

Basic Grants Management

Course Workbook 2018

Knowledge



Submission



Review

Approval



Management

Closure & Audits



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TAB 1

Basic Grants Management Course
Wildlife and Sport Fish Restoration Program
Training Program
Shepherdstown, WV
May 21-24, 2018

MONDAY

- 8:30 a.m. Welcome/Introductions/Getting Acquainted
Review Agenda – Unit 1
Course Goals and Objectives – Unit 2
E-Learning review - Unit 2
- 9:45 MORNING BREAK
- 10:00 Guest Speaker –WSFR headquarters Update
- 10:30 Using iPads in Class – Unit 2
- 10:45 Grant Management Resources and Systems – Unit 3
Guidance Hierarchy / Training Opportunities
- 12:00 LUNCH
- 1:00 Understanding WSFR Grant Programs – Unit 4
- 2:45 AFTERNOON BREAK
- 3:00 Compliance (Program, NEPA, Sec 7, NHPA) – Unit 5
- 4:30 p.m. ADJOURN

TUESDAY

- 8:00 a.m. Review Day 1/Preview Day 2
- 8:30 Pre-Award Project Statement – Unit 6
- 9:45 MORNING BREAK (group photo)
- 10:00 Pre-Award Project Statement (continued)
- 11:00 Grant Application Package – Unit 6
- 12:00 LUNCH
- 1:00 Risk Assessment – Unit 6
- 1:45 Award – Unit 7
- 2:45 AFTERNOON BREAK
- 3:00 Award Continued – Unit 7
- 4:30 p.m. ADJOURN

WEDNESDAY

- 8:00 a.m. Review Day 2/Preview Day 3
- 8:30 Project Statement: Exercise –Unit 8
- 9:45 MORNING BREAK
- 10:00 Project Statement: Exercise (continued) –Unit 8
- 12:00 LUNCH
- 1:00 Debrief Project Statement:Exercise – Unit 8
- 2:45 AFTERNOON BREAK
- 3:00 Post-Award- Grant Implementation, Cost Principles, FFATA -Unit 9
- 4:30 p.m. ADJOURN

THURSDAY

- 8:00 a.m. Review Day 3/Preview Day 4
- 8:30 Post Award - Revising Awards - Unit 9
- 9:45 MORNING BREAK
- 10:00 Post Award – Reporting – Unit 9
- 11:00 Grant Closure – Unit 10
- 12:00 LUNCH
- 1:00 Case Study #1 – Unit 11
Case Study #2 – Unit 11
Case Study #3 – Unit 11
- 2:45 AFTERNOON BREAK
- 3:00 Post Closure - Unit 12
- 3:30 BGM Quiz Bowl
- 4:15 Course Review/Post Test/Course Evaluation/Certificates
- 4:30 p.m. ADJOURN

FRIDAY Depart

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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: (1) partnering; (2) knowledge; (3) communication; and (4) consistency.

Course Objectives

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

1. Describe the organization and functions of 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 WSFR toolkit 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 1970 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 paid hunting license holders annually in proportion to the national total
 - C. The total square miles of a state's land and inland waters in proportion to the national total
 - D. The square miles of a state's land available for public use

Answer B and C

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

- C. 65%
- D. 25%

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

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

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

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

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

- 8) What are the factors in the distribution formula of Sport Fish Restoration funds to the states?
- A. The state's overall population in proportion to the national total
 - B. The number of paid fishing license holders 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)

Answer Key

A = State Grantee

B = WSFR Grants Specialist

C = Both

TAB 3

Module 3

Grant Management Resources

Learning Objectives:

1. Identify resources available to assist both WSFR staff and State recipients manage their grant awards.
2. Understand the hierarchy of authority for various forms of law, regulation, guidance, policy, and service manual chapters.
3. Understand the various training opportunities available to WSFR staff and State recipients.

Handouts:

- None.

Financial Assistance Systems and Resources

WSFR Website

The [WSFR website](http://wsfrprograms.fws.gov/) provides information on grant programs administered by WSFR program, apportionments/funding, audit information and schedules, hunting and fishing license sales, training, and regional office contact information.

<http://wsfrprograms.fws.gov/>

Service Financial Assistance Wiki (FAWiki)

What is a Wiki? A Wiki is a website developed by many users providing content to develop a knowledge base. In this instance, it is the Service building a [website](http://fawiki.fws.gov) containing content about Federal financial assistance. The content is built upon financial assistance laws, regulations, policies, guidance, and best management practices for both WSFR staff and recipients of WSFR program awards.

<http://fawiki.fws.gov>

WSFR Toolkit

The [WSFR Toolkit](https://fawiki.fws.gov/display/WTK/Toolkit+Homepage) is a collection of full text, searchable documents, fillable forms, and Internet links pertaining to the Federal financial assistance programs administered by both the Service and WSFR. The WSFR Toolkit is developed and maintained by the Training Branch staff.

<https://fawiki.fws.gov/display/WTK/Toolkit+Homepage>

Wildlife TRACS

[Wildlife TRACS](https://tracs.fws.gov/public/) stands for the **T**racking and **R**eporting on **A**ctions for **C**onservation of **S**pecies (TRACS). It is the tracking and reporting system for conservation and related actions funded by the WSFR programs. It is comprised of two parts. Data TRACS stores information, while the public viewer displays portions of that data to the general public.

<https://tracs.fws.gov/public/>

Notes:

Financial Assistance Systems and Resources (continued)

Financial Business Management System (FBMS)

The Department of the Interior has mandated that the Service and WSFR use FBMS. FBMS provides WSFR with standard business practices supported by a single, integrated finance and administrative system for all bureaus under the Department of the Interior. FBMS is an integrated suite of software applications that helps 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 FBMS is performed by Prism Grants. The system follows the award management life cycle: pre-award, award, post-award and close-out. Prism Grants performs the following functions:

- Real time integration with FBMS.
- Interface with grants.gov.
- Single process and system for all DOI Bureaus
- Financial and performance reports entered online

Grants.gov

[Grants.gov](http://www.grants.gov/) is a government wide system that was developed as a result of Public Law 106-107. It is a storefront for all Federal financial assistance funding opportunities. Federal awarding agencies are required to post funding announcements and application requirements/packages for discretionary grant programs. Agencies are not required to post announcements for mandatory programs, but the WSFR program has made a policy decision to post all of its funding announcements.

<http://www.grants.gov/>

Notes:

Financial Assistance Systems and Resources (continued)

Automated Standard Application for Payments (ASAP)

ASAP is a Federal-wide online, electronic payment system. It is managed by the Department of Treasury and all Service domestic recipients are required (unless waived or prohibited) to use ASAP in order to receive payments under grants and cooperative agreements. Payments from ASAP are automatically deposited in the recipient's bank account, usually the day after the payment request was made.

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

WSFR Facebook and Twitter

The WSFR program maintains an active Facebook and Twitter account where it posts information concerning accomplishments funded by recipients under the WSFR programs.

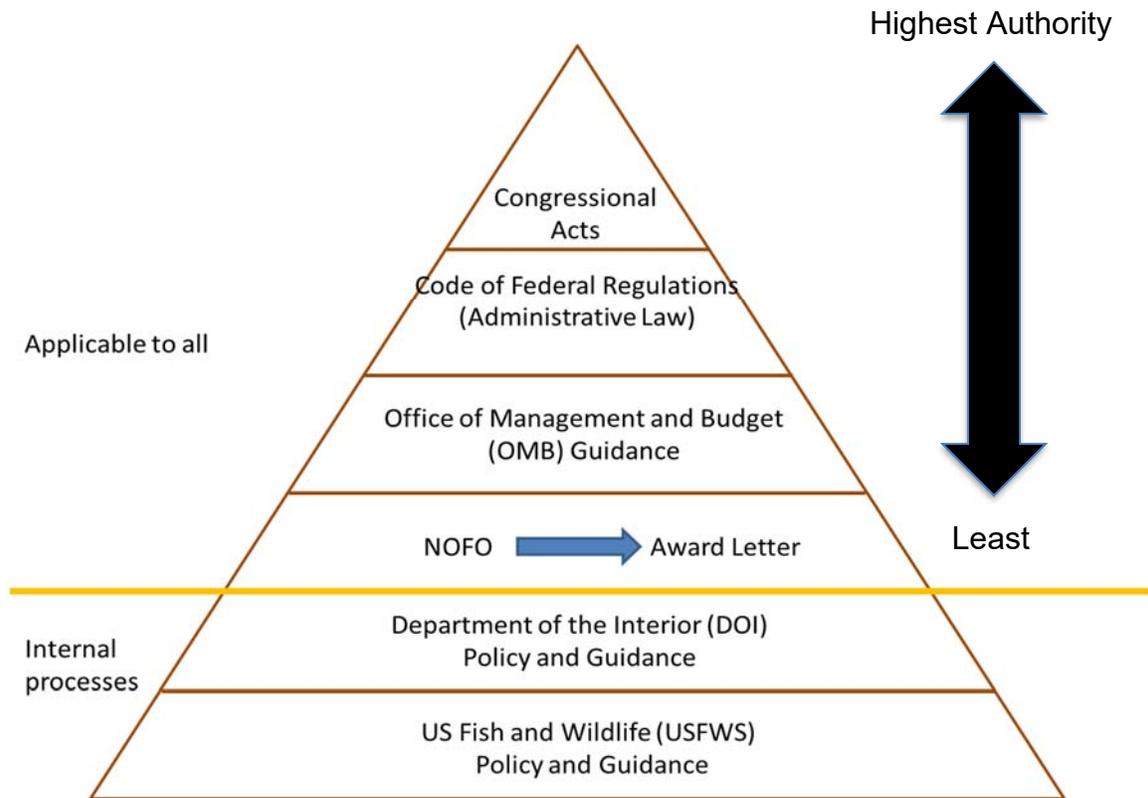
<http://www.facebook.com/USFWSWSFR>

http://twitter.com/usfws_wsfr

Notes:

Financial Assistance Regulations and Guidance

The Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal awards (**2 CFR 200**) establishes the uniform administrative requirements, costs principles, and audit requirements for Federal awards to non-Federal entities. 2 CFR 200 applies to all WSFR grants approved or amended on or after December 26, 2014. Prior to 2 CFR 200, all WSFR-awarded grants were governed by **43 CFR 12**, known as the “Common Rule”. In addition to 2 CFR 200, other program specific regulations may also apply under certain Federal programs.



Notes:



Exercise: Using the Toolkit

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. 50 CFR 80

[Administrative Requirements Pittman-Robertson Wildlife Restoration and
Dingell-Johnson Sport Fish Restoration](#)

3. 50 CFR 86

[Boating Infrastructure Grant Program](#)

4. OMB Guidance – Uniform Guidance FAQs

[FAQ's presented by COFAR on OMB's Uniform Guidance](#)

5. USFWS Service Manual Part 516 Chapter 1

[Monitoring Financial and Performance Reporting for Financial Assistance](#)

6. USFWS Service Manual Part 522 Chapter 21

[Allowable Recreational Activities and Related Facilities on Lands Acquired
with Federal Assistance funds](#)

	<h2 style="margin: 0;">Exercise: Understanding 2 CFR 200</h2>
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Fill in the section subheadings below as we briefly discuss **2 CFR 200** and how its structure is provided and then answer the following questions about the regulation.

Part	Subpart	Subheading	Sections
Administrative	A	Acronyms and Definitions	0-99
	B	General Provisions (the legalese)	100-113
	C	Pre-Federal Award Requirements and Contents of Federal Awards	200-213
	D	Post Federal Award Requirements	300-345
Cost Principles	E	Cost Principles (basic considerations and selected items)	400-475
Audit	F	Audit Requirements	500-521

How many appendices are there? **12**

Notes:



Exercise: Understanding 2 CFR 200

1. Where is the definition for “non-Federal entity”? What types of entities are included as “non-Federal entities”?

[2 CFR 200.69](#). Non-Federal entities include a State, local government, Indian tribe, institutions of higher education, or nonprofit organization that carries out a Federal award as a recipient or subrecipient.

2. According to §200.100, can Federal awarding agencies impose upon recipients any requirements beyond the Uniform Guidance? If so, under what circumstances?

[Federal agencies must not impose additional or inconsistent requirements.](#)
[The exception is when it is approved by OMB or by the authority of law, regulation, or Executive Order. \(2 CFR 200.100\(a\)\(1\)\)](#)

3. Which section informs state recipients of how to procure goods and services under Federal awards? Which sections apply to all other non-Federal entities for procurement?

[2 CFR 200.317](#) tells States to following their own policies and procedures.
[2 CFR 200.318-326](#) tells all other non-Federal entities how they must procure goods and services under Federal financial assistance.

4. Which section details the circumstance for a non-Federal entity to have an audit conducted?

[A non-Federal entity that expends \\$750,000 or more during the non-Federal entity’s fiscal year in Federal awards must have a single or program specific audit conducted for that year in accordance with the provisions of 2 CFR 200 Subpart F. \(2 CFR 200.501\(a\)\)](#)

WSFR Training Opportunities

The Wildlife and Sport Fish Restoration Program offers a wide range of training opportunities. The training is offered tuition free to WSFR staff and our State partners. Below is a listing of the training opportunities provided:

Project Leaders Course (PLC)

- Annually, each region is offered 1-2 classes to held at the location determined by the WSFR Region Chief and their staff.
- Target audience are State Project Leaders who are implementing WSFR grants and overseeing staff working on those grants.

Basic Grants Management (BGM)

- Hosted twice a year. Typically, in May at NCTC and in September in Denver, CO.
- Target audience are new WSFR staff, State Federal Aid Coordinators, and State Fiscal staff who are involved in WSFR grants. This course is recommended for all staff new to those positions within 12 months of the job.
- The class is 4 days.

Advanced Grants Management (AGM)

- Hosted twice a year. Typically, in June in either Portland or Sacramento and then in October at NCTC.
- Target audience are WSFR staff, State Federal Aid Coordinators, and State Fiscal staff who are involved in WSFR grants. This course is recommended for staff once they have been in their current positions for at least one year.
- The class is 4 days.

Lands Course

- Hosted annually at NCTC or as requested by WSFR Regional Office staff.
- Target audience are WSFR staff, State Federal Aid Coordinators, and State realty specialists involved in land acquisition under WSFR grants.
- The class is 3 days.

E-Learning and Virtual Training

- Introduction to the WSFR programs
- The Grants Management Process
- On-line Project Leaders Course
- Safety Margins
- Completing the Federal Financial Report (SF-425)



Learning Points

- ✓ The FAWiki is a website comprised of content related to Federal financial assistance. The content is built upon financial assistance law, regulations, policies, guidance, and best management practices for both WSFR staff and recipients of WSFR program awards.
- ✓ The Toolkit is a collection of full text, searchable documents, fillable forms, and Internet links pertaining to the Federal financial assistance programs administered by both the Service and WSFR. It is developed and maintained by the Training Branch staff.
- ✓ 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.
- ✓ 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, in addition to any program specific rules and regulations pertaining to the Federal program.
- ✓ 2 CFR 200 is comprised of six different subparts.
- ✓ The WSFR Training Branch offers a suite of training opportunities for both WSFR staff and State recipient partners.

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 Wildlife Restoration Flow of Funds
- 4-3 Sport Fish Restoratoin Flow of Funds
- 4-5 State Wildlife Grants Apportionments
- 4-7 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 the quick reference sheets starting with handout 4-5 please answer the questions below relating to the grant program assigned to your team.

Program: _____

1. Who are the eligible grantees?

2. What types of project are eligible?

3. How are the funds distributed?

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

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

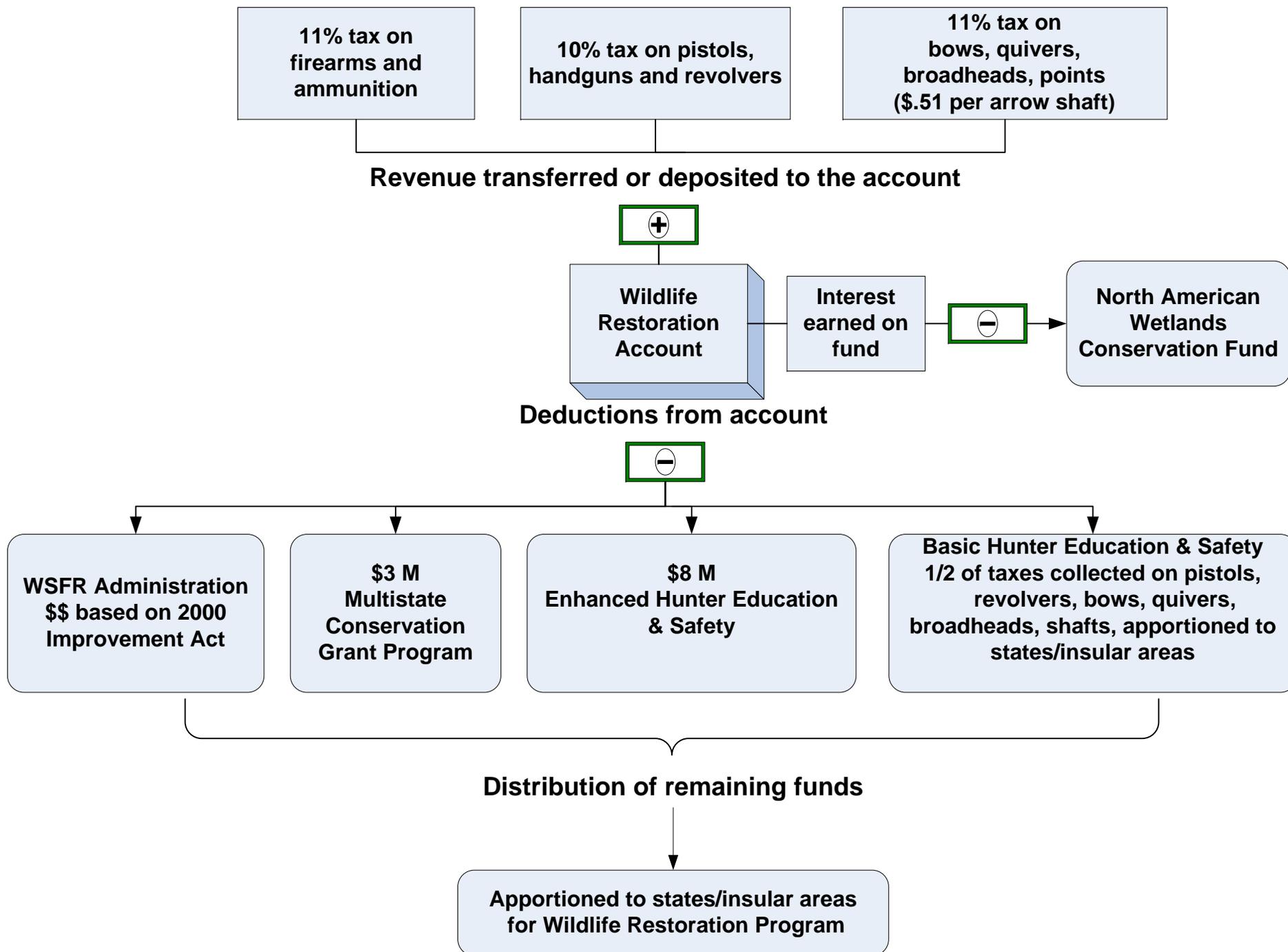


Learning Points

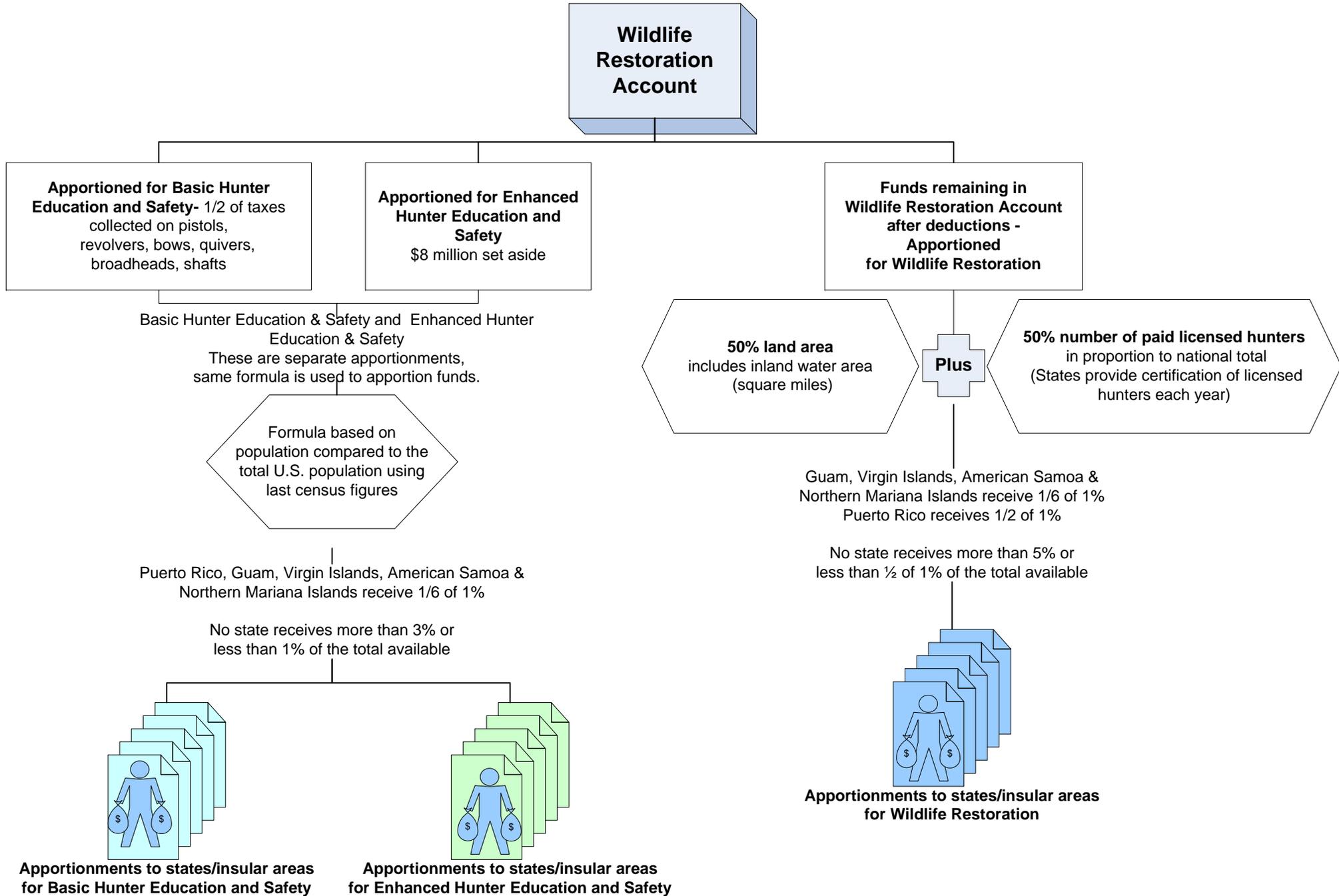
- ✓ WR and SFR Acts contain spending mandates, limits, regulations, and requirements for making funds available—based on formulas and/or national competition—to grant programs

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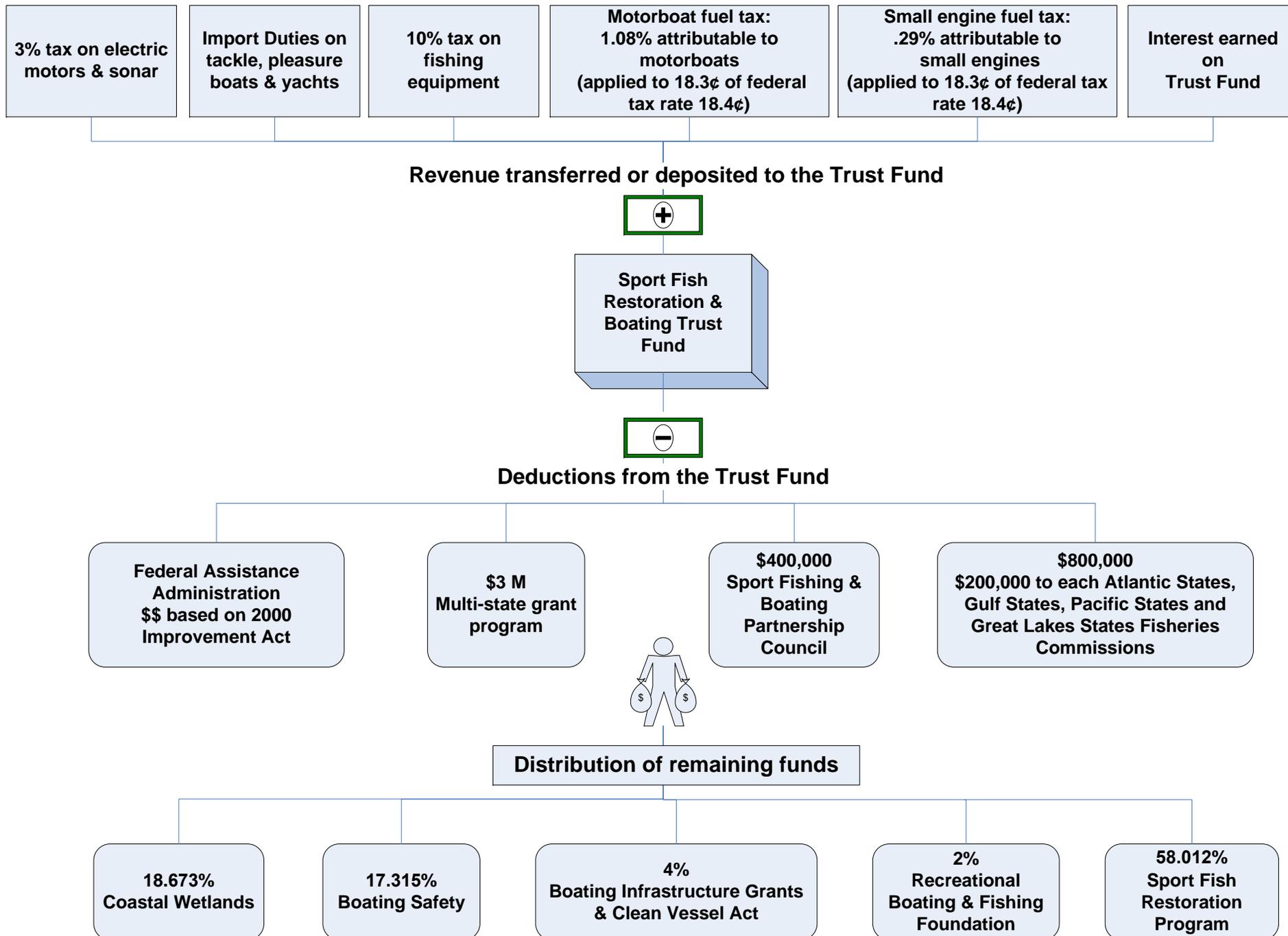
Wildlife Restoration Act



