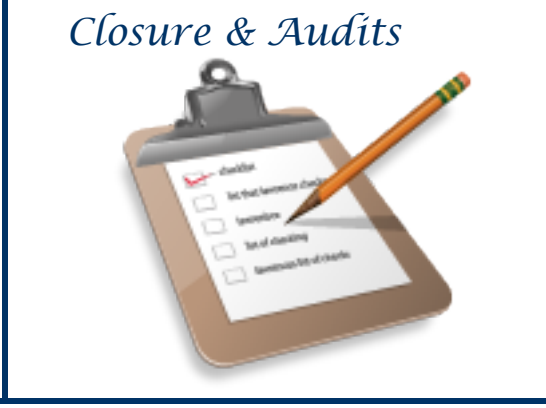
U.S. Fish & Wildlife Service

Wildlife and Sport Fish Restoration Program

Basic Grants Management

Course Workbook ~ 2015



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TAB 1

Basic Grants Management Course

Wildlife and Sport Fish Restoration Program
National Training Program
National Conservation Training Center
Shepherdstown, WV
April 27 – April 30, 2015

MONDAY

MORNING SESSION

8:30 a.m. Welcome/Introductions/Getting Acquainted

Review Agenda

Course Goals and Objectives

MORNING BREAK

MORNING SESSION (continued)

Grant Management Resources and Systems

Using iPads in Class

LUNCH

AFTERNOON SESSION

Understanding WSFR Grant Programs

AFTERNOON BREAK

AFTERNOON SESSION (continued)

Compliance

Review Day 1/Preview Day 2/Wrap-up

4:30 p.m. Adjourn

TUESDAY

MORNING SESSION
8:00 a.m. Review Day 1/Preview Day 2

Pre-Award

MORNING BREAK

MORNING SESSION (continued)

Pre-Award (Cont.)

LUNCH

AFTERNOON SESSION
Award

AFTERNOON BREAK

AFTERNOON SESSION (continued)
Award (continued)

Review Day 2/Preview Day 3/Wrap-up

4:30 p.m. Adjourn

WEDNESDAY

MORNING SESSION
8:00 a.m. Review Day 2/Preview Day 3

Guest Speaker from WSFR Headquarters

MORNING BREAK

MORNING SESSION (continued)

Practical Exercise Introduction and Team Assignments

LUNCH

AFTERNOON SESSION

Debrief Practical Exercise

AFTERNOON BREAK

AFTERNOON SESSION (continued)

Post-Award

Grant Closure

Review Day 3/Preview Day 4/Wrap-up

4:15 p.m. Adjourn

THURSDAY

MORNING SESSION
8:00 a.m. Review Day 3/Preview Day 4

Post-Award (Cont.)

Grant Closure

MORNING BREAK

MORNING SESSION (continued)

Case Study #1

Debrief Case Study #1

LUNCH

AFTERNOON SESSION

Case Study #2

Debrief Case Study #2

AFTERNOON BREAK

AFTERNOON SESSION (continued)

Case Study #3

Debrief Case Study #3

BGM Quiz Bowl I / Post Closure

	Round Table Discussion With Instructors
	Course Review/Post Test/Course Evaluation/Certificates
4:30 p.m.	Adjourn

FRIDAY

Depart NCTC

TAB 2

Goals and Objectives

Welcome to USFWS – Wildlife and Sport Fish Restoration Training Program. The goal of the 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 Federal Assistance grant programs.

The purpose of the **Basic Grants Management Course** is to provide a basic knowledge of Federal requirements to submit, review, approve, manage, and audit Federal Assistance grants.

Course Goal

More effective management of WSFR grants through:

partnering, knowledge, communication, consistency

Course Objectives

Upon completion of this course, the participant will be able to:

1. Describe the organization and functions of the WSFR.
2. Describe the WSFR grants and processes.
3. Describe the roles and responsibilities of Federal and State/Grantee partners in managing WSFR grants.
4. Process and manage a basic WSFR grant.
5. Use the FWS Manual and other guidance and information resources.
6. Build a network of professional grant management contacts.

Handouts:

- 2-1 E-Learning Evaluation Questions

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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 D ….Pittman 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 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)

TAB 3

Objectives:

1. Identify resources used in the grants management process.
2. Describe the information management systems used to track, account, and report on grants and their role in the grants management process.
3. Describe briefly new systems being implemented.

Handouts:

- None.

WSFR Systems and Resources

Wildlife and Sport Fish Restoration Website

The WSFR website provides information on grant programs administered by WSFR, apportionments and funding, competitive grant information as well as links to regional websites and contact information.

http://wsfrprograms.fws.gov/

Wildlife TRACS

Tracking and **R**eporting on **A**ctions for **C**onservation of **S**pecies (TRACS). TRACS is an online data management tool to facilitate WSFR tracking and reporting accomplishments related to Federal assistance grants. It is comprised of two parts: Data TRACS that stores information and a public viewer that displays information.

http://tracs.fws.gov/
https://tracs.fws.gov/wiki/

The Wildlife and Sport Fish Restoration Program Toolkit

The WSFR Toolkit is a collection of full text, searchable documents, fillable forms, and Internet links pertaining to the Service's WSFR grants.

http://fawiki.fws.gov/display/WTK/Toolkit

The Financial Assistance Wiki (FAWiki)

What is a Wiki? A Wiki is a website developed by many users providing content to develop a knowledgebase. In this instance, it is FWS Financial Assistance. The FA Wiki is a recently developed knowledge base built to contain FWS Financial Assistance policies, laws, rules, guidance, and best practices for individuals who have grant program and/or cooperative agreement management or grantee/recipient responsibilities. It provides a lasting, accessible knowledge base of guidance for our respective Financial Assistance managers, specialists, and award recipients.

http://fawiki.fws.gov/

WSFR Systems and Resources (cont.)

Financial Business Management System (FBMS)

The Department of the Interior has implemented the Financial and Business Management System (FBMS). FBMS provides Interior with standard business practices supported by a single, integrated finance and administrative system for all Bureaus. FBMS is an integrated suite of software applications that helps Interior to manage a variety of business functions, including:

- Budget Formulation
- Budget Execution
- Core Financials
- Personal, Real, and Fleet Property
- Acquisition
- Travel
- **Financial Assistance**
- Enterprise Management Information

Prism Grants

The Financial Assistance component of the new system is performed by Prism Grants. The system follows the grants management life cycle, Pre-Award, Award, Post-Award and Close-out.

- Prism Grants accessed through FBMS Portal
- Real time Integrated with FBMS Financial System
- Interface with grants.gov
- FBMS interfaces with ASAP
- Single process and system for all DOI Bureaus
- Financial and performance reports entered online

WSFR Systems and Resources (cont.)

Grants.gov

Grants.gov is a government wide system that was developed as a result of P.L. 106-107. It is a storefront for all Federal grant opportunities. Federal agencies are required to post grant opportunities and packages for discretionary grant programs and may post opportunities and packages for mandatory grant programs.

http://www.grants.gov/

ASAP

As part of the FBMS implementation WSFR began using the Automated Standard Application for Payments (ASAP) to provide reimbursement to grantees.

ASAP is managed by U.S. Treasury – Financial Management Service (FMS). It is a centralized payment system that makes payments for FMS and other Federal agencies.

http://fms.treas.gov/asap/

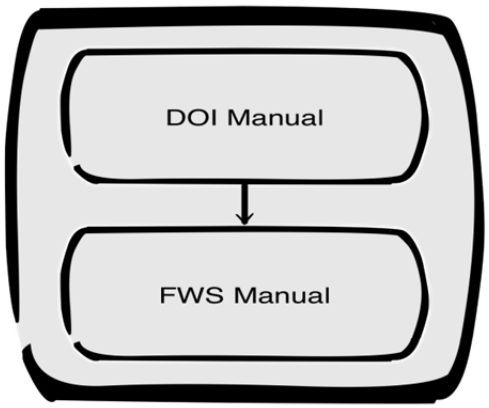
WSFR Facebook

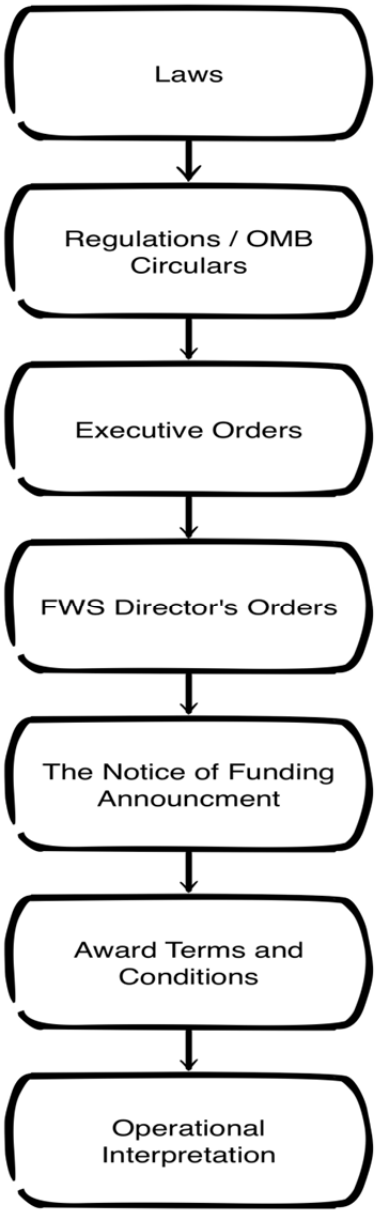
http://www.facebook.com/USFWSWSFR

Twitter

http://twitter.com/usfws_wsfr

The Guidance Hierarchy





Governing and Administrative Regulations

All FWS administered grants and cooperative agreements, approved or amended on or after December 26, 2014, are governed by 2 CFR Part 200 – referred to as "The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards." Previous to this date, such FWS grants and cooperative agreements were governed by 43 CFR Part 12 – referred to as "The Common Rule." Additionally, other core award management regulations are used in managing specific activities related to Financial Assistance.

Review each of the below items and briefly describe what type of guidance is provided:

1. Wildlife Restoration Act

   Pittman Robertson (Wildlife Restoration) Act

2. 2 CFR Part 200

   Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards

3. 50 CFR Part 80

   Administrative Requirements Pittman-Robertson Wildlife Restoration and Dingell-Johnson Sport Fish Restoration

4. Presidential Executive Order 13186

   Responsibilities of Federal agencies to protect migratory birds

5. USFWS Service Manual Part 517 Chapter 7

   Sport Fish Restoration – Recreational Boating Access Subprogram

6. USFWS Service Manual Part 520 Chapter 21

   Allowable recreational activities and related facilities on lands acquired with Federal Assistance funds

Training Opportunities

The Wildlife Sport Fish Restoration Program offers a wide range of training opportunities. The training is offered tuition free to FWS staff and our State partners. Training Opportunities are announced on the WSFR Website, FA Wiki, TRACS Wiki and through email from the Fish and Wildlife Service Regional Office.

Course Catalog

- E-learning
  - Introduction to WSFR Programs
  - The Grant Management Process

- Basic Grants Management (BGM)
  - Instructor-led course (4 days)
  - Recommended within first 12 months
  - 2 annual course offerings
  - All WSFR Staff, State Coordinators and key State Fiscal Leads

- Advanced Grants Management (AGM)
  - Instructor-led course (4 days)
  - Recommended with first 2 years
  - BGM is a prerequisite
  - 1-2 Offerings a year
  - All WSFR Staff, State Coordinators and key State Fiscal Leads

- Project Leaders Course (PLC)
  - Instructor-led course (2 days)
  - By request of State
  - Hosted at State facility
  - Scheduling is conducted each July for the following year
  - State project leads

- Lands Course (LC)
  - Instructor-led course (3 days)
  - 1 course offering a year or WSFR regional office request
  - WSFR Staff, State Coordinators and realty specialists
  - Focused on real property acquisition, use, management and disposal

- TRACS Training
  - Instructor-led course at various locations
  - Virtual instructor-led courses
  - E-learning offerings
    - Downloadable distance learning material
    - Lunch and learns
  - All TRACS users

Learning Points

- ✓ WSFR Toolkit contains searchable documents, fillable forms and Internet links relating to WSFR grants.
- ✓ When citing legal or authoritative references for WSFR grant management issues, questions, or processes, always use the appropriate original document title as your authoritative reference. Do not cite the WSFR Toolkit as the authoritative reference.
- ✓ Grants.gov is a government wide initiative to allow organizations to find and apply for federal grants.
- ✓ FBMS is an Enterprise Resource Planning (ERP) Software package that integrates the Department of Interior onto a single information system to manage a variety of business functions (including Financial Assistance) that has been implemented by the Department and all Bureaus.
- ✓ Prism is used to create and post announcements to grants.gov, download applications from grants.gov, manage applications received, award, track and report on grants.
- ✓ ASAP is the payment system used to electronically reimburse grantees for approved grant expenditures.
- ✓ All FWS administered grants and cooperative agreements, approved or amended on or after December 26, 2014, are governed by 2 CFR Part 200 – referred to as “The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.”

TAB 4

Objectives:

1. Explain the requirements and/or mandates relating to Wildlife and Sport Fish Restoration Program managed grant programs.

2. Recognize the need for monitoring legislation affecting the State Fish and Wildlife Agency

3. Describe the consequences of not having or removing assent legislation and the term diversion

Handouts:

- 4-1 Sport Fish Restoration Flow of Funds
- 4-3 Wildlife Restoration Flow of Funds
- 4-4 State Wildlife Grants Apportionments
- 4-5 Grant Program Quick Reference Sheets

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

The State assents to the provisions of the act of congress entitled "An Act to Provide that the United States Shall Aid the States in Wildlife Restoration Projects, and for Other Purposes", 16 U.S.C. 9 669 et seq., and the director of the fish and wildlife agency is authorized to perform those acts that may be necessary to the conduct and establishment of cooperative wildlife restoration projects, as defined in that act of congress, in compliance with that act and with rules and regulations promulgated by the secretary of the interior under that act; and no funds accruing to the State from license fees or interest from license fee accounts paid by hunters shall be diverted for any other purpose than the administration of the division of fish and wildlife.

Notes:

	Assent Legislation
50 CFR 80.10	Administrative Requirements Federal Aid in Fish and Federal Aid in Wildlife Restoration
	Sport Fish Restoration and Wildlife Restoration Acts

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).
- 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
	Sport Fish Restoration and Wildlife Restoration Acts
522 FW 20	Loss of Control and Disposal of Real Property

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

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

Monitoring Assent Legislation and Diversion

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

Exercise: WSFR Grant Program Overview

Using your available resources, please answer the questions below relating to each grant program.

Program: _____

1. Who are the eligible grantees?

State/Territory Fish and Wildlife agencies who follow 50 CFR 80.10

(assent leg; pass laws; license revenue control and used only by FW agency)

2. What types of project are eligible?

50 CFR 80.50-51. Ineligible activities include (1) Law Enforcement; (2)

Public Relations; (3) Revenue producing activities

3. How are the funds distributed?

WR – 50% land/water area + 50% certified hunting licenses

SFR – 40% land/water(incl coastal) area + 60& certified fishing licenses

SWG – 1/3 land/water area + 2/3 state population

4. Does the program have a matching requirement, if so what is the level of match required?

WR/SFR – 75% federal / 25% match

SWG – 65% federal / 35% match or 75%/25% for planning grants

5. Are there any special requirements, conditions or mandates?

50 CFR 80.10-12

Must assent to provisions of Acts; maintain assent legislation; ensure

License revenue is controlled and used only for administration of FW agency

Learning Points

- ✓ WR and SFR Acts contain spending mandates, limits, regulations, and requirements for making funds available—based on formulas and/or national competition—to grant programs

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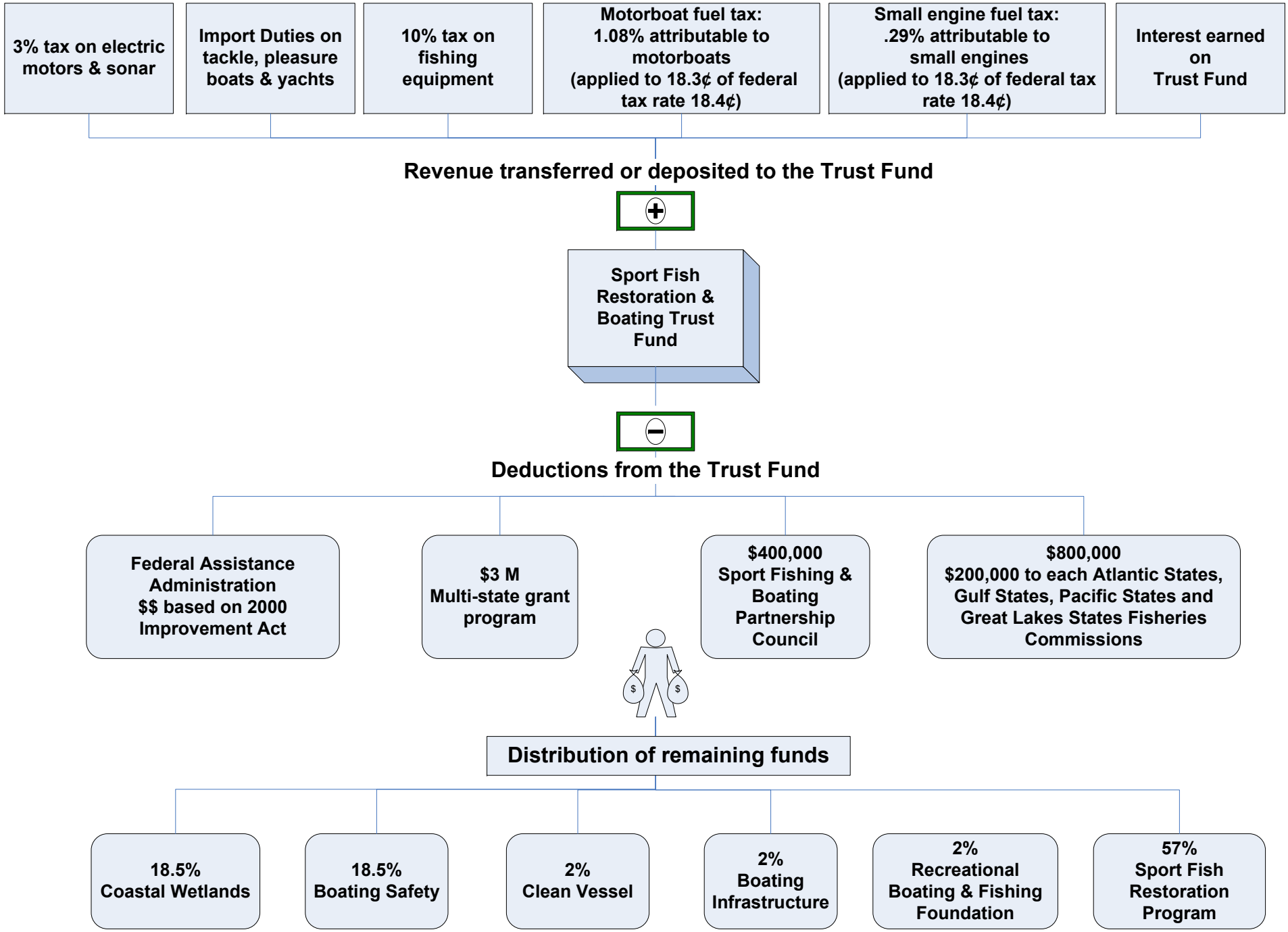
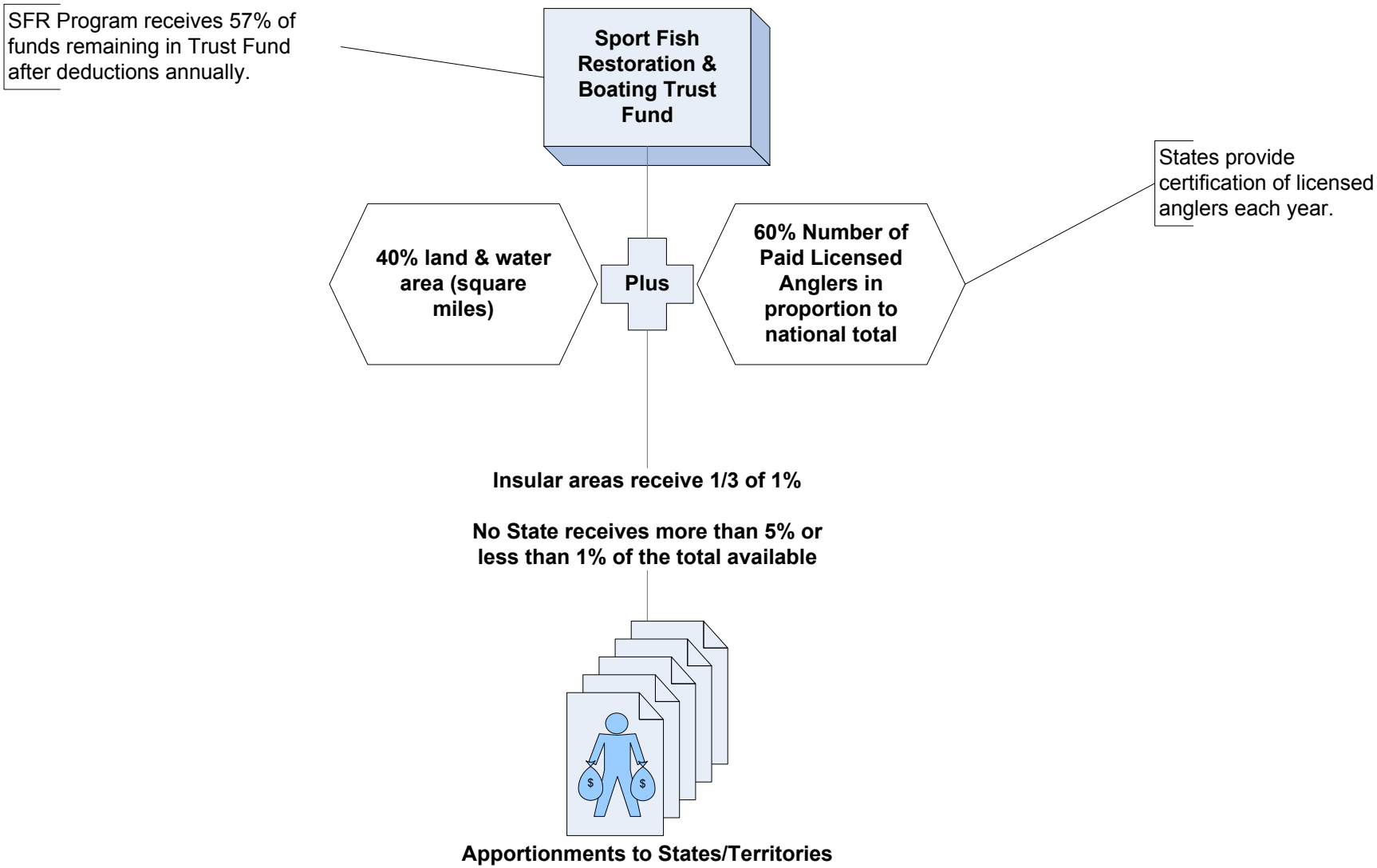
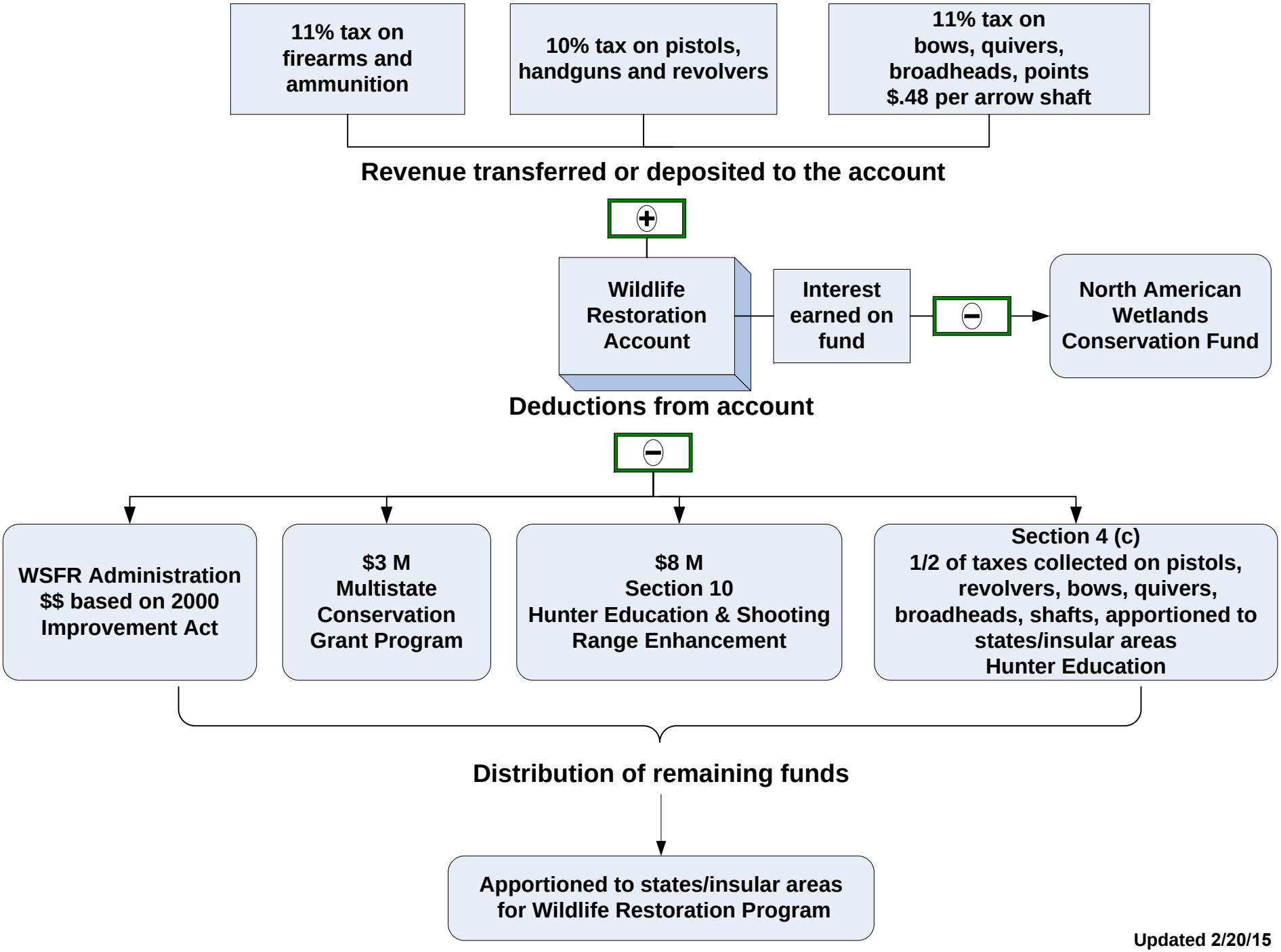
Sport Fish Restoration Act



