

U.S. Fish and Wildlife Service Financial Assistance Business Process Issuing a New Financial Assistance Award Guidance

Table of Contents

Point of Contact	1
Document Change Log	1
References	2
Attachments.....	2
Purpose	2
Scope	3
Instructions	3
Prerequisite: Develop full text of the program or project announcement	3
Step 1: Determine appropriate funding instrument.....	5
Step 2: Justify issuing a single source award.....	7
Step 3: Post/Justify not posting a Funding Opportunity on Grants.gov.....	7
Step 4: Review and approve applications	9
Step 5: Verify intended recipient eligibility.....	15
Step 6: Identify FBMS vendor and verify payment method is established	17
Step 7: Identify the CFDA number	18
Step 8: Complete a notice of award	18
Step 9: Compile required pre-award documentation	19
Step 10: Complete Grants Purchase Request and PRISM Award processes	20
Step 11: Send notice of award to the recipient.....	20
Step 12: Create a PRISM Milestone Plan	20
Step 13: Establish an official award file.....	21

Point of Contact

Send any questions about this guidance by email to the Chief, Financial Assistance Policy and Oversight (FAPO) Branch, Wildlife and Sport Fish Restoration Program (WSFR), Division of Administration and Information Management (AIM). See the FAPO About/Contact Us Intranet page at <https://inside.fws.gov/index.cfm/go/post/FAPO-About> for contact information.

Document Change Log

FAPO will update this document over time to incorporate changes resulting from any new government-wide regulations, Department of the Interior (DOI) or U.S. Fish and Wildlife Service (Service) policy, or new/changed Financial and Business Management System (FBMS) functionality. We will post updated

versions of this document on the Intranet at <https://inside.fws.gov/go/post/FAPO-NewAwards> and will log updates made to this guidance in the following table:

Table 1: Document Change Log

Date Changed	Changed By	Description of Change Made

References

Table 2: References

Reference	Location
This guidance and all attachments	https://inside.fws.gov/go/post/FAPO-NewAwards
Department Manual, Series 29: Federal Assistance Programs (Parts 505-507)	http://elips.doi.gov/elips/browse.aspx
DOI Office of Acquisition and Property Management (PAM) Financial Assistance website	http://www.doi.gov/pam/programs/financial_assistance/index.cfm

Attachments

Attachment 1 – Financial Assistance Business Process Tasks List Template

Attachment 2 – Notice of Funding Availability Template

Attachment 3 – Selection of Funding Instrument Decision Diagram

Attachment 4 – FWS Form 3-2460, *Checklist for a New Financial Assistance Award*

Attachment 5 – Sample Grants.gov Print Screens

Attachment 6 – Indirect Costs and Negotiated Indirect Cost Rate Agreements

Attachment 7 – Setting Project Period Dates for Grant and Cooperative Agreement Awards

Attachment 8 – Notice of Award Letter Template

Attachment 9 – USFWS Financial Assistance Award Terms and Conditions

Attachment 10 – Sample Financial Assistance Award Special Terms and Conditions

Attachment 11 – Modifying the PRISM Grant and Cooperative Agreement Cover Page

Purpose

This guidance: 1) provides step-by-step guidance and instructions for issuing new grant and cooperative agreement awards, 2) provides standardized templates and forms for the new award process, 3) details all required pre-award documentation, and 4) delivers Service-specific standard financial assistance award terms and conditions.

Scope

This guidance applies to all employees who issue, administer, and manage grant and cooperative agreement awards.

This guidance does not apply to financial assistance awards issued to Federal entities. Federal entities, including other Service programs, may be eligible to compete for awards under some Service programs. When a Federal entity receives a financial assistance award, the award is not issued as a grant or cooperative agreement. Instead, financial assistance awards to Federal entities are issued following the standard business processes for:

- Program-to-program funds transfers, for awards to other Service programs;
- Intra-agency awards, for awards to other Bureaus within DOI; and
- Inter-agency awards, for awards to all other (non-DOI) Federal entities.

Instructions

Employees with the FBMS Agreements Officer role are responsible for making sure that all applicable steps of this guidance are completed, including compiling all required pre-award documentation and making sure the notice of award document is signed by the authorized Service employee (see [516 FW 3, Signature Authority for Grant and Cooperative Agreement Awards](#)), **BEFORE** releasing a new award in the FBMS FA/Contract Management System (PRISM).

This guidance is a model and is not intended to dictate who will complete each step, e.g., program office staff versus award servicing office staff, or in what order the steps must be completed. Programs and their servicing offices are responsible for determining which office has primary responsibility for completing all of the major actions/tasks required to manage a financial assistance award through a complete award lifecycle. Programs can use the [Financial Assistance Tasks List Template](#) (Attachment 1) to make sure that all required actions/tasks are being performed and, if the program relies on a servicing office, to document which office has responsibility for each action/task. Add program- or servicing office-specific actions/task to the template, as needed. Contact your program leadership or award servicing office for program-specific standard operating procedures.

Prerequisite: Develop full text of the program or project announcement

We must develop the full text of our program or project announcement, i.e., develop a Notice of Funding Availability (NOFA) document, [before](#) we can post Funding Opportunities on Grants.gov and/or issue awards. A NOFA is required for discretionary programs, mandatory programs, and for single source awards over \$25,000 (see Service policy [516 FW 6, Issuing Discretionary Grant and Cooperative Agreement Awards without Competition](#)). For the purposes of this section, the following definitions apply:

- **Discretionary program:** A program with an authorizing statute that allows the government to exercise judgment in selecting the project, recipient, and/or the amount of the award through a competitive process. In general, we must provide the public, when meeting applicable eligibility requirements, the opportunity to compete for discretionary awards.

Discretionary programs, in accordance with their authorizing statute, must establish a competitive review process, including the merit and other review criteria that evaluators will use to judge applications. Discretionary programs must also determine how the review process will work, who is responsible for evaluating applications, how evaluators are selected, the minimum number of evaluators required for a review, who will make the final project selections, how

potential conflicts of interest will be avoided, and any other factors outside of the established merit and review criteria that might be used to make final project selections.