Wildlife Restoration Program Apportionment Formula

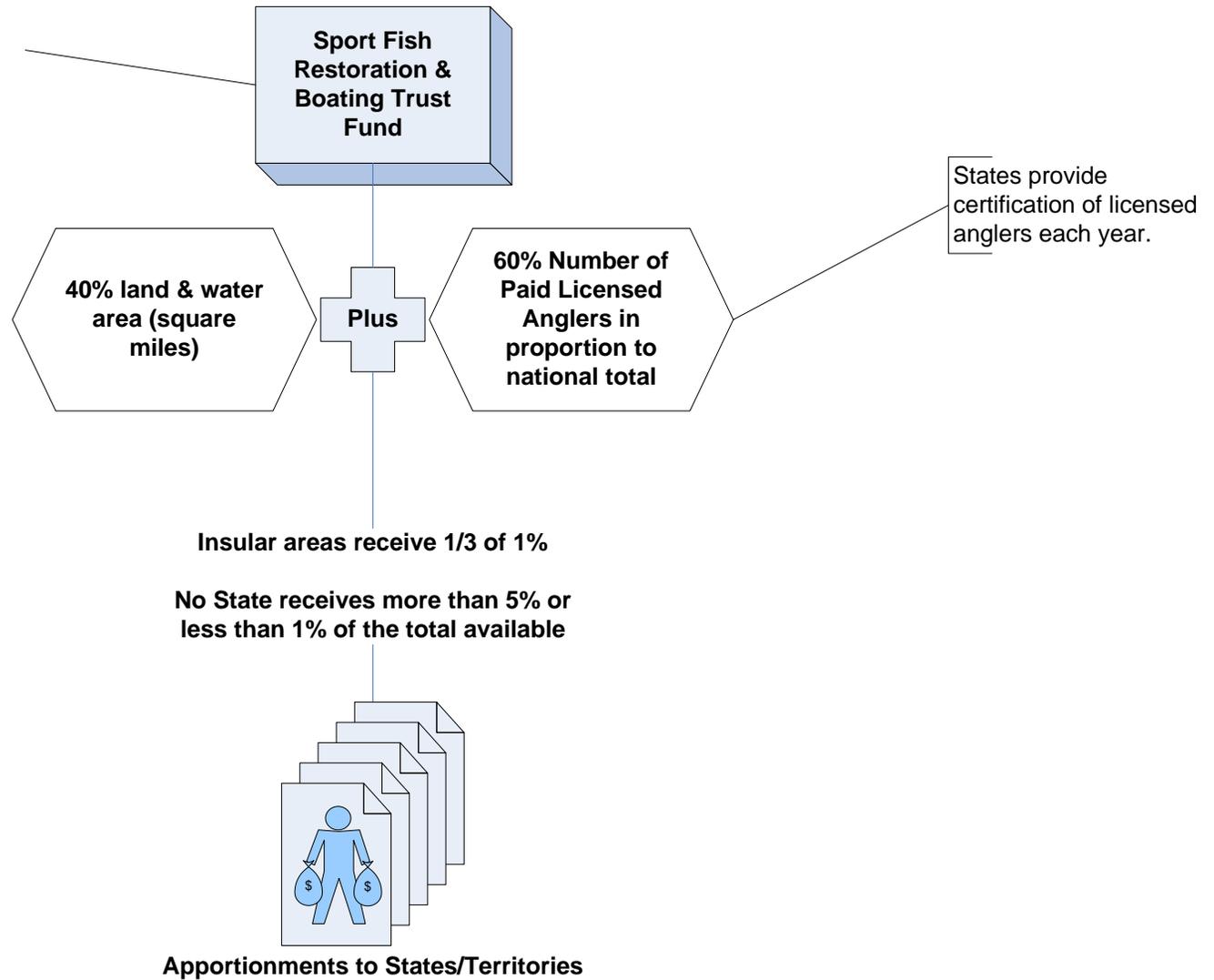


Sport Fish Restoration Act



Sport Fish Restoration Program Apportionment Formula

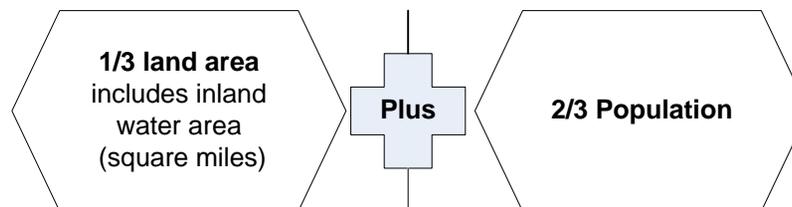
SFR Program receives remaining in Trust Fund after deductions annually.



State Wildlife Grant Program Apportionment Formula



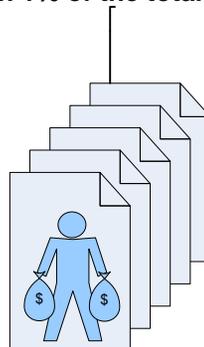
Funds appropriated annually less amount allocated to Tribal Wildlife Grants and 3% for WSFR Administration



District of Columbia and Puerto Rico receive 1/2 of 1%

Guam, American Samoa, Northern Mariana Islands,
Virgin Islands receive 1/4 of 1%

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



Apportionments to states/insular areas

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AQUATIC RESOURCE EDUCATION PROGRAM

UPDATED 1/2018



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

DISTRIBUTION METHOD

Apportioned based on formula:
Maximum 15% of Sport Fish Restoration Funding

Governing Guidance

- Sport Fish Restoration Act also known as Dingell-Johnson (DJ) Act of 1950 (enabling legislation)
- 50 CFR 80
- 2 CFR 200
- USFWS Service Manual Chapters

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

Purpose Enhance the public's understanding of water resources, aquatic life forms, sport fishing, and develop responsible attitudes and ethics toward the aquatic environment

ELIGIBLE PROJECTS

- Projects that enhance the public's understanding of aquatic resources
- Projects that improve communications with anglers, boaters, and the general public on sport fishing and boating opportunities
- Projects that increase participation in sport fishing and boating
- Projects that advance the adoption of sound fishing and boating practices, including safety
- Projects that promote conservation and responsible use of aquatic resources

SOURCE OF FUNDS

Sport Fish Restoration & Boating Trust Fund

Includes Revenues from:

- Excise taxes on sport fishing equipment and electric motors
- 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

- States may be paid up to 75% federal funds, 25% match requirement from non-federal sources
- 100% federal funding for District of Columbia, Puerto Rico, Northern Mariana Islands, Guam, Virgin Islands, and American Samoa
- Annual apportionment available for obligation to grants for two years before it reverts. Reverted funds are reapportioned to the Sport Fish Restoration program during the subsequent year

SPECIAL CONDITIONS OR REQUIREMENTS

- * State fish and wildlife agencies must pass and maintain assent legislation
- * State fish and wildlife agencies must submit annual license certifications
- * State fish and wildlife agencies may spend a maximum of 15% of their annual Sport Fish Restoration apportionment on aquatic education programs.
- * 15% maximum does not apply to DC, Puerto Rico, Northern Mariana Islands, Guam, Virgin Islands, and American Samoa

BOATING ACCESS PROGRAM

UPDATED 1/2018

Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program



DISTRIBUTION METHOD

Apportioned based
on formula

Governing Guidance

- Sport Fish Restoration Act also known as Dingell-Johnson (DJ) Act of 1950 (enabling legislation)
- 50 CFR Part 80
- USFWS Manual Chapter 517 FW 7

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

Purpose Provide facilities that create or add to public access for recreational boating

ELIGIBLE PROJECTS

→ A broad range of access facilities and associated amenities that benefit recreation boaters may qualify

- Projects that seek to acquire, develop, renovate, maintain, or improve facilities that create or improve public access to the waters of the United States or improve the suitability of these waters for recreational boating. These facilities may include auxiliary structures to ensure safe use by recreational boaters. Projects may include surveys to determine information needed to plan for providing access to recreational waters for any size or type of recreational boat
- Maintenance and operations projects can be funded for boating access sites, facilities, and structures, even if the Sport Fish Restoration Program did not fund their acquisition or construction
- Facilities funded through the subprogram must be available to all recreational boaters, but States may restrict uses for public safety, property protection, noise abatement, or aquatic resource protection. Examples of restrictions include limiting the horsepower or types of boat motors and setting speed limits, no-wake zones, or hours of use
- States are responsible for maintenance of all capital improvements they acquire or construct using Sport Fish Restoration Boating Access funds throughout the improvement's planned useful life.

SOURCE OF FUNDS

Annual apportionment from the Sport Fish Restoration & Boating Trust Fund

Includes Revenues from:

- Excise taxes on sport fishing equipment and electric motors
- 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

- States may be paid up to 75% federal funding, 25% required from non-federal sources
- At least 15% of the Region's Sport Fish Restoration apportionment over a five-year period must be allocated for Boating Access projects
- WSFR calculates the Regional allocations for separate five-year periods that coincide with Federal fiscal calendars (i.e. 2013-2017, 2018-2022)
- With Regional Director approval, a State may change its current year allocation up to, but not after, the close of the Federal fiscal year which funds were apportioned
- States must use Boating Access funds in the year that the State receives them, or in the following four fiscal years, otherwise the funds will revert to the Service and be reapportioned
- If the primary project purpose is to benefit users who are not recreational boaters, program funds may only be used to the extent that recreational boaters use a facility and other expenses must be matched through other methods. For example, if survey information shows that only 40% of facility's users are recreational boaters, program funds can account for no more than 40% of project costs

SPECIAL CONDITIONS OR REQUIREMENTS

- ◆ State fish and wildlife agencies are responsible for maintaining capital improvements to ensure that they serve its authorized purpose during its useful life.
- ◆ State fish and wildlife agencies must control the parcel of land and water on which it completes a grant-funded capital improvement. Control must be adequate for the protection, maintenance, and use of the improvement for its authorized purpose during its useful life.

BOATING INFRASTRUCTURE GRANTS

Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program



DISTRIBUTION METHOD

Tier 1-State:

Provides up to \$200,000 per year to each state

Tier 2-National:

Nationwide funding based on set ranking criteria

Governing Guidance

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

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 transient recreational vessels twenty-six feet or more in length

ELIGIBLE PROJECTS

- Construction, renovation, and maintenance of boating infrastructure tie-up facilities solely for transient recreational vessels twenty six feet or more in length
- Produce information and education materials specific to BIG or BIG-funded projects (i.e. charts, cruising guides, and brochures)

SOURCE OF FUNDS

Four percent of the amount in Sport Fish Restoration & Boating Trust Fund (shared with Clean Vessel Act grants).

Includes Revenues from:

- Excise taxes on sport fishing equipment and electric motors
- 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

- Requires minimum of 25% matching funds, federal share not to exceed 75% total costs
- Funds not obligated within three years are reverted and are made available to the U.S. Coast Guard for Boating Safety
- Maximum amount of federal share for Tier 2-National is \$1,500,000
- Funds are available from time of obligation until the grant closure. Unspent funds are returned to be awarded in addition to new funds in the subsequent year

SPECIAL CONDITIONS OR REQUIREMENTS

- * Facilities constructed, operated, or maintained with grant funds must offer reasonable access for all transient recreational vessels for the full period of their useful life
- * Facilities must be open to the public during reasonable time periods
- * Entities may charge fees. Fees must be comparable to the prevailing rate in the area
- * New construction and renovations must be designed to last throughout its useful life

CLEAN VESSEL ACT

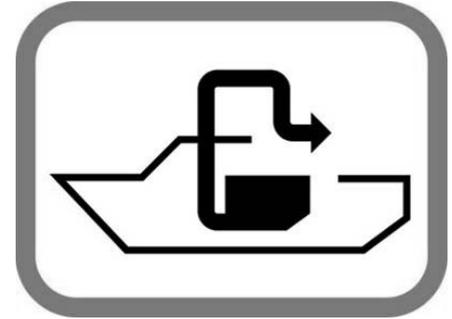
Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program

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



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

Four percent of the amount in Sport Fish Restoration & Boating Trust Fund (shared with Boating Infrastructure grants). Includes revenues from:

- Excise taxes on sport fishing equipment and electric motors
- 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

- Require 25% match, Federal share not to exceed 75% of total costs
- Unspent funds are returned 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 Recreational 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

ENDANGERED SPECIES GRANTS

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



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 Puerto Rico, Virgin Islands, Guam, American Samoa, and Northern Mariana Islands

SPECIAL CONDITIONS OR REQUIREMENTS

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

HUNTER EDUCATION PROGRAM

UPDATED 1/2018

Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program



DISTRIBUTION METHOD

Apportioned based on formula that includes a factor for population size

Governing Guidance

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

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

Purpose

To teach students to be safe, responsible, conservation-minded hunters; provide instruction in safe firearm operations, wildlife management, ethics, game laws, outdoor survival, wilderness first aid; and build/operate archery and firearm range facilities.

ELIGIBLE PROJECTS

Basic Hunter Education (BHE):

- Teach the skills, knowledge, and attitudes necessary to become a responsible hunter
- Construct, operate, or maintain firearm and archery ranges for public use

Enhanced Hunter Education (EHE):

- 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

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)
- BHE funds: 1/2 of taxes collected on pistols, handguns, revolvers, and archery equipment
- EHE funds: \$8 million from Wildlife Restoration Trust fund

MATCHING REQUIREMENTS AND LIMITATIONS ON AVAILABILITY OF FUNDS

- States may be paid up to 75% federal funding, 25% from nonfederal sources.
- 100% federal funding for Puerto Rico, Virgin Islands, Guam, American Samoa, and Northern Mariana Islands.
- BHE appportionment available for two years before it reverts.
- BHE reverted funds are provided to the Migratory Bird Program.
- EHE appportionment available for one year before it reverts. Reverted funds are appportioned, the following year, to those States who fully obligated their current year BHE appportionment to BHE eligible activities.

SPECIAL CONDITIONS OR REQUIREMENTS

* If a state fails to obligate all of its current year BHE appportionment on BHE eligible activities, then EHE appportionment funds may only be used for EHE eligible activities.

* If a state fully obligates all of its current year BHE appportionment on BHE eligible activities, then that state may use its current year EHE appportionment on any eligible activity authorized under the Wildlife Restoration Act (WR, BHE, or EHE) AND that state becomes eligible to receive reverted EHE funds the following fiscal year.

LANDOWNER INCENTIVE PROGRAM

UPDATED 1/2018

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
- 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

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

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 PR, 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

MULTI-STATE CONSERVATION GRANTS

UPDATED 1/2018

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 Service Manual Part 517 Chapter 13

- 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
 - Non-governmental organizations

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 and electric motors
- 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).

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

NATIONAL COASTAL WETLANDS

UPDATED 1/2018

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



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 18.7% distributed to Coastal Wetlands Planning, Protection and Restoration Act from the Sport Fish Restoration & Boating Trust Fund

Includes revenues from:

- Interest earned on Trust Fund

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

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 PR, 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

SPORT FISH RESTORATION PROGRAM

UPDATED 1/2018

Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program



DISTRIBUTION METHOD

Apportioned formula based on: 60% paid sportfishing license holders + 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

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

Fifty-eight percent of amount in Sport Fish Restoration & Boating Trust Fund

Includes Revenues from:

- Excise taxes on sport fishing equipment and electric motors
- 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

- States may be paid 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
- Amount allocated by States for freshwater programs each fiscal year cannot be less than amount allocated in fiscal year 1988
- 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

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

STATE WILDLIFE GRANTS

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

DISTRIBUTION METHOD

All Annually Distributed 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) Administrative 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

- ⇒ Before 2006, funding provided through the Land and Water Conservation Fund.
- ⇒ 2006 and later, funding provided through General Appropriations.

MATCHING REQUIREMENTS AND LIMITATIONS ON AVAILABILITY OF FUNDS

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

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.

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



ELIGIBLE GRANTEES: FEDERALLY RECOGNIZED TRIBES IN UNITED STATES INCLUDING 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 U.S. Fish and Wildlife Service.

WILDLIFE RESTORATION PROGRAM

UPDATED 1/2018



Fish and Wildlife Service, Wildlife and Sport Fish Restoration Program

DISTRIBUTION METHOD

Apportioned formula based on: 50% paid hunting license holders + 50% land/water area

Governing Guidance

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

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

Manage wildlife and their habitats, monitor populations, conduct research, collect and analyze data, maintain facilities, perform outreach, and other activities designed to promote wildlife restoration and wildlife-based recreation.

SOURCE OF FUNDS

Wildlife Restoration Trust Fund

Includes Revenues from:

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

MATCHING REQUIREMENTS AND LIMITATIONS ON AVAILABILITY OF FUNDS

- States may be paid 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)

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
- * Wildlife includes indigenous or naturalized species of birds or mammals that are either wildlife or free-ranging; held in a captive breeding program for reintroduction of depleted species; or under the jurisdiction of State fish and wildlife agency.

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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 Categorical Exclusions: Extraordinary Circumstances
- 5-5 Section 7 ESA Compliance Process
- 5-7 Section 106 Process
- 5-9 National Historic Register Eligibility Criteria
- 5-11 Area of Potential Effect (APE)
- 5-13 State NEPA Documentation Example
- 5-15 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
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(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 general flow for documenting a NEPA decision is depicted on the *NEPA Process* (Handout 5-1). Working through the NEPA decision making process requires evaluating several factors before implementing federally-funded projects.

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

-40 CFR 1508.14

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

	<h2 style="margin: 0;">Exercise: Categorical Exclusions</h2>
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Using the Toolkit review– *Policy & Guidance>NEPA>516 DM 8 Managing the NEPA Process*, and answer the questions below.

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

[8.5 Categorical Exclusions](#)

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

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

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

Proposed Action	Eligible for a Categorical Exclusion (Yes or No)	Applicable Categorical Exclusion
Prescribed Burn	yes	B (4)
Bird Banding	yes	B (1)
Riparian Zone Border Fencing	yes	B(2) B(3)
Supplemental Stocking of Native Sport Fish	yes	B(6)
Disposition of Grant Acquired Land	no	
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.

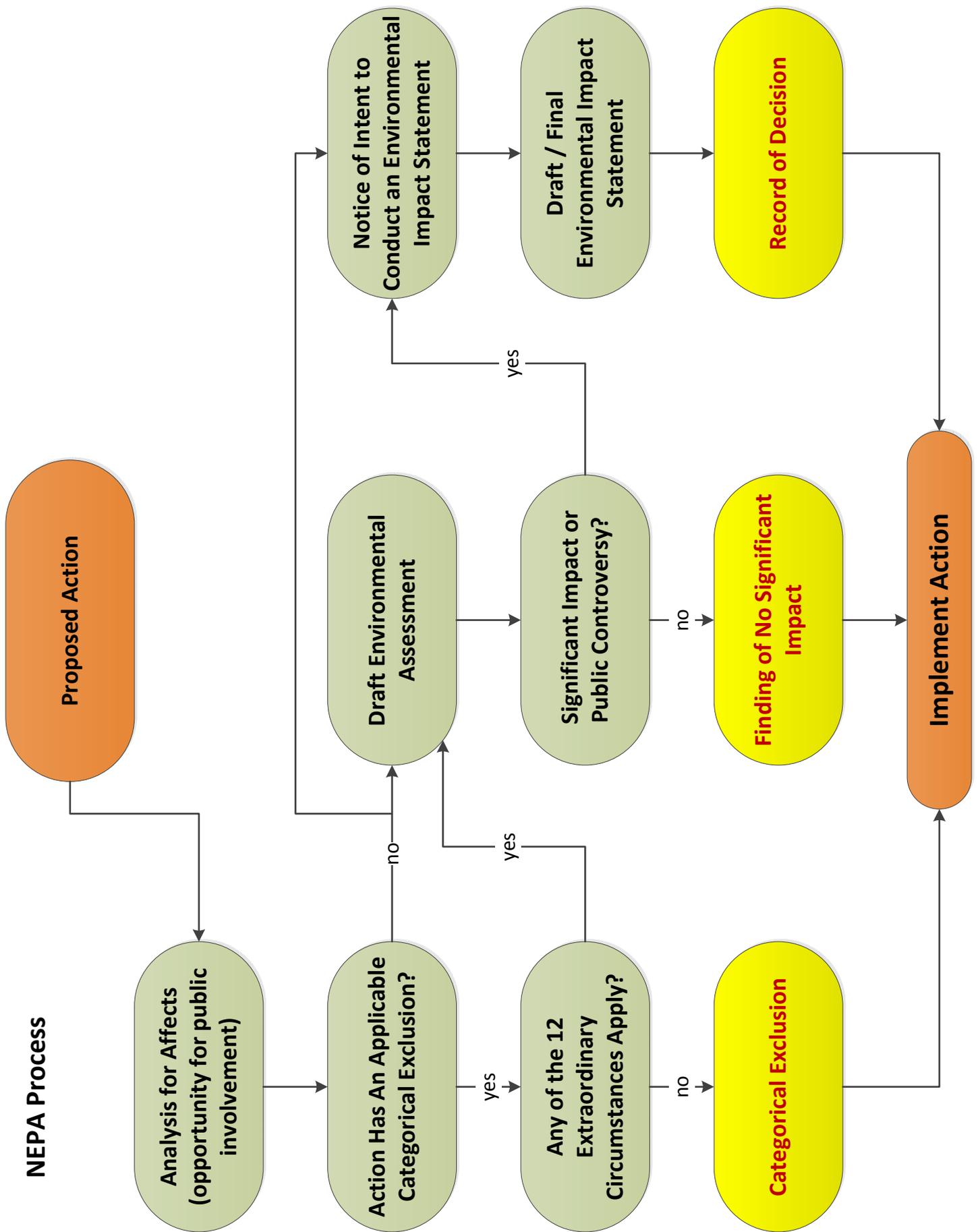


Learning Points

- ✓ 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



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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).