Sport Fish Restoration Program
Apportionment Formula



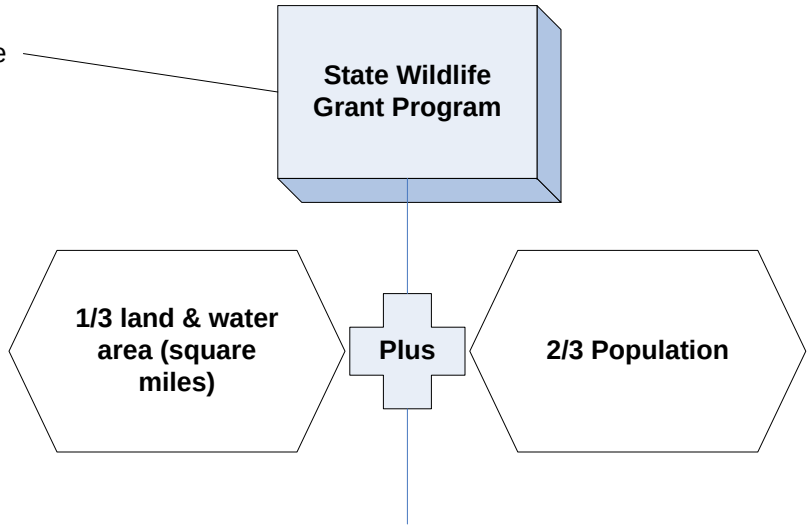
Wildlife Restoration Act



Updated 2/20/15

State Wildlife Grant Program
Apportionment Formula

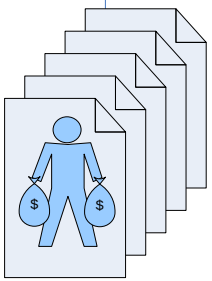
Funds appropriated annually less amount allocated to Tribal Wildlife Grants and 3% for Administration



DC and PR receive 1/2 of 1%

Guam, American Samoa, CNMI, VI receive ¼ of 1%

No State receives more than 5% or less than 1% of the total available



Apportionments to States

BOATING INFRASTRUCTURE GRANTS

BIG FACT SHEET
UPDATED FEBRUARY 2015

Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program

DISTRIBUTION METHOD

Non-competitive
Provides $100,000 per year to each state

Competitive
Nationwide based on ranking criteria

Governing Guidance

- Sport Fishing and Boating Safety Act of 1998 (Enabling Legislation)
- 50 CFR 86
- 2 CFR 200
- USFWS Manual Chapters

ELIGIBLE GRANTEES: GOVERNOR DESIGNATED AGENCIES OF STATES AND TERRITORIES

Purpose Provide grants to States and Territories to construct, renovate, or maintain tie-up facilities for nontrailerable, transient vessels twenty-six feet or more in length

ELIGIBLE PROJECTS

→ Construction, renovation, and maintenance of boating infrastructure tie-up facilities located on navigable waters and solely for nontrailerable, transient vessels twenty six feet or more in length

→ Produce information and education materials such as charts, cruising guides, and brochures

SOURCE OF FUNDS

2% of amount in Sport Fish Restoration & Boating Trust Fund.

Includes Revenues from:

- **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**

MATCHING REQUIREMENTS AND LIMITATIONS ON AVAILABILITY OF FUNDS

- Maximum amount of federal share for the Tier II (Competitive) is $1,500,000
- Funds are available from time of obligation until grant closing. Unspent funds are added to new funds in the subsequent year
- Requires minimum of 25% matching funds, federal share not to exceed 75% total costs
- Funds not obligated within three years revert and are made available to the U.S. Coast Guard for Boating Safety

SPECIAL CONDITIONS OR REQUIREMENTS

* Facilities constructed, operated, or maintained with grant funds must offer reasonable access for all nontrailerable, transient vessels for the full period of their useful life
* Facilities must be open during reasonable time periods
* Charge equitable fees based on prevailing rate in area
* New construction and renovations must be designed to last at least twenty years

For More Information: http://wsfrprograms.fws.gov/Subpages/GrantPrograms/BIG/BIG.htm

CLEAN VESSEL ACT

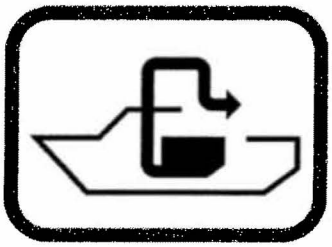
Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program

DISTRIBUTION METHOD

Nationally competitive based on ranking criteria

Governing Guidance

- Clean Vessel Act of 1992, Amendment to the Sport Fish Restoration Act (Enabling Legislation)
- 50 CFR 85
- 2 CFR 200
- USFWS Manual Chapters



ELIGIBLE GRANTEES: GOVERNOR DESIGNATED AGENCIES OF STATES AND TERRITORIES

Purpose Provide grants to States and Territories for pumpout stations and waste reception facilities to safely dispose of recreational boater sewage.

ELIGIBLE PROJECTS

Coastal States:

→ Identify operational pumpout and dump stations

→ Survey of recreational vessels in coastal waters with holding tanks/portable toilets

→ Developing list of operational pumpout & dump stations and plans for construction/renovation of pumpout & dump stations in coastal zones

All States:

→ Construction, renovation, operation, and maintenance of pumpout & dump stations including floating restrooms used solely by boaters

→ Education / information programs to educate / inform recreational boaters about environmental pollution resulting from sewage discharges from vessels

→ Location of pump out & dump stations

→ Activities involved with holding, transporting, and getting sewage treatment facilities to accept sewage

SOURCE OF FUNDS

2% of the amount in Sport Fish Restoration & Boating Trust Fund

Includes revenues from:

- **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**

MATCHING REQUIREMENTS AND LIMITATIONS ON AVAILABILITY OF FUNDS

- Must be spent on needs identified in the Act
- Require 25% match, Federal share not to exceed 75% of total costs
- Unspent funds are returned to the CVA Program to be awarded in addition to new funds in the subsequent year
- Funds not obligated three years from date of availability are reverted and made available to the U.S. Coast Guard for use on Boating Safety

SPECIAL CONDITIONS OR REQUIREMENTS

* Requires each coastal State to develop and submit plan for construction and/or renovation of facilities within coastal zone
* Only equitable fees may be charged
* Facilities constructed, operated, or maintained with grant funds must be accessible to public for the full period of their useful life
* CVA signage must be displayed and visible to boaters from the water

For More Information: http://wsfrprograms.fws.gov/Subpages/GrantPrograms/CVA/CVA.htm

ES FACT SHEET
UPDATED FEBRUARY 2015

ENDANGERED SPECIES

Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program

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
Awarded based on national competition

Habitat Conservation Plan Land Acquisition
Awarded based on National competition

Recovery Land Acquisition Grants
Awarded based on Regional competition

Governing Guidance

- Endangered Species Act of 1973 —Section 6 (Enabling Legislation)
- 2 CFR 200
- Notice of Availability of Federal Assistance for Section 6 ESA Grant Program
- USFWS Manual Chapters

ELIGIBLE GRANTEES: ALL STATE AND TERRITORY AGENCIES THAT HAVE ENTERED INTO A COOPERATIVE AGREEMENT WITH THE SECRETARY OF THE INTERIOR

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

ELIGIBLE PROJECTS

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

SOURCE OF FUNDS

Cooperative Endangered Species Conservation Fund

MATCHING REQUIREMENTS AND 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 Northern Mariana Islands

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

For More Information: http://www.fws.gov/endangered/grants/index.html

LANDOWNER INCENTIVE PROGRAM

WSFR LIP FACT SHEET
UPDATED OCTOBER 2014

Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program

DISTRIBUTION METHOD

TIER ONE

For eligible projects meeting Tier 1 criteria

- Each state receives $180,000
- Territories and DC receive $75,000

TIER TWO

Nationally competitive based on criteria

Governing Guidance

- Annual Appropriations Act
- USFWS Service Manual
- 43 CFR Part 12
- Landowner Incentive Grant Program Implementation Guidelines

ELIGIBLE GRANTEES: ALL STATE AND TERRITORY AGENCIES

WITH PRIMARY RESPONSIBILITY FOR FISH AND WILDLIFE

Purpose Grants to States for pumpout stations and waste reception facilities to dispose of recreational boater sewage.

ELIGIBLE PROJECTS

Tier One Grants:

→ 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 Two Grants:

→ Tier Two 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 Two grants to expand existing landowner incentive programs or those created under Tier One

SOURCE OF FUNDS

Land & Water Conservation Fund (annual appropriation).

Includes revenues from:

- **Outer Continental Shelf Oil & Gas**

MATCHING REQUIREMENTS AND LIMITATIONS ON AVAILABILITY OF FUNDS

- Provides up to seventy-five percent federal funding, twenty-five percent required from non-federal sources
- One hundred percent 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

SPECIAL CONDITIONS OR REQUIREMENTS Submit proposals meeting eligibility requirements for Tier One and/or Tier Two funding

For More Information: http://wsfrprograms.fws.gov/Subpages/GrantPrograms/LIP/LIP.htm

MULTI-STATE GRANTS

Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program

DISTRIBUTION METHOD

Awarded through cooperative process with Association of Fish and Wildlife Agencies (AFWA)

Governing Guidance

- Wildlife and Sport Fish Restoration Programs Act of 2000, amended Sport Fish Restoration and Wildlife Restoration (Enabling Legislation)
- 50 CFR 80
- 2 CFR 200
- USFWS Manual Chapters

ELIGIBLE GRANTEES

→ States or Groups 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

Purpose

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

ELIGIBLE PROJECTS

→ Sports fisheries, wildlife management, research projects, boating access development, hunter safety, aquatic education, habitat improvements, and other projects consistent with the Wildlife and Sport Fish Restoration Acts

→ Projects must benefit at least twenty-six States or a majority of States in any USFWS or AFWA Region

SOURCE OF FUNDS

Sport Fish Restoration & Boating Trust Fund, three million dollars

Includes Revenues from:

- **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, three million dollars

Includes Revenues from:

- **Excise taxes on sporting arms and ammunitions (firearms, ammunitions, pistols, handguns, revolvers, bows, archery, and arrow components).**
- **Interest earned on Trust Fund**

MATCHING REQUIREMENTS AND LIMITATIONS

- Six million dollars available annually
- Funds available to be obligated for two years
- Funds not obligated within two years revert back to both the SFR and WR programs for use by the States
- Once obligated, funds remain available until the grant closing date. Any unspent funds at closing are returned to the multi-state program to be awarded in the subsequent year, in addition to new funds
- No matching requirements

SPECIAL CONDITIONS OR REQUIREMENTS

* Applicants must satisfy all standard Federal Application and assurance requirements as well as standards set by AFWA
* Non-governmental applications 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

For More Information: http://wsfrprograms.fws.gov/Subpages/GrantPrograms/MultiState/MS.htm

NATIONAL COASTAL WETLANDS

NCW FACT SHEET
UPDATED FEBRUARY 2015

Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program

DISTRIBUTION METHOD

Nationally competitive to only coastal States

Governing Guidance

- Coastal Wetlands Planning, Protection, and Restoration Act of 1991 (Enabling Legislation)
- 50 CFR 84
- 2 CFR 200
- USFWS Manual Chapters

ELIGIBLE GRANTEES: ANY AGENCY OR AGENCIES OF A COASTAL STATE DESIGNATED BY THE GOVERNOR AS HAVING RESPONSIBILITY FOR COASTAL WETLANDS

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

ELIGIBLE PROJECTS

→ Acquisition of real property interest in coastal land 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

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

Includes revenues from:

- **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**

MATCHING REQUIREMENTS AND LIMITATIONS

- 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, Northern Mariana Islands and Virgin Islands

SPECIAL CONDITIONS OR REQUIREMENTS

* Designated agencies of coastal States submit eligible proposals
* Grantees must provide non-federal matching funds

For More Information: http://wsfrprograms.fws.gov/Subpages/GrantPrograms/CW/CW.htm

SPORT FISH RESTORATION PROGRAM

SFR FACT SHEET
UPDATED FEBRUARY 2015

Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program

DISTRIBUTION METHOD

Apportioned based on formula:
60% license sales +
40% land/water area

Governing Guidance

- Sport Fish Restoration Act, also known as Dingell-Johnson Act of 1950 (Enabling Legislation)
- 50 CFR 80
- 2 CFR 200
- USFWS Manual Chapters

ELIGIBLE GRANTEES: ALL STATE/TERRITORY FISH AND WILDLIFE AGENCIES WITH ASSENT LEGISLATION

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

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

SOURCE OF FUNDS

57% of amount in Sport Fish Restoration & Boating Trust Fund

Includes Revenues from:

- **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**

MATCHING REQUIREMENTS AND LIMITATIONS ON AVAILABILITY OF FUNDS

- Provides reimbursement of up to 75% federal funding, 25% required from non-federal sources
- 100% federal funding for Puerto Rico, Virgin Islands, Guam, American Samoa, and Northern Mariana Islands
- Annual apportionment available for obligation to grants for two years before they revert. Reverted funds are reapportioned to the Sport Fish Restoration program during subsequent year
- Up to 15% of annual apportionment may be allocated for aquatic education (no limit for PR, DC, CNMI, Guam, VI, and American Samoa)
- At least 15% of annual apportionment must be allocated to the boating access subprogram (each USFWS region's boating access allocation must be at least 15% during each 5 year period. If not, those states below 15% revert funds).
- 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 in fiscal year 1988

SPECIAL CONDITIONS OR REQUIREMENTS

* State Fish and Wildlife Agencies must pass and maintain assent legislation
* Submit annual license certifications
* Ineligible projects include law enforcement, public relations, and revenue producing activities

For More Information: http://wsfrprograms.fws.gov/Subpages/GrantPrograms/SFR/SFR.htm

STATE WILDLIFE GRANTS

U.S. Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program

DISTRIBUTION METHOD

Competitive
Nationally competitive based on ranking criteria

Noncompetitive—Formula
Apportioned based on formula:
1/3 land area + 2/3 population

Governing Guidance

- Annual Interior Appropriations Acts (Enabling Legislation)
- 2 CFR 200
- State Wildlife Grant (SWG) Program Implementation Guidelines (see http://fawiki.fws.gov/)
- USFWS Manual Chapter (http://www.fws.gov/policy/517fw10.pdf)

ELIGIBLE GRANTEES

→ ALL STATE AND TERRITORY FISH AND WILDLIFE AGENCIES
→ REGIONAL ASSOCIATIONS OF FISH AND WILDLIFE AGENCIES

Purpose

Provide funds for development and implementation of programs that benefit sensitive and imperiled wildlife and their habitats, especially species not hunted or fished (referred to as "species of greatest conservation need")

ELIGIBLE PROJECTS

Conservation actions such as research, surveys, species and habitat management, and monitoring that are identified in an approved State Wildlife Action Plan; or updating, revising, or modifying a State's Plan; or addressing approved "emerging issues"

SOURCE OF FUNDS

Land and Water Conservation Fund (annual appropriations)

Includes revenues from:

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

MATCHING REQUIREMENTS AND LIMITATIONS ON AVAILABILITY OF FUNDS

- Annual appropriation available for two years
- Formula planning grants require 25% matching, federal share not to exceed 75% of total costs
- Formula implementation grants require 35% matching, federal share not to exceed 65% of total costs
- Competitive grants require 25% matching, federal share not to exceed 75% of total costs
- 100% federal funds for Virgin Islands, Guam, American Samoa and Northern Mariana Islands

SPECIAL CONDITIONS OR REQUIREMENTS

* State/Territory must develop or commit to develop a comprehensive wildlife conservation plan by October 1, 2005.
* Approved plans must be reviewed and updated at maximum intervals of ten years.

For More Information: http://wsfrprograms.fws.gov/Subpages/GrantPrograms/SWG/SWG.htm

TRIBAL LANDOWNER INCENTIVE GRANTS

WSFR TLIP FACT SHEET
UPDATED OCTOBER 2014

Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program

WILDLIFE & SPORT FISH RESTORATION

DISTRIBUTION METHOD

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

Governing Guidance

- Annual Appropriations Act (enabling legislation)
- USFWS Manual Chapters
- Tribal Landowner Incentive Program Implementation Guidelines
- 43 CFR Part 12

ELIGIBLE GRANTEES: FEDERALLY RECOGNIZED TRIBES IN UNITED STATES

INCLUDING FEDERALLY RECOGNIZED TRIBES, PUEBLOS, RANCHEROS, AND ALASKA NATIVE VILLAGES OR TRADITIONAL COUNCILS AS DEFINED BY THE ALASKA NATIVE CLAIMS SETTLEMENT ACT

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

ELIGIBLE PROJECTS

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

SOURCE OF FUNDS

Land and Water Conservation Fund (annual appropriation).

Includes revenues from:

- **Outer continental shelf oil & gas**

NO CURRENT APPROPRIATIONS

MATCHING REQUIREMENTS AND LIMITATIONS ON AVAILABILITY OF FUNDS

- 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
- Cost reimbursement
- Provides up to seventy-five percent federal funding, twenty-five percent required from non-federal sources

SPECIAL CONDITIONS OR REQUIREMENTS

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

For More Information: http://wsfrprograms.fws.gov/Subpages/GrantPrograms/TLIP/TLIP.htm

TRIBAL WILDLIFE GRANTS

Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program

DISTRIBUTION METHOD

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

Governing Guidance

- Annual Appropriations Act (Enabling Legislation)
- Tribal Wildlife Grant Program Implementation Guidelines
- 2 CFR 200
- USFWS Manual Chapters

ELIGIBLE GRANTEES: FEDERALLY RECOGNIZED TRIBES IN UNITED STATES INCLUDING FEDERALLY RECOGNIZED TRIBES, PUEBLOS, RANCHEROS, AND ALASKA NATIVE VILLAGES OR TRADITIONAL COUNCILS AS DEFINED BY THE ALASKA NATIVE CLAIMS SETTLEMENT ACT

Purpose

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

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/or 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.

SOURCE OF FUNDS

Land and Water Conservation Fund (annual appropriation).

Includes Revenues from:

- **Outer continental shelf oil and gas**
- **General treasury since 2006**

MATCHING REQUIREMENTS AND LIMITATIONS ON AVAILABILITY OF FUNDS

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

SPECIAL CONDITIONS OR REQUIREMENTS

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

For More Information: http://wsfrprograms.fws.gov/Subpages/GrantPrograms/TWG/TWG.htm

WILDLIFE RESTORATION PROGRAM

WR FACT SHEET
UPDATED FEBRUARY 2015

Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program

DISTRIBUTION METHOD

Apportioned based on formula:
50% license sales +
50% land/water area

Governing Guidance

- Wildlife Restoration Act, also known as Pittman-Roberson Act of 1937 (Enabling Legislation)
- 50 CFR 80
- 2 CFR 200
- USFWS Manual Chapters

ELIGIBLE GRANTEES: ALL STATE/TERRITORY FISH AND WILDLIFE AGENCIES WITH ASSENT LEGISLATION

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

ELIGIBLE PROJECTS

Selection, restoration, rehabilitation and improvement of areas of land or water adaptable as feeding, resting, or breeding places for wildlife

SOURCE OF FUNDS

Wildlife Restoration Trust Fund

Includes Revenues from:

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

MATCHING REQUIREMENTS AND LIMITATIONS ON AVAILABILITY OF FUNDS

- Provides reimbursement of up to 75% federal funding, 25% required from non-federal sources
- 100% federal funding for Puerto Rico, Virgin Islands, Guam, American Samoa, and Northern Mariana Islands
- Annual apportionment available for two years before it reverts
- Reverted funds 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 (eight million dollars 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 one year

SPECIAL CONDITIONS OR REQUIREMENTS

* State Fish and Wildlife Agencies must pass and maintain assent legislation
* Submit annual license certification
* Ineligible projects include law enforcement, public relations, and revenue producing activities

For More Information: http://wsfrprograms.fws.gov/Subpages/GrantPrograms/WR/WR.htm

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TAB 5

Compliance

Objectives:

1. Review and determine Federal compliance issues and general award administrative requirements.
2. Identify and discuss specific compliance documentation requirements.
3. Explain the purposes and general requirements of the Statement of Assurances.
4. Understand the NEPA documentation process.
5. Identify the issues that prevent using Categorical Exclusions.
6. Determine the information needed to evaluate the effect on Listed, Proposed to be listed, Candidate Species and/or Critical Habitat.
7. Discuss the importance of this information in the Section 7 evaluation process.
8. Review the National Historic Preservation Act compliance requirements.
9. Discuss various program/project compliance requirements.