- **Mandatory program:** A program with an authorizing statute that requires the government to make an award to each eligible entity under the conditions and in the amount (or based on the formula) specified in the statute. Under mandatory programs, no competition for funds among eligible entities is required. The following table lists the Service's mandatory programs by Catalog of Federal Domestic Assistance (CFDA) number:

Table 3: Service Mandatory Programs by CFDA Number

CFDA	Program Title	Program Type
15.605	Sport Fish Restoration Program	Formula Grants
15.611	Wildlife Restoration and Basic Hunter Education	Formula Grants
15.625	Wildlife Conservation and Restoration	Formula Grants
15.626	Enhanced Hunter Education and Safety Program	Formula Grants
15.634	State Wildlife Grants (Non-competitive)	Formula Grants
15.659	National Wildlife Refuge Fund (Refuge Revenue Sharing)	Direct Payments with Unrestricted Use
15.663	National Fish and Wildlife Foundation	Project Grants (Mandatory)
15.668	Coastal Impact Assistance Program	Formula Grants

- **Single source awards:** An award made with discretionary funds outside of a competitive process. Single source awards must be used sparingly and only when they meet the criteria detailed in Service policy [516 FW 6, Issuing Discretionary Grant and Cooperative Agreement Awards without Competition](#).

Use the [Notice of Funding Availability Template](#) (Attachment 2) as a starting point for developing a program- or award-specific NOFA. The [Notice of Funding Availability Template](#) follows the standard format prescribed by the Office of Management and Budget (OMB)'s Policy Directive on Financial Assistance Program Announcements (Vol. 68, No. 120, Monday, June 23, 2003) posted at http://www.whitehouse.gov/sites/default/files/omb/assets/omb/fedreg/062303policy_directive.pdf.

Programs that already have a NOFA in place must compare that document to this template at least annually to make sure it contains all required elements and content. FAPO will update this template over time to incorporate changes resulting from any new government-wide regulations, DOI or Service policy, or new/changed Financial and Business Management System (FBMS) functionality.

Programmatic NOFAs must include the valid CFDA number for the program being announced. Some NOFAs may be assigned multiple CFDA's, depending on how the programs are administered. The CFDA(s) assigned to a NOFA determines the CFDA to be assigned to the award in FBMS (see Step 7 of this guidance). All Service financial assistance programs that have existed for longer than one year must apply to be included in the CFDA and assigned a unique CFDA number. Go to the Service's CFDA Intranet page at <https://inside.fws.gov/go/post/CFDA> for more information on how to obtain a CFDA number.

New/emergent financial assistance programs may use the Service's general CFDA program numbers, as appropriate to the type of program, until the program's unique CFDA number is assigned. The Service's general CFDA programs are:

- 15.649 for training and technical assistance projects
- 15.650 for research projects
- 15.664 for Congressionally mandated or directed (earmarked) awards

See the [CFDA Frequently Asked Questions](#) document posted on the Service's CFDA Intranet page or contact the Service's CFDA Coordinator (contact information posted on the Service's CFDA Intranet page) for more information.

NOTE: 5 CFR 1320, Controlling Paperwork Burdens on the Public, requires financial assistance programs to submit to the White House Office of Management and Budget (OMB) for review and clearance the collection of the following types of information from applicants and recipients:

- Application project and budget narratives and any other required documentation other than that found on OMB approved Government-wide application forms (Standard Form (SF) 424 "Family");
- Program-specific application forms;
- Recipient technical/progress/performance reporting;
- Any other program or project-specific reporting required other than the information requested on OMB approved Government-wide recipient forms such as the SF 425 (Federal Financial Report), SF 270 (Request for Advance or Reimbursement), SF 271 (Outlay Report and Request for Reimbursement for Construction Programs) and SF 429 (Real Property Status Report); and
- Written requests for changes to project and budget narratives required prior to award amendment other than the information requested on OMB approved Government-wide application forms (SF 424 Family).

The Paperwork Reduction Act requires that when a Federal agency collects information from the public, those collections must minimize duplication and burden on the public, have practical utility, and support the proper performance of the agency's mission. For more information and a listing of Service programs with OMB clearance, see the Service's financial assistance information collection clearance page on the Intranet at <https://inside.fws.gov/go/post/OMB-ICC>.

Step 1: Determine appropriate funding instrument

Refer to the [Selection of Funding Instrument Decision Diagram](#) (Attachment 3) to assist you in determining the appropriate funding instrument.

NOTE: A memorandum of understanding (MOU), Memorandum of Agreement (MOA), or Letter of Intent specifies mutually-accepted expectations between the Service and one or more Federal agency, State, Tribal Government, Local Government, non-profit organization, for profit organization, or university partners. The parties to the MOU, MOA, or Letter of Intent contribute their efforts and resources toward mutually agreed-upon activities or projects. An MOU, MOA, or Letter of Intent does not represent legislative authority to issue grant and cooperative agreement awards. An MOU, MOA, or Letter of Intent is neither a legally-binding document nor a mechanism to receive or provide funds. An MOU, MOA, or Letter of Intent is not a requirement for awarding grant and cooperative agreement awards.

- A. Evaluate funding tool:** In accordance with 505 DM 2, Section 2.9, the program office must evaluate if the activity to be funded is an acquisition/contract or a financial assistance award. The principal purpose of financial assistance is to transfer funds, services, or property from the Service to an eligible, non-Federal recipient to carry out a public purpose of support or stimulation as authorized by a law of the United States. Any benefit to the Service will be incidental (i.e., funded activities complement the Service mission). An agency may provide financial assistance through various types of transactions including grants, cooperative

agreements, loans, loan guarantees, interest subsidies, insurance, food commodities, direct appropriations, and transfers of property in place of money. Financial assistance does not include obtaining goods or services for the Service. If financial assistance is not the appropriate funding tool for the award being considered, **STOP HERE** and contact your contracting office.

Documentation Required: On **FWS Form 3-2460, Checklist for a New Financial Assistance Award** (Attachment 4), check YES next to Item 1 to confirm the determination of financial assistance as the appropriate funding tool. NOTE: Completing Item 1 covers the determination requirement.

- B. Determine award instrument:** The program office must determine if the financial assistance award should be issued as a GRANT or a COOPERATIVE AGREEMENT. In terms of award administration, grants and cooperative agreements are subject to the same government-wide regulatory and policy framework. For both types of awards, we are responsible for monitoring recipient performance to ensure that the objectives are accomplished in accordance with the award terms and conditions. The only difference between a grant and a cooperative agreement is that in a cooperative agreement the Federal government, in addition to performing the routine administrative and monitoring activities expected for all financial assistance awards, is *substantially* involved in the project. The following table details the types of substantial activities that would qualify the award as a cooperative agreement and compares them to the routine activities to be performed for all awards:

Table 4: Substantial versus Routine Federal Activities

Substantially involved	NOT substantially involved
<p>According to 505 DM 2, Section 2.9 the Service is <i>substantially</i> involved in a project when our staff:</p> <ul style="list-style-type: none"> • Participates and collaborates jointly with the recipient partner, volunteer, scientist, technician or other personnel, in carrying out the scope of work, including training recipient personnel or detailing Federal personnel to work on the project effort; • Reviews and approves one stage of work before the next stage can begin; • Reviews and approves, prior to recipient action, proposed modifications or sub-awards; • Helps select project staff or trainees; • Directs or redirects the work because of interrelationships with other projects; • Has power to immediately halt an activity if detailed performance specifications are not met; and • Limits recipient discretion with respect to scope of work, organizational structure, staffing, mode of operations and other management processes, coupled with close monitoring or operational involvement during performance under the award. 	<p>The following routine Federal administrative and monitoring activities to be performed by Service staff in fulfillment of their Federal oversight responsibilities do not qualify as substantial involvement and <u>should not be included</u> in any substantial involvement justification, funding opportunity description, or notice of award document:</p> <ul style="list-style-type: none"> • Providing Federal funds; • Assigning a project officer; • Approving recipient plans prior to award; • Fulfilling the normal and expected Federal stewardship responsibilities during the performance period such as setting reporting schedules, conducting desk audits or site visits, reviewing and approving financial and performance reports, providing general technical assistance as requested by the recipient, and other coordination or monitoring activities undertaken to ensure that the objectives are accomplished in accordance with the award terms and conditions; • Correcting unanticipated deficiencies in project or financial performance from the terms of the award; • Setting general statutory requirements understood in advance of the award such as

	<p>civil rights, environmental protection, and provisions for the handicapped;</p> <ul style="list-style-type: none"> • Implementing general administrative requirements understood in advance and included in the award terms and conditions such as OMB Circulars A-21, A-87, A-102, A-110, A-133, and other applicable regulations; and • Assessing recipient performance after completion of the funded activity.
--	---

Documentation Required: On [FWS Form 3-2460, Checklist for a New Financial Assistance Award](#), check YES next to either Item 2.A. or 2.B. to indicate the award instrument to be used.

NOTE: For cooperative agreements, the program must include in the Grants.gov funding opportunity (see Step 3 of this guidance) a detailed description of the Service's expected substantial involvement and in the notice of award a detailed and project-specific description of the substantial activities to be carried out by Service staff (see Step 8 of this guidance).

Step 2: Justify issuing a single source award

This step is not applicable to awards issued under the Service's mandatory programs (see Prerequisite section). For all other programs, see Service policy [516 FW 6, Issuing Discretionary Grant and Cooperative Agreement Awards without Competition](#). In general when meeting applicable eligibility requirements, we must provide the public the opportunity to compete for discretionary awards. We must issue single source awards sparingly and only when the criteria detailed in 516 FW 6 are met.

Documentation Required: On [FWS Form 3-2460, Checklist for a New Financial Assistance Award](#), check YES or NO next to Item 3 to indicate if the award is a single source award.

If YES is checked, complete [FWS Form FWS 3-2452, Determination for Issuing a Single Source Financial Assistance Award](#). The completed and signed form must be maintained in the official award file.

NOTE: A funding opportunity must also be posted on Grants.gov for single source awards of \$25,000 or more (see Step 3 of this guidance).

Step 3: Post/Justify not posting a Funding Opportunity on Grants.gov

Mandatory programs are not required to post funding opportunities on Grants.gov. For discretionary single source awards and competitive financial assistance programs we must either post a complete funding opportunity on Grants.gov or justify not posting a funding opportunity based on criteria provided in 505 DM 2.

A. Justify not posting a Funding Opportunity on Grants.gov: 505 DM 2 provides the following justifications for not posting a funding opportunity on Grants.gov:

1. The funding opportunity is for a program that only publishes funding opportunities in the CFDA. Publishing funding opportunities only in the CFDA is not common and is not applicable to Service programs;
2. The funding opportunity is for a mandatory program (see Prerequisite section);

3. The funding opportunity is for discretionary award(s) less than \$25,000 for which 100 percent of eligible applicants live outside of the United States;
4. The funding opportunity is for a discretionary single source award for less than \$25,000 (see Step 2 of this guidance);
5. The funding opportunity is for an award made under the Indian Self-Determination and Education Assistance Act (P.L. 93-638, 88 Stat. 2204); and
6. Because of a compelling and unusual urgency, or substantial danger to health or safety, there is not enough time to follow adequate competitive procedures. Lack of planning or processing delays do not constitute unusual urgency.

Documentation Required: To justify not posting on Grants.gov, on **FWS Form 3-2460, Checklist for a New Financial Assistance Award** check NO next to Item 4.A. and check YES next to the applicable 505 DM 2 justification under Item 4.B.

B. Post a discretionary Funding Opportunity on Grants.gov

We must post a complete Funding Opportunity on Grants.gov for all discretionary competitive programs not exempted from the Grants.gov posting requirement (see Step 3.A. of this guidance) AND all single source awards for \$25,000 or more. All discretionary programs must post a new Funding Opportunity each Fiscal Year (FY). Programs that have multiple application due dates within the FY can modify their annual posting as needed throughout the year, but must create a new Funding Opportunity at the start of the next FY. Single source Funding Opportunities must be posted publicly for at least **five** business days prior to award. To meet the Office of Management and Budget's focus on transparency, discretionary programs make their Funding Opportunities available to the public for application for not less than 30 calendar days prior to the start of the award selection process.

The steps of the Grants.gov Funding Opportunity posting process are detailed in this diagram:



To be complete, a Funding Opportunity must include:

1. A Synopsis (created in and posted to Grants.gov from PRISM),
2. A NOFA (see Prerequisite section), uploaded as an attachment to the Synopsis (will appear for the public under the Full Announcement screen); and
3. An Application Package (will appear for the public under the Application screen).

Posting a complete Funding Opportunity does not mean the applicant *must* apply through Grants.gov. Program-specific instructions for how to apply must be provided in the NOFA (see Prerequisite section).

All Funding Opportunities require the assignment of a valid and appropriate CFDA number. The CFDA number(s) assigned to a Funding Opportunity must match the CFDA number(s) in the program NOFA (see Prerequisite section). For more information on the CFDA, see the **CFDA Frequently Asked Questions** document posted on the Intranet at <https://inside.fws.gov/go/post/CFDA>.

For Funding Opportunities that will result in the funding of one or more cooperative agreements, the Synopsis “Description” field must include a description of the expected substantial Service involvement in the project as follows: *“Substantial involvement on the part of the Service is anticipated for the successful completion of the activities to be funded. In particular, the Service will be/expects to be responsible for the following: [list the specific project-related activities to be performed by Service staff].”*

For more information on Grants.gov, see the Service’s Grants.gov Information page on the Intranet at <https://inside.fws.gov/index.cfm/go/post/grants.gov>.