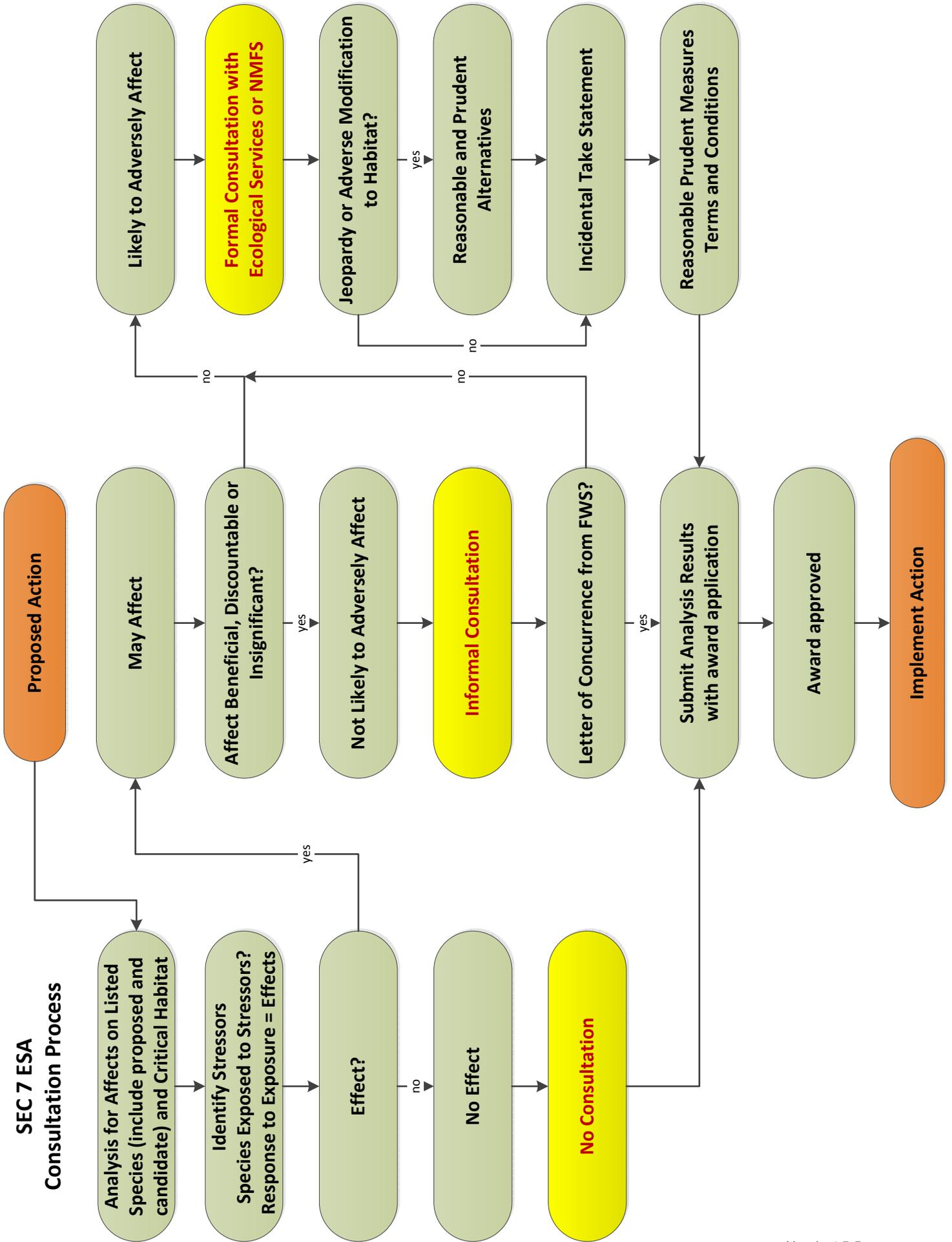
2.12 Contribute to the introduction, continued existence, or spread of noxious weeds or non-native invasive species known to occur in the area or actions that may promote the introduction, growth, or expansion of the range of such species (Federal Noxious Weed Control Act and Executive Order 13112).

6/21/05 #3675

Replaces 5/27/04 #3612

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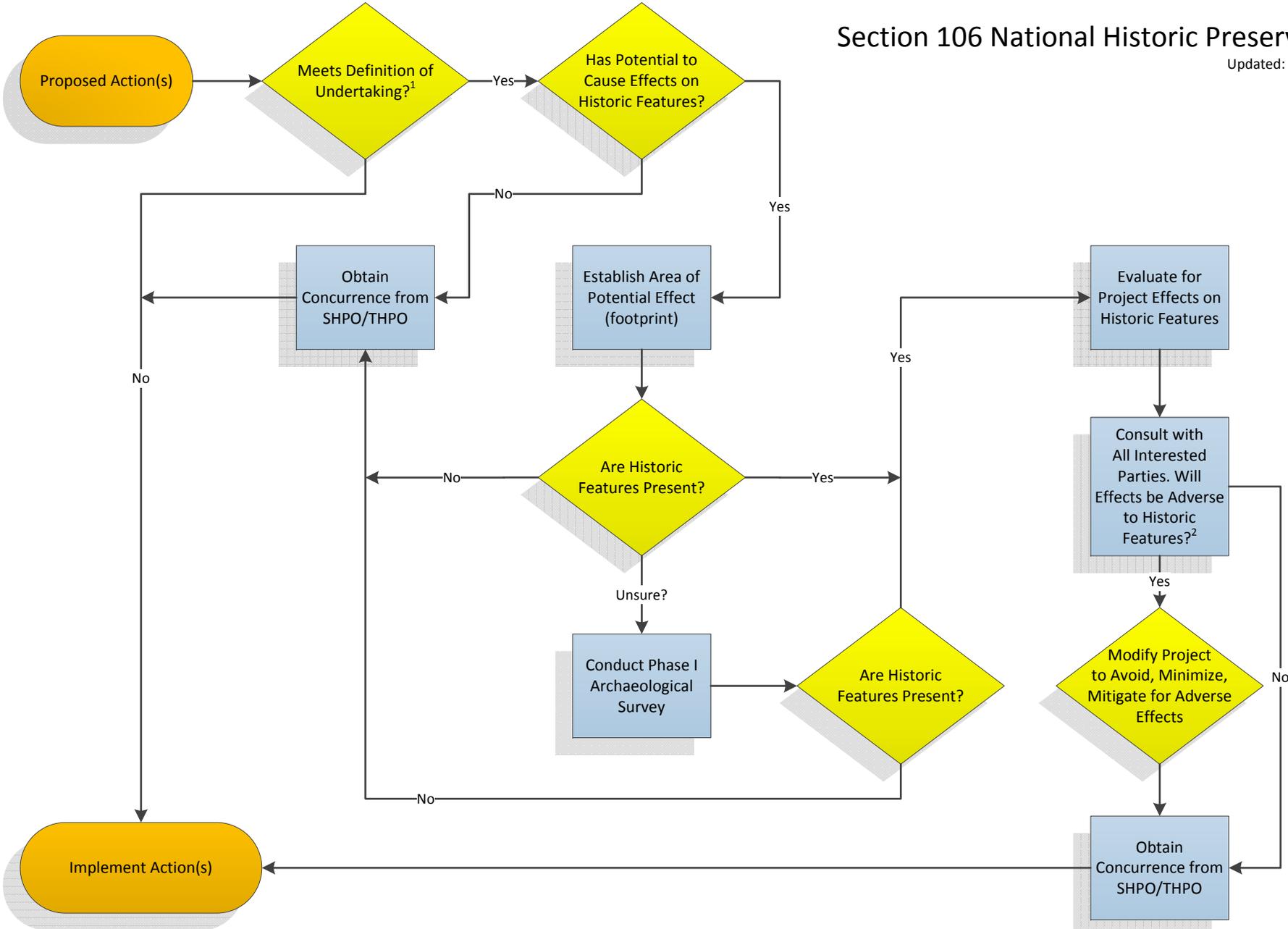
SEC 7 ESA Consultation Process



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Section 106 National Historic Preservation

Updated: 01/06/2016



¹ Undertaking means a project, activity, or program funded in whole or in part under the direct or indirect jurisdiction of a Federal agency, including those carried out by or on behalf of a Federal agency; those carried out with Federal financial assistance; and those requiring a Federal permit, license, or approval. **36 CFR 800.16(y)**

² Examples of Adverse Effects include: (1) Physical destruction or damage; (2) Alteration of a property; (3) Removal of a property from its location; (4) Change of the character of the property's use or physical features; (5) Introduction of visual, atmospheric, or audible elements; (6) Neglect of a property; and (7) Transfer, lease, or sale of property. **36 CFR 800.5(a)(2)**

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NATIONAL PARK SERVICE
NATIONAL REGISTER CRITERIA FOR EVALUATION

Criteria for Evaluation

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

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

Criteria Considerations:

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

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

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

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.

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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
[toll] 802-828-3345

JUN 29 2012 Agency of Natural Resources

Division of Wildlife and
Sport Fish Restoration

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,

State Project Leader

Date June 21, 2012

FA Specialist Date: 7/6/12
John M. Donaldson

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 mountain lion (*Felis concolor cougar*) ~~is not present~~ T/E exposure from

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 JEP

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  Date 6-28-2012

VDFW Federal Aid Coordinator  Date 6-28-2012

I Concur do not Concur

FA Specialist Date: 7/6/12


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 SF 424 Application for Federal Assistance
- 6-5 Project Statement
- 6-9 NEPA Compliance Document
- 6-11 Section 7 Compliance Document
- 6-15 Section 106 Compliance Document
- 6-17 Intergovernmental Review (State Process Document)
- 6-19 SF 424 Statement of Assurances
- 6-21 Best Management Practices for Project Statement Development
- 6-25 Notice of Funding Opportunity (NOFO)
- 6-43 TRACS Enhancement Matrix
- 6-51 Financial Assistance Recipient Risk Assessment

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.

	<p align="center"><i>Substantial in Character and Design</i></p>
<p>50 CFR Part 80.56</p>	<p>Administrative Requirements Federal Aid in Fish and Federal Aid in Wildlife Restoration</p>

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 (i.e. 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 Enhancement Matrix **(see Handout 6-43)**.

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

Wildlife TRACS Enhancement

Wildlife TRACS stands for the “Tracking and Reporting on Actions for the Conservation of Species.” It serves as WSFR’s repository electronic system for all performance and accomplishment reporting related to awards funded by the WSFR programs.

The new TRACS Enhancement will allow States and territories to enter their project statement information and the TRACS system will generate their project statement. States and territories will also be able to report on their WSFR awards directly in TRACS. These reports will then be submitted directly to WSFR staff to make performance reporting more easy and direct.

TRACS will allow the WSFR program to generate reports and answer questions about the accomplishments of its programs.

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 #6-25 the NOFO** for the WR grant program. Compare the example grant application documents (**Handouts 6-1, 6-5, 6-9, 6-11, 6-15, 6-17, 6-19**) to the description found in the NOFO. 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 Narrative, Budget Information or Budget Form SF 424 A or C

Budget Justification, Fed funded equipment list

NICRA, Indirect Cost statement, Single audit reporting statement

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

SF LLL lobbying if applicable, Conflict of Interest statement

E.O. 12372 Intergovernmental review

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

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.

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 statute, 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. NOFO).

- 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 (see **Handout 6-51**) 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.

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Application for Federal Assistance SF-424		
* 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	* 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	* If Revision, select appropriate letter(s): <input type="text"/> * Other (Specify): <input type="text"/>
* 3. Date Received: <input type="text" value="06/01/2016"/>	4. Applicant Identifier: <input type="text" value="123456789"/>	
5a. Federal Entity Identifier: <input type="text"/>	5b. Federal Award Identifier: <input type="text" value="W-777-E"/>	
State Use Only:		
6. Date Received by State: <input type="text" value="05/01/2016"/>	7. State Application Identifier: <input type="text" value="W-777-E"/>	
8. APPLICANT INFORMATION:		
* a. Legal Name: <input type="text" value="Arkansas Game and Fish Commission"/>		
* b. Employer/Taxpayer Identification Number (EIN/TIN): <input type="text" value="01-0000000"/>	* c. Organizational DUNS: <input type="text" value="1234567890000"/>	
d. Address:		
* Street1: <input type="text" value="111 Fly-fisher Street"/>	Street2: <input type="text"/>	
* City: <input type="text" value="Birdsnest"/>	County/Parish: <input type="text"/>	
* State: <input type="text" value="AR: Arkansas"/>	Province: <input type="text"/>	
* Country: <input type="text" value="USA: UNITED STATES"/>	* Zip / Postal Code: <input type="text" value="12345-6789"/>	
e. Organizational Unit:		
Department Name: <input type="text" value="Department of Conservation"/>	Division Name: <input type="text" value="Fish and Wildlife"/>	
f. Name and contact information of person to be contacted on matters involving this application:		
Prefix: <input type="text" value="Mr."/>	* First Name: <input type="text" value="Brooks"/>	
Middle Name: <input type="text"/>	* Last Name: <input type="text" value="Trout"/>	
Suffix: <input type="text"/>	Title: <input type="text" value="Federal Aid Coordinator"/>	
Organizational Affiliation: <input type="text"/>		
* Telephone Number: <input type="text" value="555-777-8888"/>	Fax Number: <input type="text" value="555-777-8889"/>	
* Email: <input type="text" value="brooks.trout@ar.gov"/>		

Application for Federal Assistance SF-424

*** 9. Type of Applicant 1: Select Applicant Type:**

A: State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

*** 10. Name of Federal Agency:**

U.S. Department of the Interior, Fish and Wildlife Service

11. Catalog of Federal Domestic Assistance Number:

15.611

CFDA Title:

Wildlife Restoration and Basic Hunter Education

*** 12. Funding Opportunity Number:**

F17AS00035

* Title:

Arkansas Statewide Habitat Management and Public Access

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

Add Attachment

Delete Attachment

View Attachment

*** 15. Descriptive Title of Applicant's Project:**

Statewide habitat management of Arkansas' Wildlife Management Areas and Public Access Areas.

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

Application for Federal Assistance SF-424

16. Congressional Districts Of:

* a. Applicant

* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

17. Proposed Project:

* a. Start Date:

* b. End Date:

18. Estimated Funding (\$):

* a. Federal	<input type="text" value="1,836,000.00"/>
* b. Applicant	<input type="text"/>
* c. State	<input type="text" value="612,000.00"/>
* d. Local	<input type="text"/>
* e. Other	<input type="text"/>
* f. Program Income	<input type="text" value="450,000.00"/>
* g. TOTAL	<input type="text" value="2,898,000.00"/>

*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

a. This application was made available to the State under the Executive Order 12372 Process for review on .

b. Program is subject to E.O. 12372 but has not been selected by the State for review.

c. Program is not covered by E.O. 12372.

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**

Yes No

If "Yes", provide explanation and attach

Add Attachment

Delete Attachment

View Attachment

21. *By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: * First Name:

Middle Name:

* Last Name:

Suffix:

* Title:

* Telephone Number: Fax Number:

* Email:

* Signature of Authorized Representative:

* Date Signed:

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Arkansas Statewide Habitat Management and Public Access

Need

There is a need to maintain viable populations of wild birds and mammal species in order to provide wildlife dependent outdoor recreation opportunities and sustainable wildlife populations in Arkansas. Maintaining adequate habitat to support forest, upland, and wetland dependent wildlife species is of great importance to those who hunt, trap, view, study and photograph wildlife throughout the State. Over 458,000 individuals spend nearly 11 million days pursuing wildlife dependent recreation in Arkansas annually. Wildlife habitat in Arkansas is becoming more fragmented from changes in urban and agricultural land use as the state's population increases. Habitat and cropland loss from urban sprawl occurs at an average rate of 12,500 acres/year. The Arkansas Game and Fish Commission manages 62 state-owned Wildlife Management Areas (WMA's) encompassing 2,863,294 acres and the WMAs are important resources where wildlife populations can be effectively managed and available for recreational and economic benefit. Arkansas' ability to sustain viable populations of wildlife species for wildlife dependent recreation will be significantly compromised unless habitat is managed, maintained, and restored.

Purpose

The purpose of this grant is for the conservation of wildlife species and their associated habitats for maintaining viable populations and public enjoyment and use.

Objectives

1. Directly manage 162,746 acres by June 30, 2017
(Note: TRACS strategy – Direct Habitat and Species Management)

Results and Benefits Expected

To the Resource: This project will result in habitat improvements and reduced risk of declining species of wild birds and mammals on state lands and adjoining private lands. It will result in improved plant diversity and restoration of habitat communities.

To the User: Improved hunting and other wildlife dependent outdoor opportunities.

To the Economy: Increased revenues from shooting ranges and hunting and fishing trips.

To Society: Outreach opportunities including public presentations about restoration work, field trips for stakeholder groups, and several field days to share information with private landowners

Approach

Objective 1 - Directly manage 162,746 acres by June 30, 2017

Habitat management and restoration projects and activities that will be conducted to accomplish project objectives include (see Table 1 for a list of activities by WMA):

Forest habitat management activities

- Annual maintenance of 662 miles of firebreaks in support of scheduled prescribed fire activities.
- Manipulation of vegetative communities on 8,628 acres of wildlife openings within the forest matrix to diversify habitat.
- Prescribing of herbicides, pre-commercial and commercial forest thinning, and the application of prescribed fire as wildlife stand improvement on 1,520 acres of forested habitat to promote and restore historical vegetative and forest structure.
- Reforestation (forest management, hard and soft mast production, etc) of selected sites which promotes the achievement of long-term management area habitat plans.

Upland habitat management activities

- Wildlife stand inventory of 21,041 acres to provide treatment guidance and follow-up by treatment audits to assess treatment effectiveness.
- Mowing, disking, fertilizing, liming and planting of 5,465 acres of food plots in planned mixtures of both warm season and cool season annuals and perennials to supplement native forage with small acreages of high quality cultivated forage.
- Chemical control of woody stems and the mechanical soil disturbance on 33,955 acres of old field habitat to provide early seral-stage vegetative communities.

Wetland habitat management activities

- Prescribed application of herbicides to control or eliminate noxious/invasive weed species, the timed application and removal of water to manipulate high quality moist-soil vegetative plant communities, the mechanical soil disturbance to enhance high quality moist-soil vegetative plant communities, and the periodic planting of cultivated crops on sites where natural moist-soil plants are lacking on 5,034 acres of moist soil units.
- Seasonal flooding, manipulation and dewatering of 107,482 acres of green-tree impoundments.
- Maintenance of 270 constructed water holes.

Administrative Activities

Conducting related project administration, coordination and planning (to include development of WMA master plans and annual work plans), evaluation, program development (to include training all agency personnel involved in the habitat management program through continuing education and workshops and symposia as well as through close coordination with multi-agency regional efforts) and all other associated eligible activities.

(NOTE: TRACS activity tags for reporting purposes).

Objective 1: Directly manage 162,746 acres by June 30, 2017

TRACS Activity Tag 1: Prescribed Fire

TRACS Activity Tag 2: Species tag

TRACS Activity Tag 1: Planting/seeding

TRACS Activity Tag 2: Species tag

TRACS Activity Tag 1: Other vegetation management practices

TRACS Activity Tag 2: Species tag

TRACS Activity Tag 1: Forest Stand Management

TRACS Activity Tag 2: Species tag

TRACS Activity Tag 1: Wetland creation/ management TRACS

Activity Tag 2: Species tag

Useful Life

No capital improvements over \$10,000 will be made with this project proposal.

Geographic Location

Statewide - See include table for specific activities by location.

Principal Investigator

Not applicable

Program Income

This grant will generate an estimated \$450,000 in program income through the sale of timber harvested on WMAs. Approval is requested to use the additive method for application of this program income. Program income will be applied solely towards the cost of habitat management, maintenance, and restoration activities as described herein.

Budget Narrative

Funding for this project shall be provided by the Wildlife Restoration Grant program of the Wildlife Restoration Act.

Total project cost is estimated at **\$2,448,000**

Federal Share shall be **\$1,836,000** (75%)

State Share shall be **\$612,000** (25%)

NOTE: Applicants may provide the budget information using the SF 424A (Budget Information for Non-Construction Programs), SF 424C (Budget Information for Construction Programs), or using the applicant's created budget displaying an equivalent or greater level of detail.

<u>Budget Class Category</u>	<u>Cost</u>
Personnel (salaries)	\$950,000
Fringe Benefits	\$252,700
Travel	\$18,000
Equipment	\$0
Supplies	\$540,650
Contractual	\$441,850
Construction	\$0
Other	\$0
Total Direct Costs	\$2,203,200
Indirect Costs	\$244,800
TOTAL Direct/Indirect	\$2,448,000
Program Income (additive)	\$450,000
Total	\$2,898,000

Personnel - budget estimate comprised of staff (25-30) in the following classifications: (1) Regional Wildlife Coordinator; (2) Public Lands Wildlife Biologist; (3) Wildlife Foreman; (4) Wildlife Senior Technician; and (5) Wildlife Technician.

Fringe Benefits -consists of the required employer contribution of Social Security, Medicare, unemployment tax, retirement, and employee health insurance, and is estimated at 26.2% of salaries.

Travel - staff will attend in-state meetings related wildlife and habitat management issues/concerns. Staff may also attend regional/national meetings such as The Wildlife Society and Southeastern Association of Fish and Wildlife Agencies (including the various committees and sections). Travel costs will include lodging, transportation, and per diem following state policies and procedures.

Supplies - budget estimate includes general office/lab supplies, field attire, tools, electrical items, herbicide, herbicide application items, and prescribed fire supplies/items.

Contractual - budget estimate includes contractual agreements with third party commercial timber harvesters to meet habitat and species management goals/objectives.

Indirect Costs - The Arkansas Game and Fish Commission's approved NICRA is 20.35% applied to the base of salary and fringe. A copy of the NICRA is on file in the WSFR Region 4 Office.

In-Kind Match: **\$0**

Pre-Award Costs: **\$0** No pre-award costs are requested for this grant.

Indirect Cost Statement: "We are (1) a U.S. state government entity receiving more than \$35 million in direct Federal funding each year with an indirect cost rate of 20.35%. We submit our indirect cost rate proposals to our cognizant agency. A copy of our most recently approved rate agreement/certification is attached."

Single Audit Reporting Statement: The State of Arkansas was required to submit a Statewide Single Audit report for its most recently closed fiscal year and that report is available on the Federal Audit Clearinghouse Single Audit Database website. The report is filed under the State of Arkansas' EIN (99-9999999).

Conflict of Interest Statement: Arkansas Game and Fish Commission, at the time of this application, is not aware of any actual or potential conflicts of interest that may arise during the life of this award which may affect the Commission, its employees, or its subrecipients. Should an actual or potential conflict of interest arise during the period of performance, then the Arkansas Game and Fish Commission will notify the WSFR Regional Office.

Multipurpose Projects

Not applicable

Relationship with Other Grants

This grant will continue work conducted under the WMA Maintenance, Operations and Habitat Management grant AR-W-F13AF01229 (W-64-45).

Timeline

March – September: Planting/seeding native upland and wetland vegetation and implement prescribed grassland burns

March – June: Timber cutting and timber stand improvements

Year-round: Invasive plant control and other vegetative control activities; provide assistance to landowners

General

NOTE: 50 CFR 80.82 (c) requires that a project statement must include information pertaining to 13 data elements. Element 13 (General) requires that information be included in the project statement that (a) shows that the proposed activities are eligible for funding and substantial in character and design and (b) enables the Service to comply with applicable requirements under NEPA, ESA, and NHPA, and other laws, regulations, and policies.

Please see the attached NEPA, ESA, and NHPA documentation for additional information.

STATE OF ARKANSAS
DEPARTMENT OF CONSERVATION
11 Longarm Street
Seethaven, AR 00000

OFFICE OF THE DIRECTOR

101-202-3344
FAX 101-222-3434

Mr. Bob White
Federal Assistance
U.S. Fish & Wildlife Service

Dear Mr. White:

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

Arkansas Statewide Habitat Management and Public Access regarding compliance with the National Environmental Policy Act.

The actions proposed for this grant involve statewide habitat management activities on wildlife management areas and providing public access to these areas.

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

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

Thank you for your time reviewing this grant proposal,

Ed Cator, Project Leader
Arkansas Department of Conservation

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

1. State: Arkansas

2. Grant Program: Wildlife Restoration

3. Grant Title: Arkansas Statewide Habitat Management and Public Access

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

4. Project Title(s): Arkansas Statewide Habitat Management and Public Access

5. Person Completing Form: Billy Bass

a. Title: Wildlife Area Manager

b. Phone Number: 555-777-8888

6. Date Evaluation Completed: 5/01/2016

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

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

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

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

No species present

C. Candidate species within the action area:

No species present

8. Geographic Area / Location (Attach Map):

Statewide at educational training facilities with indoor classrooms

9. Describe Species and their Habitat occurrences:

None

10. Description of proposed action:

Directly manage 162,746 acres by June 30, 2017.

11. Explanation of effects of the action:

- A. Species status – no species present where ground disturbance will occur.
- B. Habitat status – no designated habitat present
- C. Impacts of the proposed action on species and/or critical habitat –
None present-no effect
- D. Assessment of effects – No effects

12. State Recommendation:

A. Listed species/critical habitat:

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

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

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

Undetermined effect (list species/habitat):

B. Proposed species/critical habitat:

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

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

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

Undetermined effect (list species/habitat):

C. Candidate species:

No effect on candidate species (list species):

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

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

Undetermined effect (list species):

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

14. State Approval:

Signature: Ed Cator

Date

15. Wildlife and Sport Fish Restoration Program Determination

____ No effect (list species/habitat):

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

____ Likely to adversely affect (list species/habitat):

____ Undetermined effect (list species/habitat):

Remarks:

Signatures:

Grant Manager

Date

Arkansas Department of Conservation **Section 106 Review**

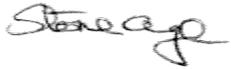
Project: W-777-E **Arkansas Statewide Habitat Management and Public Access**

Dear Mr. Ed Cator:

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

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

Sincerely,

A handwritten signature in cursive script that reads "Stone Age".

Stone Age
State Historic Preservation Officer

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STATE OF ARKANSAS
EXECUTIVE OFFICE OF THE GOVERNOR

BUREAU OF THE BUDGET
Sweethaven, AR 00000

May 15, 2016

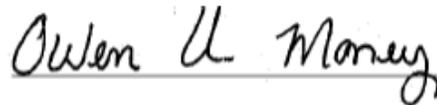
Subject: **Intergovernmental Review Process**

We 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 Arkansas 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.

A handwritten signature in cursive script that reads "Owen U. Money". The signature is written in black ink and is positioned above a horizontal line.