Handouts:

- 5-1 NEPA Process and Documentation
- 5-3 Section 7 ESA Compliance Process
- 5-5 Appendix 2: Categorical Exclusions and Extraordinary Circumstances
- 5-7 FAPO: Effectively Managing the Section 106 Process
- 5-13 National Historic Register APE and Eligibility
- 5-17 State NEPA Documentation Example
- 5-19 State Section 7 Documentation Example

Program Specific Compliance Requirements

Each federal financial assistance (FA) program has specific compliance and eligibility requirements in its enabling legislation or funding announcement.

- Purpose of the program
- Eligible awardees
- Eligible / ineligible projects and activities
- spending mandates, matching requirements, funding limitations
- Special conditions
- Governing guidance (CFR, rules, etc.)

Program specified compliance may be found in the program's enabling legislation or funding announcement.

Notes:

Statement of Assurances

	Exercise: Statement of Assurances

(**Toolkit > Forms**).

1. Read the Statement of Assurance that is assigned to your group and be prepared to give a one-sentence summary.

   SF-424D (Construction) 1, 2, 3, 4, 6, 10, 15, 17, 18.

2. What happens if the Awardee does not comply with the laws or regulations listed on the Statement of Assurances?

   Funding would cease, expenditures would not be reimbursed, future financial assistance funding will be at risk, audit findings.

Notes:

National Environmental Policy Act

The purpose of the NEPA process is to consider detailed information concerning every significant environmental effect on the human environment. Additionally, the process ensures the public plays a role in both the decision-making process and the decision implementation.

Complying with the NEPA process is relatively simple and unimposing for the majority of work proposed under awards administered by USFWS. However, the process does require that specific steps be followed and documented to support conclusions about how the federal action will affect the human environment.

The Human Environment is the natural and physical environment and the relationship of people with that environment

The general flow for documenting a NEPA decision is depicted on the *NEPA Process & Documentation* (Handout **BFA 5-3**). Working through the NEPA decision making process requires evaluating several factors before implementing federally-funded 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 requirement #11 on SF424B and #15 on SF424D

516 DM 8 | 43 CFR 46

Exercise: Categorical Exclusions

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.

Section 7 of the Endangered Species Act

Federally-funded actions involving listed, proposed, and candidate species will promote the conservation of those species to the greatest extent practical under Federal law.

- 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—using the best scientific and commercial data available—must insure that any action they authorize, fund, or carry out is not likely to
- Jeopardize a listed, proposed, or candidate species.
- Adversely modify designated critical habitat.

> An Action includes activities or programs of any kind authorized, funded, or carried out, in whole or in part, by Federal agencies in the United States or upon the high seas.
>
> **-50 CFR 402.02**

Listed = listed as an ES. Proposed = formally proposed in Fed Reg for ES

Candidate = Service identified species to be proposed for listing as ES.

How Does USFWS Comply with Section 7 of ESA?

Approve only awards that meet conditions.

- Identify species
- Identify actions and location
- Evaluation of effects: by FWS Ecological Services
- No effect
- May affect
- Not likely to adversely affect
- Is likely to adversely affect

Section 7 compliance requirement #11 on SF424B and #15 on SF424D

Make a Recommendation/Determination

No Species Present

- Nature of work not on the ground.
- There are no species in the location of groundwork; work is non-destructive. If work is destructive add caveat that work will stop if endangered species/habitat are discovered.

Species Present:

Work in area with potential for Endangered Species.

- **No Effect:** Activity does not / will not interfere within particular time/season/habitat.
- **Is Not Likely to Adversely Affect:** A Take is unlikely. Describe possible effects, and ways to avoid take.
- **Is Likely to Adversely Affect:** A Take is likely. Formal consultation with ES required.

A **Take** is to "harass, harm, pursue, hunt, shoot, wound, kill, trap, capture, collect, or to attempt to engage in any such conduct".

Dealing with a "Likely to Adversely Affect" Determination

- Modify the proposal by changing actions, locations, timing, etc.
- Description of how the Take will be avoided must be thoroughly documented in proposal.
- Elevate high-risk project to Ecological Services Field Office for review and possible formal consultation.

Avoid Section 7 Pitfalls!

- Consider potential effects during the development of the proposal.
- Provide separate information for each different action and species where there are different recommendations.

National Historic Preservation Act

Section 106 of the National Historic Preservation Act requires federal agencies to account for undertakings on historic properties.

The Section 106 process is

- Consultation with a State's Historic Preservation Office (SHPO) and/or Tribal Historic Preservation Office (THPO).
- Required if the project/action is an undertaking with potential to cause effects on 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"?

Any project, activity, or program funded in whole or in part by a Federal agency, including those (1) carried out by or on behalf of a Federal agency, (2) carried out with Federal financial assistance, or (3) requiring a Federal permit, license, or approval.

What is the Service's Responsibility?

Program Offices consult with their Regional Historic Preservation Officer, who may, depending on the activity, work with the appropriate SHPO/THPO.

What is SHPO/THPO's Responsibility?

Provide to the Service a written response indicating (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 resolve adverse effects.

Section 106 compliance requirement #13 on SF424B and #17 on SF424D

Awardee assists Awarding agency in compliance of this Act (see SoA)

National Historic Preservation Act | 36 CFR 800

Historic and Cultural Preservation

	Exercise: Reviewing Undertakings for Adverse Effects

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:

Additional Project Dependent Compliance

The work being performed in the award or the project type may have specific project-dependent compliance that must be considered and documented.

- Permits
- Engineering Diagrams
- Appraisals
- Third Party Agreements
- Intergovernmental Review of Federal Programs
- EO 12372
- State Single Point of Contact
- www.whitehouse.gov/omb/grants_spoc
- Lobbying

Disclosure of Lobbying Activities (Form SF-LLL)

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 influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the Federal contract, grant, loan, or cooperative agreement (currently being submitted), the grantee must complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

Learning Points

- ✓ Compliance requirements include administrative, environmental, historical, cultural and non-discrimination.
- ✓ Compliance requirements are found in the enabling legislation, governing program guidance, administrative requirements and the Service Manual Chapters.
- ✓ The Statement of Assurances documents the Recipient's acceptance of the compliance requirements listed on the assurance form.
- ✓ Compliance requirements will vary depending upon the project type.
- ✓ The NEPA process assesses 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 NEPA 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 NEPA documentation process.
- ✓ The NEPA process requires documenting the effect a project has on endangered species.
- ✓ The Section 7 process supports the NEPA decision.
- ✓ National Historic Preservation Act requires federal agencies to take into account the effects of their undertakings on historic properties.

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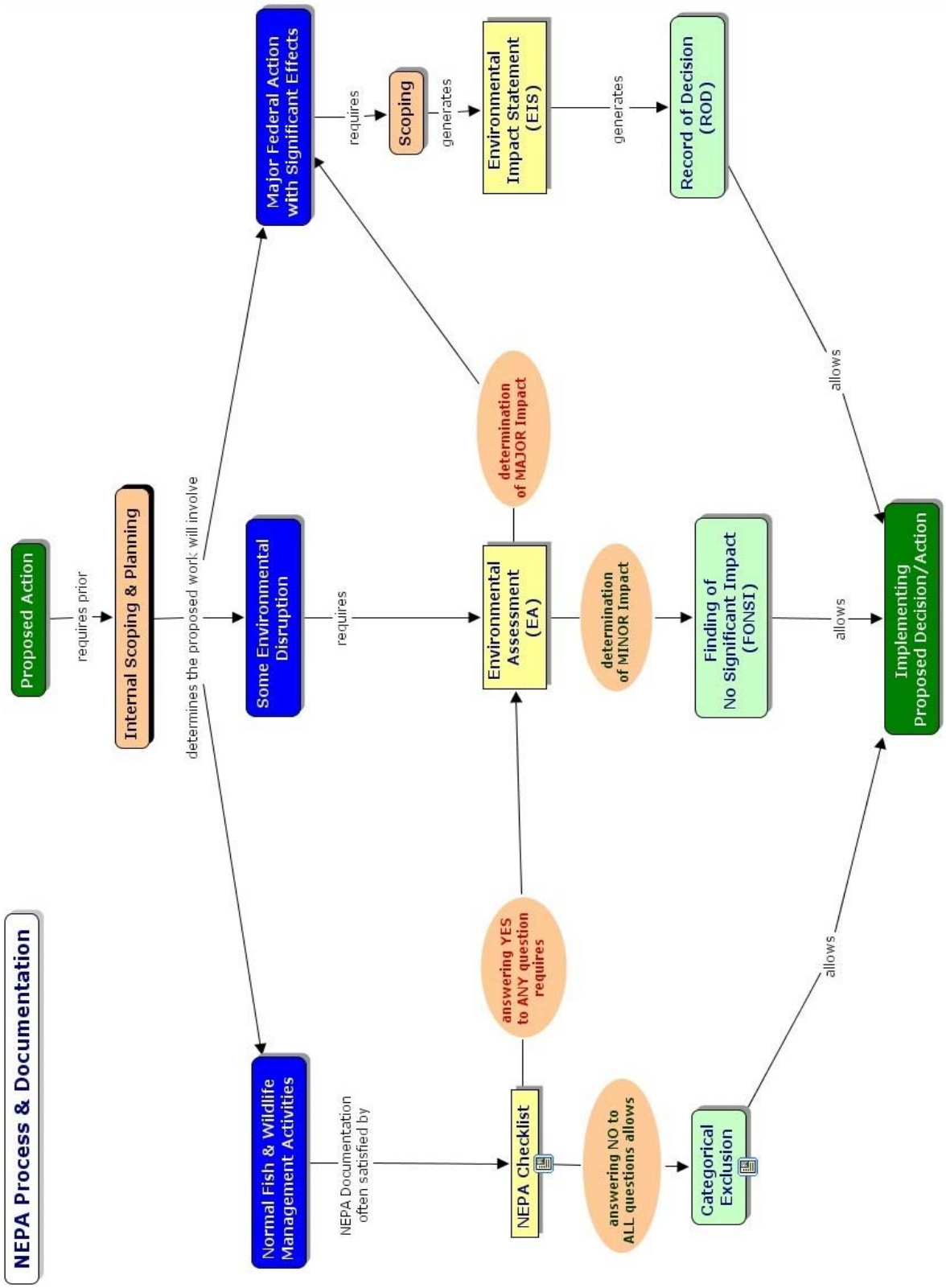
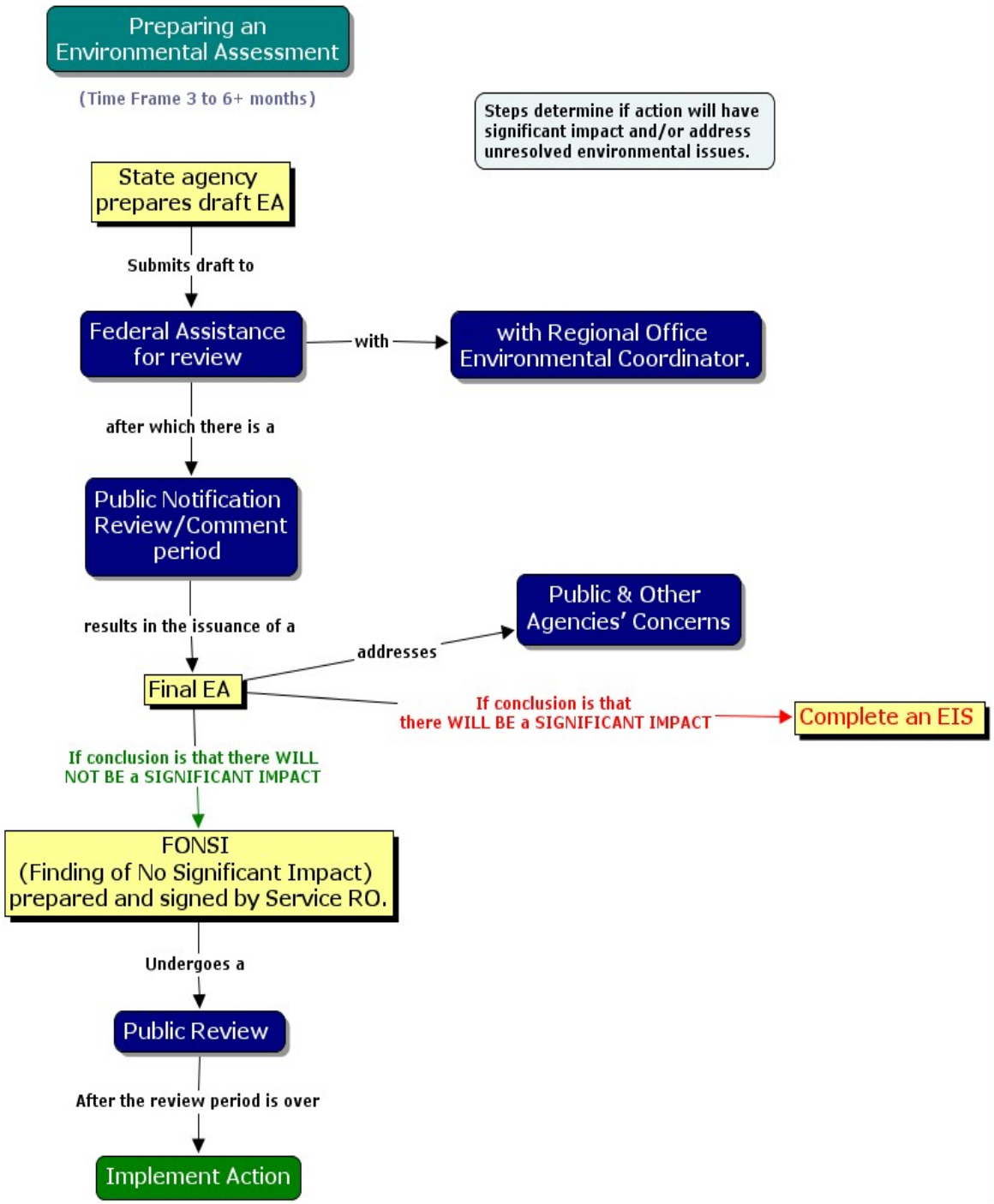
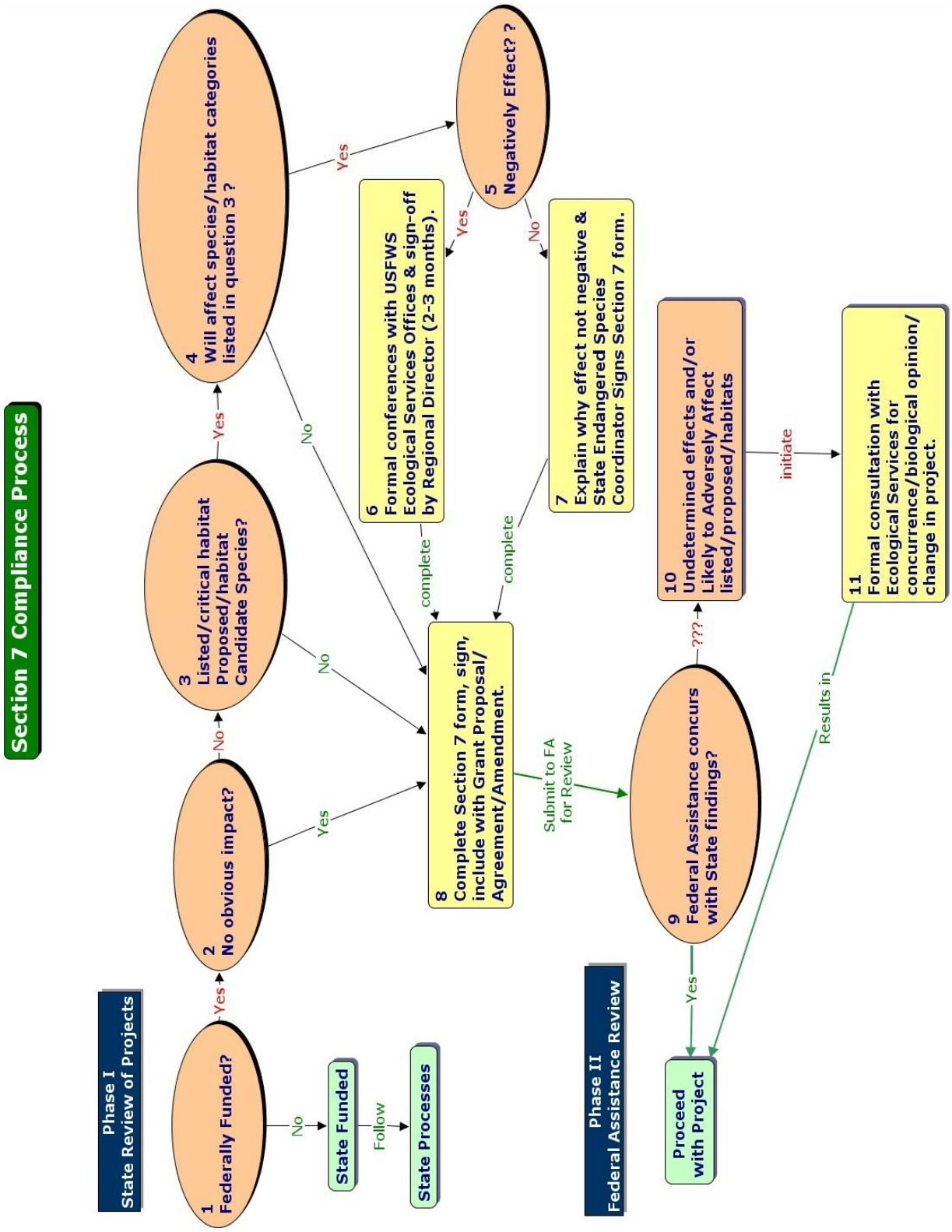

NEPA Process & Documentation
Proposed Action
requires prior
Internal Scoping & Planning
determines the proposed work will involve
Major Federal Action with Significant Effects
requires
Scoping
generates
Environmental Impact Statement (EIS)
generates
Record of Decision (ROD)
allows
Some Environmental Disruption
requires
Environmental Assessment (EA)
determination of MAJOR Impact
determination of MINOR Impact
Finding of No Significant Impact (FONSI)
allows
Implementing Proposed Decision/Action
Normal Fish & Wildlife Management Activities
NEPA Documentation often satisfied by
NEPA Checklist
answering YES to ANY question requires
answering NO to ALL questions allows
Categorical Exclusion
allows


Preparing an Environmental Assessment
(Time Frame 3 to 6+ months)
Steps determine if action will have significant impact and/or address unresolved environmental issues.
State agency prepares draft EA
Submits draft to
Federal Assistance for review
with
with Regional Office Environmental Coordinator.
after which there is a
Public Notification Review/Comment period
results in the issuance of a
Public & Other Agencies' Concerns
addresses
Final EA
If conclusion is that there WILL BE a SIGNIFICANT IMPACT
Complete an EIS
If conclusion is that there WILL NOT BE a SIGNIFICANT IMPACT
FONSI (Finding of No Significant Impact) prepared and signed by Service RO.
Undergoes a
Public Review
After the review period is over
Implement Action


Section 7 Compliance Process
Phase I
State Review of Projects
1
Federally Funded?
Yes
No
State Funded
Follow
State Processes
2
No obvious impact?
No
Yes
3
Listed/critical habitat
Proposed/habitat
Candidate Species?
Yes
No
4
Will affect species/habitat categories
listed in question 3 ?
Yes
No
5
Negatively Effect? ?
Yes
No
6
Formal conferences with USFWS
Ecological Services Offices & sign-off
by Regional Director (2-3 months).
complete
7
Explain why effect not negative &
State Endangered Species
Coordinator Signs Section 7 form.
complete
8
Complete Section 7 form, sign,
include with Grant Proposal/
Agreement/Amendment.
Submit to FA
for Review
Phase II
Federal Assistance Review
9
Federal Assistance concurs
with State findings?
???
Yes
Proceed
with Project
10
Undetermined effects and/or
Likely to Adversely Affect
listed/proposed/habitats
initiate
11
Formal consultation with
Ecological Services for
concurrence/biological opinion/
change in project.
Results in

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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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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.