Documentation Required: On **FWS Form 3-2460, Checklist for a New Financial Assistance Award**, enter the Grants.gov Funding Opportunity Number in the corresponding header field and check YES next to Item 4.A.

Go to the publicly-posted Funding Opportunity Grants.gov and print (Ctrl+P) from within the browser window the following:

- 1) Synopsis screen;
- 2) Full Announcement screen; and the
- 3) Application screen.

See the attached **Sample Grants.gov Print Screens** (Attachment 5) if you are unsure as to which screens must be printed. Using the Ctrl+P function inserts the date on the bottom of the printed page. The dated Grants.gov print screens must be maintained in either the official award file (this is the required method for single source awards) or a centralized subject-matter file (acceptable when multiple awards are made under a single funding opportunity).

Step 4: Review and approve applications

For all awards, we must review and approve the proposed project objectives, scope of work and project costs. The approved application is the road map for project implementation. Approved applications should clearly describe the: project goals, objectives, activities, methods, timetable, resources and staff needed to accomplish goals, project monitoring and evaluation plan, and expected outputs/outcomes of the project. The **Notice of Funding Availability Template** (see Prerequisite section of this guidance) provides sample text for requesting these key elements from applicants.

All awards must be based on applications *that match the award to be made* in regards to funding amount and project scope. Following review, we may need to ask the applicant to revise their proposed scope of work, project narrative, budget and/or timeline to reflect the Service’s final funding decision.

All applicants must submit a complete and signed SF 424, *Application for Federal Assistance* (SF 424, SF 424-Individual or SF 424-Mandatory) form. The only exception to the SF 424 requirement is if the program has OMB approval to use an alternative application form (see Prerequisite section). **NOTE:** The SF 424-Mandatory form is for applicants to mandatory programs *only* (see Table 3 of this guidance). Service employees **MUST NOT** sign the required SF 424, Application for Federal Assistance for the applicant. The Service is responsible for signing the official notice of award, not the application document.

Documentation Required: On **FWS Form 3-2460, Checklist for a New Financial Assistance Award**, enter the recipient's name, project title and type in the corresponding header fields, and then check YES next to Item 5 to confirm that the award is made based on an approved application submitted by the applicant that matches the award to be made in regards to funding amount and project scope, and for applicants includes a complete and signed SF 424, *Application for Federal Assistance* form. The application on which the award is based and any other correspondence and records related to the funding decision (e.g., competitive review results and reviewer comments) must be maintained in the official award file.

When reviewing an application we must consider the following, among other considerations:

A. Budget analysis: We must conduct a review of the proposed budget following Department of the Interior guidance release **DIG 2013-06, Financial Assistance Cost Review Guidance**. We must consider the following when reviewing a proposed budget:

- 1. Cost principles:** Financial assistance recipients are subject to the following Federal cost principles:
 - 2 CFR Part 220, Cost Principles for Educational Institutions
 - 2 CFR Part 225, Cost Principles for State, Local and Indian Tribal Governments
 - 2 CFR Part 230, Cost Principles for Non-Profit Organizations (except those listed in Attachment C of OMB Circular A-122)
 - 48 CFR Part 31.2, Cost Principles for for-profit/commercial organizations and non-profits listed in Attachment C of OMB Circular A-122
 - 45 CFR part 74, Appendix E, Principles for Determining Costs Applicable to Research and Development Under Grants and Contracts with Hospitals

Allowable costs are determined in accordance with the cost principles applicable to the organization incurring the cost. Employees must be familiar with and consider the cost principles when reviewing applications and monitoring awards. Links to the full text for these regulations are available on the Internet at <http://www.fws.gov/grants/>.

- 2. Indirect costs:** A recipient receiving an award as an individual separate from a business or non-profit organization he/she may operate is not eligible to charge indirect costs to an award. Any other recipient must either show that the indirect amount it seeks to charge is proper by establishing a Negotiated Indirect Cost Rate Agreements (NICRA) with the Federal government, or accept as a condition of the award a flat 10% indirect cost rate to be charged to the modified total direct costs for the life of the award, if qualified. See the **Indirect Costs and Negotiated Indirect Cost Rate Agreements** guidance document (Attachment 6) for more information on indirect costs and NICRAs.

Applicants must provide in their budget justification narrative one of the statements provided in the Budget Justification section of the **Notice of Funding Availability Template**, and attach all required documentation.

Documentation Required: On **FWS Form 3-2460, Checklist for a New Financial Assistance Award**, check YES next to ONE of the statements in 6.A. through 6.E. to indicate the indirect cost rate circumstance applicable to the entity/award.

3. **Pre-award costs:** Pre-award costs are any award-associated costs incurred prior to the award project period start date. See the [Setting Project Period Dates for Grant and Cooperative Agreement Awards](#) (Attachment 7) guidance document for more information on setting appropriate project period dates on an award including approved pre-award costs.

Programs not otherwise restricted or prohibited from funding pre-award costs must inform applicants in the NOFA that until pre-award costs are authorized under an approved award, the applicant has no assurance that the Service will reimburse these costs. The [Notice of Funding Availability Template](#) includes standardized text for this required notice. To qualify for pre-award cost reimbursement, an applicant must demonstrate in the application that some pre-award activities were necessary and reasonable for accomplishing the overall program objectives and would have been approved had they occurred within the project period.

An entire project must never be funded retroactively as pre-award costs, i.e., obligating funds after the project period has ended. We must fund eligible grants and cooperative agreements prospectively for activities to be initiated after the project period start date.

Documentation Required: On [FWS Form 3-2460, Checklist for a New Financial Assistance Award](#), check YES or NO next to Item 7 to indicate if pre-award costs are approved under the award. If YES, all correspondence/documentation resulting from the approval process must be maintained in the official award file.

- B. **Compliance reviews:** Programs are responsible for making sure all legally required compliance reviews are completed **BEFORE** the recipient starts any potentially impactful activities funded under a grant or cooperative agreement. We strongly recommend that all compliance reviews are completed before funds are obligated. However, in the event an award is released in PRISM and funds are obligated in FBMS before all compliance reviews are complete and the program wishes to allow the recipient or subrecipient(s) to begin the portion of the approved work that has no potential to impact the environment, the notice of award must include the following special condition (see Step 8 of this guidance):

[Insert a detailed description of the work that can be started and the work that must not be started until all compliance reviews are complete]. As a condition of award, the Recipient and any sub-recipient(s) must not begin any potentially impactful work related to this award until the Service has notified you in writing that such work can begin. Recipients and sub-recipients of Federal grants and cooperative agreement awards must comply with the requirements of the National Environmental Policy Act (NEPA), Section 7 of Endangered Species Act (ESA), and Section 106 of the National Historic Preservation Act (NHPA).