Owen U. Money
Budget Analyst

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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.
19. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL

TITLE

<p>APPLICANT ORGANIZATION</p> 	<p>DATE SUBMITTED</p> <p>Director</p> <p style="text-align: right;">Standard Form 424B (Rev. 7-97) Back</p>
<p>Arkansas Game and Fish</p>	<p>5/01/2016</p>

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 be 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).

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 be achieved?

Objective Template

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

Filling in the blanks:

(Action verb?) Train

(How many?) 150

(Who or what?): Volunteer hunter education instructors

(By when?): June 30, 2019.

Putting it all together:

Train 150 instructors by June 30, 2019.

Objective Examples:

Not SMART: Acquire as much land as is possible to increase access to recreational hunting opportunities.

SMART: Acquire real property interests in 3,000 acres by December 21, 2019.

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

SMART: Directly restore, enhance, create, or manage 50 miles by June 30, 2019.

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

SMART: Directly restore, enhance, create, or manage 1,500 acres by June 30, 2019.

Approach

The approach describes the specific conservation activities 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 **TRACS Activity Matrix (handout 6-43)** to classify each activity.

Example:

- Activity Tag 1: Hunter Education
- Activity Tag 2: Firearms - Hunting

Provide a narrative description of each activity after identifying the Activity Tags.

Example: Training of instructors, teachers, mentors, and students in hunting, shooting, and trapping.

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.

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

Federal Agency Name:

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

Funding Opportunity Title:

Wildlife Restoration Grant Program – Northeast Region (R5)

Catalog of Federal Domestic Assistance (CFDA) Number: 15.611

Announcement Type:

Notice of Funding Opportunity (NOFO) for Federal Fiscal Year (FY) 2018.

Funding Opportunity Number: F18AS00027

Paperwork Reduction Act Statement. We are collecting this information in accordance with the Pittman-Robertson Wildlife Restoration Act (16 U.S.C. 669-669i). Your response is required to obtain or retain a benefit. We will use the information you provide to evaluate your application for potential award of Federal funding through this program and, if awarded, to evaluate performance. We may not conduct or sponsor and you are not required to respond to a collection of information unless it displays a currently valid OMB control number. We estimate that it will take you about 37 hours to complete an initial application, 3 hours to revise the terms of an award, and 8 hours to prepare and submit performance reports, including time to maintain records, and gather information. You may send comments on the burden estimate or any other aspect of this information collection to the Information Collection Clearance Officer, U.S. Fish and Wildlife Service, MS BPHC, 5275 Leesburg Pike, Falls Church, VA 22041-3803.

Dates: State applicants can continuously apply for funding up to the application deadline. The deadline for receipt is August 31, 2019, 11:59 p.m. PDT. The Service recommends that you submit your application early enough to address any unforeseen technical complications and verify that all documents have been received by your Regional WSFR Office before the deadline. The Service will not consider applications received after the deadline.

I. Description of Funding Opportunity:

The Federal Aid in Wildlife Restoration Act of 1937, 50 Stat. 917 as amended; 16 U.S.C. 669-669b, 669-669k, now 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 has been 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 available at: <http://wsfrprograms.fws.gov/Subpages/GrantPrograms/WR/WR.htm>.

The Wildlife and Sport Fish Restoration Program's (WSFR) mission is to work through partnerships to conserve and manage fish and wildlife, and their habitats, for the use and enjoyment of current and future generations. WSFR's vision is of healthy, diverse, and accessible fish and wildlife populations that offer recreation, economic activity, and other societal benefits, in addition to sustainable ecological functions. WSFR's guiding principle is that society benefits from conservation-based management of fish and wildlife and their habitats and opportunities to use and enjoy them. Our grant programs align with WSFR's mission, vision, and guiding principle, and support three of the Secretary of the Department of the Interior's priorities including:

- 1) Creating a conservation stewardship legacy second only to Teddy Roosevelt;
- 2) Utilizing our natural resources; and
- 3) Restoring trust with our local communities.

II. Award Information:

WR provides Federal grant funding to the 50 States, Commonwealths, and territories (not the District of Columbia) 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.

The final WR apportionments are available at:

http://wsfrprograms.fws.gov/Subpages/GrantPrograms/WR/WR_Funding.htm.

A. Formula

The WR apportionment is determined for States based on the following:

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 five percent or less than one-half of one percent of the total apportionment;
4. The Commonwealth of Puerto Rico is apportioned up to one-half of one percent; and
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 one 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;
7. States may be paid up to 75 percent of project costs through the program. See Section III. D. for details; and
8. Fund Availability - WR 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. Only State fish and wildlife agencies may apply for and receive grants under this program.

The Section 4(c) apportionment is determined for States based on the following:

1. It is a formula-based apportionment;
2. It is based on State population compared to the total United States population using the most recent census figures;
3. No State may receive more than three percent or less than one 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 one percent of the total apportionment.

B. Funding Restrictions

Ineligible activities include law enforcement of fish and game regulations, public relation activities to promote the fish and wildlife agency, and activities conducted for the primary purpose of generating revenue. See 50 CFR 80.54.

III. Basic Eligibility Requirements

Eligible Applicants:

Participation is limited to State, Commonwealth, or territorial agencies (but not agencies of the District of Columbia) 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.

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

A. DUNS Registration

Request a DUNS number at <http://fedgov.dnb.com/webform>. For technical difficulties, contact Dun & Bradstreet by email at: govt@dnb.com, or by calling the Government Customer Resource Center at voice phone: 866-705-5711 or TTY line: 877-807-1679 (hearing impaired customers only). Obtaining a DUNS number is absolutely free for all entities doing business with the Federal government. Once assigned a DUNS number, entities are responsible for maintaining up-to-date information with Dun & Bradstreet.

B. Entity Registration in SAM

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

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

C. Excluded Entities

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

D. Cost Sharing or Matching

States may be paid 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. In accordance with 48 U.S.C. 1469(a), the Regional Director will waive the first \$200,000 of match for each grant from the Commonwealth of the Northern Mariana Islands and the territories of American Samoa, Guam, the U.S. Virgin Islands. The non-Federal share may come from license fees. Matching and cost-share requirements are discussed in 50 CFR 80 and 2 CFR 200.

IV. Application Requirements

You can download the application package for the Wildlife Restoration Grant Program 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://fawiki.fws.gov/display/WTK/Forms>. If you have trouble accessing the online forms, you can contact one of the Service WSFR Offices (see Agency Contacts).

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

A. Standard Form SF-424

A completed, signed and dated Application for Federal Assistance form (Standard Form (SF) 424). Do not include other Federal sources of funding, requested or approved, in the total entered in the “Federal” funding box on the Application for Federal Assistance form. Enter only

the amount being requested under this program in the “Federal” funding box. Include any other Federal sources of funding in the total funding entered in the “Other” box.

B. Project Statement

Applicants applying for awards on a project-by- project basis are required to provide a project statement containing the elements required by 50 CFR 80.82 and listed below.

Identify and describe:

1. The need for the proposed project(s) within the purpose of the Program;
2. Discrete, quantifiable, and verifiable objectives to be accomplished during a specific time period. Objectives reference specific outcomes to be accomplished in order to reach the stated goal(s). The project objectives should be specific, measurable, attainable within the period of performance, realistic, and time-bound;
3. Expected results or benefits from accomplishing the objectives;
4. The approach or activities to be used in meeting the objectives, including specific procedures, methods, schedules, key personnel, and cooperators;
5. Project location – Maps or other geographic aids may be attached. Please include GPS Coordinates in degrees, minutes, and seconds, if available;
6. Useful life - Propose a useful life for each capital improvement (see 50 CFR 80.2), and reference the method used to determine the useful life of a capital improvement with a value greater than \$100,000;
7. Principal investigator for research projects. Record the principal investigator's name, work address, and work telephone number. To prevent unnecessary transmission of Personally Identifiable Information, ***do not include Social Security numbers, the names of family members, or any other personal or sensitive information including marital status, religion or physical characteristics on the description of key personnel qualifications;***
8. Estimated the amount of program income that the project is likely to generate. Indicate the method of applying and disposing of the program income;
9. See sections C and D for directions relating to the required format of the budget and the information needed in the budget narrative;
10. Describe the method for allocating costs in multipurpose projects and facilities;
11. Describe any relationship between this project and other work funded by Federal grants that is planned, anticipated, or underway;
12. Timeline. Describe significant milestones in completing the project and any accomplishments to date;
13. For projects conducted in the United States, a description of the activity in sufficient detail so WSFR staff are able to evaluate compliance with the National Environmental

Policy Act (NEPA), Section 7 of the Endangered Species Act (ESA), and Section 106 of the National Historic Preservation Act (NHPA);

14. Provide information in the project narrative that shows that the proposed activities are eligible for funding and substantial in character and design; and
15. For CMS states, adequate description of activities to allow WSFR staff to evaluate the 25 items in 2 CFR 200.407 requiring prior written approval and a description of the activities in sufficient detail so WSFR staff are able to evaluate compliance with the National Environmental Policy Act (NEPA), Section 7 of the Endangered Species Act (ESA), and Section 106 of the National Historic Preservation Act (NHPA).

A Project Statement may not be required for applicants who are applying for awards under a comprehensive management system (CMS). Applicants considering submitting an application under a CMS should contact their WSFR Regional Office for details (see Section VI., Agency Contacts). CMS applications must submit the information required in 50 CFR 80.81.

C. Budget Form

Complete the Budget Information for Non-Construction Programs (SF 424A) form, Budget Information for Construction Programs (SF 424C) form, or submit the equivalent or greater level of information in another format. You may use the SF 424A if your project does not include construction and the SF 424C if the project includes construction or land acquisition. The budget forms are available on the Internet at <https://fawiki.fws.gov/display/WTK/Forms>. When developing your budget, keep in mind that financial assistance awards and subawards are subject to the Federal cost principles in Title 2 of the Code of Federal Regulations Part 200, as applicable to the recipient organization type. Links to the full text of the Federal cost principles are available on the Internet at [2 CFR 200](#).

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

D. Budget Narrative

In a separate narrative titled "**Budget Narrative**," explain and justify all requested budget items/costs. Detail how the SF 424 Budget Object Class Category totals were determined and

demonstrate a clear connection between costs and the proposed project activities. The justification for each budget category should be a brief general description of the costs that makeup that category, yet provide enough detail to demonstrate that the applicant has a financial plan for implementation of the proposed objectives. For example, under personnel costs include the total number of staff and the various job titles (classifications) anticipated to be charging to the project. Describe any item that under the applicable Federal cost principles in 2 CFR 200.407 that requires the Service's approval and estimate its cost (e.g., equipment and other capital expenditures, pre-award costs, etc.). Also include:

- a. In-Kind Match – Include the source, the amount, and the valuation methodology used to arrive at the total;
- b. Program Income, if any – Include the source, amount, and the requested method of crediting the program income (i.e. deductive or additive); and
- c. When applicable, for any organization charging indirectly, a copy of a current Negotiated Indirect Cost Rate Agreement (NICRA). State fish and wildlife agencies may submit a copy of their NICRA annually to their Regional WSFR Office.

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

“We are:

1. A U.S. State or local government entity receiving more than \$35 million in direct Federal funding each year with an indirect cost rate of [insert rate]. We submit our indirect cost rate proposals to our cognizant agency. A copy of our most recently approved rate agreement/certification is attached (or on file with the Regional WSFR Office);
2. A U.S. State or local government entity receiving less than \$35 million in direct Federal funding with an indirect cost rate of [insert rate]. We are required to prepare and retain for audit an indirect cost rate proposal and related documentation to support those costs;
3. A [insert your organization type; U.S. States and local governments, please use one of the statements above or below] that has previously negotiated or currently has an approved indirect cost rate with our cognizant agency. Our indirect cost rate is [insert rate]. [Insert either: “A copy of our most recently approved but expired rate agreement is attached. In the event an award is made, we will submit an indirect cost rate proposal to our cognizant agency within 90 calendar days after the award is made.” or “A copy of our current, approved rate agreement(s) is attached.”];

4. A [insert your organization type] that has never submitted an indirect cost rate proposal to our cognizant agency. Our indirect cost rate is [insert rate]. In the event an award is made, we will submit an indirect cost rate proposal to our cognizant agency within 90 calendar days after the award is made;
5. A [insert your organization type] that has never submitted an indirect cost rate proposal to our cognizant agency and has an indirect cost rate that is lower than 10%. Our indirect cost rate is [insert rate; must be lower than 10%]. However, in the event an award is made, we will not be able to meet the requirement to submit an indirect cost rate proposal to our cognizant agency within 90 calendar days after award. We request as a condition of award to charge a flat indirect cost rate of [insert rate; must be lower than 10%] of [insert a clear description of the direct cost base against which your rate is charged (e.g., salaries; salaries and fringe benefits; or modified total direct costs)]. However, please note that your organization cannot charge indirect costs in excess of the indirect costs that would be recovered if applied against modified total direct costs as defined in 2 CFR 220.68]. We understand that we must notify the Service in writing immediately if we establish an approved rate with our cognizant agency at any point during the award period.
6. A [insert your organization type] that has never submitted an indirect cost rate proposal to our cognizant agency and has an indirect cost rate that is 10% or higher. Our indirect cost rate is [insert your organization's indirect rate; must be 10% or higher]. However, in the event an award is made, we will not be able to meet the requirement to submit an indirect cost rate proposal to our cognizant agency within 90 calendar days after award. We request as a condition of award to charge a flat *de minimis* indirect cost rate of 10% of modified total direct costs as defined in 2 CFR 200.68. We understand that we must notify the Service in writing immediately if we do establish an approved rate with our cognizant agency at any point during the award period. We understand that additional Federal funds may not be available to support an unexpected increase in indirect costs during the project period and such changes are subject to review, negotiation, and prior approval by the Service; or
7. A [insert your organization type] that will charge all costs directly.

All applicants are hereby notified of the following:

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

- Recipients must have prior written approval from the Service to transfer unallowable indirect costs to amounts budgeted for direct costs or to satisfy cost-sharing or matching requirements under the award.
- Recipients are prohibited from shifting unallowable indirect costs to another Federal award unless specifically authorized to do so by legislation.

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

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

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

Indirect Cost Services
 Acquisition Services Directorate, Interior Business Center
 U.S. Department of the Interior
 650 Capitol Mall, Suite 7-400
 Sacramento, CA 95814
 Phone: 916-930-3803
 Email: Through <https://www.doi.gov/ibc/contactus/ibcfeedback> web form
 Internet address: <https://www.doi.gov/ibc/services/finance/indirect-cost-services>

E. Single Audit Reporting Statements

As required in Title 2 of the Code of Federal Regulations Part 200, Subpart F, all U.S. States, local governments, federally-recognized Indian tribal governments, and non-profit organizations expending \$750,000 USD or more in Federal award funds in a fiscal year must submit a Single Audit report for that year through the Federal Audit Clearinghouse's Internet Data Entry System. All U.S. State, local government, federally-recognized Indian tribal government and non-profit applicants must provide a statement regarding if your organization

was/was not required to submit a Single Audit report for the organization's most recently closed fiscal year and, if so, state if that report is available on the Federal Audit Clearinghouse Single Audit Database website (<https://harvester.census.gov/facweb/>) and provide the EIN under which that report was submitted. Include these statements at the end of the Project Narrative in a section titled "**Single Audit Reporting Statements.**"

F. Assurances

Include the appropriate signed and dated Assurances form available at <http://www.grants.gov/web/grants/forms/sf-424-family.html#sortby=1>. Use the **Assurances for Construction Programs (SF 424D)** for construction and land acquisition projects. Use the **Assurances for Non-Construction Programs (SF 424B)** for all other projects. The form includes a statement that some of the assurances may not be applicable to your organization and/or your project or program. Signing this form does not make you or your organization subject to laws that are otherwise not applicable to you or your organization. Changing, crossing out, or making notations on the form before signing has no impact on the applicability of law. State fish and wildlife agencies may submit a copy of assurances annually to their Regional WSFR Office.

G. Certification and Disclosure of Lobbying Activities

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

H. Conflict of Interest Disclosures

Applicants must notify the Service in writing of any actual or potential conflicts of interest that are known at the time of application or that may arise during the life of this award, in the event an award is made. Conflicts of interest include any relationship or matter which might place the recipient, the recipient's employees, or the recipient's subrecipients in a position of conflict, real or apparent, between their responsibilities under the award and any other outside

interests. Conflicts of interest may also include, but are not limited to, direct or indirect financial interests, close personal relationships, positions of trust in outside organizations, consideration of future employment arrangements with a different organization, or decision-making affecting the award that would cause a reasonable person with knowledge of the relevant facts to question the impartiality of the applicant, the applicant's employees, or the applicant's future subrecipients in the matter. Upon receipt of such a notice, the Service Project Officer in consultation with their Ethics Counselor will determine if a conflict of interest exists and, if so, if there are any possible actions to be taken by the applicant to reduce or resolve the conflict. Failure to resolve conflicts of interest in a manner that satisfies the Service may result in the project not being select for funding.

Items to Include in Grant Application

- **SF 424, Application for Federal Assistance:** A complete, signed and dated SF 424, SF 424-Mandatory
- **Project Statement**
- **Budget Information or SF 424 budget form:** A complete SF 424-A, SF 424-C, or equivalent budget information.
- **Budget Narrative**
- **NICRA:** When applicable, a copy of the organization's current Negotiated Indirect Cost Rate Agreement.
- **Indirect Cost Statement**
- **Single Audit Reporting statement:** If a U.S. state, local government, federally-recognized Indian tribal government, or non-profit organization, statements regarding applicability of and compliance with Single Audit reporting requirements (2CFR 200.501)
- **SF-424 Assurances form:** Signed and dated SF 424-B or SF 424-D Assurances form (if a current version is not on file with the Regional WSFR Office).
- **SF-LLL form:** If applicable, completed SF-LLL Disclosure of Lobbying Activities form.
- **Conflict of Interest statement,** when applicable.

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

V. Submission Instructions

SUBMISSION DEADLINE: Grant application packages are due to your Regional WSFR Office (see Section VI, Agency Contacts) on or before August 31, 2019, 11:59 p.m. PDT.

Intergovernmental Review: Before submitting an application, U.S. state and local government applicants should visit the following website (http://www.whitehouse.gov/omb/grants_spoc/)

to determine whether their application is subject to the state intergovernmental review process under Executive Order (E.O.) 12372 “Intergovernmental review of Federal Programs.” E.O. 12372 was issued to foster the intergovernmental partnership and strengthen federalism by relying on state and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The E.O. allows each state to designate an entity to perform this function. The official list of designated entities is posted on the website. Contact your state’s designated entity for more information on the process the state requires to be followed when applying for assistance. States that do not have a designated entity listed on the website have chosen not to participate in the review process.

Electronic Submission Instructions: Go to www.grants.gov

1. Click the “Apply for Grants” tab and read the instructions provided by grants.gov;
2. The following are items that need to be done before a grant application package can be submitted electronically through grants.gov:
 - 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>;
 - 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/>;
3. 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;
4. All forms and attachments mentioned above must be submitted with the grant application package; and
5. **Important note on Grants.gov application attachment file names:** Please do not assign application attachments file names longer than 20 characters, including spaces. Assigning file names longer than 20 characters will create issues in the automatic interface between Grants.gov and the Service’s financial assistance management system.

Mail or Email Submission Instructions:

1. Applicants can obtain forms, in PDF fillable/printable formats, from the WSFR Toolkit at <http://fawiki.fws.gov/display/WTK/Toolkit+Homepage>.
2. The required SF 424 Application for Federal Assistance and Assurances forms and any other required standard forms MUST be signed by your organization’s authorized official. The Signature and Date fields on the standard forms downloaded from [Grants.gov](http://www.grants.gov) are pre-populated with the text “Completed by [Grants.gov](http://www.grants.gov) upon submission” or “Completed on submission to [Grants.gov](http://www.grants.gov).” Remove this text (manually or digitally) before signing the forms.

3. The completed grant application package must be mailed or emailed to the appropriate U.S. Fish and Wildlife Service Regional Office.

VI. Agency Contacts

The Service administers the Wildlife Restoration Grant Program. National level program information can be obtained by contacting:

Christina Milloy

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

MS: WSFR

5275 Leesburg Pike

Falls Church, VA 22041-3803

703-862-5761

Christina_Milloy@fws.gov

For project specific information and details to apply, contact your Regional WSFR Office:

Region 1 - American Samoa, Commonwealth of the Northern Mariana Islands, Guam, Hawaii, Idaho, Oregon, and Washington: r1fa_grants@fws.gov, 503-231-6128

Region 2 - Arizona, New Mexico, Oklahoma, and Texas: fw2fa@fws.gov, 505-248-7450

Region 3 - Illinois, Indiana, Iowa, Michigan, Minnesota, Missouri, Ohio, and Wisconsin: R3fedaid@fws.gov, 612-713-5130

Region 4 - Alabama, Arkansas, Florida, Georgia, Kentucky, Louisiana, Mississippi, North Carolina, the Commonwealth of Puerto Rico, South Carolina, Tennessee, and the U.S. Virgin Islands: fws-r4federalassistance@fws.gov, 404-679-4159

Region 5 - Connecticut, Delaware, the District of Columbia, Maine, Maryland, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, Vermont, Virginia, West Virginia: fw5fareports@fws.gov, 413-253-8508

Region 6 - Colorado, Kansas, Nebraska, Montana, North Dakota, South Dakota, Utah, and Wyoming: fw6_fagrants@fws.gov, 303-236-5420

Region 7 - Alaska: AK_FA@fws.gov, 907-786-3631

Region 8 - California and Nevada: R8fa_grants@fws.gov, 916-414-6525

VII. Award Administration Information

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. Following review, applicants may be asked to revise the project scope and/or budget before an award is made. Successful applicants will receive written notice in the form of a notice of award document. Notices of award are typically sent to recipients by e-mail. If e-mail notification is unsuccessful, the documents will be sent by courier mail (e.g., FedEx, DHL or UPS). Award recipients are not required to sign/return the Notice of Award document. Acceptance of an award is defined as starting work, drawing down funds, or accepting the award via electronic means. Awards are based on the application submitted to, and as approved by, the Service. The notice of award document will include instructions specific to each recipient on how to request payment. If applicable, the instructions will detail any additional information/forms required and where to submit payment requests.

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

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

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

Internet and require a full text copy of the award terms and conditions, contact the Service point of contact identified in the Agency Contacts section.

Recipient Reporting Requirements:

Final Reports: Recipients are required to submit final financial and performance reports no later than 90 calendar days after the award period of performance end date or termination date, whichever comes first. For awards lasting 12 months or less, the final reports will be the only financial and performance reports required, except in unusual circumstances or if waived.

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

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

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

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

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

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

Financial and performance reporting requirements and retention and access requirements are specified in 2 CFR Part 200 (Subpart D) and in the Service Manual Chapters of Financial and Performance Reporting Guidance, 516 FW 1 and 516 FW 2. Electronic submission of performance information using the Wildlife TRACS system may be required, as detailed in the terms and conditions of this award.

Conflict of Interest Disclosures: Recipients are responsible for notifying the Service Project Officer in writing of any actual or potential conflicts of interest that may arise during the life of this award. Conflicts of interest include any relationship or matter which might place the recipient, the recipient's employees, or the recipient's subrecipients in a position of conflict, real or apparent, between their responsibilities under this award and any other outside interests. Conflicts of interest may also include, but are not limited to, direct or indirect financial interests, close personal relationships, positions of trust in outside organizations, consideration of future employment arrangements with a different organization, or decision-making affecting the award that would cause a reasonable person with knowledge of the relevant facts to question the impartiality of the Recipient, the Recipient's employees, or the Recipient's subrecipients in the matter. Upon receipt of such a notice, the Service Project Officer in consultation with their Ethics Counselor will determine if a conflict of interest exists and, if so, if there are any possible actions to be taken by the Recipient, the Recipient's employee(s), or the Recipient's Subrecipient(s) that could reduce or resolve the conflict. Failure to resolve conflicts of interest in a manner that satisfies the Service may result in any of the remedies described in 2 CFR 200.338, Remedies for Noncompliance, including termination of this award.

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

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

TRACS Enhancement Matrix

The Activity Matrix corresponds to SMART Objectives. For each SMART Objective, a TRACS user is required to select at least one Activity Tag 1 and provide the corresponding unit of measurement. More than one Activity Tag 1 may be selected per strategy. One or more Activity Tag 2 is required if present but does not require a unit of measurement.