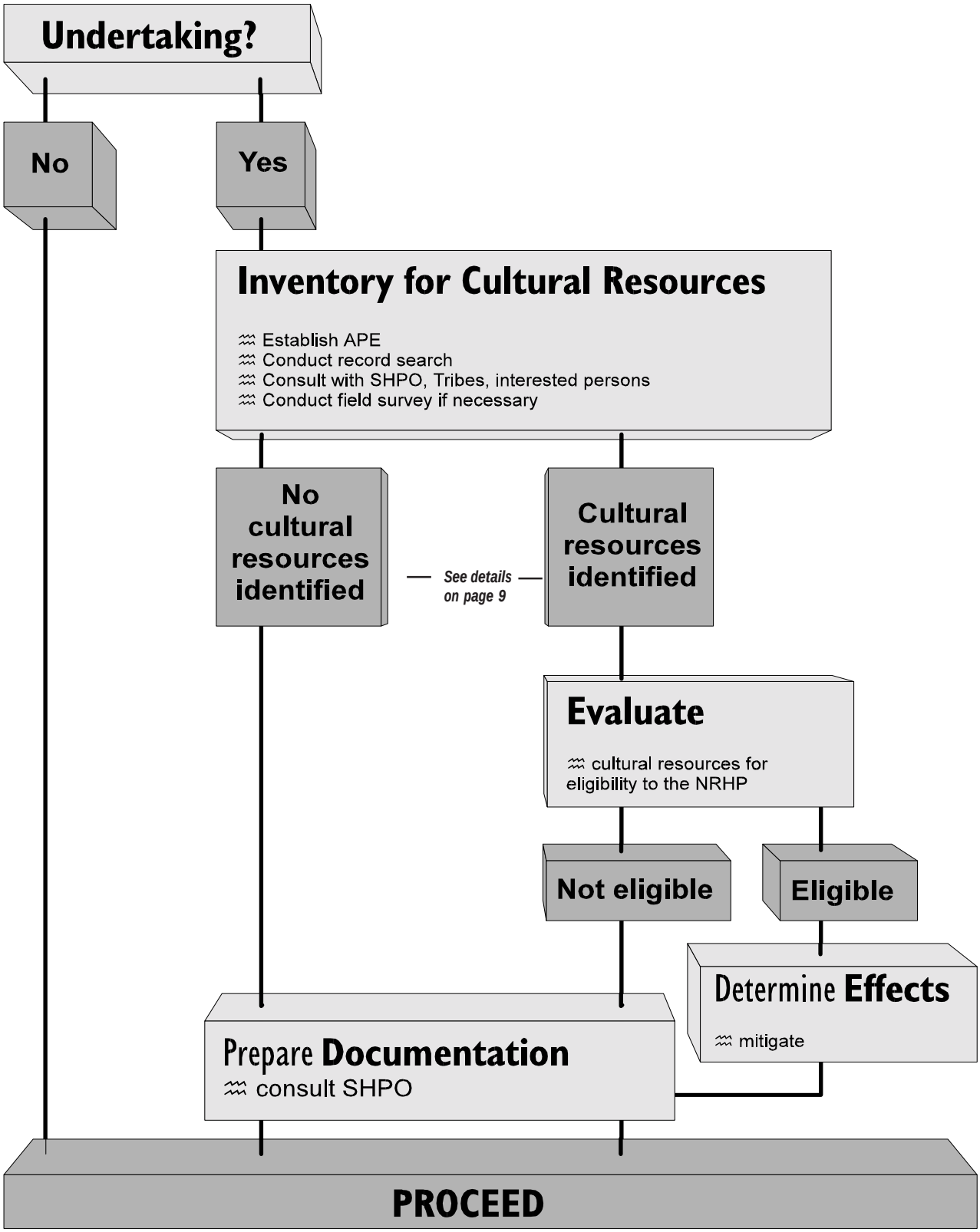
Assess effects: If listed or eligible properties are identified, the Service must assess the potential effects of the proposed undertaking on the resource. Working with SHPO and other interested parties, the Service determines that a) the undertaking will not effect historic properties-no effect, b)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

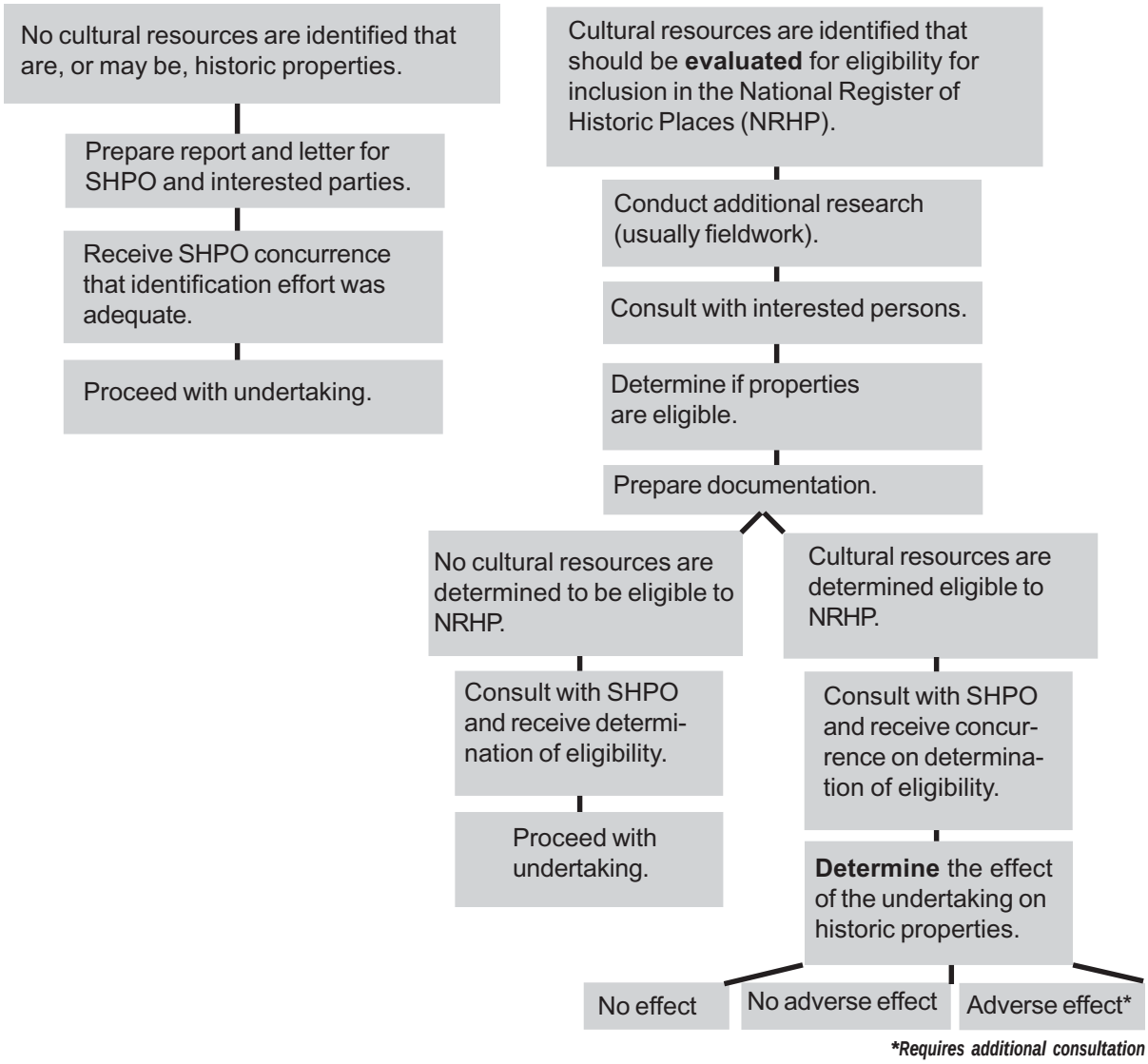
Identification Process

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.

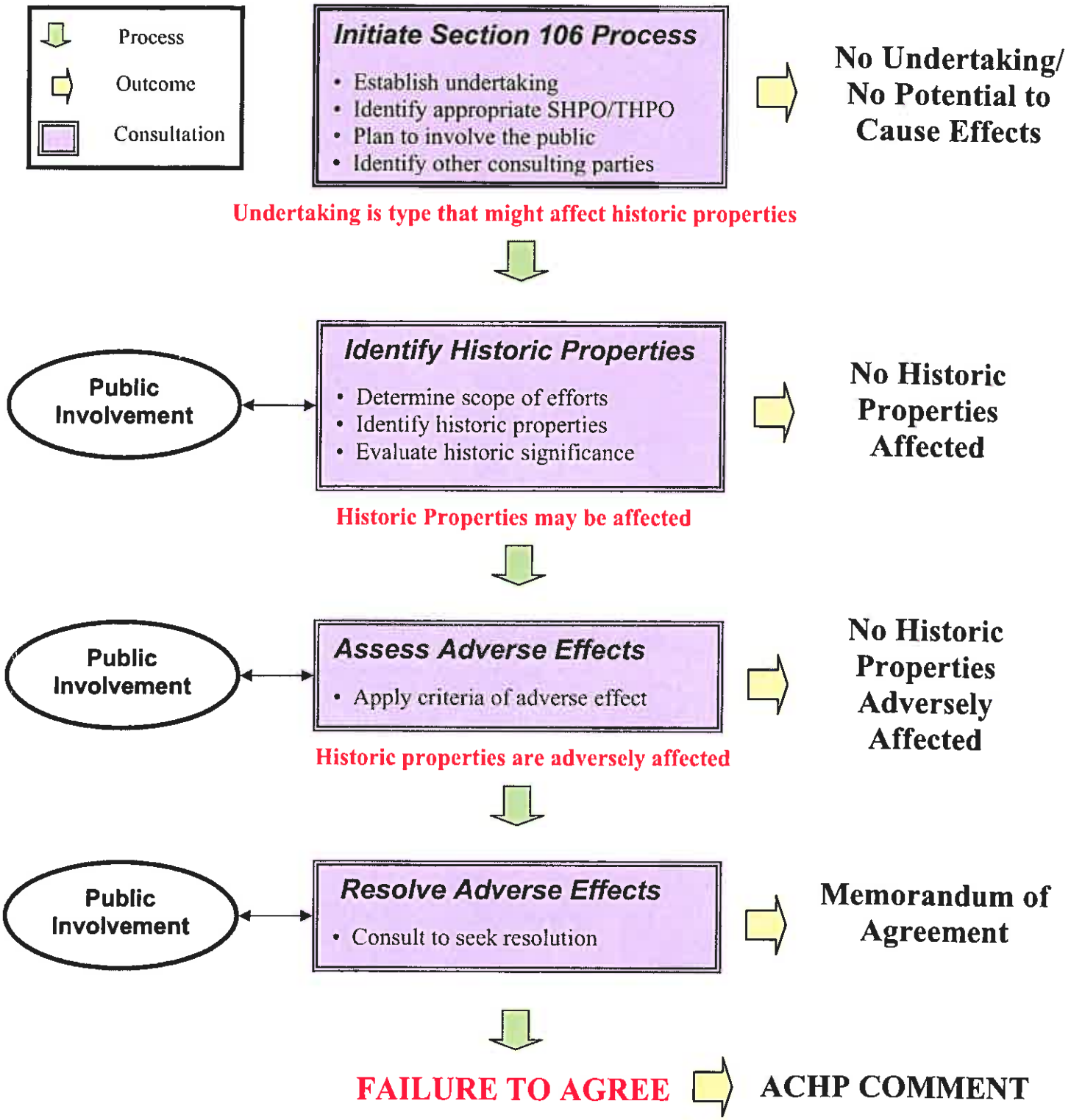
This responsibility rests squarely with the Federal Agency and cannot be delegated to another party except by written agreement. The agency can solicit the help of applicants, contractors, or others to carry out this work, but it is up to the agency to see that the work is carried out properly and to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



THE SECTION 106 PROCESS



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Area of Potential Effects

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.

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.

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VERMONT

RECEIVED

JUN 29 2012 Agency Of Natural Resources

Division of Wildlife and Sport Fish Restoration

Fish & Wildlife Department
Barre District Natural Resources Office
5 Perry Street, Ste. 40
Barre, VT 05641
www.VtFishandWildlife.com

[phone] 802-476-0199
[fax] 802-476-0129
[tdd] 802-828-3345

June 21, 2012

Dear Dr. Organ:

I am writing in reference to the Application for Federal Assistance for W-46-D regarding compliance with the *National Environmental Policy Act* (NEPA).

The actions proposed in this grant will take place throughout the State of Vermont on lands owned by the Department within the grant period of July 1, 2012 through June 30, 2017. We have reviewed the proposal for meeting NEPA compliance and found that it is ***completely covered by 516 DM 8.5 categorical exclusion.*** Further, we find (43 CFR 46.215) that this proposal will NOT: A(2), B(1), B(2), B(4) and 516 DM 2, Appendix 1 B(3) SG

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).

I Concur [✓] do not Concur [ ]

Thank you for your time reviewing this grant proposal,

FA Specialist John McDonald Date: 7/6/12

State Project Leader _____ Date June 21, 2012

Federal Aid Coordinator _____ Date June 28, 2012

Conserving fish, wildlife, plants, and their habitats for the people of Vermont.

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Listed Species Present/Is Not Likely to Adversely Affect

RECEIVED
JUN 29 2012
Division of Wildlife and
Sport Fish Restoration

Dear Dr Organ:

We are writing in reference to the Application for Federal Assistance for Vermont W-46-D and it's compliance with Endangered Species Act Section 7.

The actions proposed in this grant will take place statewide within the grant period of 07/01/2012-06/30/2017. It has been found that the following federally listed, proposed or candidate species may be present within this area:

The following species are on the federal endangered species list, potentially exist, and/or are known to exist within Vermont:
Indiana bat *(Myotis sodalis)*
Eastern mountian lion *(Felis concolor couguar)* T/E [illegible]
Lynx *(Lynx canadensis)*
Bald eagle (*Haliaeetus leucocephalus)*
Peregrine falcon *(Falco peregrinus)*.*
Puritan tiger beetle *(Cicindela puritana)*
Dwarf wedge mussel *(Alasmidonta heterodon)*
Small whorled pogonia *(Isotria medeoloides)*
Jesup's milk-vetch *(Astragalus robbinsii var. jesupii)*
Northeastern bulrush (*Scirpus ancistrochaetus)*

The actions proposed include: administrative activities associated with acquiring property, but does not include the actual costs to purchase the real property interest from the landowner. Specifically, this job includes, but is not limited to: contracts for appraisals, title searches, surveys, closing attorneys, hazardous waste surveys, clean-up of sites, archeological surveys, equipment for VFWD staff, among others.

We believe these actions are NOT LIKELY TO ADVERSELY AFFECT these species in conducting these proposed actions because: the grant funded activities consists of administrative, project facilitation costs that will have no effect on federally listed threatened and endangered species. This project covers office related work and expenses, and non-destructive fieldwork needed to obtain information and/or facilitate the protection of vital habitats. There is no habitat manipulation, handling of wildlife, or ground disturbance as part of this project.

If any other listed species are found or any actions changed before or within the Agreement Period, state and federal authorities will be notified, and actions will cease until another Section 7 review is completed and approved by Federal Assistance.

Clean-up of sites could impact listed species if present. Assessments will be made prior to on the ground action so no impacts occur [illegible]

Thank you for your time in review of this grant proposal.

Vermont Department of Fish and Wildlife Concurrence/Approval: (signatures indicate that impacts on all federally listed species within Vermont have been considered)

VDFW Endangered Species Leader Steven J. Parren Date 6-28-2012

VDFW Federal Aid Coordinator _____ Date 6-28-2012

I Concur [✓] do not Concur [ ]

FA Specialist Date: 7/6/12

John E McDonald Jr

TAB 6

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. Determine the eligibility of the grant projects included in the application.
4. Evaluate the Project Statement for adherence to the minimum requirements.
5. Determine if the proposal meets requirements for substantiality in character and design.
6. Describe the communication and people involved in developing, reviewing and approving the grant application.
7. Describe the merit review and risk assessment process required for all competitive grants and cooperative agreements.

Handouts:

- 6-1 Project Budget Information
- 6-3 Intergovernmental Review (State Process Documents)
- 6-5 Project Statement
- 6-9 SF 424 Statement of Assurances
- 6-11 SF 424 Application for Federal Assistance
- 6-13 Best Management Practices for Project Statement Development
- 6-17 Notice of Availability for Federal Assistance (NOFA)
- 6-25 TRACS Action Spreadsheet
- 6-51 Sample TRACS Project Statement
- 6-57 Financial Assistance Recipient Risk Assessment (FAPO)

Project Statement Overview

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

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

Required Elements of a Project Statement (50 CFR 80.82)

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

	Project Statement Requirements
50 CFR Part 80.82	Administrative Requirements Federal Aid in Fish and Federal Aid in Wildlife Restoration

	Exercise: Substantial in character and Design

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

1. Define substantial in character and design.

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

2. What documents do you need to look at to determine if the grant application is substantial in character and design?

   Project statement and budget information (estimated cost).

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

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

	Substantial in Character and Design
50 CFR Part 80.56	Administrative Requirements Federal Aid in Fish and Federal Aid in Wildlife Restoration

Required Elements of a Project Statement

Need

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

Purpose and Objectives

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

Notes:

Required Elements of a Project Statement (cont'd)

Approach

- The approach describes the specific conservation actions or efforts necessary to accomplish project objectives. The approach answers the question "how" the objectives will be accomplished by describing the actual work that will be done. This information must demonstrate that the agency will use accepted fish and wildlife conservation, management, or research principles
- Name key project staff
- Include essential equipment purchase information
- Include specific management actions that will be taken that require compliance with NEPA, Sec 7 and NHPA
- WSFR encourages using the Wildlife TRACS Action Level classification system (handout # 3-11).

Expected Results/Benefits

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

Costs by Project and Subaccount

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

TRACS Generated Project Statement

- Populate data fields for Project Statement Form
- Project statements can be bundled into a PDF for submission with Grant Application Packet using current Regional process
- See handout # 6-51

Writing Competitive Project Statements/Narratives

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

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

Exercise: Examining the Grant Application Package

Use **Handout #6-17 the NOFA** for the WR grant program. Compare the example grant application documents **(Handouts 6-1, 6-3, 6-5, 6-9, 6-11)** to the description found in the NOFA. Work with your tablemates and answer the following questions:

1. List the documents required in a Grant Application Package.

   Application for Federal Assistance, Form SF 424

   Project Statement

   Budget Information or Budget Form

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

   State Process documents E.O. 12372 (**page 6 Section E of the NOFA**)

   Supporting documents depending on grant program & project type

   Site CFR for program – WR 50 CFR 80.11, additional documents

   Supporting documents needed to meet compliance requirements.

2. Are all of the necessary forms and documents included in the Grant Application package (handouts)? Anything missing?

   If participant says something is missing, ask them to site a document reference that supports their inclusion in the package. SF-LLL if lobbying is done using State funds and grant over $100K for this grant.

3. Using handouts identify each in the block below.

Documents	Handout #
SF – 424 Application for Federal Assistance	Handouts 6-11 to 6-12
Project Statement	Handouts 6-5 to 6-7
Budget Information	Handouts 6-1
SF 424 Standard Assurances	Handouts 6-9 to 6-10
Intergovernmental Review Process Documents	Handouts 6-3
Other Documents	

Exercise: Examining the SF 424 Application for Federal Assistance

SF-424 (522 FW 1.3 A)

1. Are dates correct and consistent with the other documents in the grant application package?

   Start Date, End Date, Date Received by Federal Agency

2. Why are dates important on the SF-424?

   Date Received by Federal Agency, Start Date can't be prior to Receipt date. Discuss pre-award costs and documentation.

3. Are the dollar amounts correct and consistent with other documents in the package?

   Compare project budget and cost information in project narrative. Project statement and budget may show subsequent funding years not included on SF 424. Compliance does not have to be included for projects not funded

4. Are the Federal and State participation ratios appropriate?

   Search for "Cost Share" in toolkit. 50 CFR 80.12. Answer is yes 75/25 ratio. Depends on grant program. SWG implementation 50/50.

5. Is program income included on grant application?

   no

   If the grantee anticipates producing program income it should be reflected on SF-424. Deductive PI method unless otherwise requested & approved

6. Was it signed by an authorized representative?

   States/Grantees designate authorized individual 50 CFR 80.80 b.

   Ask participants how do they know who is authorized to sign? States submit

Prior to Issuing a Federal Award

For competitive (discretionary) grants and cooperative agreements, the Federal awarding agency must conduct a merit review of proposals submitted by applicants. The Federal awarding agency must also conduct a risk assessment of applicants. *Grantees who subgrant Federal awards are also required to conduct and document a similar risk assessment of their subgrantees*.

Merit Review of Proposals (2 CFR 200.204)

"For all competitive grants or cooperative agreements, unless prohibited by Federal statue, the Federal awarding agency must design and execute a merit review process for all applications." The process must be described and incorporated by reference in the applicable funding opportunity (i.e. NOFA).

- Review factors / sub-factors
- Ranking / rating system
- Evaluation standards
- Program policy factors
- Basis for selection

Risk Assessment of Applicants (2 CFR 200.205)

"For competitive grants or cooperative agreements, the Federal awarding agency must have in place a framework for evaluating the risks posed by applicants before they receive Federal awards." Special conditions may be incorporated into the Federal award based upon the degree of risk.

Awarding agency assigns a risk value of High / Medium / Low.

1. Potential for implementation problems.
2. Financial management systems and funds management record.
3. Performance track record.
4. Staff level / key staff qualifications.
5. Delivery experience.
6. Award administration and reporting compliance.
7. Single audit reports review.
8. Review of any other audits required by legislation.

DIG 2011-03, Amend 1 requires the USFWS to perform a risk assessment on all grantees, prior to issuing a Federal award.

Department of the Interior Guidance (DIG) 2011-03, Amend #1 developed policy beginning in FY2015 that the Service shall conduct a pre-award risk assessment for every recipient, including mandatory programs such as WR, SFR, and formula SWG.

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.
- ✓ The project statement must include the following required elements; need, objectives, expected benefits/results, approach, location, costs.
- ✓ Need must be relevant to the Act.
- ✓ Objectives must be based on need and must be verifiable and measurable.
- ✓ The approach describes how you will reach the objective(s) in the time allotted.
- ✓ Approach must include adequate information for WSFR to document and make determinations for NEPA and Section 7.
- ✓ Approach should include key personnel.
- ✓ Project must use accepted conservation and management principles and appropriate procedures.
- ✓ Benefits must be commensurate with project costs.
- ✓ Different types of projects have different requirements in order to be “substantial in character and design”.
- ✓ Grant application is submitted to the WSFR Regional Office for review and approval.
- ✓ Prior to issuing a Federal award, the USFWS must conduct a risk assessment posed by applicants. For discretionary and cooperative agreements, the Federal awarding agency must also develop and document a merit review process for all applications.

PROTECTION DEPT OF NATURAL RESOURCES

BUDGET INFORMATION - NON-CONSTRUCTION PROGRAM

PROJECT NO: **W-15-D-1**

PROJECT NAME: **Management of Central Regions Wildlife Management Areas**

EFFECTIVE DATES: **January 1, 2010 through December 31, 2011**

OBJECT CLASS:	**1/1/10-12/31/10**	**1/1/11-12/31/11**	**TOTAL**
Salaries & Wages	120,000	125,000	245,000
Fringe Benefits	0	0	0
Travel	5,000	4,000	9,000
Equipment	0	0	0
Supplies/Commodities	36,818	32,818	69,636
Contractual	20,000	20,000	40,000
Construction	0	0	0
Other	0	0	0
Total Direct Charges	181,818	181,818	363,636
Indirect Charges @10%	18,182	18,182	36,364
Totals	**200,000**	**200,000**	**400,000**
Federal Share @75%	150,000	150,000	300,000
State Share @25%	50,000	50,000	100,000
Program Income	0	0	0

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STATE OF PROTECTION
EXECUTIVE OFFICE OF THE GOVERNOR

BUREAU OF THE BUDGET
Sweethaven, PR 19379

Date: October 12, 2009

To: Jane R. Schmoe
Federal Assistance Coordinator
Office of Wildlife and Fisheries
Protection Department of Natural Resources
11 Longarm Street
Sweethaven, PR 19379

Subject: Program Title: Management of Central Region's Wildlife Management Areas W-15-D - 1
CFDA: 15.611
Funding: $300,000 – Federal , $100,000 – State
SAI#: 96-09-30-02

The Bureau of the Budget has been notified of the subject application pursuant to Public Acts 80:1029 and 87:961. This letter certifies that your agency has complied with the notice of intent phase of the review process and that your application is approved for submission to the federal government for funding consideration.

Please notify the State of Protection Commission on Intergovernmental Cooperation at 111 Park Office Building immediately after federal award action is taken on the subject application. This notification is made by completing items 19-23 on Forms ICIC 192 or submitting notice of award forms for the SF-424 The State Application Identifier (SAI) must appear in the State Application Identifier box in the upper right hand corner of the ICIC 192 or the SF-424 when this notification is made, and also be provided to the Comptroller on the Receipts Deposit Transmittal (Form C-64) when funds for the subject project are deposited in a receipt account.

Unless your agency has a special agreement with the Bureau for achieving compliance with PA 80:1029 and PA 87:961, all amendments, revisions, or supplements to the subject application must be submitted as provided for in the Bureau and Commission's joints instructions for Federal Grant Applicants/Awards dated September, 1992.

Thank you for your cooperation.

Owen U. Money

Owen U. Money
Budget Analyst

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Management of Central Region Wildlife Management Areas
W-15-D
Project Statement

NEED:
Six Wildlife Management Areas in the Central Region of the State of Protection contain 20,000 acres of diverse wildlife habitat open for public use. These public wildlife areas provide critical habitat for waterfowl, upland game and non-game wildlife as well as year-round access to hunting and wildlife viewing. The central region wildlife areas contain 4,000 acres of open water; 3,000 acres of marsh and 13,000 acres of upland grassland interspersed with mature second growth forest. Migratory bird counts conducted on the six wildlife areas over the past 10 years document an average of 1,500,000 migratory waterfowl use days annually. The same wildlife areas provide for 8,000 hunter use days and 15,000 wildlife viewing days annually. Private lands in the central region provide only limited opportunities for access to wildlife dependent recreation and for wildlife management activities. A five year hunter/landowner relationship study was conducted by the Protection Department of Natural Resources from 2004-2009. The study results indicate private landowners in the Central Region are resistant to allow public use of their property for hunting and wildlife management activities. It is imperative to provide access and opportunity for wildlife dependent recreation in the Central Region of the state of Protection. Failure to manage and sustain the Central Region Wildlife Areas for wildlife habitat and public use will result in demise of habitat, wildlife population declines and the inability to satisfy the demands of wildlife enthusiasts in the State of Protection.