The required compliance reviews are:

1. **National Environmental Policy Act (NEPA) Compliance:** Programs must conduct and document a NEPA review for all projects with activities to be conducted in the United States, includes U.S. embassies and military installations in foreign countries. A NEPA review requires an evaluation of the: project scope, the potential for significant impact on the human environment, e.g., the natural and physical environment and the

relationship of people to that environment, and the level of public interest and/or controversy generated by the proposed project.

An Environmental Assessment (EA) and/or an Environmental Impact Statement (EIS) and related documentation is required BEFORE any potentially impactful activities are started if the project:

- Is not completely covered by a Categorical Exclusion under 43 CFR 46.210 or 516 DM 8.5;
- Does not meet the criteria for any Categorical Exclusion under 43 CFR 46.210 or 516 DM 8.5; OR
- Is considered an Extraordinary Circumstance under 43 CFR 46.215.

The Division of Habitat and Resource Conservation, Branch of Conservation Planning Assistance is responsible for coordination of Service NEPA responsibilities and activities. For more information, see the Service's [NEPA Reference Handbook](http://www.fws.gov/r9esnepa/index.html) on the Internet at <http://www.fws.gov/r9esnepa/index.html>.

Documentation Required: On [FWS Form 3-2460, Checklist for a New Financial Assistance Award](#), check YES next to ONE of the NEPA statements, as follows:

Check YES next to Item 8.A. if all of the project activities will be conducted outside the United States (NEPA review is not required), or

Check YES next to Item 8.B. if project activities will be conducted in the United States but all activities are covered by a Categorical Exclusion under 43 CFR 46.210 or 516 DM 8.5 and no Extraordinary Circumstance under 43 CFR 46.215 applies to the project. If Item 8.B. is checked YES, the program must maintain documentation in the official award file that: 1) specifies which Categorical Exclusion(s) cover(s) the project activities and 2) states that all Extraordinary Circumstances under 43 CFR 46.215 were reviewed and that none were found to apply, or

Check YES next to Item 8.C. if any of the conditions requiring additional NEPA documentation apply to the project. All related documentation must be maintained in the official award file or centralized subject-matter file.

- 2. Section 7 of the Endangered Species Act (ESA) Compliance:** Section 7(a)(2) of the ESA directs all Federal agencies to make sure that any action they authorize, fund, or carry out does not jeopardize the continued existence of an listed, proposed or candidate endangered or threatened species or a designated or proposed critical habitat. Under the implementing regulations (50 CFR 402), Federal agencies must review financial assistance applications for all actions to be conducted within the United States, including U.S. embassies and military installations in foreign countries and the high seas, to determine whether the actions proposed may affect Federally listed and proposed species or proposed or designated critical habitat. The high sea is the sea or ocean beyond the three-mile limit or territorial waters of a country. No further review is required if:

- All project activities will occur outside of the United States; or
- Some or the entire project will be conducted within the United States but either no listed, proposed or candidate endangered or threatened species or designated or proposed critical habitat exists in the project area or the project has no potential to affect species or their designated critical habitats.

The program must determine if further review is required when any project activities are to be conducted in the U.S. or on the high seas and any listed, proposed or candidate endangered or threatened species or designated or proposed critical habitat exists in the project area. If the project *may affect* a listed endangered or threatened species or designated or proposed critical habitat, the program must follow the appropriate intra-Service consultation procedures. The procedures will vary by region, and may vary by program. The process must be completed BEFORE any potentially impactful activities are started by the recipient or subrecipient(s). For more information, contact your regional Ecological Services office.

Documentation Required: On **FWS Form 3-2460, Checklist for a New Financial Assistance Award**, check YES next to ONE of the Section 7 ESA statements, as follows:

Check YES next to Item 9.A. if all project activities will be conducted outside the United States. No Section 7 ESA review is required.

Check YES next to Item 9.B. if project activities will be conducted within the United States and either: 1) no listed, proposed or candidate endangered or threatened species or designated or proposed critical habitat exists in the project area; or 2) the project has no potential to affect species or their designated critical habitats. No further Section 7 ESA review is required.

Check YES next to Item 9.C. if project activities will be conducted within the United States and the program finds that the activities may affect listed, proposed or candidate endangered or threatened species or designated or proposed critical habitat. Section 7 ESA consultation is required. The program must follow the appropriate intra-Service consultation process and must maintain a copy of all resulting documentation in the official award file or centralized subject-matter file.

3. Section 106 of the National Historic Preservation Act (NHPA) Compliance:

Any project with the potential to cause effects on historic properties must be accounted for under the Section 106 consultation process. For ALL projects with activities being conducted within the United States, including U.S. embassies and military installations in foreign countries, contact your Headquarters/Regional Historic Preservation Officer (HPO) for guidance on which projects require additional documentation and review. See the list of HPOs on the Internet at <http://www.fws.gov/historicPreservation/contactUs.html>.

Documentation Required: On **FWS Form 3-2460, Checklist for a New Financial Assistance Award**, check YES next to ONE of the Section 106 NHPA statements, as follows:

Check YES next to Item 10.A. if all of the project activities will be conducted outside the United States (no further documentation is required), or

Check YES next to Item 10.B. to indicate that project activities will be conducted within the United States and that the program will comply with requirements under Section 106 of the NHPA. All related documentation must be maintained in the official award file or centralized subject-matter file.

- C. Legal review:** See [505 DM 2](#), Section 2.8 D and E (5) for a description of the legal review responsibilities. There is no dollar threshold or any other pre-defined criteria requiring a legal review of a grant or cooperative agreement. For grants and cooperative agreements, a legal review is generally optional. A legal review is needed only when we determine that the proposed project is of high complexity/novelty, or exhibits intellectual property issues or potential conflicts of interest, or other such concerns.

Documentation Required: On [FWS Form 3-2460, Checklist for a New Financial Assistance Award](#), check YES or NO next to Item 11 to indicate if a legal review from the Office of the Solicitor was requested. If YES, a copy of the request and any response received must be maintained in the official award file.

- D. Single audit requirements:** All U.S. states, local governments, Federally-recognized Indian tribal governments and non-profit organizations that spend \$500,000 or more in Federal award funds in a fiscal year (FY) must submit A-133 Single Audit reports to the Federal Audit Clearinghouse. These entities must submit as part of their application a statement regarding whether they were required to submit an A-133 report for their most recently closed fiscal year and, if required, indicate if that report has been uploaded to the Federal Audit Clearinghouse-Single Audit Database. **NOTE:** The [Notice of Funding Availability Template](#) includes standardized text for this requirement.