STRATEGY/SMART Objectives	Activity Tag 1 (Required)	Unit of Measure	Activity Tag 2 (Required)	Target Species/Habitat Type (Required)	Descriptions and Examples
COORDINATION AND ADMINISTRATION					
			<i>This column is for State-based organizations (SOBA, AREA, IHEA) that have requested that certain information be collected in TRACS specific to their organizations interests.</i>	<i>This column indicates those activities where the system would require that a target species and/or habitat be identified.</i>	Coordination and administration necessary for effective agency operations and program/project management and identified in a WSFR-Funded grant/project.
Administer XX Projects under a grant that includes Coord/Admin by XXXX					Coordination and administration of a project that is identified in a WSFR funded grant (e.g., acquisition of goods and services, human resources tasks, environmental compliance, monitoring progress of grant proposal and reporting processes) necessary for effective agency operations, project management, compliance, or monitoring. NOTE: This objective does not include day-to-day grant administration activities.
	Project coordination and administrative support, compliance, and monitoring	# of projects	NA	NA	Coordination and administration of a project that is identified in a WSFR funded grant (e.g., acquisition of goods and services, human resources tasks, environmental compliance, monitoring progress of grant proposal and reporting processes) necessary for effective agency operations, project management, compliance, or monitoring. NOTE: This objective does not include day-to-day grant administration activities.
RESEARCH, SURVEY, DATA COLLECTION AND ANALYSIS					
					Research, survey, collection and analysis of data.
Create or manage XX databases by XXXX.					Information technology development and maintenance to support project objectives (e.g., database development). For the purpose of this measure, "Database" refers to a structured compilation of data.
	Information Technology and Management	# of databases	NA	NA	Information technology development and maintenance to support project objectives (e.g., database development). For the purpose of this measure, "Database" refers to structured compilation of data.
create or manage XX applications by XXXX.	Information Technology and Management	# of applications	NA	NA	Information technology development and maintenance to support project objectives (e.g. web application development). For the purpose of this measure, "application" refers to an IT system that includes a user interface to provide data (including web based and spatial data).
Conduct XX Investigations by XXXXX.					Investigations means the collection and analysis of data as part of research, survey or monitoring. Note: includes compilation, management, synthesis, analysis and reporting of spatial and non-spatial data.
	Fish and wildlife species data acquisition and analysis	# of Investigations	NA	Species (tag only)	Collection and analysis of data as part of research, survey or monitoring primarily focused on fish and wildlife populations and movements. Note: includes compilation, management, synthesis, analysis and reporting of spatial and non-spatial data.
	Habitat data acquisition and analysis	# of Investigations	NA	Habitat # acres (back) + Species	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.
	Utilization data acquisition and analysis	# of Investigations	NA	Species (tag only)	Collection and analysis of data as part of research, survey or monitoring primarily focused on utilization of fish or wildlife resources, demographics of users, and economics. Note: includes compilation, management, synthesis, analysis and reporting of data.
	Fish/Wildlife Disease Assessment data acquisition and analysis	# of Investigations		Species (tag only)	Collection and analysis of data as part of research, survey or monitoring primarily focused on fish and wildlife disease. Note: includes compilation, management, synthesis, analysis and reporting of data.
	Recruitment, Retention, and Reactivation data acquisition and analysis	# of Investigations		NA	Collection and analysis of data as part of research, survey or monitoring primarily focused on the recruitment, retention, and reactivation of recreational hunters and-anglers. Note: includes compilation, management, synthesis, analysis and reporting of data.
	Human Dimensions related data acquisition and analysis	# of Investigations		NA	Collection and analysis of data as part of research, survey or monitoring primarily focused on human dimensions. Note: includes compilation, management, synthesis, analysis and reporting of data. Note: Harvest and Creel information should be reported under Utilization.
Develop XX techniques by XXXX.					Research and development of techniques important for the conservation and management of fish and wildlife.
	Conservation Techniques development	# of techniques developed	NA		Research and development of techniques important for the conservation and management of fish and wildlife.
DIRECT HABITAT AND SPECIES MANAGEMENT					
					Creation, enhancement, restoration or maintenance of habitat or biological processes for the benefit of fish and wildlife and/or recreational users; Game and non-game species management. NOTE: Species Reintroduction and Species Stocking have their own strategies
Directly restore, enhance, remove, create or manage XX structures by XXXX.					Creation, maintenance, or removal of natural or man-made structures for the benefit of fish, wildlife, their habitats and recreational users.
	Aquatic barriers removal	# of structures	Species (tag only) + Habitat (tag only)	Species + Habitat	Removal of barriers to maintain aquatic species populations and restore ecological functions.
	Aquatic barriers modification	# of structures	Species (tag only) + Habitat (tag only)	Species + Habitat	Modification of barriers to maintain aquatic species populations and restore ecological functions.
	Terrestrial wildlife habitat structures	# of structures	Species (tag only) + Habitat (tag only)	Species + Habitat	Structures to benefit terrestrial wildlife, their habitats and recreational users. Includes Exclusion structures.
	Freshwater fish and wildlife habitat structures	# of structures	Species (tag only) + Habitat (tag only)	Species + Habitat	Structures to benefit freshwater fish, wildlife, their habitats and recreational users. Excludes fish passage and screening facilities. See activity tags under the Facilities objective.
	Marine/Estuary fish and wildlife habitat structures	# of structures	Species (tag only) + Habitat (tag only)	Species + Habitat	Structures to benefit marine/Estuary fish, wildlife, their habitats and recreational users, including breakwaters, artificial reefs, etc.

STRATEGY/SMART Objectives	Activity Tag 1 (Required)	Unit of Measure	Activity Tag 2 (Required)	Target Species/Habitat Type (Required)	Descriptions and Examples
	Hazard or infrastructure removal	# of structures	Species (tag only) + Habitat (tag only)	Species + Habitat	Removal of hazards or infrastructure to benefit fish, wildlife, their habitats and recreational users. Includes road decommissioning. Excludes aquatic barriers covered above.
	Water management structures	# of structures	Species (tag only) + Habitat (tag only)	Species + Habitat	Structures for the management of water to benefit fish, wildlife, their habitats and recreational users. Excludes acquisition of water rights. See acquisition of water rights activity tag under Lands objective.
Directly restore, enhance, create or manage XX acres by XXXX.					Creation, restoration, enhancement or management of habitat for the benefit of fish and wildlife and recreational users.
	Prescribed Fire	# of acres	Species (tag only) + Habitat # acres (back end)	Species + Habitat	Prescribed fire (acres burned) to benefit fish, wildlife, their habitats and recreational users. NOTE: Fire prevention, such as firelines, should be reported in " # of Feet" under Facility O and M.
	Grazing/farm management	# of acres	Species (tag only) + Habitat # acres (back end)	Species + Habitat	Agricultural practices to benefit fish, wildlife, their habitats and recreational users.
	Planting/seeding	# of acres	Species (tag only) + Habitat # acres (back end)	Species + Habitat	Propagating, planting or seeding to benefit fish, wildlife, their habitats and recreational users.
	Other vegetation management practices	# of acres	Species (tag only) + Habitat # acres (back end)	Species + Habitat	Biological, chemical or physical manipulation of terrestrial/aquatic vegetation (other than invasives) to benefit fish, wildlife, their habitats and recreational users.
	Forest Stand management	# of acres	Species (tag only) + Habitat # acres (back end)	Species + Habitat	Forest stand management to benefit fish, wildlife, their habitats and recreational users.
	Wetland creation/management	# of acres	Species (tag only) + Habitat # acres (back end)	Species + Habitat	Wetland creation/management to benefit fish, wildlife, their habitats and recreational users.
	Wildlife damage management	# of acres	Species (tag only) + Habitat # acres (back end)	Species + Habitat	Management of nuisance fish and wildlife. Note: Limited eligibility for funding through WSFR grant programs.
	Lake/Pond creation, management	# of acres	Species (tag only) + Habitat # acres (back end)	Species + Habitat	Lake/Pond creation and/or management to benefit fish, wildlife, their habitats and recreational users, including but not limited to liming, fertilization, use of rotenone, and aeration.
	Marine/Estuary management	# of acres	Species (tag only) + Habitat # acres (back end)	Species + Habitat	Marine/Estuary habitat management to benefit fish, wildlife, their habitats and recreational users. Reintroduction of coral reported under Reintroduction objective.
	Invasive species control - plants	# of acres	Species (tag only) + Habitat # acres (back end)	Species + Habitat	Assessment and biological, chemical and physical control of invasive plant species to benefit fish, wildlife, their habitats and recreational users, including invasive algae and seaweed. NOTE: Invasive animal species should be entered under "Invasive species control - Animals".
Directly restore, enhance, create or manage XX-miles by XXXX.					Restoration, enhancement, creation, or management of rivers and streams for the benefit of fish and wildlife and recreational users.
	Stream modification	# of stream miles	NA	Species (tag only) + Habitat (tag only)	River/stream/springs improvements to benefit fish, wildlife, their habitats and recreational users; includes streambank stabilization, channel modification.
	River/Stream management	# of stream miles	NA	Species (tag only) + Habitat (tag only)	River/stream management, inc. liming, to benefit fish, wildlife, their habitats and recreational users; includes springs.
Directly restore, enhance, create or manage XX feet by XXXX.					
	Living Shorelines	# of feet	NA	Species (tag only) + Habitat (tag only)	Physical manipulation of shoreline areas to benefit fish, wildlife, their habitats and recreational users.
	Other Shorelines	# of feet	NA	Species (tag only) + Habitat (tag only)	Physical manipulation of shoreline areas to benefit fish, wildlife, their habitats and recreational users, other than "Living Shorelines".
Directly manage XX species by XXXX.					Assessments and biological, chemical, and physical control of invasive species, nuisance species to benefit fish and wildlife and their habitats and recreational users. NOTE: invasive PLANTS are addressed under Directly restore, enhance, create or manage XX acres by XXXX
	Invasive species control - Animals	# of species	NA	# Species (back end)	Assessment and biological, chemical and physical control of invasive animal species to benefit fish, wildlife, their habitats and recreational users.
	Fish and Wildlife Predation Management	# of species		# Species (back end)	Assessment and management response to alleviating predation impacts to benefit fish, wildlife, and recreational users. Excludes Invasive species. Invasive species reported under Invasive Species Control activity tag.
	Wildlife feeding	# of species	NA	# Species (back end)	Feeding of wildlife to benefit wildlife, their habitat and recreational users; e.g. winter feeding of elk, emergency feeding of deer due to natural disaster.
Directly manage restoration and recovery of xx individuals by xxx					Production, rehabilitation, introduction, re-introduction, supplementation, and relocation of species in suitable habitats for restoration and recovery purposes.
	Species restoration/recovery	# of individuals	NA	# Species (front and back ends)	Production, rehabilitation, introduction, re-introduction, supplementation, and relocation of species in suitable habitats for restoration and recovery purposes.
Directly manage XX incidents by XXXX					Assessments and management responses to alleviate fish and wildlife depredation or disease; or alleviate damage actions resulting from nuisance fish and wildlife species.
	Fish and Wildlife depredation management	# of incidents	NA	Species (tag only)	Assessment and management response to alleviating wildlife damage to private property and nuisance species.
	Fish and Wildlife disease management	# of incidents	NA	Species (tag only)	Management responses to disease in order to benefit fish, wildlife, their habitats and recreational users.
	Wildlife damage management	# of incidents	NA	Species (tag only) + Habitat (tag only)	Assessment and management response to alleviate damage from nuisance fish and wildlife. Note: Limited eligibility for funding through WSFR grant programs.

STRATEGY/SMART Objectives	Activity Tag 1 (Required)	Unit of Measure	Activity Tag 2 (Required)	Target Species/Habitat Type (Required)	Descriptions and Examples
ENVIRONMENTAL REVIEW					Inter-agency, intra-agency, and non-governmental review of agency and private sector policies, projects and plans (primarily related to development and adverse impacts to natural resources, NEPA documents, Permits, etc.) to help ensure potential impacts to fish and wildlife are avoided, minimized and/or compensated/mitigated (e.g., review of municipal pier development, review of transmission corridor siting)
Review XX projects/plans by XXXX.					Review of policies, projects and plans (primarily related to development and adverse impacts to natural resources) to help ensure potential impacts to fish and wildlife are avoided, minimized and/or compensated/mitigated (e.g., review of municipal pier development, review of transmission corridor siting).
	Review of proposed projects/plans	# of projects/plans reviewed	NA	NA	Review of 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).
FACILITIES/AREA CONSTRUCTION					New construction or renovation of facilities in support of programs/projects (e.g., office buildings, garages, equipment sheds, access sites, ranges, hatcheries, or education centers)
Construct or renovate XX facilities by XXXX.					Construction or renovation of facilities in support of programs/projects (e.g., office buildings, garages, equipment sheds).
	Firearm and archery ranges	# of facilities		NA	Construction or renovation of facilities that provide recreational shooting.
			Archery ranges		Archery ranges for hunter education and other recreational purposes.
			Shooting ranges		Shooting ranges for hunter education and other recreational purposes Note: Could be funded through Wildlife Restoration basic or Section 10 enhanced hunter education.
	Fish passage facilities	# of facilities	NA	Species (tag only)	Facilities, including each structure that is 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.
	Fish screening and related facilities	# of facilities	NA	Species (tag only)	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.
	Fish Hatcheries	# of facilities		Species (tag only)	Facilities to propagate fish species for recreational or restoration purposes.
	Education centers	# of facilities		NA	Facilities used in support of education.
			Aquatic resource education		Classrooms for aquatic resource education purposes.
			Hunter education		Classrooms for hunter education purposes Note: Could be funded through Wildlife Restoration basic or Section 10 enhanced hunter education.
	Wildlife passage facilities	# of facilities	NA	Species (tag only)	Facilities, including structures that are designed to allow wildlife to move past barriers (e.g., roads, fences, etc)
	Wildlife propagation facilities	# of facilities	NA	Species (tag only)	Facilities used in support of wildlife propagation, including aquatic species (e.g. freshwater mussels).
	Program Support facilities.	# of facilities	NA	NA	Facilities used in support of programs/projects (e.g., office buildings, garages, equipment sheds).
	Recreational boating facilities	# of facilities		NA	Boating-related facilities for the handling, launching, mooring, tie-up, pump out or parking of public watercraft, trailers or transport vehicles, including ancillary features commonly associated with such facilities.
			Access roadways		Roadways to access public Boating Facilities
			Carry-down access		Access facilities for hand-launched watercraft (i.e. kayak or non-motorized boat access)
			Docks/piers		Docks/piers at boat launch sites
			Fish cleaning stations		Fish cleaning stations at boat launch sites
			Launch ramps		Boat ramp lanes at boat launch sites
			Hoist launching systems		Systems marinas or docks designed to launch watercraft via a hoist.
			Parking areas		Parking areas at boat launch sites
			Restrooms		Restrooms at boat launch sites
			Shelters		Shelters at boat launch sites
			Dump stations		Dump stations
			Floating restrooms		Floating restrooms
			Pump out boats		Pump out boats
			Pump out stations		Pump out stations
			Boat Courtesy Docks/without slips		Spaces for tie-ups to docks
			Boat Courtesy Docks/with slips		Spaces for tie-ups to docks with slips
			Fuel stations		Fuel Stations
			Gangways		Gangways
			Laundry facilities		Laundry facilities
			Moorings		Moorings
			Restrooms		Restrooms
			Secondary improvements		Secondary improvements (e.g. utilities, buoys, lights, etc.)

STRATEGY/SMART Objectives	Activity Tag 1 (Required)	Unit of Measure	Activity Tag 2 (Required)	Target Species/Habitat Type (Required)	Descriptions and Examples
Construct or renovate XX areas by XXXX.					Construction or renovation activities in areas in support of programs/projects (e.g. non-boating access public fishing areas such as fishing piers). Note: Activities primarily for restoration and management of species and habitats should be coded to Create, Restore or Enhance Habitat and Natural Processes.
	Public access areas	# of areas	NA	NA	Construction or renovation activities in areas in support of programs/projects (e.g. non-boating access public fishing areas such as fishing piers, wildlife watching areas, etc.). Note: Activities primarily for restoration and management of species and habitats should be coded to Create, Restore or Enhance Habitat and Natural Processes.
FACILITIES/AREA O&M					
Operate and Maintain XX facilities by XXXX.					Operation and Maintenance of facilities in support of programs/projects (e.g., office buildings, garages, equipment sheds, dams).
	Firearm and archery ranges	# of facilities		NA	Operations and maintenance of facilities that provide-recreational shooting.
			Archery ranges		Archery ranges for hunter education AND OTHER RECREATIONAL purposes.
			Shooting ranges		Shooting ranges for hunter education and other recreational purposes Note: Could be funded through Wildlife Restoration basic or Section 10 enhanced hunter education.
	Fish passage facilities	# of facilities	NA	Species (tag only)	Facilities, including each structure that is 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.
	Fish screening and related facilities	# of facilities	NA	Species (tag only)	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.
	Fish Hatcheries	# of facilities		Species (tag only)	Facilities to propagate fish species for recreational or restoration purposes.
	Education centers	# of facilities		NA	Facilities used in support of education.
			Aquatic resource education		Classrooms for aquatic resource education purposes.
			Hunter education		Classrooms for hunter education purposes Note: Could be funded through Wildlife Restoration basic or Section 10 enhanced hunter education.
	Wildlife passage facilities	# of facilities	NA	Species (tag only)	Facilities, including structures that are designed to allow wildlife to move past barriers (e.g., roads, fences, etc)
	Wildlife propagation facilities	# of facilities	NA	Species (tag only)	Facilities used in support of wildlife propagation, including aquatic species (e.g. freshwater mussels).
	Program Support facilities	# of facilities	NA	NA	Facilities used-in support of programs/projects (e.g., office buildings, garages, equipment sheds) that meet the definition of a capital improvement in the Federal program that provided funding.
	Recreational boating facilities	# of facilities		NA	Boating-related facilities for the handling, launching, mooring, tie-up, pump out or parking of public watercraft, trailers or transport vehicles, including ancillary features commonly associated with such facilities.
			Access roadways		Roadways to access public boating facilities
			Carry-down access		Access facilities for hand-launched watercraft (i.e. kayak or non-motorized boat access)
			Docks/piers		Docks/piers at boat launch sites
			Fish cleaning stations		Fish cleaning stations at boat launch sites
			Launch ramps		Boat ramp lanes at boat launch sites
			Hoist launching systems		Systems marinas or docks designed to launch watercraft via a hoist.
			Parking areas		Parking areas at boat launch sites
			Restrooms		Restrooms at boat launch sites, including portable latrines
			Shelters		Shelters at boat launch sites
			Dump stations		Dump stations
			Floating restrooms		Floating restrooms
			Pump out boats		Pump out boats
			Pump out stations		Pump out stations
			Boat Courtesy Docks/without slips		Spaces for tie-ups to docks
			Boat Courtesy Docks/with slips		Spaces for tie-ups to docks with slips
			Fuel stations		Fuel Stations
			Gangways		Gangways
			Laundry facilities		Laundry facilities
			Moorings		Moorings
			Restrooms		Restrooms
			Secondary improvements		Secondary improvements (e.g. utilities, buoys, lights, etc.)
Operate and maintain XX areas by XXXX.					Operation and Maintenance of areas in support of programs/projects (e.g., Wildlife Management Areas, Public Access Areas, etc.).

STRATEGY/SMART Objectives	Activity Tag 1 (Required)	Unit of Measure	Activity Tag 2 (Required)	Target Species/Habitat Type (Required)	Descriptions and Examples
	Cooperatively managed areas for hunting	# of areas	NA	NA	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).
	Cooperatively managed areas for fishing	# of areas	NA	NA	Waters not owned by the State fish and wildlife agency that are cooperatively managed for fishing purposes-(e.g., this includes community-based marine management areas).
	Cooperatively managed areas for conservation and other purposes	# of areas	NA	NA	Lands not owned by the State fish and wildlife agency that are cooperatively managed for conservation and other purposes (e.g., US Forest Service lands, State parks, private lands).
	Public access areas	# of areas	NA	NA	Operations and Maintenance in areas in support of programs/projects (e.g. non-boating access public fishing areas such as fishing piers, wildlife watching areas, etc.). Note: Activities primarily for restoration and management of species and habitats should be coded to Create, Restore or Enhance Habitat and Natural Processes.
	Wildlife management areas	# of areas	NA	NA	State Fish and Wildlife Agency owned Wildlife Management Areas Note: Activities primarily for restoration and management of species and habitats should be coded to Direct Habitat & Species Management.
Operate and maintain XX feet by XXXX.	Firelines	# of feet	NA	NA	Firelines maintained for the purpose of fire prevention. NOTE: Controlled burns should be entered in Acres under Direct Management of Habitat and Species.
INCENTIVES					
Provide or secure XX stream miles of access by XXXX.					Economic incentives to private landowners for public access to rivers/streams by anglers.
	Angler access	# of stream miles	NA	NA	Economic incentives to private landowners for public access to rivers/streams by anglers.
Provide or secure XX landowner acres by XXXX.					Economic incentives to private landowners to conserve habitat or to provide public access areas for hunting, angling and/or other outdoor recreation.
	Hunter access	# of acres	NA	NA	Economic incentives to private landowners for public access for hunting.
	Angler access	# of acres		NA	Economic incentives to private landowners for public access to a pond, lake, etc. for angling.
	Other recreation	# of acres		NA	Economic incentives to private landowners for public access for other outdoor recreation (e.g., wildlife viewing, hiking access, canoe/kayak trail).
	Conservation	# of acres		Species (tag only) + Habitat # acres (back end)	Economic incentives to private landowners to influence responsible stewardship of habitats and specific species (e.g., protect bat caves, manage early successional habitat, restore/enhance wetlands).
Provide or secure XX access points by XXXX			NA		Economic incentives to private landowners to provide public access points for hunting, fishing and/or other recreation. Note: These are access points rather than large areas measured in acres.
	Hunter access	# of points		NA	Economic incentives to private landowners to provide public access points for hunting.
	Angler access	# of points		NA	Economic incentives to private landowners to provide public access points for angling.
	Other recreation	# of points		NA	Economic incentives to private landowners to provide public access points for other outdoor recreation (e.g., kayak/canoe launches, trailheads, surf fishing parking, beach access parking).
Provide or secure XX landowner Agreements by XXXX.					Agreements with private landowners to conserve habitat or provide public access. This is the number of landowner agreements entered into or maintained with grant funds.
	Landowner agreements	# of agreements	NA	NA	Agreements with private landowners to conserve habitat or provide public access. This is the number of landowner agreements entered into or maintained with grant funds.
OUTREACH/COMMUNICATION					
	NOTE: For this Strategy, the TRACS Wireframe will: 1) Incorporate a Check Box if an Outreach/Education project is part of an R3 activity; 2) Include a "Drop Down" menu to identify a Target Audience for the project e.g. Anglers, Shooters, etc.				Provide information to increase awareness of agency programs and activities funded by WSFR Grants through a variety of means, including, but not limited to, displays at agency facilities; participation/attendance at events to inform potential stakeholders (trade shows, county fairs, workshops, etc.); development of digital and social media and publications to disseminate research results.
Inform/communicate with XX individuals by XXXX.					Individuals refer to the number of "unique" participants, attendees, visitors to websites, followers on facebook, etc. NOTE: The subgroup agreed that it should be clarified that the number of individuals be represented as unique individuals to avoid double-counting (e.g. one individual visits your agency's website 4 times per day or watches a video multiple times in a day).
	Outreach to individuals	# of individuals		NA	Individuals refer to the number of "unique" participants, attendees, visitors to websites, followers on facebook, etc. NOTE: The subgroup agreed that it should be clarified that the number of individuals be represented as unique individuals to avoid double-counting (e.g. one individual visits your agency's website 4 times per day or watches a video multiple times in a day).
Participate in or sponsor XX events by XXXX.	Outreach events				Events may include, but are not limited to: conferences, trade shows, informational meetings, county fairs, open houses, facility tours, webinars, migratory bird days, salmon steelhead days, community fishing events, etc.
		# of events		NA	Events may include, but are not limited to: conferences, trade shows, informational meetings, county fairs, open houses, facility tours, webinars, migratory bird days, salmon steelhead days, community fishing events, etc.
Produce XX products by XXXX.					Products may include, but are not limited to: kiosks, pamphlets, posters, print media, online media, social media posts, publications, books, articles etc.
	Print products	# of products		NA	Total number of print products produced (e.g. 10,000 brochures). Products may include, but are not limited to: pamphlets, posters, print media, publications, books, magazine articles articles etc.