OBJECTIVE:

- Manage 20,000 acres of six wildlife management areas of the Central Region for waterfowl and upland game habitat in 2010 and 2011
- Provide an average of 1.5 million annual waterfowl use days in 2010 and 2011
- Provide 8,000 annual hunter use days in 2010 and 2011
- Provide 15,000 annual wildlife observation days in 2010 and 2011

EXPECTED RESULTS AND BENEFITS:

- Meet the state's goal of sustaining a myriad of naturally reproducing migratory waterfowl and birds.
- Offer public access and opportunity to thousands of hunters, wildlife observers and general outdoor enthusiasts.
- Sustain the local economy through the annual influx of hunters and other wildlife recreationists who enjoy the central region of the state.

APPROACH:
Annually manage and maintain 3,000 acres of moist soil units. Water control structures in these moist-soil management units will be used to facilitate the growth of plants providing a food source for waterfowl, and reduce the number of plants that are low in nutrition. 4,000 acres of open water will be sustained by operating and maintaining water control structures. 300 acres of millet will be established through broadcast seeding on suitable moist soil sites in spring of 2011.

Prescribed burns will be conducted in February of 2010 and 2011 to maintain 8,500 acres of upland grassland habitat and control early successional growth. Timber stand improvement through select cutting will be conducted on 1,500 acres in January 2010 and 2011. Annually manage 3000 acres of natural wetland areas through water level control and invasive plant eradication with herbicide application.

Annually monitor wildlife and public use of the areas using statistically reliable sampling techniques. One seasonal wildlife technician will be hired by February of 2010.

USEFUL LIFE: Not applicable

GEOGRAPHIC LOCATION:
The six Central Region Waterfowl Management units in State of Protection that includes Mercy, Hope and Grace Counties.

PRINCIPAL INVESTIGATOR: Non – research project
Bonnie Lou Askyew, Human Dimensions Specialist, Protection Department of Natural Resources, 11 Longarm Street, Sweethaven, Protection 19379 #555-555-5555 will conduct public use surveys.

PROGRAM INCOME: None anticipated

COST:
$400,000 total (see attached detailed budget)
no pre-agreement cost requested
no in-kind goods or services
All costs to Subaccount 5220 ($300,000)

MULTIPURPOSE PROJECTS: NA

RELATIONSHIP TO OTHER GRANTS: NONE

TIMELINE:
- Timber stand improvement will be conducted on 1,500 acres in January 2010
- Prescribed burns will be conducted in February of 2010 and 2011
- One seasonal wildlife technician will be hired by February of 2010.
- 300 acres of millet will be established in spring of 2011.

MULTIYEAR PROJECTS: NA

ENDANGERED OR THREATENED SPECIES:
Harry Mann the Endangered Species Coordinator for the State of Protection has verified that no endangered or threatened species are present in the proposed project locations.

NEPA:
The work in this proposal is directly related to conservation of wildlife resources in the State of Protection and is covered by a categorical exclusion (1.4B) 2.3. The project work does not generate a yes box on the NEPA compliance checklist.

HISTORICAL AND CULTURAL RESOURCES:
State of Protection Cultural and History Office reviewed this project and determined that it will not have an affect to any significant historic, prehistoric or cultural resources, or to any National Register site listed or eligible property.

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OMB Approval No. 0348-0040

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
J. B. Fishin	Director
APPLICANT ORGANIZATION	DATE SUBMITTED
Protection Department of Natural Resources	10/01/2009

Standard Form 424B (Rev. 7-97) Back

APPLICATION FOR FEDERAL ASSISTANCE

Version 7/03

2. DATE SUBMITTED 10/29/2009	Applicant Identifier 96-09-30-02	
3. DATE RECEIVED BY STATE	State Application Identifier W-15-D-1	
4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier	

1. TYPE OF SUBMISSION:

Application	Pre-application
☐ **Construction**	☐ **Construction**
☒ **Non-Construction**	☒ **Non-Construction**

5. APPLICANT INFORMATION

Legal Name: Protection Department of Natural Resources

Organizational DUNS: 555555555

Address:

Street: 11 Longarm Street

City: Sweethaven

County: Sugar

State: PR Zip Code 19379

Country:

Organizational Unit:

Department: Natural Resources

Division: Wildlife Section

Name and telephone number of person to be contacted on matters involving this application (give area code)

Prefix: Mr. First Name: Bill

Middle Name S.

Last Name Ruger

Suffix:

Email: bill_ruger@pr.gov

Phone Number (give area code) (217) 555-5555

Fax Number (give area code) (217) 555-2175

6. EMPLOYER IDENTIFICATION NUMBER *(EIN):* 55-5555555

8. TYPE OF APPLICATION:

☒ **New** ☐ **Continuation** ☐ **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)

9. NAME OF FEDERAL AGENCY: U.S. Department of Interior, Fish and Wildlife Service

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: 15-611

TITLE (Name of Program): Wildlife Restoration

11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:

Management of Central Regions Wildlife Management Areas

12. AREAS AFFECTED BY PROJECT *(Cities, Counties, States, etc.):*

Central Region of State

13. PROPOSED PROJECT

Start Date: 01/01/2010 Ending Date: 12/31/2011

14. CONGRESSIONAL DISTRICTS OF:

a. Applicant 20 b. Project 18,19,20

15. ESTIMATED FUNDING:

a. Federal	$ 300,000.00
b. Applicant	$ 100,000.00
c. State	$
d. Local	$
e. Other	$
f. Program Income	$
g. TOTAL	$ 400,000.00

16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?

a. Yes. ☒ THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON

DATE:

b. No. ☐ PROGRAM IS NOT COVERED BY E. O. 12372

☐ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW

17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?

☐ Yes If "Yes" attach an explanation. ☒ No

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 Ms. First Name Jane Middle Name R

Last Name Schmoe Suffix

b. Title Federal Assistance Coordinator c. Telephone Number (give area code) (217) 555-5555

d. Signature of Authorized Representative J Schmoe e. Date Signed 10/29/2009

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Standard Form 424 (Rev.9-2003)
Prescribed by OMB Circular A-102

INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This is a standard form used by applicants as a required face sheet for pre-applications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item:	Entry:	Item:	Entry:
1.	Select Type of Submission.	11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
2.	Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).	12.	List only the largest political entities affected (e.g., State, counties, cities).
3.	State use only (if applicable).	13	Enter the proposed start date and end date of the project.
4.	Enter Date Received by Federal Agency Federal identifier number: If this application is a continuation or revision to an existing award, enter the present Federal Identifier number. If for a new project, leave blank.	14.	List the applicant's Congressional District and any District(s) affected by the program or project
5.	Enter legal name of applicant, name of primary organizational unit (including division, if applicable), which will undertake the assistance activity, enter the organization's DUNS number (received from Dun and Bradstreet), enter the complete address of the applicant (including country), and name, telephone number, e-mail and fax of the person to contact on matters related to this application.	15	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.	16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.
7.	Select the appropriate letter in the space provided. A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School District I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify) O. Not for Profit Organization	17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
8.	Select the type from the following list: • "New" means a new assistance award. • "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date. • "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision enter the appropriate letter: A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration	18	To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)
9.	Name of Federal agency from which assistance is being requested with this application.		
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.		

SF-424 (Rev. 7-97) Back

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

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

Need

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

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

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

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

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

Objectives

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

SMART Objectives are:

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

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

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

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

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

Objective Template

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

Filling in the blanks:

(Action verb?) : Certify

(How many?) 150

(Who or what?): Volunteer hunter education instructors

(By when?): June 30, 2014.

Putting it all together:

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

Objective Examples:

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

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

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

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

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

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

Approach

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

Example:

Action #1.

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

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

Expected Results and Benefits

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

Resource?_____

User?_____

Economy?_____

Society?_____

Costs by Project and Subaccount

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

Wildlife Restoration Grant Program

Fiscal Year 2014
Notice of Availability for Federal Assistance and Application Instructions

Program Overview Information

Federal Agency Name:

Department of the Interior
U.S. Fish and Wildlife Service
Wildlife and Sport Fish Restoration Program (WSFR)

Funding Opportunity Title: Wildlife Restoration Grant Program – Region 5

Announcement Type:
Notice of availability of grants for fiscal year (FY) 2014 and request for applications (RFA)

Funding Opportunity Number: F14AS00159

Catalog of Federal Domestic Assistance (CFDA) Number: 15.611

Dates: Grant application packages are due to your Regional WSFR Office (see Section IV, Agency Contacts) no later than August 31, 2015.

Additional Information:

The Federal Aid in Wildlife Restoration Act of 1937, 50 Stat. 917 as amended; 16 U.S.C. 669-669b, 669-669k, popularly known as the Pittman-Robertson Wildlife Restoration Act, was approved by Congress on September 2, 1937, and began functioning July 1, 1938. The purpose of this Act was to provide funding for the selection, restoration, rehabilitation, and improvement of wildlife habitat, wildlife management research, and the distribution of information produced by the projects. The Act was amended on October 23, 1970, to include funding for hunter safety programs and the development or the operation and maintenance of firearm and archery ranges.

Additional information about the Wildlife Restoration Grant Program (WR) is on the internet at http://wsfrprograms.fws.gov/Subpages/GrantPrograms/WR/WR.htm.

I. Funding Opportunity Description:

WR provides Federal grant funding to the 50 States, Commonwealths, and territories for the selection, restoration, rehabilitation, and improvement of wildlife habitat; wildlife management research; wildlife population surveys and inventories; land acquisition; hunter education and safety programs; coordination; development of facilities; facilities and services for conducting a hunter education and safety programs; and provisions for public use of wildlife resources.

The Hunter Education and Safety Program (Section 4(c)) includes training in the safe handling and use of firearms and archery equipment; hunter responsibilities and ethics; survival; construction, operation, and maintenance of public shooting ranges; and basic wildlife management and identification. Hunter Education and Safety Programs include the development and implementation of a programmed course of instruction leading toward the achievement of the hunter safety training goals and objectives. In general, the course is to train students to be safe and responsible hunters and assist the agency in accomplishing its mission and goals.

II. Award Information:

The final WR apportionments are on the web at http://wsfrprograms.fws.gov/Subpages/GrantPrograms/WR/WR_Funding.htm.

III. Eligibility Information:

A. Eligible Applicants:

Participation is limited to State, Commonwealth, or territorial agencies with lead management responsibility for fish and wildlife resources in the United States of America. States, Commonwealths, and territories (State(s)) must pass laws (assent legislation) for the conservation of fish and wildlife. The law(s) must include a prohibition against the diversion of license fees paid by hunters for purposes other than the administration of the fish and wildlife agency.

B. Formula and Matching Requirements:

One-half of the 11 percent excise tax on bows, arrows, and archery equipment and 10 percent excise tax on handguns, pistols, and revolvers make up the funding for the hunter education and safety program. The other one-half of the excise tax is for wildlife restoration purposes including the 11 percent excise tax on firearms and ammunition.

Below is the explanation of how the Section 4(c) apportionment is determined for States.

1. It is a formula-based apportionment;
2. It is based on State population compared to the total U.S. population using the most recent census figures;
3. No State may receive more than 3 percent or less than 1 percent of the total Hunter Education funds apportioned; and
4. The Commonwealths of Puerto Rico and the Northern Mariana Islands and the territories of American Samoa, Guam, and the U.S. Virgin Islands receive up to one-sixth of 1 percent of the total apportionment.

Below is the explanation of how the Wildlife Restoration apportionment is determined for States.

1. It is a formula-based apportionment;

2. 50 percent of the formula is based on land area of the State and 50 percent is based on the number of paid hunting license holders;
3. No State may receive more than 5 percent or less than one-half of 1 percent of the total apportionment;
4. The Commonwealth of Puerto Rico is apportioned up to one-half of 1 percent;
5. The Commonwealth of the Northern Mariana Islands and the territories of American Samoa, Guam, and the U.S. Virgin Islands receive up to one-sixth of 1 percent of the total apportionment;
6. The State fish and wildlife agency must furnish a certification of the number of paid hunting license holders on an annual basis; and
7. The program is a cost-reimbursement program: the State covers the full amount of an approved project then applies for reimbursement from WSFR and may be reimbursed up to 75 percent of project costs through the program. The State must provide at least 25 percent of the project costs from a non-Federal source. The non-Federal match for the Commonwealths of Puerto Rico and the Northern Mariana Islands, and the territories of American Samoa, Guam, and the U.S. Virgin Islands must not exceed 25 percent and may be waived at the discretion of the Regional Director. According to 48 U.S.C. 1469(a), the Regional Director must waive the first $200,000 of match for each project from the Commonwealth of the Northern Mariana Islands and the territories of Guam, the U.S. Virgin Islands, and American Samoa. The non-Federal share may be from license fees paid by hunters. Matching and cost-sharing requirements are discussed in 50 CFR 80, 43 CFR 12.64 and 43 CFR 12.923. In addition, 43 CFR 12.62 identifies Federal cost principles for determining allowable costs.

C. Other:

Wildlife Restoration funds are available for a period of two years. Funds not obligated within two years by the U.S. Fish and Wildlife Service are reverted and spent under the provisions of the Migratory Bird Conservation Act. Also under the provisions of the Wildlife Restoration Act, the interest accumulated from the Act goes to the North American Wetland Conservation Act Grant Program. Although only State agencies may apply for and receive grants under this program, the program encourages partnering with local governments, non-governmental organizations (NGOs), and educational institutions.

IV. Application and Submission Instructions

A. Address to Obtain Application Package

You can download the application package for WR on Grants.gov here: https://apply07.grants.gov/apply/forms_apps_idx.html, searching by CFDA 15.611. You can also download application forms through the WSFR toolkit under "Forms": http://wsfrprograms.fws.gov/Subpages/ToolkitFiles/toolkit.pdf. The Standard Form 424 is available here: http://wsfrprograms.fws.gov/subpages/toolkitfiles/sf424-f.pdf. If you have trouble accessing the online forms, you can contact one of the Service WSFR Offices (see Section IV, Agency Contacts).

B. Content and Form of Application

A complete grant application package must include the following:

1. SF 424 Application for Federal Assistance – signed by an authorized representative of the agency.
2. One of the following depending on the type of project conducted (unless the State agency has an approved Statement of Assurances on file with your Regional Office that is updated at least annually):
   a. SF 424B Standard Assurances – Non-Construction Projects; or
   b. SF 424D Standard Assurances – Construction Projects.
3. Project Narrative that identifies and describes:
   a. The need for the proposed project(s) within the purpose of the Act;
   b. Discrete, quantifiable, and verifiable objectives to be accomplished during a specific time period;
   c. Expected results or benefits from accomplishing the objectives;
   d. The approach to be used in meeting the objectives, including specific procedures, schedules, key personnel, and cooperators;
   e. Description of the activity, so WSFR staff are able to determine compliance with National Environmental Policy Act (NEPA), Section 7 of Endangered Species Act (ESA), and Section 106 of the National Historic Preservation Act (NHPA); and
   f. Project location – Include GPS coordinates (if exact locations are not available at the time of application, please be as specific as possible); Maps or other geographic aids may be attached.
4. Budget Narrative:
   a. Estimated costs to attain the objectives – The various activities or components of each project should be broken down by cost and by cooperator;
   b. In-Kind Match – Include the source, the amount, and the valuation methodology used to arrive at the total; and
   c. Program Income, if any – Include the source, amount, and the requested method of crediting the program income (i.e. deductive or additive).
   d. When applicable, for any organization charging indirectly, a copy of a current Negotiated Indirect Cost Rate Agreement.

5. Supplemental Forms can include:
   a. SF 424A Budget Information – Non-Construction Projects; or
   b. SF 424C Budget Information – Construction Projects.
   c. If applicable, a completed SF-LLL Disclosure of Lobbying Activities form. If you/your organization have/has made or agrees to make any payment using non-appropriated funds for lobbying in connection with a project AND the project budget exceeds $100,000, complete and submit the SF-LLL form.

C. Submission Dates and Times:

Grant application packages are due to your Regional WSFR Office (see Section IV, Agency Contacts) no later than August 31, 2015.

D. Submit applications either electronically or by mail:

1. Electronic Submission Instructions:

a. Go to www.grants.gov
b. Click the "Apply for Grants" tab and read the instructions provided by grants.gov.
c. The following are items that need to be done before a grant application package can be submitted electronically through grants.gov:
   i. Applicants must register as an Authorized Organization Representative (AOR) and have a user id and password. The applicant can register on the web at http://www.grants.gov/web/grants/applicants/organization-registration/step-4-aor-authorization.html;
   ii. Applicants must have Adobe Acrobat Reader to view files on the web. You can download Adobe Acrobat Reader at http://get.adobe.com/reader/otherversions/
d. Standard forms such as SF 424, SF 424A, SF 424B, SF 424 C, and SF 424D are fillable forms on grants.gov. The project narrative and budget narrative must be attachments in the following formats: MS Word, Adobe PDF, or MS Excel.
e. All forms and attachments mentioned above must be submitted with the grant application package.

2. Instruction on submitting applications by mail:
   a. Applicants can obtain forms, in PDF fillable/printable formats, from the WSFR Toolkit at http://wsfrprograms.fws.gov/Subpages/ToolkitFiles/toolkit.pdf
   b. The completed grant application package must be mailed to the U.S. Fish and Wildlife Service Regional WSFR Office:

States, Commonwealths, the District of Columbia, and territories by U.S. Fish and Wildlife Service Region	**Regional Contact Information**
American Samoa, Commonwealth of the Northern Mariana Islands, Guam, Hawaii, Idaho, Oregon, and Washington	U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program Eastside Federal Complex 911 NE 11th Avenue Portland, OR 97232-4181 503-231-6128 r1fa_grants@fws.gov
Arizona, New Mexico, Oklahoma, and Texas	U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program P.O. Box 1306 500 Gold Avenue, SW Albuquerque, NM 87103 505-248-7450 fw2fa@fws.gov
Illinois, Indiana, Iowa, Michigan, Minnesota, Missouri, Ohio, and Wisconsin	U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program 5600 American Blvd. West, Suite 990 Bloomington, MN 55437-1458 612-713-5130 R3fedaid@fws.gov

Alabama, Arkansas, Florida, Georgia, Kentucky, Louisiana, Mississippi, North Carolina, South Carolina, Tennessee, the Commonwealth of Puerto Rico, and U.S. Virgin Islands	U.S. Fish and Wildlife Service Division of Federal Assistance 1875 Century Boulevard, Suite 240 Atlanta, GA 30345 404-679-4159 fws-r4federalassistance@fws.gov
Connecticut, Delaware, the District of Columbia, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, Vermont, Virginia, and West Virginia	U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program 300 Westgate Center Drive Hadley, MA 01035 413-253-8508 fw5fareports@fws.gov
Colorado, Kansas, Nebraska, Montana, North Dakota, South Dakota, Utah, and Wyoming	U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program 134 Union Blvd., P.O. Box 25486 Denver, Colorado 80225 303-236-5420 fw6_fagrants@fws.gov
Alaska	U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program 1011 East Tudor Road MS-261 Anchorage, AK 99503 907-786-3631 AK_FA@fws.gov
California and Nevada	U.S. Fish and Wildlife Service Wildlife and Sport Fish Restoration Program 2800 Cottage Way, W-1729 Sacramento, CA 95825 916-414-6525 R8fa_grants@fws.gov

E. Intergovernmental Review:

The Wildlife Restoration program is subject to EO 12372 “Intergovernmental Review of Federal Programs”. States that choose to participate in the Executive Order process have established Single Points of Contact (SPOCs). Applicants should alert their SPOCs early in the application process. If the applicant is required to submit materials to a SPOC, indicate the date of this submittal (or the date of contact if requested by the SPOC not to submit) on the Standard Form 424. Applicants from jurisdictions that have not chosen to participate do not need to take any action regarding E.O. 12372.

F. Funding Restrictions

Ineligible activities include activities that do not provide public benefits, enforcement activities, and public relations activities.

V. Award Administration Information:

A. Award Notices:

The U.S. Fish and Wildlife Service Regional Director or his/her designee approves or disapproves grant proposals. Regional Offices are responsible for notification of grant approval to the applicant.

B. Administrative and National Policy Requirements:

1. Compliance with environmental laws such as the ESA, NEPA, and NHPA must be satisfied before the U.S. Fish and Wildlife Service can approve a grant proposal.
2. On June 27, 2003, the Office of Management and Budget published a Federal Register notice (68 FR 38402) that announced its final policy on the use of a universal identifier by financial assistance applicants. The policy requires applicants applying for Federal grants or cooperative agreements to obtain a Data Universal Number System (DUNS) number. All organizations must obtain a DUNS number, a unique identifying number, before applying for Federal funds. Only private individual landowners are exempted. Organizations can receive a DUNS number at no cost by calling the DUNS number request line at 1-888-253-1617 or on-line at http://www.dnb.com/get-a-duns-number.html.
3. The Central Contractor Registry (CCR) was replaced by the Systems for Award Management (SAM). SAM is where States will need to register in order to apply for Federal Assistance (grants). States can register online at https://www.sam.gov. States must maintain an active registration in order to receive grant funds. If you are receiving funds as an individual not operating as a business or a foreign entity not already registered and applying for or receiving an award for less than $25,000 for activities to be performed outside the United States, you are not required to register in SAM.
4. Recipients must be enrolled in Automated Standard Application for Payments (ASAP) to receive funds. If you are not enrolled, you must complete and submit a Participation Form. You can find the form at https://inside.fws.gov/index.cfm/go/post/Payments-New. If you have an existing account with another Federal agency, please indicate your ASAP ID on the form. You will receive further instructions as soon as we initiate your ASAP enrollment.
5. Acceptance of a Federal Financial Assistance awards from the Department of the Interior carries with it the responsibility to be aware of and comply with the terms and conditions of the grant award. For more information on the Standard Award Terms and Conditions
see: http://www.doi.gov/pam/programs/financial_assistance/TermsandConditions.cfm.

Reporting:

A. Financial and Performance reporting requirements are specified in 43 CFR 12.80 and 12.81 and in the Interim Guidance for Financial Status and Performance Reporting, dated May 15, 2009, http://wsfrprograms.fws.gov/subpages/toolkitfiles/intgdrpt.pdf; and
B. Retention and access requirements for records are specified in 43 CFR 12.82. Regulations and guidelines follow 50 CFR 80 and the WSFR toolkit.

VI. Agency Contacts:

The U.S. Fish and Wildlife Service administer the Wildlife Restoration Grant Program. Additional program information can be found by contacting your Regional U.S. Fish and Wildlife Service Office (see Section IV, Agency Contacts) or go to http://wsfrprograms.fws.gov/Subpages/ContactUs/ContactUs.htm.

VII. Other Information:

The Federal government is not bound to financially support any project until an official U.S. Fish and Wildlife Service financial officer has signed off on the grant award.