For all applicants reporting that they *were* required to submit an A-133 Single Audit report in their most recently closed fiscal year, the program office must search the Federal Audit Clearinghouse-Single Audit Database on the Internet at <http://harvester.census.gov/fac> to confirm that the report is available on the site.

Documentation Required: On [FWS Form 3-2460, Checklist for a New Financial Assistance Award](#), check YES next to ONE of the A-133 statements, as follows:

Check YES next to Item 12.A. if the applicant is not a state, local or Federally-recognized Indian tribal government or non-profit organization and therefore not subject to A-133,

Check YES next to Item 12.B. if the applicant is a state, local or Federally-recognized Indian tribal government or non-profit organization that reported in their application that they were NOT required to submit an A-133 Single Audit Report for their most recently closed fiscal year, or

Check YES next to Item 12.C. if the applicant reported in their application that they WERE required to submit an A-133 Single Audit Report for their most recently closed fiscal year. Go to <http://harvester.census.gov/sac> and search for the entity. Once the entity's records are returned, print (Ctrl+P) from within the browser window the "Results from Query of Single Audit Database" screen. Using the Ctrl+P function inserts the date on the bottom of the printed page. The dated screen print must be maintained in the official award file or in a centralized subject-matter file.

Step 5: Verify intended recipient eligibility

The program or servicing office must verify the intended recipient's eligibility to receive a Federal assistance award. To do this, the program or servicing office must make sure that the entity has complied with, or is waived from, the System for Award Management (SAM) and Data Universal Numbering System (DUNS) registration requirements and confirm that the entity is not debarred or suspended from receiving Federal financial assistance. See Service policy [516 FW 5, Data Universal Numbering System \(DUNS\) and System for Award Management \(SAM\) Registration Requirements](#) for more information on the SAM and DUNS registration requirements.

Some programs may choose to perform this step before conducting their application review and selection process. However, to make sure selected applicants are eligible at the time the award is issued, perform this step as close to the actual award date as possible. Applications from debarred or suspended applicants may be reviewed and considered for funding because the applicant's debarred or suspended status may be resolved or removed by the time the program issues the actual award.

NOTE: Employees performing this step must create and maintain an Individual User Account on SAM.gov. When applicants register on SAM.gov, they are given the choice to opt out of the public search function. Opting out of the public search function means that their SAM.gov record cannot be seen by the casual public user. To see all records, government employees must register for a SAM.gov Individual User Account with their government email address.

A. Document automatic SAM registration waiver for individuals

An individual applying for or receiving Federal funds under a grant or cooperative agreement award separate from a business or non-profit organization he/she may operate is automatically waived by OMB regulation.

Documentation Required: On [FWS Form 3-2460, Checklist for a New Financial Assistance Award](#), check YES next to Item 13.A. if the recipient is an individual. Go on to Step 5.C. of this guidance.

B. Request a Service waiver from SAM registration requirement

The Service may only approve a waiver if one of the following criteria is met:

1. We must protect information about the entity from disclosure to avoid compromising classified information or national security or jeopardizing the personal safety of the entity's clients, or
2. A foreign entity is applying for or receiving an award for less than \$25,000, the project will be conducted outside of the United States, and we find it impractical for the entity to comply with the requirement.

If one of these criteria is met, we can waive the requirement for both the DUNS and SAM registration, or, if the recipient has a DUNS number but cannot register in SAM, we can waive just the SAM registration requirement. See [516 FW 5, Data Universal Numbering System \(DUNS\) and System for Award Management \(SAM\) Registration Requirements](#) for instructions on how to request a waiver.

Documentation Required: On [FWS Form 3-2460, Checklist for a New Financial Assistance Award](#), check YES next to Item 13.B. if the Assistant Director – Wildlife and Sport Fish Restoration Program has approved a SAM waiver for the recipient. The completed and signed [FWS Form 3-2451, Financial Assistance Recipient Data Universal Numbering System \(DUNS\)/System for Award Management \(SAM\) Registration Waiver](#) reflecting the approval must be maintained in the award file. Go on to Step 5.C. of this guidance.

C. For SAM-waived entities, review active Exclusions in SAM

Go to <https://www.sam.gov/portal/public/SAM/>, log in, and then search for the individual/entity by name or partial name. If the entity was waived from SAM (see Step 5.B. of this guidance) but has a DUNS number, search for the entity by DUNS number. If the entity does not have a DUNS number, search for the entity by name. Search for individuals by name. For every Active Exclusion record returned, you must carefully review the record to determine if the exclusion prohibits the entity from receiving a new award from the funding program. In some cases Exclusions are specific to a particular type of project or activity. If an Active Exclusion exists that prohibits the recipient from receiving a new award from the funding program, **STOP HERE. Do not make an award to a suspended or debarred entity!**

NOTE: For SAM-waived recipients, we MUST check the SAM Exclusions database prior to every award, even if the program will fund multiple awards to the same recipient in the same fiscal year!

Documentation Required: On [FWS Form 3-2460, Checklist for a New Financial Assistance Award](#), check YES next to Item 14 to confirm that a review of the SAM Exclusions database was conducted and that either: 1) no active exclusions were found or 2) none of any active exclusions found prohibit this award from being funded. Print (Ctrl+P) from within the browser window either the search result screen(s) showing no Active Exclusion found or the Active Exclusion Summary screen showing any active exclusion found that does not prohibit the award from being issued. Using the Ctrl+P function inserts the date on the bottom of the printed page. The dated screen print(s) must be maintained in the official file. Go on to Step 6 of this guidance.

D. For all entities not waived from SAM, confirm SAM registration and review active Exclusions

To complete this step, go to <https://www.sam.gov/portal/public/SAM/>, log in and then search for the entity by the DUNS number provided by the applicant on their SF 424, *Application for Federal Assistance* form. The search by DUNS must return an Active Entity record for the entity. If an Active Entity record is not found, we must contact the entity to inform them that they must register in SAM or revalidate their expired SAM registration. To determine if the entity must either register or revalidate an existing registration, filter your search results to show both Active and Inactive records (the default search is to show only Active records). Once an Active SAM record is available for the entity, review the following:

- Expiration date, to see if their registration is likely to expire before the award is issued.
- SAM Core Data information, to verify if the entity has one or more DUNS-Plus-4 designations and, if they do, verify if they also have multiple CAGE codes associated with their DUNS number. If the entity does have multiple CAGE codes associated with their DUNS number, they will also have multiple vendor records in FBMS with the same DUNS number (FBMS vendor records are unique by DUNS and CAGE code)

combinations). Contact the entity to find out which CAGE code is appropriate, as this will be important when selecting the correct FBMS vendor record for the award (see Step 6 of this guidance).

