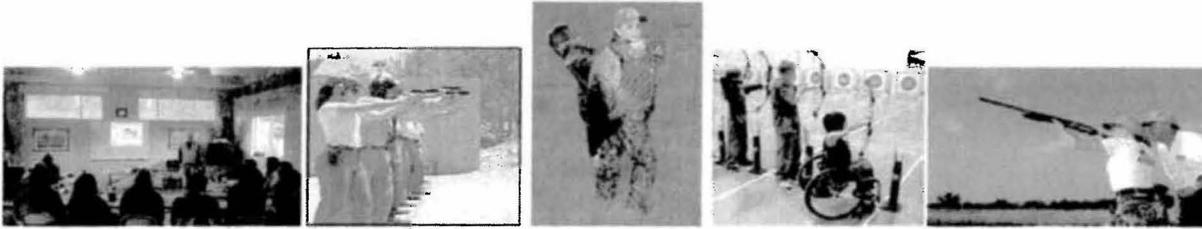
8. Special conditions or requirements:

- 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

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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:

<http://wsfrprograms.fws.gov>

**Hannibal Bolton,
Assistant Director,
Wildlife and Sport Fish Restoration Program
US Fish and Wildlife Service
202-208-7337**



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.