OMB Control Number 1018-0109, Expires September 30, 2015

PAPERWORK REDUCTION ACT STATEMENT: The Paperwork Reduction Act requires us to tell you why we are collecting this information, how we will use it, and whether or not you have to respond. We will use the information that we collect to evaluate applications submitted to acquire funding for SFR funds. Your response is required to receive funding. A Federal agency may not conduct or sponsor and you are not required to respond to a collection of information unless it displays a currently valid OMB Control Number. We estimate that it will take an average of 40 hours to complete the application. The average estimated annual burden associated with writing and submitting required performance reports is 6 hours. You may send comments concerning the burden estimates or any aspect of this information collection to the Information Collection Clearance Officer, U.S. Fish and Wildlife Service, 4401 N. Fairfax Drive, MS 2042-PDM, Arlington, VA 22203.

Wildlife TRACS Project Action Levels with Indicators 8/20/14

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and Level 3 Output Measures	Description/Examples/Notes
Project Catagories	**Category**	**Strategy**	**Activity**	**Units**	
Administration and/or Conservation / Management and/or Recreation	Coordination and Administration	Coordination and Administration		Number	Coordination and administration necessary for effective agency operations and program/project management
			Agency administrative support	Number	Administration necessary for effective agency operations (e.g., acquisition of goods and services, human resources tasks)
			Program/project administrative support	Number	Administration necessary for effective program/project management (e.g., staff support and training, monitoring progress of grant proposal and reporting processes)
		Incentives	Incentives	Number	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)
			Dam notching	Structures	Removal of portions of dams for increased flow

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and Level 3 Output Measures	Description/Examples/Notes
			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)
				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

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and Level 3 Output Measures	Description/Examples/Notes
		Grazing/farm management	Farming residue management	Acres	Use of vegetative crop material left on a field after harvesting, pruning or processing to benefit wildlife and soil quality
			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, anerobic 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

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and Level 3 Output Measures	Description/Examples/Notes
			Shoreline armoring removal	Acres	Removal of shoreline armoring to improve aquatic habitats (e.g., jetties, riprap)
			Solid waste removal	Acres	Removal of solid waste to improve habitat for wildlife (e.g., derelict vehicles, rubbish)
		Instream modification		Miles	Stream improvements to benefit fish and wildlife and their habitats
			Channel reconfiguration	Miles	Restoration of natural stream channel (e.g., returning meanders and sustainable profiles to straightened streams, sandbar improvement)
			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)

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and Level 3 Output Measures	Description/Examples/Notes
			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
			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
				Acres	Physical manipulation of vegetation to maintain fish and wildlife habitats and/or restore ecological functions

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and Level 3 Output Measures	Description/Examples/Notes
		Vegetation management	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
			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)

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and Level 3 Output Measures	Description/Examples/Notes
		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
			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

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and Level 3 Output Measures	Description/Examples/Notes
		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)

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and Level 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)
			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)

Wildlife TRACS Project Action Levels with Indicators 8/20/14

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and Level 3 Output Measures	Description/Examples/Notes
		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
			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

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and Level 3 Output Measures	Description/Examples/Notes
		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.

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and Level 3 Output Measures	Description/Examples/Notes
			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
	Facilities and Areas (Major Renovation)	Agency support facilities		Sites	Major renovation of facilities used by agency personnel in support of programs/projects (e.g., office buildings, garages, equipment sheds)
		Aquatic resource education centers		Sites	Major renovation of facilities for aquatic resource education
		Boating access facilities		Number	Major renovation of 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	Major renovation of 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	Major renovation 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 other barriers coded elsewhere
			Counting traps/stations	Number	Counting traps/stations
			Downstream bypass facilities	Number	Facilities designed specifically for downstream movement of fish

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and Level 3 Output Measures	Description/Examples/Notes
			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	Major renovation 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	Major renovation of facilities to propagate fish or wildlife species for restoration
		Hatcheries (restoration)		Sites	Major renovation of facilities to propagate fish or wildlife species for recreational purposes
		Hunter education - archery ranges		Sites	Major renovation of archery ranges for hunter education purposes
		Hunter education - classrooms		Sites	Major renovation of classrooms for hunter education purposes Note: Could be funded through Wildlife Restoration basic or enhanced hunter education
		Hunter education - firearm shooting ranges		Sites	Major renovation of firearm shooting ranges for hunter education purposes Note: Could be funded through Wildlife Restoration basic or enhanced hunter education
		Public fishing areas/access		Number	Major renovation of non-boating access public fishing areas Note: Activities primarily for restoration and management of species and habitats should be coded to Create, Restore or Enhance Habitat and Natural Processes
			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
			Shelters	Number	Shelters at fishing areas

Wildlife TRACS Project Action Levels with Indicators 8/20/14

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and Level 3 Output Measures	Description/Examples/Notes
		Transient boat tie up - primary facilities		Number	Major renovation of 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
			Gangways (*)	Number	Gangways
		Transient boat tie up - secondary facilities		Number	Major renovation of secondary facilities for tie-up of transient boats Note: Typically funded through Boating Infrastructure Grant program
			Restrooms (*)	Number	Restrooms
			Fuel stations (*)	Number	Fuel stations
			Laundry facilities (*)	Number	Laundry facilities
		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 (New Construction)	Agency support facilities		Sites	Construction of new facilities used by agency personnel in support of programs/projects (e.g., office buildings, garages, equipment sheds)
		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

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and Level 3 Output Measures	Description/Examples/Notes
		Boating access facilities	Access roadways (*)	Number	Roadways to access fishing areas
			Docks/piers (*)	Number	Docks/piers at boat launch sites
			Fish cleaning stations (*)	Number	Fish cleaning stations at boat launch sites
			Launch ramps (*)	Number	Boat ramp lanes at boat launch sites
			Parking areas (*)	Number	Parking areas at boat launch sites
			Parking spaces (*)	Number	Parking spaces at boat launch sites
			Restrooms (*)	Number	Restrooms at boat launch sites
			Shelters (*)	Number	Shelters at boat launch sites
		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 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
		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). Note: Primarily funded by FRIMA grant program in Region 1
		Hatcheries (recreational purposes)		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 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

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and Level 3 Output Measures	Description/Examples/Notes
		Hunter education - firearm shooting ranges		Sites	Construction of new 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	Major renovation of non-boating access public fishing areas Note: Activities primarily for restoration and management of species and habitats should be coded to Create, Restore or Enhance Habitat and Natural Processes
			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
		Transient boat tie up - primary facilities		Number	Major renovation of primary facilities for tie-up of transient boats Note: Typically funded through Boating Infrastructure Grant program
			Docks/slips (*)	Number	Spaces for tie-ups to docks
			Gangways (*)	Number	Gangways
			Moorings (*)	Number	Moorings
		Transient boat tie up - secondary facilities		Number	Major renovation of secondary facilities for tie-up of transient boats Note: Typically funded through Boating Infrastructure Grant program
			Fuel stations (*)	Number	Fuel Stations
			Laundry facilities (*)	Number	Laundry Facilities
			Restrooms (*)	Number	Restrooms

Wildlife TRACS Project Action Levels with Indicators 8/20/14

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and Level 3 Output Measures	Description/Examples/Notes
		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 Mantenance)	Agency support facilities		Sites	Routine operations and maintenance of facilities used by agency personnel in support of programs/projects (e.g., office buildings, garages, equipment sheds)
		Aquatic resource education centers		Sites	Routine operations and maintenance of facilities for aquatic resource education
		Boat pump out and dump stations		Number	Routine operations and maintenance of 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
			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
			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

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and Level 3 Output Measures	Description/Examples/Notes
		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		Number	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 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	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

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and Level 3 Output Measures	Description/Examples/Notes
		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
		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 education
		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 Create, Restore or Enhance Habitat and Natural Processes
			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	

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and Level 3 Output Measures	Description/Examples/Notes
			Trash Collection	Number	
			Roads	Number	Roads
	Land and Water Rights Acquisition and Protection (Potential High Level Purposes: Conservation/ Management, Recreation, Administration)			Acres	
		Land acquisition	Fee title	Acres	Acquisition of lands through fee title acquisition
			Non-fee title	Acres	Acquisition of lands through leases, permanent easements, cooperative agreements, contracts or other non-fee title arrangements
		Water rights acquisition	Fee title	Acres Feet	Purchase of water rights through fee title acquisition (e.g., purchase of water rights to maintain adequate flows for endangered stream fishes)
			Non-fee title	Acres Feet	Acquisition of water rights through leases, permanent easements, cooperative agreements, contracts or other non-fee title arrangements (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

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and Level 3 Output Measures	Description/Examples/Notes
	Outreach				
		Partner/stakeholder engagement		Number	Engagement of partners to achieve shared objectives and broader coordination across overlapping areas
			Government agency	Number	Engagement of federal, state and local agencies and tribal entities to achieve shared objectives and broader coordination across overlapping areas (e.g., outreach with tribal governments for habitat restoration)
			Non-governmental organization	Number	Engagement of the NGO community to achieve shared objectives and broader coordination across overlapping areas (e.g., coordinate with an NGO on a fish and wildlife GIS analysis)
			Others	Number	Engagement of other partners to achieve shared objectives and broader coordination across overlapping areas (e.g., convene an advisory committee from academia to assist with management planning for a species)
		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 and shooting	Number	Participation in programs intended to recruit and retain hunters and shooters. Note: Non-hunting related shooting activities are only eligible for Multi-State Grant Program or Section 10 enhanced hunter education funding
			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

Wildlife TRACS Project Action Levels with Indicators 8/20/14

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and Level 3 Output Measures	Description/Examples/Notes
				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 at supported areas and facilities)
		WSFR program/ subprogram outreach	Displays, exhibits, kiosks	Number	Activities associated with producing displays, exhibits or kiosks
			Presentations, workshops, seminars, conferences	Number	How many presentations, workshops, seminars and conferences were conducted (not attended). Note: an outdoor writers conference, a speech to a hunting club, and media training for biologists count as a total of 3
			Outreach research	Number	Survey or research projects undertaken
			Brochures, Fliers	Number	The number of distinct brochures and flyers prepared, not the press run
			Public service announcements	Number	The number of original public service announcements prepared
			Stories, interviews, news releases	Number	The number of original stories produced, interviews given to the media and/or news releases prepared for the media
			Trade shows	Number	Participation in trade shows including setting up and maintaining booths
	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)

Wildlife TRACS Project Action Levels with Indicators 8/20/14

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and Level 3 Output Measures	Description/Examples/Notes
		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
			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	Plans	
		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)

Wildlife TRACS Project Action Levels with Indicators 8/20/14

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and Level 3 Output Measures	Description/Examples/Notes
	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)
			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				
				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)

Project Level	Action Level 1	Action Level 2	Action Level 3	Level 2 and Level 3 Output Measures	Description/Examples/Notes
		Environmental review	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)
			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

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Project(s) Proposal

Date Generated: December 17, 2013

WV Department of Natural Resources

Hunter Ed - Enhanced

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Project Statement Details:

- Project # 60000000 - BMP_Hunter Education
  - Project Statement # 370489 - Shooting Range Renovation

Appendix A: Project Details

- Project # 60000000 - BMP_Hunter Education

Project Statement Details

Project Snapshot #60000000 - BMP_Hunter Education

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

Project Statement Details #370489 - Shooting Range Renovation

[top]

Properties

Is Revision?	No
Grant Programs	Hunter Ed - Enhanced

Project Statement Cost Breakdown

Estimated WSFR Federal Cost:	$80,000
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 providesbenefits 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 limitlessopportunities for people to participate in hunting. Unfortunately, the hunting culture in WV has resulted inunsatisfactory levels of hunting incidents. According to the National Hunter Education Association, the State ofWV 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 ofadequate shooting ranges in WV where hunters can develop safe shooting and gun handling skills. It isimperative that WV DNR meet the statewide demand to provide shooting facilities to develop safe andresponsible hunters. Failure to take action to meet the demand for hunter education will result in continuedunsatisfactory levels of hunting incidents and will significantly jeopardize Grace's ability to sustain a rich huntingheritage and safe hunting experience.

Approach

Contracts will be offered to renovate 4 existing WV DNR managed shooting ranges in the four establishgeographic districts. Renovations will be to construct 3 additional (2 shotgun and 1 rifle) shooting lanes at eachrange. Renovations will begin in September after contracts are awarded and engineering designs have beencompleted and approved. Compliance reviews for NEPA, Sec 7 of the ESA and NHPA will be conducted beforerenovations 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 A: Project Details

Project Details #60000000 - BMP_Hunter Education

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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

Project Statement Summaries

Project Statement #370489 - Shooting Range Renovation

[View Statement Details]

Grant Programs	Hunter Ed - Enhanced

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

U.S. Fish and Wildlife Service

Financial Assistance Recipient Risk Assessment

Date Completed: _____ FY: ____

Recipient Name: _____

Recipient Type (select from drop down): _____ Recipient DUNS: _____

Completed By-Name: _____

Completed By-Program: _____ Region: _____

Instructions:

1. Read the "Recipient Risk Assessment Guidance" posted on the Intranet at https://inside.fws.gov/go/post/FAPO-NewAwards.
2. Complete this form once a Fiscal Year (FY) for each recipient who will be awarded one or more grant or cooperative agreement awards from the program in the open FY. The results of this risk assessment will apply to all awards to the recipient in the open FY.
3. For each category below, enter a numerical rating of 0=Not applicable (N/A), 1=Low, 2=Medium or 3=High in the Rating box. Use the information provided under the Rating Description sections to assist you in assigning a rating to each category. If not a new recipient, consider the recipient's performance on all currently open and recently closed awards, when applicable to the risk category.
4. For each category below, specify in the "Basis for Rating and Other Comments" field the factors that contributed to the rating entered. Provide enough detail to give an independent reviewer a clear understanding of the rationale used to determine the rating. If documents exist to support your rating (e.g., performance report on previous award) identify the document(s) and specify the location of the document(s). Here is an example of the type of detail to be entered in the "Basis for Rating and Other Comments" fields:

   Category 1 Rating = 1; "Basis for Rating and Other Comments" field reads: *The recipient has successfully implemented awards under our program in the past. Some projects include sub-recipients and construction, but awards with these complexities have been well managed. Summaries of past project results are available in our program database.*

Category 1: POTENTIAL FOR IMPLEMENTATION PROBLEMS — Rating: _____

Category 1 Rating Descriptions

0=N/A:	Not a valid response.
1=Low:	Project has no identifiable challenges; no past issues; typical project period for the program or project type; well-qualified recipient; project not complex; no sub-recipients; recipient has all equipment required for the performance of the project.
2=Medium:	New project for recipient; one or more sub-recipients; longer than typical project period for the program or project type; unproven recipient; recipient has had some issues with implementation on other awards; some challenges or potential challenges identified, such as recent staff turnover or reorganization that could affect implementation; recipient does not have all equipment required for the performance of the project but, as noted in its application package, has plans in place to obtain necessary equipment in advance of need.
3=High:	Project has multiple sub-recipients; complex project; multiple partners; construction project; recipient has had significant issues with implementation on other awards; significant challenges identified; recipient does not have all equipment required for the performance of the project and has not secured sufficient resources to make sure lack of equipment does not significantly delay planned project activities.

Basis for Rating and Other Comments:

Category 2: FINANCIAL MANAGEMENT SYSTEM AND FUNDS MANAGEMENT RECORD — Rating: _____

Category 2 Rating Descriptions

0=N/A:	Recipient is a Commercial Organization, Foreign Entity, or Individual.
1=Low:	Recipient has received a Federal financial assistance award in the past, has a financial management system in place that meets the applicable funds management requirements in 43 CFR Part 12, and the program has never identified any funds management issues on previous awards to recipient.
2=Medium:	Recipient has received an award in the past, has a financial system in place that meets the applicable funds management requirements in 43 CFR Part 12, but has had funds management issues on a current or previous award(s). Recipient was responsive to USFWS communications or requests for information or action in regards to identified issues. Issues were resolved.

3=High:	Recipient has never received a Federal financial assistance award and does not have experience managing Federal funds, or recipient has received an award in the past and has had significant funds management issues on a current or previous award(s), such as routinely submitting incorrect financial reports, requesting more than immediate cash needs, major variances between budget and actual expenditures, difficulty maintaining required matching funds, disallowed costs, among others. One or more reports of waste, fraud or abuse currently under investigation or determined to be valid. Recipient was not responsive to USFWS communications or requests for information or action in regards to identified issues. Issues were never resolved.

Basis for Rating and Other Comments:

Category 3: PERFORMANCE TRACK RECORD — Rating:

Category 3 Rating Descriptions

0=N/A:	Not a valid response.
1=Low:	Recipient met all proposed outcomes and/or deliverables on previous award(s); on schedule to meet proposed outcomes and/or deliverables on current award(s). Recipient met most proposed outcomes and/or deliverables on previous award(s) and reason(s) for delay or non-performance was (were) unavoidable; on schedule or only slightly delayed to meet proposed outcomes and/or deliverables on current award(s).
2=Medium:	Recipient may have had issues related to compliance with award terms and conditions on current or past award(s) but recipient was responsive to USFWS communications or requests for information or action related to the issues. Issues were resolved.
3=High:	Recipient has no past or current award with the USFWS or failed to deliver proposed outcomes and/or deliverables on previous award(s); reason(s) for delay or non-performance was (were) unavoidable; significantly behind schedule or failing to meet maintenance of effort required on current award(s) due to failures within recipient's control to correct. Recipient significantly failed to comply with award terms and conditions. Recipient was not responsive to USFWS communications or requests for information or action related to the issues. Issues were never resolved.

Basis for Rating and Other Comments:

Category 4: STAFF LEVEL AND KEY STAFF QUALIFICATIONS — Rating:

Category 4 Rating Descriptions

0=N/A:	Recipient is an Individual.
1=Low:	Recipient provided information detailing the experience and qualifications of key project personnel. All personnel appear qualified to meet the project objectives; no past issues with recipient in regards to key staff qualification. The project is fully staffed.
2=Medium:	Recipient provided information detailing the experience and qualifications for some key project personnel. All of the identified personnel appear qualified to meet the project objectives, but other key project personnel have not yet been hired.
3=High:	Recipient has not yet identified/hired any key project personnel; one or more of the personnel identified do not appear qualified to meet the project objectives; or one or more key personnel left the project and replacement(s) have not been identified.

Basis for Rating and Other Comments:

Category 5: DELIVERY EXPERIENCE — Rating:

Category 5 Rating Descriptions

0=N/A:	Not a valid response.

1=Low:	Recipient has delivered the funded project/program or similar projects/programs for USFWS or other Federal agencies for at least five years.
2=Medium:	Recipient has delivered the funded project/program or similar projects/programs for USFWS or other Federal agencies for at least two years.
3=High:	Recipient has never delivered the funded project/program or similar projects/programs, or has delivered the funded project/program or similar projects/programs for USFWS or other Federal agencies for less than two years.

Basis for Rating and Other Comments:

Category 6: AWARD ADMINISTRATION AND REPORTING COMPLIANCE — Rating:

Category 6 Rating Descriptions

0=N/A:	Recipient has no past or current award from the program.
1=Low:	Recipient has been timely in the submission of budget and project amendment requests, prior approval requests, financial and performance reporting, extensions of performance period and reporting due dates, and significant development reports, as applicable.
2=Medium:	Recipient has mostly been timely in the submission of budget and project amendment requests, prior approval requests, financial and performance reporting, extensions of performance period and reporting due dates, and significant development reports, as applicable. When out of compliance, recipient was responsive to written notifications and requests from the USFWS regarding late or incomplete requests or reports.
3=High:	Recipient has consistently been late in the submission of budget and project amendment requests, prior approval requests, financial and performance reporting, extensions of performance period and reporting due dates, and significant development reports, as applicable. Recipient is seldom or not at all responsive to written notifications and requests from the USFWS regarding late or incomplete requests or reports.

Basis for Rating and Other Comments:

Category 7: A-133 SINGLE AUDIT — Rating:

Category 7 Rating Descriptions

0=N/A:	Recipient is a Commercial Organization, Foreign Entity, or Individual.
1=Low:	Recipient is a government or non-profit entity and their application indicates that they were not required to submit an A-133 report for their most recently closed fiscal year; recipient completed A-133 audit for at least one of their two most recently closed fiscal years. Recipient submitted required A-133 report to the Single Audit Clearinghouse on time. Recipient did not have any Qualified or Adverse/Disclaimer opinions, significant internal control deficiencies or findings for non-compliance.
2=Medium:	Recipient has not had any Adverse/Disclaimer opinions, more than two significant internal control deficiencies, or more than two findings for non-compliance on A-133 audits conducted in the last five years. Recipient was late in submitting required A-133 report to the Single Audit Clearinghouse.
3=High:	Recipient has had an Adverse/Disclaimer opinion, more than two significant internal control deficiencies, or more than two findings for non-compliances on A-133 audits conducted in the last five years. Recipient has a history of not submitting A-133 reports to the Single Audit Clearinghouse on time. Recipient currently working under an A-133 Corrective Action Plan related to a current or previous award funded by the program.

Basis for Rating and Other Comments:

U.S. Fish and Wildlife Service

Financial Assistance Recipient Risk Assessment

Category 8: OTHER AUDITS REQUIRED BY FUNDING PROGRAM LEGISLATION	**Rating:**	

Category 8 Rating Descriptions

0=N/A:	Recipient has no past or current award from the program; or previous/current/pending award funded in full with Resource Management funds. If previous/current/pending award funded by other types of funds, program authorizing legislation does not require recipients to conduct a formal audit.
1=Low:	Recipient has had no significant internal control deficiencies or findings for non-compliance.
2=Medium:	Recipient has had less than two significant internal control deficiencies and less than two findings for non-compliance.
3=High:	Recipient has had more than two significant internal control deficiencies and more than two findings for non-compliance.

Basis for Rating and Other Comments:

RISK RATING AVERAGE (auto-calculated based on numerical scores entered in Rating boxes above):	**0.00**

Instructions: In the Preliminary Risk Level box below, enter the preliminary risk level that corresponds with the risk rating average calculated above, as follows:

Enter "**Low**" if the number in the Risk Rating Average box above is between **0-1.49**
Enter "**Medium**" if between **1.5-2.49**
Enter "**High**" if between **2.5-3**

PRELIMINARY RISK LEVEL (Low, Medium or High):	

OTHER FACTORS IMPACTING RISK LEVEL:

Instructions: Consider if there are any other factors that impact, either by raising or lowering, the recipient's preliminary risk level. If there are such factors, describe each factor and explain how each raised or lowered the preliminary risk level in the text box below, and then enter either "Low", "Medium" or "High" in the Final Risk Level box below.

If no such factors exist, enter "No other factors impact the preliminary risk level" in the text box below, and then enter the same value as entered in the Preliminary Risk Level box above in the Final Risk Level box below.

FINAL RISK LEVEL (Low, Medium or High):	

Instructions: Based on the result of this risk assessment, incorporate the required monitoring activities into all notices of award to the recipient in the open FY following the "Recipient Risk Assessment Guidance" posted on the Intranet at https://inside.fws.gov/go/post/FAPO-NewAwards.

TAB 7

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.

Handouts:

- 7-1 Sample Award Letter

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

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.

Exercise: Notice of Grant Award

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

1. What is the "Effective Date" of a grant award and how is it established?

   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?

   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?

   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?

   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. Submit amendments if appropriate.

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

   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 exceed10% of the total grant budget. If 10% rule is not waived, the grantee is limited to re-budgeting 10% of total grant award for any grants where the federal share exceeds $100,000. WSFR may waive this requirement and allow grantees to transfer funds between categories or jobs. However, transfers between subprograms must be approved with an amendment to the grant. Construction grants always require approval to rebudget funds.