- Any Active Exclusion records for the entity. For every Active Exclusion record returned, review the record to determine if the exclusion prohibits the entity from receiving an award from the funding program. In some cases Exclusions are specific to a particular type of project or activity. If an Active Exclusion exists that prohibits the recipient from receiving a new award from the funding program, **STOP HERE. Do not make an award to a suspended or debarred entity!**

NOTE: For all recipients not waived from SAM, we MUST check SAM registration status and review the SAM Exclusions database prior to every award, even if the program will fund multiple awards to the same recipient in the same fiscal year!

Documentation Required:

On **FWS Form 3-2460, Checklist for a New Financial Assistance Award**, check YES next to Item 13.C. and enter the recipient's DUNS number in the corresponding header field. Print (Ctrl+P) from within the browser window the SAM Entity Overview screen showing "Active" in the Registration Status field. Using the Ctrl+P function inserts the date on the bottom of the printed page. The dated screen print must be maintained in the official award file.

On **FWS Form 3-2460, Checklist for a New Financial Assistance Award**, check YES next to Item 14 to confirm that a review of the SAM Exclusions database was conducted and that either: 1) no active exclusions were found or 2) none of any active exclusions found prohibit this award from being funded. Print (Ctrl+P) from within the browser window either the search result screen(s) showing no Active Exclusion found or the Active Exclusion Summary screen showing any active exclusion found that does not prohibit the award from being issued. Using the Ctrl+P function inserts the date on the bottom of the printed page. The dated screen print(s) must be maintained in the official file. Go on to Step 6 of this guidance.

Step 6: Identify FBMS vendor and verify payment method is established

We must establish a payment method for the expected recipient BEFORE releasing an award and obligating funds in FBMS to that recipient. A recipient's payment method is documented on their vendor record in FBMS. Releasing an award before the recipient's payment method is documented on their FBMS vendor record will cause system errors and payment delays!

To complete this step, follow the **Establishing a Recipient's Payment Method before Obligating Funds for a New Grant or Cooperative Agreement Award in FBMS** guidance document posted on the Intranet at <https://inside.fws.gov/go/post/Payments-New>. All attachments referenced in the guidance are also posted on the Intranet on the same page.

Documentation Required: On **FWS Form 3-2460, Checklist for a New Financial Assistance Award**, check YES next to Item 15 to confirm that all steps of the **Establishing a Recipient's Payment Method before Obligating Funds for a New Grant or Cooperative Agreement Award in FBMS** guidance were completed, as applicable.

Step 7: Identify the CFDA number

All awards must be assigned a single, valid and appropriate CFDA number. The CFDA number assigned to an award must match at least one of the CFDA number(s) identified in the NOFA (see Prerequisite section) and Grants.gov Funding Opportunity (see Step 3.B. of this guidance). For more information on the CFDA, see the [CFDA Frequently Asked Questions](#) document posted on the Intranet at <https://inside.fws.gov/go/post/CFDA>.

It is important that you assign the correct CFDA Number to the award! Assigning a CFDA number to an award documents the Service's authority to award the grant or cooperative agreement. See the Authorization section of the program's CFDA.gov profile for a list of authorizing legislation. Service programs, and the Service as a whole, use the CFDA number assigned to their awards as a means to filter or consolidate program data used to respond Congressional and Departmental information requests, produce required Congressional reports, and support annual budget justification exercises, among other reporting needs. Assigning an invalid CFDA number to an award will impact the accuracy of that program's reporting.

If you have any questions regarding which CFDA number to assign to an award, contact the Service's CFDA Coordinator (contact information posted on the Intranet at <https://inside.fws.gov/go/post/CFDA>).

Documentation Required: On [FWS Form 3-2460, Checklist for a New Financial Assistance Award](#), enter the CFDA number and CFDA program title to be assigned to the award in the corresponding header fields.

Step 8: Complete a notice of award

For every award, we must provide a complete notice of award to the recipient. A notice of award includes the following elements:

- A. Award cover page/letter,
- B. General terms and conditions,
- C. Any special program or project-specific terms and conditions, and
- D. Any other information required by the program.

The table below provides guidance on each element:

Table 5: Notice of Award Elements

Element	Guidance
Award cover page or letter	<p>The Service has two official formats for the award cover page/letter. Programs may use: 1) the PRISM Grant and Cooperative Agreement Cover Page or 2) a customized notice of award letter that is based on the Notice of Award Letter Template (Attachment 8). No other award formats/documents are authorized for Service use.</p> <p>Award cover pages/letters must include the award project period start and end dates. See the Setting Grant and Cooperative Agreement Project and Funding Period Dates document for guidance on setting appropriate project period dates.</p> <p>Award cover pages/letters must be signed by an authorized Service representative (see Service policy 516 FW 3).</p>

	<p>Programs sending the PRISM Grant and Cooperative Agreement Cover Page to a recipient must modify the form (see Step 10 of this guidance) and make sure the recipient also receives:</p> <ul style="list-style-type: none"> • Complete Service project officer contact information, • Detailed payment instructions, and • Detailed financial and performance reporting requirements, including reporting periods, due dates and submission instructions, as required under Service policies 516 FW 1 and 516 FW 2.
General Terms and Conditions	<p>A notice of award must include, either by citation or as an attachment, the U.S. Fish and Wildlife Service Financial Assistance Award Terms and Conditions (Attachment 9) posted on the Internet at http://www.fws.gov/grants/. The Service will no longer reference the DOI award terms and conditions.</p>
Special Terms and Conditions	<p>When special terms and conditions are applicable, they must be included in the notice of award. Do not include special terms/conditions that do not apply to the particular award being issued. Use the Sample Financial Assistance Award Special Terms and Conditions (Attachment 10) document as a starting point for developing any special terms and conditions for the award. Not all the suggested special terms and conditions will apply to every award.</p>
Additional Information	<p>Attach any additional information required by the program. It is not necessary to re-send the recipient their approved application, as all awards will be based on approved applications submitted by the applicant that match the award to be made in regards to funding amount and project scope (see Step 4 of this guidance).</p>

Documentation Required: On [FWS Form 3-2460, Checklist for a New Financial Assistance Award](#), enter in the “Project Period Start” header field either the actual project period start date or “Signature date” (entered when the project period will start on the date the notice of award cover sheet/letter is signed). Enter the project period end date in the corresponding header field. A copy of the complete notice of award must be maintained in the official award file.