STRATEGY/SMART Objectives	Activity Tag 1 (Required)	Unit of Measure	Activity Tag 2 (Required)	Target Species/Habitat Type (Required)	Descriptions and Examples
	Digital Products	# of products		NA	Total number of digital products (e.g. 500 Tweets). Products may include, but are not limited to: online media, social media posts, audio/visual, articles etc.
	Functional Products	# of products		NA	Total number of functional products. Functional products include CVA pump-out fitting, deep-water release mechanisms, fishing poles, etc.
	Installed products	# of products		NA	Total number of products (e.g. 5 kiosks). Products may include, but are not limited to: kiosks, signs, etc.
PLANNING					
Development and revision of agency strategic and operational plans and fish and wildlife comprehensive management systems Note: Does not include actions to implement plans					
Develop/Revise XX plans by XXXX.					Development or revision of agency strategic and operational plans and fish and wildlife comprehensive management systems Note: Does not include actions to implement plans.
	CMS planning	# of plans	NA	NA	Development or revision of fish and wildlife comprehensive management systems Note: Does not include actions to implement comprehensive management systems.
	Land use planning	# of plans	NA	NA	Leading or participating in land use planning for rural, urban or agricultural lands (e.g., assist in developing county-wide zoning plans, participate in workgroup regarding low impact development siting).
	Organizational strategic and operational planning	# of plans	NA	NA	Development or revision of agency strategic and operational plans Note: Does not include actions to implement plans.
	Species and habitat management planning	# of plans	NA	Species or Habitat	Development or revision of management plans for fish and wildlife species and habitats, including WMA planning.
	Species management planning	# plans	NA	Species (tag only)	Development or revision of management plans for fish and wildlife species.
	Habitat management planning	# plans	NA	Habitat (tag only)	Development or revision of management plans for fish and wildlife habitats, including WMA planning.
	WSFR program/subprogram planning	# of plans	NA	NA	Conduct planning activities for a specific WSFR program or subprogram (e.g., CVA planning, hunter education planning).
SPECIES STOCKING					
Production and stocking of animals for recreational, educational and subsistence purposes.					
Stock XX of fish or wildlife by XXXX.					Production and stocking of animals for recreational, educational and subsistence purposes. This activity is ineligible using PR funds unless there is a population restoration focus.
	Production and stocking for recreational or subsistence purposes	# of individuals	NA	# Species (front and back ends)	Production and stocking of animals for recreational, educational and subsistence purposes. This activity is ineligible using PR funds unless there is a population restoration focus.
STAKEHOLDER INVOLVEMENT					
Engagement of partners to achieve shared objectives and broad coordination on program/project funded activities across geographic areas and/or subject matters of shared interest.					
Engage XX organizations by XXXX.					Engagement of partners to achieve shared objectives and broader coordination on program/project funded activities across overlapping areas (e.g. intra-agency work groups for planning efforts, CMS strategic plan revisions, SWAP development, species management plans, WMA management plans). Organizations include, but are not limited to: other state agencies, federal agencies, municipalities, conservation organizations, land trusts, stakeholder groups, tribes, universities, associations, etc. Note: Engagement with organizations on projects/activities that are developed by other entities should be reported under Technical Assistance.
	Organizational engagement	# of organizations	NA	NA	Engagement of partners to achieve shared objectives and broader coordination on program/project funded activities across overlapping areas (e.g. intra-agency work groups for planning efforts, CMS strategic plan revisions, SWAP development, species management plans, WMA management plans). Organizations include, but are not limited to: other state agencies, federal agencies, municipalities, conservation organizations, land trusts, stakeholder groups, tribes, universities, associations, etc. Note: Engagement with organizations on projects/activities that are developed by other entities should be reported under Technical Assistance.
Engage XX individuals by XXXX.					Engagement of individuals to achieve shared objectives and broader coordination across overlapping areas (e.g. intra-agency work groups for planning efforts, CMS strategic plan revisions, SWAP development, species management plans, WMA management plans). Note: Individuals specifically refers to a single person for this category. Engagement of individuals on projects/activities that are developed by other entities should be reported under Technical Assistance.
	Partner engagement	# of individuals	NA	NA	Engagement of individuals to achieve shared objectives and broader coordination across overlapping areas (e.g. intra-agency work groups for planning efforts, CMS strategic plan revisions, SWAP development, species management plans, WMA management plans). Note: Individuals specifically refers to a single person for this category. Engagement of individuals on projects/activities that are developed by other entities should be reported under Technical Assistance.
TECHNICAL ASSISTANCE					
Provide professional training and technical assistance on fish and wildlife assessment and management.					
Provide technical assistance to XX individuals by XXXX.					Expert advice/training on fish and wildlife assessments, species and/or habitat management to private landowners.
	Assistance to private landowners	# of individuals	NA	NA	Expert advice/training on fish and wildlife assessments, species and/or habitat management to private landowners.
Provide technical assistance to XX organizations by XXXX.					Expert advice/training on fish and wildlife assessments, research techniques, species and/or habitat management to organizations (e.g., prescribed burning, electrofishing). Organizations may include staff (professional training), government agencies, public entities, land managers, and non-governmental organizations among others.
	Assistance to other organizations	# of organizations	NA	NA	Expert advice/training on fish and wildlife assessments, research techniques, species and/or habitat management to organizations (e.g., prescribed burning, electrofishing). Organizations may include staff (professional training), government agencies, public entities, land managers, and non-governmental organizations among others.
Participate on XX technical committees by XXXX					Participation on technical committees as subject matter experts providing technical advice on species management decisions, regional habitat and research priorities. This includes participation on technical committees of organizations like AFWA, Mississippi Interstate Cooperative Resource Association, Great Lakes Fisheries Commission, etc.

STRATEGY/SMART Objectives	Activity Tag 1 (Required)	Unit of Measure	Activity Tag 2 (Required)	Target Species/Habitat Type (Required)	Descriptions and Examples
	Participation on technical committees	# of technical committees	NA	NA	Participation on technical committees as subject matter experts providing technical advice on species management decisions, regional habitat and research priorities. This includes participation on technical committees of organizations like AFWA, Mississippi Interstate Cooperative Resource Association, Great Lakes Fisheries Commission, etc.
TRAINING/EDUCATION					
	NOTE: For this Strategy, the TRACS Wireframe will: 1) Incorporate a Check Box if an Outreach/Education project is part of an R3 activity; 2) Include a "Drop Down" menu to identify a Target Audience for the project e.g. Anglers, Shooters, etc.				Provide training and/or education activities for a wide variety of audiences. Note: These activities are specific to providing structured curricula through a variety of formats. This category should not be confused with Outreach/Communication (See above Strategy/Smart Objective). When considering where a given WSFR funded grant activity is most appropriate, please reference the units of measure to consider where the activity is most appropriate.
Conduct XX training events by XXXX.					Events, including classes, held to train instructors, teachers, mentors, and students and over 30 minutes in duration.
	Aquatic education	# of events		NA	Training of instructors, teachers, mentors, and students in aquatic resource education. Note: This includes angler education volunteer instructors, teachers, nature center staff and camp counselors who attend ARE workshops, teachers who help the agency write curricula, students, etc.
			Aquatic Ecology Education		
			Fishing Skills		
			Advanced Education Activities		
	Hunter education	# of events		NA	Training of instructors, teachers, mentors, and students in hunting, shooting, and trapping .
			Archery - Hunting		
			Archery - Shooting		
			Firearms - Hunting		
			Firearms - Shooting		
			Trapping		
			Advanced Education Activities		
	Fish and wildlife technical training	# of events		NA	Training of instructors, teachers, mentors, and students in students on topics related to wildlife species and their habitats in an educational setting Note: This activity has a limited eligibility for reimbursement through WSFR grant programs.
			Advanced Education Activities		
Train XX instructors/mentors by XXXX.					Training of instructors, teachers, and mentors.
	Aquatic education	# of instructors/mentors		NA	Training of instructors, mentors, and teachers in aquatic resource education. Note: This includes angler education volunteer instructors, teachers, nature center staff and camp counselors who attend ARE workshops, teachers who help the agency write curricula, etc.
			Aquatic Ecology Education		
			Fishing Skills		
			Advanced Education Activities		
	Hunter education	# of instructors/mentors		NA	Training of new instructors, teachers, and mentors in hunting, shooting, and trapping .
			Archery - Hunting		
			Archery - Shooting		
			Firearms - Hunting		
			Firearms - Shooting		
			Trapping		
			Advanced Education Activities		
	Fish and wildlife technical training	# of instructors/mentors		NA	Training of instructors, teachers, and mentors on topics related to wildlife species and their habitats in an educational setting Note: This activity has a limited eligibility for reimbursement through WSFR grant programs.
			Advanced Education Activities		
XX students complete training by XXXX.					Students completing training.
	Aquatic education	# of students		NA	Training of student in aquatic resource education. Note: This includes angler education volunteer instructors, teachers, nature center staff and camp counselors who attend ARE workshops, teachers who help the agency write curricula, etc.
			Aquatic Ecology Education		
			Fishing Skills		
			Advanced Education Activities		
	Hunter education	# of students		NA	Completion of training of students in basic and advanced hunter education.
			Archery - Hunting		
			Archery - Shooting		

STRATEGY/SMART Objectives	Activity Tag 1 (Required)	Unit of Measure	Activity Tag 2 (Required)	Target Species/Habitat Type (Required)	Descriptions and Examples
			Firearms - Hunting		
			Firearms - Shooting		
			Trapping		
			Advanced Education Activities		
	Hunter Education Certificates earned	# of students		NA	Completion of training of students in basic and advanced hunter education that results in issuance of a certification. Note: This may be a different number than # of students completing Hunter Education Training above.
	Fish and wildlife technical training	# of students		NA	Training of students on topics related to wildlife species and their habitats in an educational setting. Note: This activity has a limited eligibility for reimbursement through WSFR grant programs.
			Advanced Education Activities		
REAL PROPERTY ACQUISITION and Management					
Acquire real property interest in XX acres by XXXX.					Limited to acquisition of real property interest using WSFR funding. Projects not requiring NOFP are captured under other strategies such as Direct Habitat Management or Incentives
	Land acquisition	# of acres		Species (tag only) + Habitat (tag only)	

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: <input style="width: 100px;" type="text"/>
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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: <input style="width: 100px;" type="text"/>
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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.

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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.
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Basis for Rating and Other Comments:

Category 3: PERFORMANCE TRACK RECORD	Rating:
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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:
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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:
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Category 5 Rating Descriptions

0=N/A:	Not a valid response.
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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:
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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:
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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:

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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 notice of award.
2. Understand the various elements that comprise the notice of award.
3. Understand what constitutes the terms and conditions, as well as special terms and conditions, of a notice of award.
4. Understand how Federal funds are obligated to an award.
5. Recognize importance of complying with the terms and conditions, as well as any special terms and conditions, that may apply to an award.

Handouts:

- 7-1 Sample Award Letter
- 7-7 Income Determination Diagram for WSFR Grantees

Notice of Award

After the grant application package is approved by the WSFR Regional Office, the recipient (State) is sent a Notice of Award (NOA) (see **Handout 7-1**). The NOA may be sent by email, mail, or both. Recipients should review the NOA to ensure that they accept the award and are willing to comply with all of the award terms and conditions, as well as any special terms and conditions.

The components of the NOA letter include (see 2 CFR 200.210 for additional details):

(1) General Federal Award Information.

- Recipient name;
- Recipient's unique entity identifier;
- Unique Federal award identification number (FAIN);
- Federal award date;
- Period of performance start and end date;
- Amount of Federal funds obligated by this action;
- Total amount of Federal funds obligated;
- Total amount of the Federal award;
- Budget approved by the Federal awarding agency;
- Total approved cost sharing or matching, where applicable;
- Federal award project description, (to comply with statutory requirements (e.g. FFATA));
- Name of Federal awarding agency and contact information for awarding official;
- CFDA number and name;
- Identification of whether the award is for research and development; and
- Indirect cost rate for the Federal award.

Grantees accept the award by:
✓ Starting work on the award;
✓ Drawing down or requesting funds; or
✓ Accepting the award by electronic means.

(2) General Terms and Conditions.

(3) Special Terms and Conditions.

(4) Federal Award Performance Goals.

(5) Any other information required by the Federal awarding agency.

Notes:



Exercise: Notice of Award

Use the example Notice of Award (**Handout 7-1**), **Handout 7-7**, **2 CFR 200, 50 CFR 80.120**, and **Service Manual Part 522 Chapters 16, 17, 19, 23, and 25** in order to answer the following questions.

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

“Effective Date” is the starting date of the award period of performance. It is established in one of two ways.

(1) If WSFR approves the grant prior to the starting date the State requests, the Effective Date will be the requested starting date.

(2) If WSFR is unable to approve the grant until after the starting date the State requests, the Effective Date will be either the date WSFR received the complete grant package or the starting date the State requested, whichever is later. **(522 FW 25.6)**

2. During what period are expenditures eligible for reimbursement?

Expenditures are eligible for reimbursement during the period of performance of the award. This is defined as the time during which the non-Federal entity may incur new obligations to carry out the work authorized under the Federal award (**2 CFR 200.77**). The only exception to this is if the recipient has been given written approval for pre-award costs by the Federal awarding agency.

3. What happens if the grantee begins work prior to approval of the grant application?

Grantees may begin work whenever they choose; however, the Service cannot obligate any funds for a grant until they approve the grant. If the grantee chooses to incur costs related to a grant prior to the date of approval then the State is acting with no assurance that any of its expenditures will be eligible for reimbursement. If the grant is never approved, no expenditures are eligible for reimbursement. **(522 FW 25.7)**



Exercise: Notice of Award

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 and request pre-award costs (if needed), coordinate and communicate with the accounting and field staff concerning effective dates.

Additionally, perhaps accounting codes are not activated until the effective date. You can also inform staff not to begin work until specifically told to do so.

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

This is commonly referred to as the 10% rule and it only applies to non-construction awards where the Federal Share of the project exceeds the Simplified Acquisition Threshold (\$250,000). If applied by the Federal awarding agency, then recipients are restricted from transferring funds among direct cost categories if such transfers exceed 10% of the total budget. Such transfers would then require prior approval.

Most WSFR Regions choose not to invoke the 10% rule.

The 10% rule never applies to construction type of awards of any dollar amount. Grantees should refer to the Notice of Award to see if the 10% rule is applied to their award. (see **2 CFR 200.308(e)**)

6. Define program income and list allowable methods to apply program income. (See **Handout 7-7**)

Gross income received by the grantee or subgrantee and earned only as a result of the grant during the grant period (**50 CFR 80.120**). It may be disposed of using the deductive, additive, or cost share methods.

2 CFR 200.80 has a similar definition, “Gross income earned by the non-Federal entity as a result of the award during the period of performance.”



Exercise: Notice of Award

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

Grantee must establish cost codes at project level. This is the level at which substantiality in character & design were determined at and must be tracked.

Match is required at the subaccount level. (522 FW 17)

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, States receive their apportionment every year. States may submit grant applications before the apportionment is available and WSFR may approve these grants. Since there are no Federal funds to obligate, WSFR will include a statement in the Notice of Award stating that the grant is approved but that funds are not available until the next apportionment is received. Once the apportionment is received, WSFR will obligate funds to the grant award. However, in the meantime, WSFR does not have the authority to commit the Federal government to a debt. This is a violation of the Anti-Deficiency Act. In the event that Congress eliminates the Federal programs, WSFR is under no obligation to provide funds to pay for those expenditures incurred.



Learning Points

- ✓ The Notice of Award is a legally binding document between the Federal awarding agency and the recipient that spells out the terms and conditions of the Federal award.
- ✓ Recipients accept the Federal award either by: (1) starting grant work; (2) drawing down or requesting Federal funds; or (3) accepting the award by electronic means.
- ✓ The effective date of a Federal award is the starting date of the period of performance. This is the date by which recipients may begin working on the award and incurring expenditures against the award.
- ✓ Pre-award costs are those costs incurred prior to the effective date of the Federal award directly pursuant to the negotiation and in anticipation of the Federal award where such costs are necessary for efficient and timely performance of the scope of work. Such costs are allowable only to the extent that they would have been allowable if incurred after the date of the Federal award and only with the written approval of the Federal awarding agency.
- ✓ For grants under the Wildlife and Sport Fish Restoration programs, program income is defined as gross income received by the grantee or subgrantee and earned only as a result of the grant during the grant period. **2 CFR 200.80** has a similar definition being gross income earned by the non-Federal entity that is directly generated by a supported activity or earned as a result of the Federal award during the period of performance.
- ✓ Program must be disposed of using either the deductive, additive, or cost sharing method.



United States Department of the Interior

FISH AND WILDLIFE SERVICE
300 Westgate Center Drive
Hadley, MA 01035-9589



In Reply Refer To:
FWS/Region5/WSFR

WSFR – Maine

FEB 02 2017

Patrick Keliher, Commissioner
Department of Marine Resources
21 State House Station
Augusta, Maine 04333
DUNS: 809045826

Subject: Notice of Grant Award **F17AF00142**

Dear Mr. Keliher:

Your organization's application for Federal financial assistance titled "ME F-43-R Distribution and Abundance of Sport Fish in Maine Waters" submitted to the U.S. Fish and Wildlife Service's (Service) CFDA Program 15.605 is approved. This award is made under the authority of: Sport Fish Restoration Program. For a complete list of this program's authorizing legislation, go to <https://www.cfda.gov/> and search by the CFDA Program number. This award is made based on Service approval of your organization's proposal, hereby incorporated by reference into this award.

The performance period of this award is January 01, 2017 through December 31, 2017. Only allowable costs resulting from obligations incurred during the performance period may be charged to this award. All obligations incurred under the award must be liquidated no later than 90 calendar days after the end of the performance period. You must submit a written request to the Service at FW5fareports@fws.gov at least one calendar day before the end of the stated performance period if you need more time to liquidate all obligations.

This award is approved in the total amount of \$178,528.15, and funded as follows:

<u>Service</u>	<u>Recipient</u>
\$124,969.70	\$53,558.45

Endangered Species Act Compliance

This approval of F17AF00142 is contingent on Maine Department of Marine Resources abiding with the Terms and Conditions to implement the Reasonable and Prudent Measures of the National Marine Fisheries Service (NMFS) Biological Opinion on issuance of Wildlife and Sport Fish Restoration funds for marine species survey work to 11 Northeast states and the District of Columbia issued January 23, 2013. The Terms and Conditions of the Incidental Take Statement of this Biological Opinion require reporting to NMFS the amount of incidental take (i.e., the number of sturgeon and sea turtles captured, collected, injured or killed) and examination of any sturgeon or sea turtles that are captured during grant-funded work. The Terms and Conditions also include specific requirements by species for activities such as handling and processing, monitoring for tags, tagging, and collecting biological samples for genetic analyses.

Federal Share/Match Requirements: The Federal share of the total project expenditures cannot exceed 75 percent. Recipient is eligible to request Federal obligated funds up to but not in excess of an amount equal to 75 percent of the total project expenditures.

Indirect Costs Indirect costs under this Award are approved on the condition that the Recipient will submit an indirect cost rate proposal to their cognizant agency immediately after the award is made and no later than 90 calendar days past the award performance period start date. The Recipient is not authorized to charge indirect costs under this award until the Recipient has received, and provided a copy to the Service Project Officer, an approved Negotiated Indirect Cost Rate Agreement (NICRA) from the Federal government. In the event the Recipient fails to establish an approved rate before the end of the award performance period, the Service may either: (1) deobligate the Federal amount budgeted for indirect costs and, if not otherwise prohibited by legislation or regulation, allow the Recipient to use costs otherwise allocable as indirect costs to satisfy cost-sharing or matching requirements; or (2) allow the Recipient to transfer the amount otherwise allocable as indirect costs to direct costs. Service approval of such budget changes will depend on the particular award circumstance. Indirect costs otherwise allocable to this award may not be shifted to another Federal award unless specifically authorized by legislation.

System for Award Management (SAM) Registration: Under the terms and conditions of this award, your organization must maintain an active SAM registration at <https://www.sam.gov/portal/public/SAM/> until the final financial report is submitted or final payment is received, whichever is later. If your organization's SAM registration expires during the required period, the Service will suspend payment under this and all other Service awards to your organization until you update your organization's SAM registration.

Terms of Acceptance:

Acceptance of a financial assistance award (i.e., grant or cooperative agreement) from the Service carries with it the responsibility to be aware of and comply with the terms and conditions applicable to the award. Acceptance is defined as the start of work, drawing down funds, or accepting the award via electronic means. Awards are based on the application submitted to and approved by the Service. Awards are subject to the terms and conditions incorporated into the notice of award either by direct citation or by reference to the following: Federal regulations;

program legislation or regulation; and special award terms and conditions. The terms and conditions of Service awards flow down to subrecipients and contractors, unless a particular award term or condition specifically indicates otherwise. The Federal regulations applicable to Service recipients and their subrecipients and contractors are listed by recipient type in the **Service Financial Assistance Award Terms and Conditions** posted on the Internet at <https://www.fws.gov/grants/atc.html>. If you do not have access to the Internet and require a printed copy of the award terms and conditions, contact the Service Project Officer identified below.

Special Conditions and Provisions:

- (1) Cost accounting is at the subaccount level.
- (2) 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.
- (3) 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.

Payments:

Your organization has completed enrollment in U.S. Treasury's Automated Standard Application for Payment (ASAP) system https://www.fiscal.treasury.gov/fsservices/gov/pmt/asap/asap_home.htm. When requesting payment in ASAP, your Payment Requestor will be required to enter an Account ID. The Award Number assigned to this award is the partial Account ID in ASAP. When entering the Account ID in ASAP, the Payment Requestor should enter the Award Number identified in the subject line on this Notice of Award followed by a percent sign (%). Refer to the ASAP.gov Help menu for detailed instructions on requesting payments in ASAP.

Financial and Performance Reporting Requirements:

Annual interim financial and performance reports and final financial and performance reports are required under this award. The report periods and due dates under this award are:

Report:	Report Period End Date:	Report Due Date:
Final financial & performance	12/31/2017	03/31/2018

Recipients must use the SF 425, *Federal Financial Report* form for all financial reporting. This form is available at <http://www.grants.gov/web/grants/forms/post-award-reporting-forms.html#sortby=1>.

Performance reports must contain: (1) a comparison of actual accomplishments with the goals and objectives of the award as detailed in the approved scope of work; (2) a description of reasons why established goals were not met, if appropriate; and (3) any other pertinent information relevant to the project results. Please include the Service award number provided in the subject line of this letter on all reports.

Financial and performance reporting due dates may be extended one time only for a maximum of 90 days by the Service upon receipt of a written request addressed to the Chief, Division of Wildlife and Sport Fish Restoration (WSFR), and sent to FW5fareports@fws.gov, identifying the type of report to be extended, the requested revised due date, and a justification for the extension. The Chief, WSFR may approve an additional extension if justified by a catastrophe that significantly impairs the recipient’s operations. Requests for reporting due date extensions must be received by the Service no later than one calendar day before the original reporting due date.

Significant Developments Reports (see 2 CFR 200.328(d)):

Events may occur between the scheduled performance reporting dates that have significant impact upon the supported activity. In such cases, notify the Service Project Officer in writing as soon as the following types of conditions become known:

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

All reports must be addressed to the Service Project Officer and sent to FW5fareports@fws.gov.

Conflict of Interest Disclosures:

Recipients are responsible for notifying the Service Project Officer in writing of any actual or potential conflicts of interest that may arise during the life of this award. Conflicts of interest include any relationship or matter which might place the Recipient, the Recipient's employees, or the Recipient's subrecipients in a position of conflict, real or apparent, between their responsibilities under this award and any other outside interests. Conflicts of interest may also include, but are not limited to, direct or indirect financial interests, close personal relationships, positions of trust in outside organizations, consideration of future employment arrangements with a different organization, or decision-making affecting the award that would cause a reasonable person with knowledge of the relevant facts to question the impartiality of the Recipient, the Recipient's employees, or the Recipient's subrecipients in the matter. Upon receipt of such a notice, the Service Project Officer in consultation with their Ethics Counselor will determine if a conflict of interest exists and, if so, if there are any possible actions to be taken by the Recipient, the Recipient's employee(s), or the Recipient's subrecipient(s) that could reduce or resolve the conflict. Failure to resolve conflicts of interest in a manner that satisfies the Service may result in any of the remedies described in 2 CFR 200.338, Remedies for Noncompliance, including termination of this award.

Other Mandatory Disclosures:

Recipients and their subrecipients must disclose, in a timely manner, in writing to the Service or pass-through entity all violations of Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting this award. Failure to make required disclosures can result in any of the remedies described in 2 CFR 200.338, Remedies for noncompliance, including suspension or debarment (See 2 CFR 200.113, 2 CFR Part 180, and 31 U.S.C. 3321).

Project/Program Plan and Budget Revisions:

Recipients are required to report deviations from budget or project scope or objective, and request prior approvals for budget and program plan revisions in accordance with 2 CFR 200.308 unless otherwise specifically waived in this award.

Performance Period Extensions:

If additional time is needed to complete the approved project(s), you must submit an SF-424, Application for Federal Assistance and a justification for this revision to the Service at FW5fareports@fws.gov. The SF-424 and justification must be received by the Service at least one calendar day before the authorized grant period end date, and must include supporting reasons for this revision and a revised end date. Extensions for time cannot be authorized for the purpose of spending an unused balance of funds that remains after the approved project activities have been completed.

Project Contacts:

The Service Project Officer for this award is:	The Recipient Project Officer for this award is:
Ron Essig 413-253-8504 ron.essig@fws.gov	Rochelle Nutting 207-624-6556 rochelle.nutting@maine.gov

Please contact Ron Essig with any questions. Please include the Service award number provided in the subject line of this letter in all written communications.