6. Define program income and list allowable methods to apply program income.

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

Exercise: Notice of Grant Award (continued)

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

   FW 522 Chapter 17 – Grantee must establish cost codes at project level. This is the level at which substantiality in character & design were made and must be tracked. Matching is required at the subaccount, subprogram level.

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

   Applies to WR/SFR and associated programs. Because these programs are permanent & indefinite appropriations (not dependent on Congress), States receive an apportionment every year. If funds are not available when the grant is approved, a statement will be included on the Notification of Award stating that the grant is approved but funds will not be available until the apportionment is received. States manage obligations of their apportionments based on State needs.

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
300 Westgate Center Drive
Hadley, MA 01035-9589

In Reply Refer To:
FWS/Region 5/WSFR

WSFR - Vermont
F13AF00888

JUL 29 2013

Patrick H. Berry, Commissioner
Department of Fish and Wildlife
103 South Main Street, 10 South
Waterbury, Vermont 05671-0501

Dear ~~Mr. Berry~~: Pat

This letter constitutes approval of Application for Federal Assistance (AFA) **F13AF00888** titled, "VT W-46-D-33 Statewide Wildlife Habitat Development," effective July 01, 2013. This AFA has been approved in the total amount of $1,246,000.00, of which the Federal share is $927,000.00. Currently, $345,000.00 of the Federal share has been obligated, and the remaining $582,000.00 is subject to the availability of funds. The performance period for this award is July 01, 2013 through June 30, 2014.

Terms of Acceptance:

Acceptance of a Federal Financial award from the Department of the Interior (DOI) carries with it the responsibility to be aware of and comply with the terms and conditions of the award (http://www.doi.gov/pam/TermsandConditions.html and DOI Policy, 305 DM 3, "Integrity of Scientific and Scholarly Activities"). Acceptance is defined as the start of work, drawing down funds, or accepting the award via electronic means. Awards are based on the application submitted to, and as approved by, DOI and are subject to the terms and conditions incorporated in pertinent Federal regulations, policies, and guidelines, which can be found at http://wsfrprograms.fws.gov/Subpages/ToolkitFiles/toolkit.pdf and with the conditions as stated below.

Conditions:

(1) As per approved descriptions for Job 2 "Wildlife Habitat Management" and Job 3 "New Facilities Construction," the Department must submit NEPA, Section 7 and Section 106 documents on a site and project specific basis prior to initiating significant ground disturbing activities such as road or bridge construction.

(2) Cost accounting is at the subaccount level.

(3) This grant is not subject to the prior written approval requirements of 43 CFR 12.70(c)(3).

(4) The grantee may use addition as the method for applying program income to Federal and non-Federal outlays. Thus, the grantee may add program income to the funds committed to the grant and use these funds for the purposes and under the conditions of the grant.

(5) If the grantee generates income outside of the grant period from federally assisted acquisitions or other activities, it must treat such income as license revenue and use it to support the administration of the State fish and wildlife agency.

(6) The U.S. Fish and Wildlife Service approves this grant subject to the availability of funds.

(7) Grant is eligible for reimbursement of amount obligated, not to exceed 75 percent of total expenditures.

(8) Equipment purchased with grant funds must be used to meet grant objectives during and after the grant period. When equipment is not needed or no longer useful for its original purpose, it may be used for other Wildlife and Sport Fish Restoration (WSFR) program grants. If equipment with a current market value over $5,000 is not needed or useful for other WSFR program grants, it may be used for other fish and wildlife agency purposes. If it is no longer useful to the State fish and wildlife agency, it may be transferred or sold, and the awarding agency reimbursed its proportionate share of the current market value or purchase price, respectively. The reimbursement may be treated as program income both during and after the grant period within which the equipment was purchased. When the equipment has reached the end of its useful life, or its value is less than $5,000, it may be disposed of in accordance with State laws and procedures. The current status of the equipment and anticipated use or disposition of the equipment during its expected useful life must be described in the final performance report.

(9) The U.S. Fish and Wildlife Service must receive a final performance report and final financial report no later than 90 days after the expiration or termination of grant support. Failure to submit reports by the required due date will render you not in compliance and may result in the imposition of sanctions including: withholding of cash payments, denying the use of Federal funds and credit for the use of matching cash and in-kind contributions for all or part of the award, whole or partial suspension or termination of the award, withholding of further awards for the program and other legal remedies.

Sincerely,

John F. Organ, Ph.D.
Chief, Division of Wildlife
and Sport Fish Restoration

Enclosure

cc: Steve Gomez
Julia Stone

TAB 8

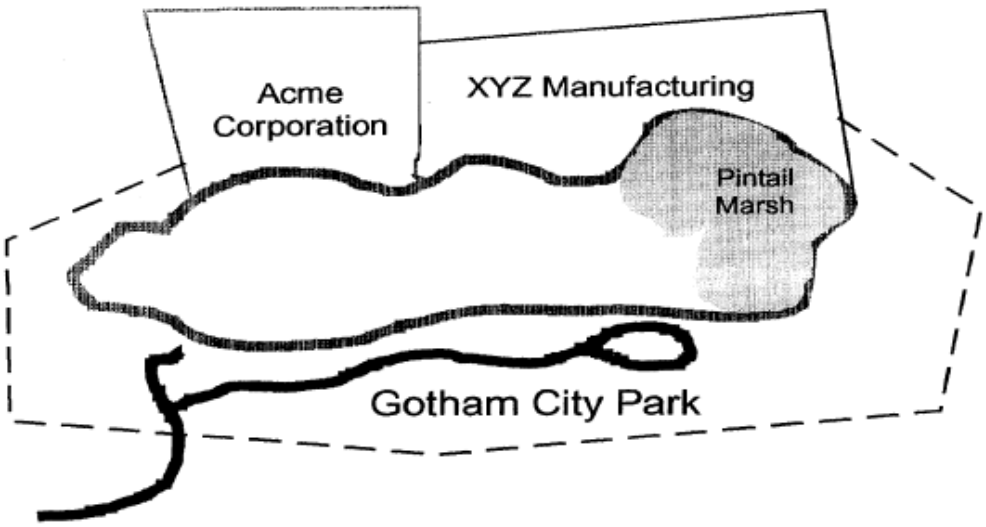
Objectives:

1. Complete a grant application package and check performance against answer form.
2. Prepare a project statement that meets the minimum requirements outlined in the Fish & Wildlife Service Manual.
3. Prepare a list of the required supporting documents to include in the grant application package.
4. Review grant application package of another team to determine if all information and documentation is included, if the project is eligible, substantial in character and design, and approvable.

Handouts:

- 8-1 Batwing Lake Project Statement Template
- 8-3 SF 424 Application for Federal Assistance
- 8-5 Batwing Lake General Compliance
- 8-7 Batwing Lake Document Review Checklist

Batwing Lake



Batwing Lake Scenario

Batwing Lake in Gotham City was once a popular place to fish in the city. Over time the 50 acre warm-water fishery has degraded due to turbidity and the abundance of carp. Recreational anglers complain about not being able to catch any largemouth bass and the Penguin complains that the water is too warm.

Unfortunately a number of problems are preventing the majority of city residents from using the fishery. One side of the lake's shoreline is owned by two industries, which do not allow public access. The rest of the lake is accessible through Gotham City Park on the other end. The shoreline is marshy and shallow at the upper end.

Recently the city conducted a use survey. The survey results showed a majority of the fishing is now done by a number of the city's ethnic groups as well as the poor.

Gotham's newly elected Mayor, Eileen N. Topolitiks, has contacted your agency and asked for assistance in improving this urban recreation site. Your agency is interested in improving sport fishing and increasing recreational use of the fishery.

Preparing the Batwing Lake Fisheries Improvement Grant Documents

Instructions:

After discussing all the issues, your agency has decided to seek a grant to improve the fishery by drawing the lake down, applying rotenone to the existing fish population, and restocking.

1. Using 50 CFR 80.82 as a reference, write a project statement and complete the Batwing Lake Fisheries Improvement Grant using Handout 8-1, 8-3 and 8-5.

*To keep this exercise short and simple, you may **NOT** use additional sheets to write your project statement.*

Miscellaneous Grant Facts

Grant # F-007-1
Total cost of the project: $150,000 Federal Funds
Catalog of Domestic Assistance #15.605 (Sport Fish Restoration)
Title: Batwing Lake Restoration
Authorized Representative: Doris L. Fishfinn

Review and Approval of Batwing Lake Grant

Instructions:

Exchange your grant package with another team. Use the Batwing Lake Document Review Checklist, **(Handout 8-7).** Review the grant package to determine if the **SF 424 form** is filled out correctly, if all the **supporting documentation** is listed and if the project is **substantial in character and design**. As a team make a decision to either approve or ask for resubmission of the other team's grant with corrections. If you decide to ask for resubmission, discuss what needs to be done to make the grant approvable and have the other group make the changes needed.

When you have finished, select a spokesperson from your team to provide the results of your review.

Notes:

Learning Points

- ✓ It is the grantee's responsibility to complete and submit all necessary documents.
- ✓ It is the responsibility of the regional office staff to review and approve grants.
- ✓ Agency decision making process should include public input from affected groups, biological and socio-economic surveys or other research data.
- ✓ Check with the WSFR office and your peers if you need technical assistance. Ask questions early.
- ✓ Read, understand and follow guidelines.

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Project Statement Template

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

_____

_____

_____

_____

_____

_____

Objectives:

1. (Action verb?)_____ (how many?) _____

(who or what?) _____ (by when?)_____

2. (Action verb?)_____ (how many?) _____

(who or what?) _____ (by when?)_____

Approach:

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

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

- Level 1 Action Category: _____
- Level 2 Action Strategy:_____
- Level 3 Action Activity:_____

Provide a brief narrative description of the action_____

_____

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

- Level 1 Action Category: _____
- Level 2 Action Strategy:_____
- Level 3 Action Activity:_____

Provide a brief narrative description of the action_____

_____

Name principal investigator if a research project_____
Include essential equipment purchases information_____
_____

Expected Results and Benefits

List the benefit to the:

Resource_____

User_____

Economy_____

Society_____

Budget Narrative:

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

_____

_____

_____

_____

List all of the supporting documents needed for approval of the grant application package.

_____

_____

_____

_____

Version 7/03

APPLICATION FOR FEDERAL ASSISTANCE

1. TYPE OF SUBMISSION: Application ☐ **Construction** ☐ **Non-Construction**	Pre-application ☐ **Construction** ☐ **Non-Construction**	**2. DATE SUBMITTED**	Applicant Identifier
		3. DATE RECEIVED BY STATE	State Application Identifier
		4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier

5. APPLICANT INFORMATION

Legal Name:		**Organizational Unit**: Department:	
Organizational DUNS:		Division:	
Address: Street:		**Name and telephone number of person to be contacted on matters involving this application (give area code)** Prefix:	First Name:
City:		Middle Name	
County:		Last Name	
State:	Zip Code	Suffix:	
Country:		Email:	
6. EMPLOYER IDENTIFICATION NUMBER *(EIN):* ☐☐-☐☐☐☐☐☐☐		Phone Number (give area code)	Fax Number (give area code)

8. TYPE OF APPLICATION: ☐ **New** ☐ **Continuation** ☐ **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) Other (specify)
	9. NAME OF FEDERAL AGENCY: U.S. Department of Interior, Fish and Wildlife Service
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: ☐☐-☐☐☐ TITLE (Name of Program):	**11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:**
12. AREAS AFFECTED BY PROJECT *(Cities, Counties, States, etc.):*	
13. PROPOSED PROJECT Start Date: / Ending Date:	**14. CONGRESSIONAL DISTRICTS OF:** a. Applicant / b. Project

15. ESTIMATED FUNDING:		**16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?**
a. Federal	$	a. Yes. ☐ THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE:
b. Applicant	$	
c. State	$	
d. Local	$	b. No. ☐ PROGRAM IS NOT COVERED BY E. O. 12372
e. Other	$	☐ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW
f. Program Income	$	**17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?**
g. TOTAL	$	☐ Yes If "Yes" attach an explanation. ☐ No

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	First Name	Middle Name
Last Name		Suffix
b. Title		c. Telephone Number (give area code)
d. Signature of Authorized Representative		e. Date Signed

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Standard Form 424 (Rev.9-2003)
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INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This is a standard form used by applicants as a required face sheet for pre-applications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item:	Entry:	Item:	Entry:
1.	Select Type of Submission.	11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
2.	Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).	12.	List only the largest political entities affected (e.g., State, counties, cities).
3.	State use only (if applicable).	13	Enter the proposed start date and end date of the project.
4.	Enter Date Received by Federal Agency Federal identifier number: If this application is a continuation or revision to an existing award, enter the present Federal Identifier number. If for a new project, leave blank.	14.	List the applicant's Congressional District and any District(s) affected by the program or project
5.	Enter legal name of applicant, name of primary organizational unit (including division, if applicable), which will undertake the assistance activity, enter the organization's DUNS number (received from Dun and Bradstreet), enter the complete address of the applicant (including country), and name, telephone number, e-mail and fax of the person to contact on matters related to this application.	15	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.	16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.
7.	Select the appropriate letter in the space provided. A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School District I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify) O. Not for Profit Organization	17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
8.	Select the type from the following list: • "New" means a new assistance award. • "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date. • "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision enter the appropriate letter: A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration	18	To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)
9.	Name of Federal agency from which assistance is being requested with this application.		
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.		

Batwing Lake Practical Exercise
General Compliance Issues to Consider

Statement of Assurances – may be submitted annually for all WR/SFR/SWG grants.

Lobbying disclosure if necessary.

State Clearinghouse letter attached, project submitted, exempt or cleared with appropriate State and local agencies.

NEPA-categorical exclusion, ES or EIS attached (include contaminants) information included in project statement.

State Historic Preservation Office (SHPO) clearance attached or not required because:_____.

Endangered/threatened candidate species information included in project statement.

U.S. Army Corps of Engineers Permit included or not required because _____ (wetlands, tidelands or navigable waters impacted from project?)

Handicap accessibility built into project or program or not incorporated because:_____.

Other compliance issues that should be considered:

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Batwing Lake Document Review Checklist

Y ☐ N ☐ Is the Form 424 (Application for Federal Assistance) filled out correctly?

Y ☐ N ☐ Is the project statement/narrative comprehensive in the need, objectives, expected results & benefits?

Y ☐ N ☐ Do the objectives relate to the need? Are the objectives measurable?

Y ☐ N ☐ Is the approach scientifically sound? Does it include enough information to make compliance determinations? Is it TRACS ready?

Y ☐ N ☐ Is the project substantial in character and design?

Y ☐ N ☐ Do the costs correspond with the estimated funding shown on the SF-424?

Y ☐ N ☐ Do the dates on the form correspond?

Y ☐ N ☐ Can you approve this grant application? If not, why? What Revisions are needed to make it approvable?

_____

_____

_____

_____

_____

_____

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TAB 9

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.
6. Identify reporting requirements.
7. Describe the Federal Funding and Transparency Act reporting requirements.

Handouts:

- 9-1 Determining Reporting Periods and Due Dates
- 9-2 Examples of Reporting Periods and Due Dates
- 9-3 Income Determination Flowchart

Grant Implementation

Once an Application for Federal Assistance is approved and 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

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)

Establish standards to track 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

Do you hire staff? Enter into contracts?

Exercise: Cost Principles

Answer the questions below using 2 CFR 200 "Uniform Grant Guidance." Cite your references.

1. Describe what discussed in each of the references below concerning the composition of a cost?

   a. 2 CFR 200.403 _____

   b. 2 CFR 200.404 _____

   c. 2 CFR 200.405 _____

2. In your own words, list 2 CFR 200.403 Factors Affecting Allowability of Costs (Try keeping each factor to eight words or less).

   Necessary and reasonable; allocable; authorized / Not prohibited; compliance with federal regulations; consistency; conformance with GAAP; not included in cost/match of other federally funded activities; net of applicable credits; adequately documented.

   Necessary and reasonable; allocable; authorized / Not prohibited; compliance with federal regulations; consistency; conformance with GAAP; not included in cost/match of other federally funded activities; net of applicable credits; adequately documented.

Exercise: Cost Principles cont'd

3. Can a State charge to a grant the cost of posting a job position on a job recruitment website?

   Yes, as an advertising cost (SIC#1c(1)) on pg 53 and as recruiting personnel To meet workload requirements under the award, with certain restrictions. (SIC#42 "Recruiting costs")

4. Can state agencies charge salaries and wages of its employees? If so, what are the requirements?

   Yes. Must be supported in the same manner as those claimed as allowable costs under Federal awards.

5. May a state agency charge travel costs to their federal financial assistance award?

   An actual cost basis, per diem/mileage basis in lieu of actuals costs, or a combination of the two, provided the method used is consistent for the entire trip & is consistent for non-federal travel activities. Selected Cost #43

6. Can a state agency charge the use of their equipment to a grant?

   An actual cost basis, per diem/mileage basis in lieu of actuals costs, or a combination of the two, provided the method used is consistent for the entire trip & is consistent for non-federal travel activities. Selected Cost #43

7. Can a state agency meet their match requirements from volunteers donating time to the project? If so, what are the requirements for valuing the donation and what documentation is required?

   An actual cost basis, per diem/mileage basis in lieu of actuals costs, or a combination of the two, provided the method used is consistent for the entire trip & is consistent for non-federal travel activities. Selected Cost #43

Exercise: Managing and Monitoring an Approved Grant

1. How do you know if funds have been obligated to a grant and who is responsible for obligating the funds?

   Check FAIMS/ASAP, call RO. Will review FAIMS reports during debrief.
   RO does the actual obligation but should be communicating with State to
   determine amount of obligation and timing.

2. How and when do we receive the actual federal funds for grant expenditures? Explain.

   Program is reimbursement. State accountants perform drawdowns using
   ASAP according to State schedule. Funds electronically deposited
   to State's bank usually next day (requires initial setup). State accountant
   is responsible for requesting reimbursement, sometimes this is performed
   at the agency level. Monitored using FAIMS, ASAP, RO fiscal staff.

3. Are costs incurred prior the start date of a grant allowable?

   No. Pre-award costs must have been documented and requested in grant
   application package and must be approved in award.
   Pre-award costs may include activities for planning & development, surveys
   plans, appraisals, etc. If not specifically approved costs incurred prior to
   effective grant date cannot be charged to grant.
   522 FW 1.11B (2), 522 FW 16.

Federal Funding And Transparency Act (FFATA) of 2006

As of October 1, 2010, federal agencies are required to report new awards and prime award recipients are required to report new first-tier subawards (both mandatory and discretionary) greater than or equal to $25,000. This applies to the following scenarios:

- Initial awards that meet or exceed $25,000.
- Award revisions that increase the initial award to $25,000 or greater.
- Awards initially meeting or exceeding $25,000 but are later reduced below $25,000.

Reporting must be done by the end of the month ***following*** the month of award obligation.

FFATA requires that prime recipients report the names and total compensation of the five most highly compensated officers of a prime **or** sub-awardee entity if

1. Executives received 80% or more of the entity's annual gross revenues in Federal awards and
2. Annual gross revenues meet or exceeded $25,000,000 from Federal awards, and
3. The public does not have access to this information via the SEC.

Reporting exemptions apply to the following

- Individuals unrelated to any business or nonprofit organization.[1]
- Any entity with less than $300K from previous tax year's gross income.
- Reporting that would disclose classified information.
- Awards under the Recovery Act

OMB M-09-19 (June 1, 2009) requests reporting of awards (1) less than $25K, or (2) to individuals, be aggregated, but still reported. See memo in iPad for more information.

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.

	Modifying Grants
Revisions	50 CFR 80.150

Reporting Requirements

Federal Financial Report (FFR)

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

Performance Report

- 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

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.

Remedies for Non-Compliance

- Report is not received by due date:
  - Notify recipient due date has passed
  - Inform recipient of non-compliance and sanctions that may be imposed
  - Request immediate receipt of report
  - May negotiate a 30 day extension date (extension must be issued in writing)

- Report or explanation is not received after 30 day extension date:
  - 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 withhold further awards

	Performance Reports
Interim Guidance/Policy Program guidance	Interim Guidance for Financial and Performance Reporting-May 12, 2009

Performance Reports

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: (2 CFR 200.328)
    - A comparison of actual accomplishments to the objectives established for the period.
    - The reason for slippage, if established objectives were not met.
        - Reasons objectives might not be met
            - Weather
            - Permits
            - 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.

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

- Actions (approaches) are created any time after the post award phase
- Accomplishment reporting now occurs at the action level
- Submit the performance report using the TRACS system

Learning Points

- ✓ Effective communication is essential to successfully implementing a Federal Assistance 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.
- ✓ Financial and Performance reports are due 90 days after the grant period or annually depending on award period.
- ✓ There are negative consequences for not complying with reporting requirements.
- ✓ Grantees must have adequate financial management systems to account for grant funds. (2 CFR 200.300-303).

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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

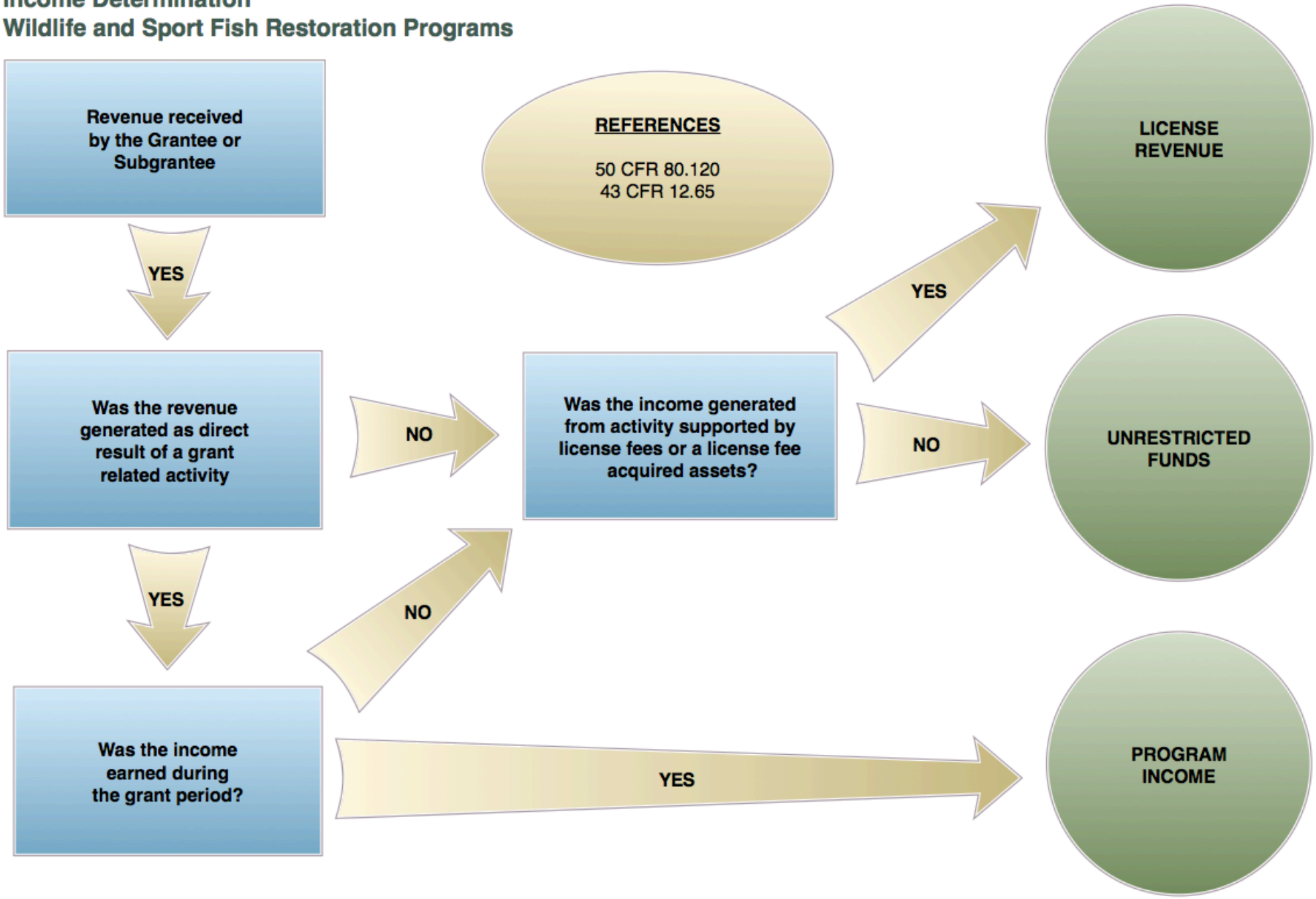
Award Funding Period		Length of Award	First Annual Interim Reporting Period	First Annual Interim Report Due Date	Subsequent Annual Interim Reporting Periods	Subsequent Annual Interim Report Due Dates	Final Report Due Date
Award Start Date	Award End Date						
4/1/2009	3/31/2010	12 Months	Not Required	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.