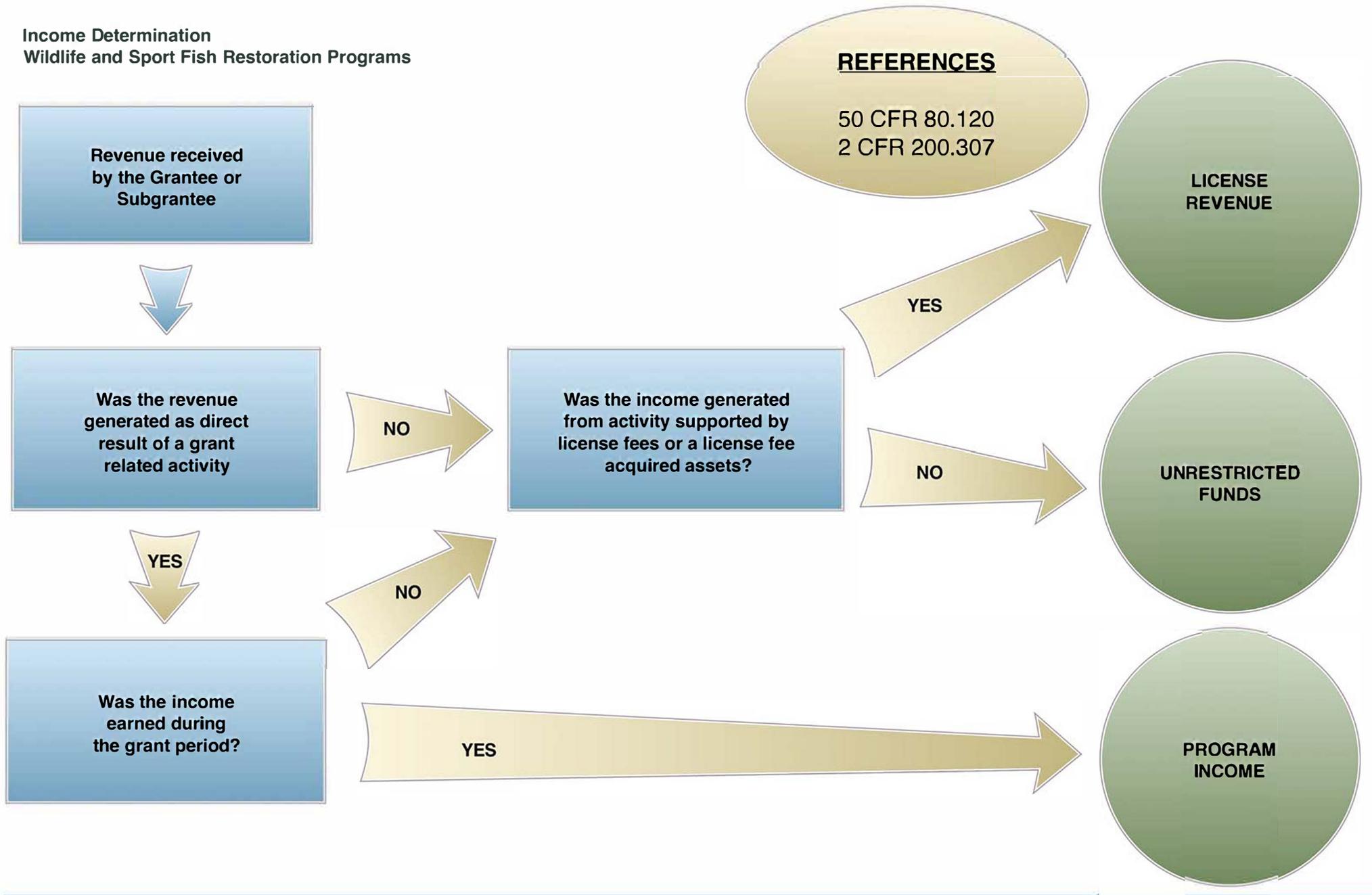
Sincerely,



Colleen E. Sculley
Chief, Division of Wildlife
and Sport Fish Restoration

cc: Rochelle Nutting
Amy Dumeny

**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. 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 be 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. 2 CFR 200.307(c)

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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 50 CFR 80.82.
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 Project Statement Template
- 8-3 SF 424 Application for Federal Assistance
- 8-7 General Compliance Issues
- 8-9 Document Review Checklist

Project Writing Scenario

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

The year round resident population of the island is 750,000. Over the last two decades travel and tourism has dramatically increased on the island as the world has come to learn of the limitless opportunities that exist for outdoor recreation in Retreat. An increase in hunting participation has coincided with the rapid increase of non-native residents and tourists to the island.

As hunting participation has increased, hunting incidents have escalated at alarming rates. In 2017, local law enforcement officials reported 42 hunter incidents, six of which were fatalities. Eleven of the incidents were self-inflicted. Hunter safety certification has never been mandatory to purchase a hunting license in the state of Retreat until recent action by the state legislature.

2017 % incidents committed by:	
Non-resident	61%
Residents	39%
Less than 25 years age	18%
26-45 years age	44%
46-65 years age	28%
66 years and up	10%

Equipment used (2017)	
Rifle	30
Shotgun (shell)	8
Shotgun (slug)	3
Bow	1

Species pursued when incident occurred in 2017	
Deer	24
Turkey	8
Feral pigs	8
Other	2

# of incidents caused by: (2017)	
Unsafe gun handling:	22
Failure to properly identify target and what lies beyond:	12
Failure to establish safe shooting zone:	8

This year the Retreat state legislature passed a bill requiring the Fish and Game Department to implement a hunter safety certification requirement for hunters to be eligible to purchase a hunting license regardless of age or prior experience. In response to this situation the Fish and Game Department decided to develop a project by December 31, 2018 that will:

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

Additional Information

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

Exercise

Using 50 CFR 80.82 as a reference, write a project statement for a WSFR grant to address the hunter education initiative proposed by the State of Retreat Fish and Game Department and complete the grant application package using **handouts 8-1, 8-3 and 8-7**. Your project statement will be reviewed by another team using **handout 8-9** to determine if it is substantial in character and design.

Helpful Hints:

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

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



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: provide the appropriate TRACS strategy_____

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

Which project objective does this address? # _____

- Activity Tag 1: _____
- Activity Tag 2: _____

Provide a brief narrative description of the action_____

Which project objective does this address?) # _____

- Activity Tag 1: _____
- Activity Tag 2: _____

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.

Application for Federal Assistance SF-424

*** 1. Type of Submission:**

- Preapplication
- Application
- Changed/Corrected Application

*** 2. Type of Application:**

- New
- Continuation
- Revision

*** If Revision, select appropriate letter(s):**

*** Other (Specify):**

*** 3. Date Received:**

4. Applicant Identifier:

5a. Federal Entity Identifier:

5b. Federal Award Identifier:

State Use Only:

6. Date Received by State:

7. State Application Identifier:

8. APPLICANT INFORMATION:

*** a. Legal Name:**

*** b. Employer/Taxpayer Identification Number (EIN/TIN):**

*** c. Organizational DUNS:**

d. Address:

*** Street1:**

Street2:

*** City:**

County/Parish:

*** State:**

Province:

*** Country:**

USA: UNITED STATES

*** Zip / Postal Code:**

e. Organizational Unit:

Department Name:

Division Name:

f. Name and contact information of person to be contacted on matters involving this application:

Prefix:

*** First Name:**

Middle Name:

*** Last Name:**

Suffix:

Title:

Organizational Affiliation:

*** Telephone Number:**

Fax Number:

*** Email:**

Application for Federal Assistance SF-424

*** 9. Type of Applicant 1: Select Applicant Type:**

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

*** 10. Name of Federal Agency:**

11. Catalog of Federal Domestic Assistance Number:

CFDA Title:

*** 12. Funding Opportunity Number:**

* Title:

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

*** 15. Descriptive Title of Applicant's Project:**

Attach supporting documents as specified in agency instructions.

Application for Federal Assistance SF-424

16. Congressional Districts Of:

* a. Applicant

* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

17. Proposed Project:

* a. Start Date:

* b. End Date:

18. Estimated Funding (\$):

* a. Federal	<input type="text"/>
* b. Applicant	<input type="text"/>
* c. State	<input type="text"/>
* d. Local	<input type="text"/>
* e. Other	<input type="text"/>
* f. Program Income	<input type="text"/>
* g. TOTAL	<input type="text"/>

*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

a. This application was made available to the State under the Executive Order 12372 Process for review on .

b. Program is subject to E.O. 12372 but has not been selected by the State for review.

c. Program is not covered by E.O. 12372.

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**

Yes No

If "Yes", provide explanation and attach

Add Attachment

Delete Attachment

View Attachment

21. *By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: * First Name:

Middle Name:

* Last Name:

Suffix:

* Title:

* Telephone Number: Fax Number:

* Email:

* Signature of Authorized Representative:

* Date Signed:

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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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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

Module 9

Post Award: Managing and Monitoring the Grant Award

Learning Objectives:

1. Understand the factors that affect the allowability of costs charged to Federal awards. Understand and explain the concepts of reasonable costs, allocable costs, and applicable credits as they relate to the Cost Principles.
2. Identify the general provisions for selected items of cost and their allowability to charge to Federal awards.
3. Identify and explain activities involved in managing and monitoring grant awards.
4. Understand and describe the Federal Funding Accountability and Transparency Act and the Digital Accountability and Transparency Act requirements
5. Understand the criteria for what constitutes the need for an award revision under both construction and non-construction type projects.
6. Identify and understand the reporting requirements of a Federal award and the noncompliance requirements resulting from the failure to submit reports by their required due dates.

Handouts:

- 9-1 Volunteer Timesheet – Best Management Practice
- 9-3 Determining Reporting Periods and Due Dates
- 9-4 Examples of Reporting Periods and Due Dates

Post Award – Grant Implementation

Acceptance of a financial assistance award from the Service carries with it the responsibility to be aware of and comply with the terms and conditions applicable to the award. Acceptance is defined as the starting of work, drawing down of Federal funds, or accepting the Notice of Award via electronic means.

Recipients should begin work on the award as soon as is possible in order to complete the objectives in a timely and efficient manner.

Recipients should review and accept the Notice of Award. This includes:

- The Federal Aid Coordinator, accounting staff, and project leaders reviewing the Notice of Award for accuracy (this is a legally binding document).
- The recipient organization and staff fully understanding the terms and conditions, as well as any special terms and conditions related to the award.
- The recipient making note, and informing project leaders and subrecipients, of the award reporting deadline dates.
- Disseminating copies of the Notice of Award to project leaders and fiscal staff who will be involved in the award.

Recipients should also establish and implement their financial management processes of the award. This may include:

- Establish accounting and tracking codes for the Federal award.
- Setup internal controls for in-kind match documentation and valuation.
- Communicate information regarding program income to both project staff and accountants in order to monitor income appropriately.
- Establish the frequency of Federal drawdowns as expenditures incur against the Federal award.
- Monitor financial expenditures in relation to performance accomplishments achieved under the award.

Recipients should also establish their managing and monitoring controls for performance measurement. This may include:

- Setting and agreeing upon proper work schedules with project staff.
- Conducting an inventory of current equipment, as well as equipment that must be acquired in order to accomplish the award objectives.
- Hiring personnel needed to complete the award objectives, if necessary.
- Conduct, review, and award bids for contractual services, if necessary.
- Establish milestone plans for achievement of award objectives.
- Draft and submit required reports to the Federal awarding agency.
- Conduct site visits and communicate with staff, on a routine basis, about the progress and performance of the award.

Cost Principles

The non-Federal entity is responsible for the efficient and effective administration of the Federal award through the application of sound management practices. The non-Federal entity also assumes responsibility for administering Federal funds in a manner consistent with underlying agreements, program objectives, and terms and conditions of the Federal award. **(2 CFR 200.400(a-b))**

The total cost of a Federal award is the sum of the allowable direct and allocable indirect costs, less any applicable credits.

Factors Affecting Allowability of Costs (2 CFR 200.403)

Costs meet the following criteria in order to be allowable under Federal awards:

1. Necessary and reasonable for the performance of the Federal award and allocable thereto under 2 CFR 200 Subpart E – Cost Principles.
2. Conform to any limitations or exclusions set forth in these principles or in the Federal award as to types or amount of cost items.
3. Be consistent with policies and procedures that apply uniformly to both federal-financed and other activities of the non-Federal entity.
4. Be accorded consistent treatment.
5. Be determined in accordance with generally accepted accounting principles (GAAP), except for state and local governments and Indian tribes only, as otherwise provided for in this part.
6. Not be included as a cost or used to meet cost sharing or matching requirements of any other federally-financed program in either the current or a prior period.
7. Be adequately documented.

Notes:

Reasonable Costs (2 CFR 200.404)

A cost is reasonable if, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost. In determining reasonableness of a given cost, consideration must be given to:

- a) Is the cost of a type generally recognized as ordinary and necessary for the operation of the non-Federal entity.
- b) The restraints or requirements imposed by such factors as: sound business practices, arm's length bargaining; Federal, state, local, tribal, and other laws and regulations; and terms and conditions of the Federal award.
- c) Market prices for comparable goods or services for the geographic area.
- d) Whether the individuals concerned acted with prudence in the circumstances considering their responsibilities to the non-Federal entity.
- e) Whether the non-Federal entity significantly deviates from its established practices and policies regarding the incurrence of costs, which may unjustifiably increase the Federal award's cost.

Allocable Costs

A cost is allocable to a particular Federal award or other cost objective if the goods or services involved are chargeable or assignable to that Federal award or cost objective in accordance with relative benefits received (**2 CFR 200.405**).

This is met if the cost:

- a) Is incurred specifically for the Federal award;
- b) Benefits both the Federal award and other work and can be distributed in proportions that may be approximated using reasonable methods; and
- c) Is necessary to the overall operation of the non-Federal entity.

Costs allocable to a particular Federal award may not be charged to other Federal awards to overcome fund deficiencies or to avoid restrictions under Federal statutes or regulations. (**2 CFR 200.405(c)**)

All activities which benefit from the non-Federal entity's indirect cost will receive an appropriate allocation of indirect costs.

Reasonable Cost + Allocable Cost = Allowable Cost
(Remember to also adequately document each cost)

Applicable Credits

Those receipts or reduction-of-expenditure type transactions that offset or reduce expense items allocable to the Federal award as direct or indirect costs (**2 CFR 200.406**). To the extent that such credits accruing to or received by the non-Federal entity relate to allowable costs, they must be credited to the Federal award either as a cost reduction or cash refund, as appropriate.

Examples of applicable credits include:

- Purchase discounts;
- Rebates or allowances;
- Recoveries or indemnities on losses;
- Insurance refunds or rebates;
- Adjustments of overpayments or erroneous charges.

Prior Written Approval (prior approval)

The reasonableness and allocability of certain items of cost may be difficult to determine. In order to avoid subsequent disallowance or dispute on unreasonableness or nonallocability, the non-Federal entity may seek the prior written approval of the Federal awarding agency in advance of the cost. See **2 CFR 200.407** for a list of elements of cost that require some aspect of prior approval requirement.

Selected Items of Cost

2 CFR 200.421-475 provides principles for determining the allowability of certain types of costs charged under Federal awards. These principles apply whether or not a particular item of cost is treated as direct cost or indirect cost. Omission of a particular item of cost is not intended to imply that it is either allowable or unallowable.

Notes:



Exercise: Cost Principles

Answer the questions below using 2 CFR 200 Subpart E – Cost Principles and **2 CFR 200.306**. Try to cite your answers.

1. Describe what is discussed in each of the following references concerning the basic considerations of costs. (a) **2 CFR 200.403**; (b) **2 CFR 200.404**; and (c) **2 CFR 200.405**?

(a) **2 CFR 200.403** – Factors affecting the allowability of costs.

(b) **2 CFR 200.404** – Reasonable costs.

(c) **2 CFR 200.405** – Allocable costs.

2. In your own words, describe **2 CFR 200.403** Factors affecting allowability of costs.

(a) Necessary and reasonable for the performance of the Federal award, and be allocable.

(b) Conform to limitations or exclusions set forth in these principles or in the Federal award.

(c) Be consistent with policies and procedures that apply uniformly to both federally-financed and other activities of the non-Federal entity.

(d) Be accorded consistent treatment. A cost may not be assigned as a Direct cost if any other cost incurred for the same purpose in like Circumstances has been allocated to the Federal award as an indirect cost.

(e) Be determined in accordance with generally accepted accounting principles (GAAP).

(f) Not be included as a cost or cost sharing or match requirements of any other federally-financed program.

(g) Be adequately documented.



Exercise: Cost Principles

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

Yes, see [2 CFR 200.421\(b\)\(1\)](#) and [200.463\(a\)\(c\)](#).

Size of staff recruited must be in keeping with workload requirements. Travel costs of both personnel and applicants is allowable if pursuant to the non-Federal entity's standard recruitment program. If relocation costs are paid to employee, and they resign within 12 months, the Federal award must be refunded is share of relocation costs.

4. A State fish and wildlife agency is organizing and hosting a national meeting regarding fish and wildlife management issues. Can the costs of the meeting be charged to a grant?

If the meeting is necessary and reasonable for the successful performance under the Federal award, then the costs are allowable. Hosts must exercise discretion and judgment in ensuring costs are appropriate, necessary, and minimize cost to the Federal award. ([2 CFR 200.432](#))

5. May a State fish and wildlife agency charge travel costs to their federal financial assistance award?

Yes. Costs for transportation, lodging, subsistence, and related items by employees who are in travel status on official business are allowable. Costs may be charged on an actual basis, per diem or mileage basis, or a combination of the two (provided the method used is applied to the entire trip and not just selected days. Costs must be in accordance with the non-Federal entity's written travel policy. ([2 CFR 200.474\(a\)](#))



Exercise: Cost Principles

6. A State fish and wildlife agency has their own bull dozers and other heavy equipment. Can they charge the use of this equipment to a Boating Access construction grant?

Yes. Depreciation is the method for allocating the cost of equipment to periods benefitting from their use, provided the equipment is used, needed for the activities, and properly allocated. (2 CFR 200.436)

Must not use FEMA rates. Costs must meet criteria under 2 CFR 200.404.

7. A state fish and wildlife agency intends on using volunteers to assist in completing project objectives. What are the requirements for allowability and documenting volunteer service(s) (see **Handout 9-1**)? How does the agency value the service(s)?

In-kind contributions must meet the following criteria: (1) Verifiable from the non-Federal entity's records; (2) Not included as contributions for any other Federal award; (3) Necessary and reasonable for accomplishment of the objectives; (4) Allowable under the Cost Principles; (5) Not paid by the Federal government under another Federal award; (6) Are provided for in the approved budget; and (7) conform to 2 CFR 200.306. (2 CFR 200.306(b))

Volunteers should be valued with those paid for similar work by the non-Federal entity. (2 CFR 200.306(e)). See also 2 CFR 200.306(j)

8. Are costs incurred prior to the start date of the period of performance allowable? What are specific requirements regarding pre-award costs?

No. Costs incurred prior to the period of performance are not allowable.

Pre-award costs are those costs incurred prior to the effective date directly pursuant to the negotiation and in anticipation of the Federal award. Costs must be necessary for efficient and timely performance of the award. Costs are allowable to the extent that they would have been allowable if incurred during the Federal award and with written prior approval. (2 CFR 200.458)

Federal Funding Accountability and Transparency Act of 2006 (FFATA)

Purpose: “The intent is to empower every American with the ability to hold the government accountable for each spending decision... and help to reduce wasteful spending in the government.” (FFATA website)

The Act requires information from Federal awards and contracts be made available to the public through a single, searchable website ([USA spending](#)).

As of October 1, 2010, federal agencies are required to report on all new awards and prime award recipients are required to report new first tier subawards \geq \$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 award 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 entities annual gross revenues in Federal awards; and
2. Annual gross revenues meet or exceed \$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.
- Any entity with less than \$300K from the previous tax year’s gross income.
- Reporting that would disclose classified information.
- Awards under the Recovery Act.

Notes:

Reporting of Subawards

Prime awardees report on their eligible subawards using the Federal Funding Accountability and Transparency Act [Federal Subaward Reporting System \(FSRS\)](#). Data fields include:

- Name of entity
- Amount of award
- Funding agency
- CFDA
- Program source
- Award descriptive title
- Location of entity and place of performance
- Entity's unique identifier and its parent
- Executive compensation (if thresholds are met)

Subawardees do not report in FSRS, it is the Prime Awardee's responsibility!

States have been issued audit findings for failure to report on their eligible subawards under FFATA.

Resources for Prime Awardees Related to FSRS:

- (1) [FSRS Awardee User Guide](#)
- (2) [FSRS Awardee User Demonstration video](#)

Digital Accountability and Transparency Act (DATA) - 2014

The DATA Act is the nation's first open data law. It requires the Federal government to transform its spending information into open data. It is composed of two basic steps. First, it requires the Treasury Department and the Office of Management and Budget (OMB) to establish government-wide data standards for the spending information that agencies report to Treasury, OMB, and GSA. Second, it requires Treasury and OMB to publish this standardized spending data for free access and download.

Data Act Timelines and Milestones:

May 9, 2014: President Obama signs Data Act into law.

May 9, 2015: Treasury and OMB must establish government-wide data standards for all existing federal spending reports. These standards will include common data elements and a common data format.

May 9, 2017: Federal agencies must begin reporting their spending information using the data standards. OMB finishes pilot program testing the standards for recipient reporting.

May 9, 2018: OMB and Treasury must begin publishing of standardized spending data on USAspending.gov.

August 7, 2018: OMB must decide whether to require all federal grantees and contractors to report their information using the data standards.

Recipient Integrity and Performance Matters

As a result of Section 872 of the Duncan Hunter National Defense Authorization Act of 2009, Appendix XII was added to 2 CFR 200. This appendix requires Federal awarding agencies to evaluate the integrity of nonfederal entities, affecting both pre-award and post-award processes (**2 CFR 200.205(a)(2)**). It requires nonfederal entities to report on criminal, civil, and other administrative proceedings, when applicable, as part of the mandatory disclosures (**2 CFR 200.113**).

The provisions of Appendix XII add to the federal awarding agencies ongoing responsibilities to reduce and mitigate high-risk awardees and prevent the improper use of Federal funds in contracts and financial assistance awards. This further emphasizes the importance that recipients should take to ensure that they comply with Federal statutes, regulations, and the terms and conditions of their awards.

Below are the funding thresholds related to “Recipient Integrity and Performance”.

- \$250,000 (Federal Share) – The Simplified Acquisition Threshold amount at which Federal awarding agencies are required by **2 CFR 200.205** to review publically available information in any Office of Management and Budget (OMB)-designated integrity and performance system accessible through SAM (presently this is the *Federal Awardee Performance and Integrity Information System – FAPIIS*).
- \$500,000 (Federal Share) – The amount of the total Federal share of a Federal award over the period of performance at which the Federal awarding agency must incorporate Appendix XII in the terms and conditions of the financial assistance award.
- \$10,000,000 (Federal Share) – The amount of total combined Federal awards received by a nonfederal entity that would require the entity to report on information concerning criminal, civil, and other administrative proceedings, as outlined in **2 CFR 200 Appendix XII**.

Grant Award Revisions

Recipients are required to report deviations from budget or project scope or objective, and request prior approvals from the Federal awarding agency for budget or program plan revisions for the following (**2 CFR 200.308(b)**):

For non-construction awards (**2 CFR 200.308(c)**):

1. Change in the scope or the objective of the project or program (even if there is no associated budget revision requiring prior written approval).
2. Change in a key person specified in the application or the Federal award.
3. The disengagement from the project for more than three months, or a 25% reduction in time devoted to the project, by the approved project director or principal investigator.
4. The inclusion, unless waived, of costs that require prior approval in accordance with 2 CFR 200 Subpart E – Cost Principles.
5. The transfer of funds budgeted for participant support costs (**2 CFR 200.75**) to other categories of expense.
6. Unless described in the application and funded in the approved Federal awards, the subawarding, transferring, or contracting out of any work under a Federal award. This provision does not apply to the acquisition of supplies, material, equipment, or general support services.
7. Changes in the approved cost-sharing or matching provided by the non-Federal entity.
8. The need arises for additional Federal funds to complete the project.

All other changes to non-construction budgets do not require prior approval (**2 CFR 200.308(f)**).

Recipient should also be aware of **2 CFR 200.407** *Prior written approval.*

For construction awards (**2 CFR 200.308(g)**):

1. The revision results from changes in the scope or the objective of the project or program.
2. The need arises for additional Federal funds to complete the project.
3. A revision is desired which involves specific costs for which prior written approval requirements may be imposed consistent with applicable OMB cost principles listed in 2 CFR 200 Subpart E – Cost Principles.

All other changes to construction budgets do not require prior approval unless an exception have been approved by OMB (**2 CFR 200.308(g)(4)**).

Financial and Performance Monitoring/Reporting

Recipients of financial assistance awards are responsible for monitoring and reporting on the financial and performance aspects of their awards. The Federal awarding agency must require the recipient to use OMB-approved standard information collections when providing financial and performance information (**2 CFR 200.301**). The Paperwork Reduction Act requires all Federal awarding agencies to have information collection approval from the Office of Management and Budget (OMB) in order to collect information from the public.

Information Collection
Clearance Control Number
1018-0100 (expires
7/31/2021) is used for all
Service financial assistance
programs and activities.

Financial Reports

Unless otherwise approved by OMB, the Federal awarding agency may solicit only the standard, OMB-approved government-wide data elements for collection of financial information (**2 CFR 200.327**). Presently, financial reports are submitted to the Service using the OMB-approved Federal Financial Report (SF-425).

You can obtain the most
current version of the SF-425
at [Grants.gov](https://www.grants.gov).

Recipients may submit the SF-425 electronically, scanned, faxed, or mailed to the Regional office. The form must be signed by the designated individual or official who has been authorized to certify the SF-425 on behalf of the recipient.

The Training Branch has developed a tutorial that explains how recipients of Service awards should complete the SF-425. The [tutorial](#) is available on the FA Wiki.

Performance Reports

The non-Federal entity is responsible for oversight of the operations of the Federal award. They must monitor their activities under Federal awards to assure compliance with applicable Federal requirements and performance expectations are being achieved (**2 CFR 200.328(a)**).

Unlike the SF-425, there is no standard OMB-approved form for submitting performance reports; however, there are required data elements that must be included with each performance report. Similar to the SF-425, recipients may submit their performance reports electronically, scanned, faxed, or mailed. There is no regulatory requirement for an authorized signers signature to be included with a performance report.

Frequency of Reporting Requirements

Final Reports: Recipients must submit a final financial and performance report to the Federal awarding agency no later than 90 calendar days after the award period of performance end date or termination date of the award, whichever comes first. For those awards with a period of performance of 12 months or less, the final financial and performance reports are the only required reports, unless the Federal awarding agency imposes additional special terms and conditions to the award as allowed for under **2 CFR 200.207**.

Interim Reports: For awards that last longer than 12 months, recipients must submit interim financial and performance reports at least annually, but no more frequently than quarterly. Annual interim reports are due no later than 90 calendar days after the award has been open for four (4) full quarters (see **Handouts 9-3 and 9-4**). Interim reporting period end dates align with the end of each Federal fiscal quarter to include March 31st, June 30th, September 30th, and December 31st.

The Service may allow a recipient to use alternate reporting schedule end dates if the recipient provides a valid written justification for changing the date and the Service ensures that the suggested date(s) requires the recipient to submit interim performance reports as least annually (**516 FW 1.11**).

Extension Requests for Reports

Recipients may request an extension for either interim or final reports. Recipients must submit extension requests in writing that includes a justification for the extension, the requested revised due date, and the type of report affected.

The Service may approve one due date extension for a maximum of 90 days past the original report due date, unless a longer period is justified by something that significantly impairs the recipient's operations. All approved extension requests will be provided in writing to the recipient (**516 FW 1.13**).

Notes:

Noncompliance with Reporting Requirements

If the Service does not receive a recipient's report by the due date or the agreed-upon extension date, then the Service must issue a notice of noncompliance (via letter or email), no later than 30 calendar days (but as soon as practicable) after the due date or agreed-upon extension date has passed. The noncompliance notice must state:

- The recipient is noncompliant with the terms and conditions of the award;
- The Service must receive the report within the next 10 calendar days of the recipient's receipt of notice. If not, then the Service reserves the right to make no further obligations and payments on the award and suspend the award until it receives the report;
- The Service reserves the right to impose additional conditions as allowed under 2 CFR 200.207 or 2 CFR 200.338; and
- The Service may withhold any other pending awards to the recipient until it receives the overdue report.

If within 10 calendar days of the recipient's receipt of the overdue report notice, the Service does not receive the recipients overdue report, then the Service may:

- Suspend payments and additional obligations for the award for 30 calendars. A written notice of suspension must be sent (via letter or email) to the recipient; and
- Consider imposing additional remedy conditions as allowed under 2 CFR 200.338.

If within 30 calendar days of the recipient's receipt of the overdue report notice, the Service does not receive the recipients overdue report, then the Service may:

- Convert the suspension to a termination. A written notice of termination must be sent (via letter or email) to the recipient; and/or
- Withhold any other pending awards to the recipient.

The Service must report the termination to the OMB-designated integrity and performance system accessible through SAM (currently FAPIIS). This noncompliance information becomes viewable to other Federal awarding agencies.
(2 CFR 200.339(b))

Notes:

Elements of a Performance Report

TRACS is being designed to serve as the performance reporting platform for WSFR awards. TRACS performance reports are designed to meet the Federal reporting requirements of the Federal award and may not necessarily meet your individual State reporting requirements and purposes.

Non-construction performance reports: The recipient must submit performance reports at the interval required by the Federal awarding agency to best inform improvements in program outcomes and productivity. These reports will contain brief information on the following unless other collections are approved by OMB (**2 CFR 200.328(b)(1-2)**):

- A comparison of actual accomplishments to the objectives of the Federal award established for the period. Where accomplishments can be quantified, a computation of the cost may be required if that information will be useful. Where trend data and analysis would be informative to the Federal awarding agency program, the awarding agency should include this as a performance reporting requirement.
- The reasons why established goals were not met, if appropriate.
- Additional pertinent information including, analysis and explanation of cost overruns or high unit costs.

Construction performance reports: For the most part, onsite technical inspections and certified percentage of completion data are relied on heavily by the Federal awarding agencies to monitor progress under Federal awards.

Significant Development Reports

Events may occur between the scheduled performance reporting dates that have significant impact upon the supported activity. In such cases, the non-Federal entity must inform the Federal awarding agency or pass-through entity as soon as the following types of conditions become known.

- Problems, delays, or adverse conditions which will materially impair the ability to meet the objectives of the Federal award.
- Favorable developments which enable meeting time schedules and objectives sooner or at less cost than anticipated or producing more or different beneficial results than originally planned.

Recipients are not required to pass the reporting requirements of their prime awards onto subrecipients. However, they are responsible for meeting the reporting requirements of their award. (**516 FW 1.15**)

Federal Review of Financial Reports

The Service reviews financial reports to ensure:

1. Required fields are completed and correct;
2. Figures are calculated correctly;
3. The indirect costs charged are supported by an approved indirect cost rate;
4. As compared to the performance report for the same reporting period, the expenditures appear reasonable to support the project activities conducted or completed to date;
5. The report does not raise any issues or concerns that may require follow up with the recipient such as having Federal cash on hand, unanticipated program income, or the recipient not maintaining a required match expenditure ratio.
6. On the final SF-425, that the Total Federal Share and the Unobligated Balance of Federal funds reported reconcile with ASAP.

Federal Review of Performance Reports

The Service reviews performance reports to ensure:

1. The recipient has provided the required elements necessary for an adequate performance report;
2. The information provided is sufficient to assess if the recipient is on track to meet project goals and objectives as planned; and
3. The report does not raise any issues or concerns that may require follow up with the recipient such as: (a) significant reduction of effort or project delays with no explanation of why or how the recipient plans to address the issue, (b) work conducted outside the approved project scope or moving project location without prior approval, or (c) other significant developments that were not otherwise promptly reported as required.

Notes:



Learning Points

- ✓ Recipients of financial assistance awards are responsible for monitoring and reporting on the financial and performance aspects of their awards.
- ✓ 2 CFR 200.403 provides criteria for the factors that affect the allowability of costs to be charged to a Federal award. Allowable costs meet all the criteria in order to be allowable costs under Federal awards.
- ✓ A cost is allocable to a particular Federal award or other cost objective if the goods or services involved are chargeable or assignable to that Federal award or cost objective in accordance with relative benefits received.
- ✓ The Federal Funding Accountability and Transparency Act requires information from Federal awards and contracts be made available to the public through a single, searchable website ([USA spending](#)).
- ✓ The DATA Act is the nation's first open data law. It requires the Federal government to transform its spending information into open data which is to be made available to the public for viewing and download.
- ✓ The Paperwork Reduction Act requires all Federal awarding agencies to have information collection approval from the Office of Management and Budget (OMB) in order to collect information from the public.
- ✓ There are two types of reports (financial and performance) that recipients of Federal awards must submit to the Federal awarding agency, unless specifically exempted in the Notice of Award.
- ✓ Final reports are due 90 calendar days after the end of the period of performance. For awards that last longer than 12 months, recipients must submit interim reports at least annually, but no more frequently than quarterly. Annual interim reports are due no later than 90 calendar days after the award has been open for four (4) full quarters.
- ✓ Recipients may request an extension for their reports. The Service may approve one due date extension for a maximum of 90 days.

VOLUNTEER TIME & MILEAGE FORM

State Agency Name
Hunter Education Program

Location of Course:
(Town in which course was taught)

Type of Course:
(Basic, Bow, Muzzleloading, Map & Compass, Trapping, Waterfowl ID)

Name: _____ Region _____
(Please print your name clearly!!!)

Name of Master Instructor: _____

Address: _____ Your Contribution to the Course:
(If Basic course, be specific ie: Bowhunting Basics, Firearms and Ammunition, Hunter Ethics)

Date	Class No.	A. - Hrs. Admin.	B. - Hrs. Instruction	C. - Hrs. Travel	Add A + B + C	Miles Per. Date	Your Signature <i>Please sign each line</i>
Total Hours					◆		◆ Total Mileage

- A. Hours for administrative meetings, workshops, trainings, shows, planning or course preparation spent outside the classroom.
- B. Hours spent in the classroom (including set-up and break-down).
- C. Total hours spent traveling to and from activities (including time even if passenger).

Signature of Master Instructor: _____

Last Date of course: _____

Signature of Agency Hunter Ed Staff: _____

Date: _____

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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.

TAB 10

Module 10 Grant Closeout

Learning 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 WSFR accomplishment information.
4. Describe the communication and people involved in grant closure.

Handouts:

- None

Grant Closeout Phase

Closeout means the process by which the Federal awarding agency or pass-through entity determines that all applicable and administrative actions and all required work of the Federal award have been completed. (**2 CFR 200.16**)

2 CFR 200.343 describes the actions that take place during the Closeout phase of the grants management process.

The Grantee (State) is responsible for:

1. Completing any remaining drawdowns of Federal funds (including the final drawdown) for those eligible expenditures.
2. Submitting, no later than 90 calendar days after the end of the period of performance, all financial, performance, and other reports as required by the terms and conditions of the Federal award (unless an approved extension has been granted by the Federal awarding agency or pass-through entity).
3. Refunding any balances of unobligated cash that the Federal awarding agency or pass-through entity paid in advance or paid that are not authorized to be retained by the non-Federal entity.
4. Accounting for any real and personal property acquired with Federal funds or received from the Federal government.

Grantees have 90 days after the period of performance to initiate a payment request or draw funds in ASAP. After 90 days, the account goes into "Suspended" status.

The Service (WSFR) is responsible for:

1. Monitoring the grantee for award accomplishments. This is done by reviewing performance reports, site visits, phone calls, etc.
2. Reviewing and processing the Federal financial report (SF-425).
3. De-obligating any unliquidated Federal funds from the award.
4. Closing the award no later than one year after receipt and acceptance of all required final reports.

Grants Oversight and New Efficiency (GONE) Act (2016) requires Federal awarding agencies to report to Congress on timeliness of award closeouts.

Spread the Word about WSFR Accomplishments

In addition to closing out the grant award, States are encouraged to “tell the story” and successes resulting from the grant award. While there is no regulatory requirement that grantees must do this, it without question, helps to inform hunters, anglers, boaters, shooters, wildlife-watchers, Congress, industry, watchdog groups, and others about the significant accomplishments of the WSFR programs.

Historically, both WSFR and States have done a poor job communicating the successes of the WSFR programs.

State and industry partners indicated that current national communications are not very effective in advertising the high-level impacts of the grant programs. Several industry stakeholders mentioned the need to “tell WSFR’s story” about where the funding comes from and how it is applied so that the program can gain additional support from taxpayers. One stakeholder described WSFR as “a very successful program that no one knows about.”

Program Management Analysis Summary Report (2018)

WSFR and States can help “tell the story” by distributing information about project/program results by:

- Attendance at fishing, hunting, boating, shooting, and other outdoor shows (i.e. ICAST and Shot Show).
- Writing articles and publications in journals and popular magazines.
- Using social media to reach large audiences.
- Technical assistance with other states and user groups.
- Writing accomplishment/summary reports.
- Reporting project accomplishment information in Wildlife TRACS.
- Posting signs and pictures which are sometimes “worth a thousand words”.

Notes:

Disposition of Unliquidated Federal Funds

Submission and acceptance of the final Federal financial report closes the grant award. Under the mandatory grant programs (Wildlife Restoration, Sport Fish Restoration, and State Wildlife Grants), any unliquidated balance of Federal funds may be returned to the State's apportionment where it may be re-obligated towards a subsequent grant or the funds revert. Reverted Wildlife Restoration funds are made available for the purposes of the Migratory Bird Conservation Act. Reverted Sport Fish Restoration funds are returned back to the program where they are reapportioned back out during the following fiscal year.

Unliquidated Federal funds from discretionary (competitive) programs are lost to the grantee. Depending on the grant program and the age of the funds, the funds may be returned to the grant program to be distributed in a subsequent year or returned to be used in other Federal programs.

Unliquidated Federal funds from grants funded under the Enhanced Hunter Education (Section 10) subprogram that are older than 1 year are lost to the State and are reapportioned out in the subsequent fiscal year to those States who obligated all of their previous years Basic Hunter Education subprogram apportionment towards Basic Hunter Education activities. These funds are reapportioned as Wildlife Restoration subprogram funds and are treated accordingly.

Safety Margins

Safety margins are a term which describes the accounting technique used to determine the age of unobligated funds. Safety margins are WSFR's most liberal interpretation of the second year of availability of funds from those mandatory grant programs where Federal funds have a period of availability beyond 1 year.

The period of availability of WSFR program funds are:

- Wildlife Restoration / Basic Hunter Education – 2 year availability.
- Sport Fish Restoration / Aquatic Education – 2 year availability.
- State Wildlife Grants – 2 year availability.
- Boating Access – 5 year availability.

Notes:

Safety Margins (continued)

The Wildlife Restoration, Sport Fish Restoration, and State Wildlife Grants safety margin is set for each program at the end of each Federal fiscal year based on the amount of Federal funds obligated from the current fiscal year's apportionment.

Federal program funds that are not obligated within their period of availability are lost (revert) to the State. Funds that remain unliquidated at the close of a grant award may be recovered if they successfully pass through their respective safety margins. If unliquidated funds exceed a given fiscal year's safety margin, then any amount above the safety margin is lost (reverts).

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

Notes:

Safety Margin Motto

1. Obligate funds as soon as possible after they are apportioned.
2. Expend funds as soon as possible once they are obligated to awards.
3. Closeout grants as soon as possible once they are completed.



Learning Points

- ✓ The grantee (State) initiates the closeout process by submitting final financial and performance reports.
- ✓ Review and acceptance of the final financial report closes the award and disposes of any unliquidated Federal funds.
- ✓ Grant accomplishments are tracked using the information provided in both the performance and financial reports. Wildlife TRACS is WSFR's designated performance system that will serve as a repository for program accomplishments.
- ✓ The Federal awarding agency or pass-through entity should complete all closeout actions for Federal awards no later than one year after receipt and acceptance of all required final reports.
- ✓ The GONE Act requires Federal awarding agencies to report to Congress on awards that have not been closed more than two years after the period of performance end date.

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 CFR 80.135 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, it is up to the Agency to determine what additional allowable recreational activities can occur on lands acquired, developed, or managed with WSFR funds (SM 522 FW 21). Agency must not allow activities that would interfere with the primary purpose for which it was acquired or being managed. Consider what “other can of worms” might be opened here.

8. A local farmer pays your agency 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 a cooperative farming/grazing agreement? Would it be considered program income or not?

Is the cut hay part of a grant supported activity (habitat management)? If so, then “yes”, it is Program Income. (50 CFR 80.120)

If land was purchased with WSFR grant (but now closed), and no O&M activities are taking place, then “no” this is not Program Income and the revenue should be treated as License Revenue.

If this were a cooperative farming/grazing agreement, then it would not be considered Program Income (50 CFR 80.98). It would need to be listed in the project statement and also listed in the Remarks Section of the SF-425.

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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 4-5 and 4-10 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?

0-15% a State's SFR annual apportionment can be used (allocated) for the Aquatic Education program. Can not spend more than 15% of their annual Apportionment. (50 CFR 80.61) (SFR Act – Section 8 (c)).

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 territories 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 Basic Hunter Education? What about Enhanced Hunter Education?

Both are apportioned based on the population of the State per census in
proportion to the national total. EHE - \$8 million set aside annually.
BHE – ½ revenues pistols, revolvers, handguns, and archery.

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 Basic HE apportionment determines how the grantee may use their Enhance HE apportionment. Please explain.

If Grantee obligate all of their current year BHE apportionment to HE, then EHE can be used for any WR eligible project (WR, BHE, EHE).

If Grantee does not obligate all of their current year BHE apportionment on HE, then EHE funds are restricted for only EHE type projects.

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

Basic Hunter Education

Teach skills, knowledge, and attitudes to be a responsible hunter.

Construct, operate, maintain firearm/archery ranges for the public.

Gather information for implementation/evaluate hunter education programs.

Enhanced Hunter Education

Enhanced HE, hunter development (introduce/recruit), and firearm/archery safety.

Enhanced interstate coordination of HE and firearm/archery range programs.

Enhanced programs for education, safety, development of hunters/shooters.

Enhanced construction of firearm/archery ranges.

Update safety features of firearm and archery ranges.

Education Grant – Scenario/Answer Sheet

7. What activities can unobligated (reverted) Enhanced HE 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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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)

States may have their own definition.

2. A tractor purchased on an open WSFR grant is occasionally loaned to the State Parks Division 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 (50 CFR 80.10). The equipment may be used on other WSFR

projects as long as it does not interfere with the accomplishments of the project

for which it was originally acquired. 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?

States must use, manage, and dispose of equipment acquired under a

Federal award in accordance with state laws/procedures (2 CFR 200.313b).

In this case, if auditors find issues, they may issue an audit finding on lack of internal controls. A Best Management Practice is to do an inventory at least every 2 years.

All other entities must follow 2 CFR 200.313c-e. (every 2 years)

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)

Options: (1) Agency vehicles would need to be exempted from this system;

(2) State would need to be compensate the Agency based on fair market value of vehicles. The future lease rate fees need to be reviewed for their “reasonableness”.

Some Regions put conditional statements on grants for this purpose.

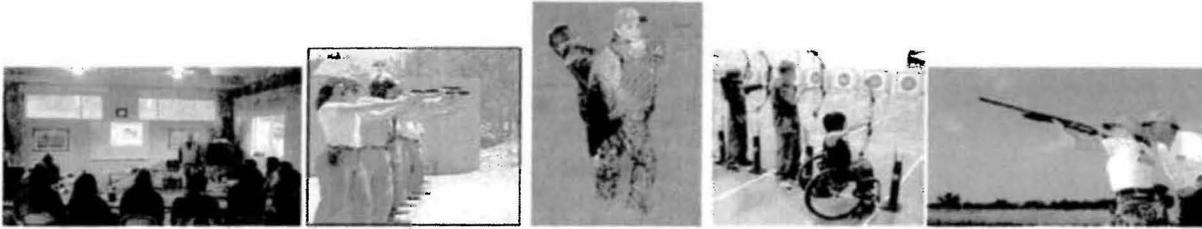
5. A recent audit determined the fish and wildlife agency’s inventory system was inadequate. The agency has formed a working group tasked with developing a new system. The group’s first objective is to determine the minimum requirements for inventory records under Federal guidelines. While you stepped 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?

A Best Management Practice is to follow the requirements listed in

2 CFR 200.313(d)(1). Description; Serial #; State ID#; Source of funds; Title; Acquisition Date; Cost; % of Federal Participation in Cost; Location; Use/Condition; Date of Disposition; Disposition Sale Price.

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?

If grant is open, State can use on another WSFR funded project or sell. If sale price exceeds \$5,000, then State must reimburse WSFR program using program income method. If grant is closed and no conditional statement, State may dispose of boat according to State laws/procedures.



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
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PITTMAN-ROBERTSON WILDLIFE RESTORATION PROGRAM

The activities listed below are eligible for funding by the Pittman-Robertson Wildlife Restoration program, Basic Hunter Education and Safety subprogram (Basic Hunter Education) and the Enhanced Hunter Education and Safety program (Enhanced Hunter Education):

Wildlife Restoration (Section 4a)	Basic Hunter Education (Section 4c)	Enhanced Hunter Education (Section 10)
<p>Restore and manage wildlife for the benefit of the public.</p> <p>Conduct research on the problems of managing wildlife and its habitat if necessary to administer wildlife resources efficiently.</p> <p>Obtain data to guide and direct the regulation of hunting.</p> <p>Acquire real property suitable or capable of being made suitable for wildlife habitat, or public access for hunting and other wildlife oriented recreation.</p> <p>Restore, rehabilitate, improve, or manage areas of land or water as wildlife habitat.</p> <p>Build structures or acquire equipment, goods, and services to restore, rehabilitate, or improve lands or waters as wildlife habitat; or provide public access for hunting and other wildlife-oriented recreation.</p> <p>Operate or maintain projects that the State fish and wildlife agency completed under the Pittman-Robertson Wildlife Restoration Act or facilities that the agency acquired or constructed with other sources of funds if these facilities are necessary to carry out activities authorized by the Pittman-Robertson Wildlife Restoration Act.</p>	<p>Teach the skills, knowledge, and attitudes necessary to be a responsible hunter; and</p> <p>Construct, operate, or maintain firearm and archery ranges for public use.</p>	<p>Enhance programs for hunter education, hunter development, and firearm and archery safety. Hunter-development programs introduce individuals to and recruit them to take part in hunting, bow hunting, target shooting, or archery.</p> <p>Enhance interstate coordination of hunter-education and firearm- and archery-range programs.</p> <p>Enhance programs for education, safety, or development of bow hunters and archers.</p> <p>Enhance construction and development of firearm and archery ranges.</p> <p>Update safety features of firearm and archery ranges.</p>



DIFFERENCE BETWEEN AQUATIC RESOURCE EDUCATION, OUTREACH AND OUTREACH AND COMMUNICATIONS

AQUATIC RESOURCE EDUCATION ACTIVITIES:

- Grants with the purpose of the enhancement of the public's understanding of water resources, aquatic life forms, and sport fishing, and the development of responsible attitudes and ethics toward the aquatic environment
- Funding Cap: States may obligate up to 15% of their apportionment (excludes Commonwealths, territories, and DC)
- Examples:
 - Angler education courses and clinics
 - Watershed education programs
 - Teacher training institutes
 - Raising perch/bass/salmon/trout/horseshoe crabs in the classroom

WSFR OUTREACH:

- Grants Informing the public about the accomplishments and benefits of the Sport Fish Restoration Program is an eligible activity under a WSFR Outreach grant, or as a project within an ARE grant.
- No funding cap
- Examples:
 - TV series on "Outdoor New Hampshire" featuring WSFR projects
 - Portable exhibit highlighting six WSFR projects, showing how Federal and license dollars restored habitat and wildlife, displayed at six outdoor shows
- Is outreach an eligible activity under the Aquatic Resource Education subprogram?
 - Programs to recruit anglers, to inform anglers and boaters about angling and boating opportunities, and to increase safety and best practices in angling and boating are eligible under a Sport Fish Restoration Outreach and Communications grant or as a project within an Aquatic Resource Education grant. We recommend that States carry out these activities in a separate grant because the accomplishments and expenditures for an Outreach and Communications program is reported separately from those of an Aquatic Resource Education program. A State may not use more than 15 percent of its annual Sport Fish Restoration apportionment for both programs (exception for the District of Columbia, the Commonwealths, and territories).

OUTREACH AND COMMUNICATION:

Grants or projects to:

- Improve communications with anglers, boaters, and the general public regarding angling and boating opportunities;
- Reduce barriers to participation in these activities;

DIFFERENCE BETWEEN AQUATIC RESOURCE EDUCATION, OUTREACH AND OUTREACH AND COMMUNICATIONS

- Advance adoption of sound fishing and boating practices;
 - Promote conservation and the responsible use of the Nation's aquatic resources; and
 - Further safety in fishing and boating.
- Funding Cap: Outreach and Communications grants are under the same 15% cap as ARE. States may not obligate more than 15% of their apportionments for both programs. This is an exception for the DC, Commonwealths, and territories – approved by Service's Regional Director.
 - Examples:
 - Placing RBFF angler recruitment messages in State tourism magazine;
 - Web site and brochures distributed at highway visitor centers; and
 - Big fishing promotion festivals with media, but no education or training.

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

2 CFR 200.501 – Any non-Federal entity that expends \geq \$750,000 in Federal funds annually must have a Single Audit.

The Single Audit is intended to meet the needs of both the non-Federal entity and the Federal awarding agency.

Program audits were mandated by the 2000 Improvement Act.

2 CFR 200.507 provides information on Program specific audits. These help to build upon the work of the Single Audit. Only major Federal Programs (PR and SFR) are currently reviewed/tested.

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).



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

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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. Phil's passions in life are God, family (wife JoAnn and 3 adult kids) and turkey hunting.

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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.

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Adam is the Federal Assistance & Compliance Bureau Chief for Montana Fish, Wildlife & Parks (MFWP) and has administered WSFR grants for 17 of his 19 years with that agency. His primary duties are oversight of the federal funding received by MFWP and supervising the agency's Internal Control Auditor and Grant Contracts Specialist positions.

Since graduating from the University of Georgia School of Forest Resources in 1984, Adam has spent his entire career in the natural resources field. He worked as a State Game Warden, Wildlife Technician and Environmental Compliance Officer for the Georgia Department of Natural resources before moving to Montana in 1996. Prior to joining MFWP in 1999, he worked as an Environmental Specialist for the Montana Department of Environmental Quality.

Adam holds Bachelor's Degrees in Forest Resources Management and in Wildlife Conservation & Management. He is an avid fly-fisher, hunter, bird-watcher and musician. He and his wife (Lisa) enjoy living in the mountains just south of Helena and also frequently travel to Windsor, England to visit her family there.