Income Determination
Wildlife and Sport Fish Restoration Programs



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 10

Objectives:

1. Describe the actions and documentation that initiate grant closure.
2. Determine disposition of remaining grant funds.
3. Become familiar with the dissemination of information.
4. Describe the communication and people involved in grant closure.

Handouts:

- None

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 ASAP 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).

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
- TRACS

Notes:

Closure and Disposition of Remaining Funds

Submission and acceptance of the final Federal Financial Form (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.

Typically for competitive grant programs, funds are only available until the end of the grant award. Remaining unused funds are lost to the grantee. Depending on the grant program and age of the funds, the funds are returned to the grant program to be distributed in the subsequent year or returned to be used in other Federal programs.

Remaining funds on grants funded with Enhanced Hunter Education (Section 10 - $8 million set aside) older than 1 year are lost to the grantee and apportioned in the subsequent year as Wildlife Restoration funds to grantees meeting guidelines for use of Hunter Education funds.

Funds remaining on grants funded with Wildlife Restoration, Sport Fish Restoration and State Wildlife Grant Programs are returned (recovered) to the grantee to be re-obligated on subsequent grants if funds do not exceed their established safety margin for each grant program. Funds exceeding the safety margin are reverted and lost to the grantee.

Reverted Wildlife Restoration Program funds are returned to U.S. Fish and Wildlife Service to be used in the Migratory Bird Program. Reverted Sport Fish Restoration funds are re-apportioned for Sport Fish Restoration Program in subsequent year.

What are Safety Margins?

Safety margins are used only for Sport Fish Restoration, Boating Access, Wildlife Restoration and State Wildlife Grant Programs. Sport Fish Restoration includes freshwater, marine and aquatic education. Wildlife Restoration includes hunter education – section 4 funds. Boating Access includes freshwater and marine.

Safety margin is a term which describes the technique used to determine the age of unobligated funds. Sport Fish Restoration and Wildlife Restoration funds must be obligated within 2 years of the apportionment. The funds apportioned in one fiscal year must be obligated by the end of the following fiscal year.

Boating Access funds (allocated from SFR) must be obligated within 5 years of the apportionment.

A safety margin is set for each program, each federal fiscal year based on the amount obligated from the current fiscal year's apportionment. This is done at the end of the federal fiscal year after all obligations for the year have been completed.

Funds not obligated within the timeframe (2 years, 5 years) will revert and be lost to the grantee. Funds that are returned unused once a grant is closed must not exceed the established safety margin. Funds not exceeding the safety margin are returned to the grantee to be re-obligated. Funds exceeding the safety margin revert. Each time funds are returned whether recovered or reverted, reduces the safety margin originally established for that fiscal year.

States are not responsible for calculating safety margins, but need to be aware that funds not obligated timely or not used once obligated may be lost.

The Regional WSFR Office is responsible for calculating and tracking safety margins.

AVOID REVERTING FUNDS:

1. **OBLIGATE** funds after they are **apportioned**
2. **EXPEND** funds after they are **obligated**
3. **CLOSE OUT** grants in a **timely manner**

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

TAB 11

Case Study No. 1 – Making Decisions on Real Property

Instructions:

With your partner, read each scenario and then answer the questions. Use your WSFR Toolkit and review **50 CFR 80.135,136,137**, **2 CFR 200.306** and **SM Part 522 chapters 19, 21 and 22.**

1. A state wildlife agency has a WSFR grant for the purpose of leasing private lands to be made available for public use for hunting. The state wildlife agency charges an entrance fee to the leased land. In addition the agency receives 30% of the revenue generated from professional outfitters that provide hunting guide services on the lands. Is this a cause for concern?

   Yes. Commercial use. See **522 FW Chapter 22** WSFR funds shall not be used for the purpose of producing income.

   – State's decision, consider undo influence or fair treatment in guide services.

2. Your agency wishes to sell a parcel of land purchased under a WSFR grant. Originally, your agency intended to build a hunter education training facility on the land, but the facility was ultimately constructed on a different parcel of land. Can the agency sell the original property? Explain.

   Yes, if land is no longer needed for original purpose it can be disposed of with approval from Regional Director. Must return funds to WSFR program or buy additional parcel for WSFR purposes with non WSFR funds or transfer title to a WSFR approved entity and receive compensation.

   50CFR 80.136 and 137.

3. Lake Azure was constructed with Sport Fish Restoration monies to support a largemouth bass/bluegill/catfish sport fishery. A nearby town has requested the lake water be used as a secondary source of potable water during times of drought when their primary source is unable to provide an adequate amount of water. State law states that potable water is the highest and most important use of such water sources. What is the outcome?

   Incidental uses must not interfere with primary purposes of the lake and State law would affect regulations related to control of assets. Grantee must maintain control of assets. See **50 CFR 80.135 and 136**

Making Decisions on Real Property Use (continued)

4. A large island was purchased for goose management with Wildlife Restoration funds. After several years goose management on the area ceased as geese populations reached levels far exceeding carrying capacity of the island. The land was eventually allowed to proceed through succession to reach 90% mature forest cover. A timber company approached the State to trade a parcel of their land for the island. Is this allowable? If so, what must be done to allow this trade?

   Notify and request approval from FWS. See **50 CFR 80.137**.

   Exchange is two transactions…disposal and acquisition. See requirements.

   Equal biological and economic value is required.

   How about lack of monitoring for use for original purpose acquired?

5. The Governor's Office has developed a plan to convert one of your agency's wildlife management areas into a state park. The property was originally purchased on a WSFR grant. What WSFR concern does this raise?

   Loss of control by Fish & Wildlife Agency. Must regain control or compensate

   the program. If the non-federal match was from license revenue,

   this would be a diversion **50 CFR80.135 and 136**

6. At Ducks Galore Wildlife Area, a parcel of land is proposed for acquisition through an existing grant for land acquisition funded by the Wildlife Restoration Program. The state realized that the purpose of the area fits another federal program (North American Wetland Conservation Act) and requests funds from that program as well. Combining Wildlife Restoration monies with the North American Wetland Conservation Act program monies, the state could be reimbursed total costs of the land acquisition. The North American program can fund up to 50 percent of costs leaving the Wildlife Restoration Program with only the remaining 50 percent of costs. Should this be approved?

   No. You cannot use federal funds as non federal match for another program

   Unless specifically allowed in legislative act. See **2 CFR 200.306 b 5.**

Making Decisions on Real Property (continued)

7. A local horse riding club wishes to use a wildlife management area during non-hunting periods of the year. This would include a few events that would be by invitation only. The property was acquired and is managed on a WSFR grant. Can the agency allow this activity?

   Yes, up to agency. **SM 522 Chapter 21**.

8. Your agency pays a local farmer to cut hay from a wildlife management area. The area was originally purchased using only state license fees, but is managed under a WSFR grant. Does your agency need to report program income on the management grant? What if the property was originally purchased on a WSFR grant? What if the hay cutting was part of the management plan for the area?

   If activity is being managed using grant funds it is considered program income. If land was purchased with grant funds but not managed with grant funds, grant is closed, then the income is to be treated as license revenue. **SM 522 Chapter 19** Not PI if part of management plan.

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Case Study No. 2 – Education Grant

Documents:

Answer Sheet and handouts

Review 50 CFR 80.50, 80.60, 80.61, 2 CFR200.306 and 2CFR 200.434, Quick Reference sheet Handouts 4-15 and 4-16 in mod 4 and handout 11-1 provided to answer the questions below:

1. What percentage of the program funds apportioned to a State may be used for Aquatic Education? Is the state required to obligate this percentage annually?

   15% of the annual apportionment for Sport Fish Restoration to pay for up to 75% of the costs of an Aquatic Education Program (The Act, Section 8 (c))

   Not required…only a cap.not to exceed 15% (50 CFR 80.61)

2. Can a State exceed the maximum placed on the grantees annual Sport Fish Restoration apportionment that can be used for aquatic education without violating regulation? Please explain your answer.

   _____ YES *X* NO

   No…a state may not exceed the 15% maximum

   ***Only t**erritories and D.C. are exempt from the 15% maximum cap placed on , aquatic education expenditures.*

3. What is the formula to determine each states annual apportionment for Section 4 (c) Hunter Education? What about Section 10 Hunter Education?

   Both are apportioned based on the population of the State per census in proportion to the national total

Education Grant – Scenario/Answer Sheet

4. Is outreach an eligible activity under the Aquatic Resource Education subprogram?

   Yes…outreach includes 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. (Tom Barnes draft policy)

5. The amount a grantee obligates from their annual Section 4c apportionment determines how the grantee may use their Section 10 apportionment. Please explain.

   Unless all Sec 4 funds for the fiscal year have been fully obligated for Hunter Education. Sec 10 funds are restricted for **enhanced** *hunter ed or shooting ranges or reverted. If Section 4c funds are fully obligated for Hunter Ed Section 10 funds may be used for any WR activity* ***50CFR 80.60***
   See handout at end of this scenario.

6. List the eligible purposes under the Basic and Enhanced Hunter Education Programs

Basic Hunter Education	Enhanced Hunter Education
50 CFR 80.50.b	***50 CFR 80.50c***
Hunter training	*Enhance hunter education*
Facilities needed for instruction.	*Enhance hunter development*
Gather info for implementation & evaluation of hunter education.	*. inter state coordination of hunter ed shooting range and archery range development,*

Education Grant – Scenario/Answer Sheet

7. What activities can unobligated (reverted) Sec 10 funds be used for?

   Reverted Sec 10 may be used for ***regular WR activities only***

   50 CFR 80.60

   .

8. What method is used to determine the value of volunteer services used as in-kind contributions for hunter and aquatic education?

   (1) Use hourly rate of an appropriate State position,

   including fringe benefits. (2) If an employer volunteers the services

   then you use the hourly rate of pay of the employee including fringe benefits.

   2 CFR 200.306 f

9. What type of documentation is required for in-kind matching, specifically volunteer instructor time?

   Must be supported by the same methods used to support agency regular

   personnel (2 CFR 200.434d). Required data elements for volunteer

   timesheets includes (1) Name; (2) Activity; (3) Date; (4) Hours; (5) Miles;

   (6) Volunteer signature; and (7) Supervisory concurrence.

Checked by _____

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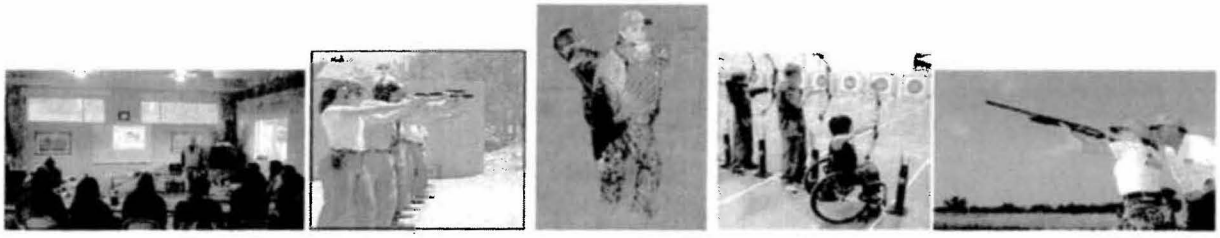

PITTMAN-ROBERTSON WILDLIFE RESTORATION PROGRAM

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

WILDLIFE RESTORATION

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)
Restore and manage wildlife for the benefit of the public. Conduct research on the problems of managing wildlife and its habitat if necessary to administer wildlife resources efficiently. Obtain data to guide and direct the regulation of hunting. Acquire real property suitable or capable of being made suitable for wildlife habitat, or public access for hunting and other wildlife oriented recreation. Restore, rehabilitate, improve, or manage areas of land or water as wildlife habitat. 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. 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.	Teach the skills, knowledge, and attitudes necessary to be a responsible hunter; and Construct, operate, or maintain firearm and archery ranges for public use.	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. Enhance interstate coordination of hunter-education and firearm- and archery-range programs. Enhance programs for education, safety, or development of bow hunters and archers. Enhance construction and development of firearm and archery ranges. Update safety features of firearm and archery ranges.

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;

- 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.

Case Study No. 3 – Equipment Issues

Using the WSFR Toolkit review **2 CFR 200.33**, **2 CFR 200.313**, and **50 CFR 80.10** and **80.21** to answer the questions below. Please cite the specific guideline that provided the basis for your answer.

1. Define "equipment" for the purposes of the WSFR Program.

   Tangible nonexpendable personal property charged directly to the grant Including exempt property a useful life of more than one year and an acquisition cost of greater than $5,000 ***(2 CFR 200.33)***

2. A tractor purchased on a WSFR grant is occasionally loaned to the State Parks Section for use on a State Park. May this be done under Federal guidelines? Under what circumstances, may the equipment be used outside the project?

   *No the equipment must be used on the project for which it was acquired. The use of this equipment without compensation may represent a diversion of license funds. The equipment may be used on other WSFR projects as long as it does interfere with the accomplishment of the project for which it was Acquired Gross income unless approved to us net income.****2 CFR200.313 B***

3. The State conducts a physical inventory of fixed assets once every three years. Is this adequate under Federal guidelines? What is the requirement?

   State must follow State guidelines. ***2 CFR 200.313 d 2***

Equipment Issues (continued)

4. The State is consolidating its vehicle fleet into a centralized system. Under the proposal the current fleet of fish and wildlife agency vehicles will be transferred to a newly created department called Fleet Management Services. Most of the vehicles were purchased using license fees and some were acquired on WSFR grants. The fish and wildlife agency will be required to lease vehicles from Fleet Management Services in the future. What concerns does this raise in relation to the WSFR Program?

   Possible diversion of license fees ***(50 CFR 80.10 and 80.21)***

   The agency would have to receive fair market value credit for the vehicles.

   Unless grant award has a conditional statement relating to equipment purchased with grant funds.

   States may establish consolidated motor pools but the lease fees must be reasonable.

5. A recent audit determined the fish and wildlife agency's inventory system was inadequate. The agency has formed a working group tasked with developing a new system. The group's first objective is to determine the minimum requirements for inventory records under Federal guidelines. While you stepped out of the first meeting to make a personal call, the group assigned the job to you. What are the minimum record requirements for an inventory system according to Federal guidelines?

   Must be able to track the location and disposition of all equipment acquired on WSFR grants and / or license fees.

   *State should have guidelines on inventory procedures and conduct a physical inventory.****2 CFR 200.313 d 1***

6. A shocking boat acquired by the State on a WSFR grant is no longer needed and the agency would like to dispose of the boat. What are the Federal guidelines for disposing of the boat?

   Is the grant open or closed? ***2 CFR 200.313 b****. If closed then the State shall follow their policies and procedures for disposition. However, diversion could become an issue if the equipment is disposed of outside of the Fish and Wildlife agency. This would include equip acquired with license $$.*

TAB 12

Objectives:

1. Identify responsibilities that continue after grant closure
2. Discuss 2 CFR 200.507 (Program Audits)
3. Describe importance of understanding and applying grant program requirements and guidance

Handouts:

- None

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

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 21, 22,

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

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.

Post Grant Closure Responsibilities (continued)

Record Retention

Grantees must retain grant records according to **2 CFR 200.333** 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. **2 CFR 200.507**

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. 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.

The objectives are to:

- Promote economy, efficiency, and effectiveness in administration of programs and operations.
- Aid in deterring and detecting fraud and abuse in programs and operations.
- Assess financial integrity, accountability, and controls of the WSFR Program in accordance with generally accepted accounting principles.
- Monitor compliance with applicable Federal laws, rules, and regulations.

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

417 FW 1-6 | Congressional Acts | General Guidance > Audit Guidelines

Surviving an Audit

- Collect and have available all documentation requested by the auditor's prior to their arrival.
- The State point-of-contact should work cooperatively with the audit team to ensure they have access to the pertinent information and personnel.
- Communicate regularly with your WSFR Regional Office and your agency leadership regarding issues that arise during the audit.
- Discuss with the affected staff the changes they need to be made as a result of the audit report. Implement those changes as soon as possible. It may be reflected in the final audit report.

Notes:

Learning Points

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

TAB 13

Instructors

Phil King
Wildlife & Sport Fish Restoration
U.S. Fish & Wildlife Service – NCTC
698 Conservation Way
Shepherdstown, WV. 25443

Phone: (304) 876-7469
Fax: (304) 876-7757

Email: phil_king@fws.gov

Phil joined the Wildlife and Sport Fish Restoration (WSFR) training team as an instructor in April 2009. His primary duties as an instructor are to coordinate, develop and deliver grant management training courses.

Prior to joining WSFR, Phil was the Federal Aid Coordinator for the Ohio Department of Natural Resources (ODNR), Division of Wildlife for 8 years. Phil served a total of 21 years with ODNR holding positions as Hunter Education Coordinator, Project WILD Coordinator, Becoming an Outdoors Woman Coordinator and State Park Naturalist.

Phil received an A.A.S. degree in Recreation and Wildlife from Hocking College in Nelsonville, Ohio.

Chris Matthiesen
Wildlife & Sport Fish Restoration
U.S. Fish & Wildlife Service – NCTC
698 Conservation Way
Shepherdstown, WV. 25443

Phone: (304) 876-7880
Fax: (304) 876-7757

Email: chris_matthiesen@fws.gov

Chris became a member of the WSFR Program's training team in August 2011. He works as an instructor developing and delivering grant management training courses.

Prior to WSFR, Chris spent three years as a federal grants accountant with Texas Parks and Wildlife (TPWD). While with TPWD he managed several grants from WSFR and other federal grant programs, as well as being the designated point of contact for federal grant management assistance to TPWD staff and subgrantees.

Instructors

Ryan Oster
Wildlife & Sport Fish Restoration
U.S. Fish & Wildlife Service – NCTC
698 Conservation Way
Shepherdstown, WV. 25443

Phone: (304) 876-7926
Fax: (304) 876-7757

Email: ryan_oster@fws.gov

Ryan joined the WSFR training branch in September 2014. Previously, he was the Federal Aid Coordinator for the Fisheries Division of the Kentucky Department of Fish and Wildlife Resources. His primary responsibilities included managing the programmatic side of the Fisheries Divisions Sport Fish Restoration, State Wildlife Grants, Clean Vessel Act, and Boating Infrastructure funds. He also oversaw the coordination of the boating access program throughout the state.

Prior to this position, Ryan worked as a District Fisheries Biologist in western Kentucky where he spent the majority of his time managing Kentucky and Barkley Lakes. In 2005, Ryan was promoted to the statewide Black Bass Research Biologist position, where he conducted statewide research projects aimed at enhancing black bass, catfish, muskellunge, and crappie populations throughout Kentucky.

Ryan holds a Bachelor's Degree and Master's Degree in Zoology (emphasis in Fisheries Management) from Southern Illinois University at Carbondale (Go Salukis). Ryan is an avid sport fish angler. He also enjoys spending time outdoors with his wife (Lourdes) and their children Vanessa and Wesley.

Instructors - Guest

Stasey Whichel
FL Fish and Wildlife Conservation Commission
620 South Meridian St.
Tallahassee, FL. 32399

Phone: (850) 617-9531
Fax: (850) 413-0381

Email: stasey.whichel@myfwc.com

Stasey is the Federal Aid Coordinator for the Freshwater Fisheries Management Division of the Florida Fish and Wildlife Conservation Commission (FWC). Her primary responsibilities are managing the programmatic side of the Freshwater Fisheries Sport Fish Grants, reconciling all fiscal reports, and supervising the Freshwater Resource Biologists and two freshwater hatcheries. Prior to moving to Freshwater Fisheries Management, Stasey was the State Wildlife Grant Coordinator for FWC and managed all aspects of 80+ projects statewide.

Stasey has been involved in the development of Wildlife TRACS since 2010. She has been a member of the Pilot Development Team, Public Advisory Group, and several TRACS state-federal committees. She is currently a member of the TRACS Working Group and Implementation Team.

Prior to working for the Service, Stasey worked in the petroleum cleanup/hazardous site assessment and remediation industry. Following the birth of her daughter she took a side job teaching high school math and science that turned into five years in the classroom. During the Deepwater Horizon Oil Spill event in Florida, Stasey worked with

the State of Florida's Toxicologist to develop the human health risk values for multi-pathway exposure to the oil, tar, and dispersant that were present in the water and beach sands.

Stasey has a B.S. in Biology from Florida State University.

Ron Essig
Wildlife & Sport Fish Restoration
U.S. Fish & Wildlife Service – Region 5
300 Westgate Center Drive
Hadley, MA. 01035

Phone: (413) 253-8504
Fax:

Email: ron_essig@fws.gov

Ron is Fish and Wildlife Section Chief for the Wildlife and Sport Fish Restoration Division, Northeast Region, U.S. Fish and Wildlife Service in Hadley, MA. He directs the administration of State grants under the Wildlife Restoration, Sport Fish Restoration and State Wildlife Grants programs for fisheries and wildlife research/survey, hunter education, and WMA operations and management. Ron's personal grant administration responsibilities have focused on marine and anadromous fisheries research and management in the northeast for the past 24 years.

Ron has been involved in the development of Wildlife TRACS almost since its initial planning meeting in late 2009. He has been a member of numerous TRACS state-federal committees over the years and most recently led the Guidance Committee. He is currently a member of the TRACS Working Group and leads the WSFR Regional Representatives group.

Prior to working for the Service, Ron worked on a national survey of saltwater sport fishing for the National Marine Fisheries Service in Washington, DC (1984-1991). From 1980 to 1984, he was Chief of the Data Management Section of the Coastal Resources Division, Georgia Department of Natural Resources in Brunswick, GA. He started his fisheries career at Woods Hole, MA (1979-1980) assisting with stock assessment work for NMFS. Ron has a M.S. in Fisheries Biology from the University of Massachusetts (1979) and a B.S. in Biology from Rutgers University (1976). He is currently President Elect of the American Fisheries Society and has been president of the AFS Fisheries Management Section, Northeastern Division, Southern New England Chapter, and Potomac Chapter.

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