Step 9: Compile required pre-award documentation

The following pre-award documentation is required, as applicable to the award:

- ✓ Completed [FWS Form 3-2460, Checklist for a New Financial Assistance Award](#).
- ✓ If a cooperative agreement award, a detailed description of the Service’s expected substantial involvement in the Grants.gov funding opportunity and the notice of award.
- ✓ If a single source award, completed [FWS Form 3-2452, Determination for Issuing a Single Source Financial Assistance Award](#).
- ✓ For discretionary competitive programs not exempted from the Grants.gov posting requirement under 505 DM 2 AND all single source awards for \$25,000 or more, evidence that a complete Grants.gov Funding Opportunity was published. Evidence is dated screen prints of the 1) Synopsis screen; 2) Full Announcement screen; and 3) the Application screen.
- ✓ The recipient’s complete approved application that includes a complete and signed SF 424 form and matches the award to be made in regards to funding amount and project scope.
- ✓ If applicable, a copy of the applicant’s current Negotiated Indirect Cost Rate agreement.
- ✓ Evidence that all legal compliance requirements including National Environmental Policy Act (NEPA), Section 7 of the Endangered Species Act (ESA), and Section 106 of the National

Historic Preservation Act (NHPA) were met or notice of award project period was set for a date in the future to give time for these compliance requirements to be completed before award activities begin.

- ✓ If legal review from the Office of the Solicitor was requested, documentation of the request and any response received.
- ✓ If the entity is subject to A-133 and reported in their application that they were required to submit an A-133 Single Audit Report for their most recently closed fiscal year, the “Results from Query of Single Audit Database” print screen.
- ✓ If the Assistant Director – Wildlife and Sport Fish Restoration Program has approved a DUNS/SAM waiver for the recipient, the documentation required in Service policy [516 FW 5](#).
- ✓ If the entity is required to register in SAM, the SAM.gov print screen showing the entity has an Active registration.
- ✓ For all recipients, either the SAM.gov print screen showing the entity has no Active Exclusions or, for every Active Exclusion found, the complete exclusion record showing that the exclusion does not prohibit the recipient from receiving the award.
- ✓ A complete notice of award, including an award cover page or letter signed by the authorized Service representative (see Service policy [516 FW 3](#)).

Step 10: Complete Grants Purchase Request and PRISM Award processes

Follow your program/servicing office instructions for completing a Grants Purchase Request and a new award in PRISM.

If you will send the completed [PRISM Grant and Cooperative Agreement Cover Page](#) form to the recipient as part of the notice of award (see Step 8 of this guidance), the form must be modified before it is sent to the recipient. See the [Modifying the PRISM Grant and Cooperative Agreement Cover Page](#) (Attachment 11) guidance document for more information.

FBMS Work instructions and the training materials posted on the Intranet at <https://inside.fws.gov/go/post/FAS-Branch> are your best resources for resolving issues. Open an FBMS Help Desk ticket when you are unable to resolve the issue from work instructions and training materials. To open an FBMS Help Desk ticket, send an email to FBMS_helpdesk@nbc.gov with a detailed description of the issue, including screenshot of any system error messages and/or screens relevant to the issue being reported.

Step 11: Send notice of award to the recipient

Whenever possible, send the complete notice of award (see Step 8 of this guidance) to the recipient electronically. Recipients are not required to co-sign award cover sheets/letters. Asking a recipient to co-sign the award adds an unnecessary burden and increases the award processing time. See Service policy [516 FW 3](#) and the [U.S. Fish and Wildlife Service Financial Assistance Award Terms and Conditions](#) for clarification on when a recipient accepts responsibility for the terms and conditions of the award.

Step 12: Create a PRISM Milestone Plan

A PRISM Milestone Plan is required for all awards issued after March 18, 2013. See Service policy [516 FW 2, Performance Reporting for Grant and Cooperative Agreement Awards](#) for more information on the Milestone Plan requirement. For instructions on creating a Milestone Plan, see the [Create a](#)

Milestone Plan Tutorial posted on the Intranet at <https://inside.fws.gov/index.cfm/go/post/FAS-Tutorials>.

Step 13: Establish an official award file

In general, all pre-award documentation unique to an award must be maintained in a single official award file. When official file documentation must be shared between a program office and a servicing office, the offices are jointly responsible for ensuring that the appropriate servicing office and program office employees have ready access to the official award file documentation. This means offices must provide each other hard copies of any official file documentation as soon as it becomes available or upload the documents to a shared, electronically accessible space where they can be easily accessed by servicing and program office staff.

The only exception to the standard of maintaining a single official award file is when the program can eliminate excessive duplication of effort by maintaining some documentation in centralized subject-matter files. All centralized subject-matter files related to financial assistance awards must be well marked, well maintained, accessible to all appropriate servicing and program office staff, and readily available upon request for reviews or audits. However, there are some documents that must *always* be maintained in the official award file. See the Required Documentation boxes throughout this guidance for more information on which documents must be maintained in the official award file.

FA TASKS LIST

Program Office:

Servicing Office:

Region:

[illegible]

[illegible]

[illegible]

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

Point of Contact

Send any questions about this document by email to the Chief, Branch of Financial Assistance Policy and Oversight (FAPO), Wildlife and Sport Fish Restoration Program (WSFR), Division of Administration and Information Management (AIM). See the FAPO About/Contact Us Intranet page at <https://inside.fws.gov/index.cfm/go/post/FAPO-About> for contact information.

Document Change Log

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

Date Changed	Changed By	Description of Change Made

Instructions

Use the Notice of Funding Availability Template as a starting point for developing a program- or award-specific Notice of Funding Availability (NOFA). Programs that already have a NOFA in place must compare that document to this template at least annually to make sure it contains all required elements and content. For more information, see the [Issuing a New Financial Assistance Award Guidance](#) document posted on the Intranet at <https://inside.fws.gov/go/post/FAPO-NewAwards>.

The NOFA Template begins on page 2 of this document. Do not include this Instructions cover page on your customized NOFA. The table below provides editing instructions for generating a program-specific Notice of Funding Availability:

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

U.S. Fish and Wildlife Service

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

[Insert Program Title]

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

Notice of Funding Availability and Application Instructions

I. Description of Funding Opportunity

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

II. Award Information

[Provide sufficient information to help an applicant make an informed decision about whether to submit an application. Relevant information could include the total amount of funding the program expects to award through the announcement; the anticipated number of awards; the expected amounts of individual awards (which may be a range); the amount of funding per award, on average, experienced in previous years; and the anticipated start dates and project periods for new awards. This section should also address whether applications for renewal or supplementation of existing projects are eligible to compete with applications for new awards. Further, this section must indicate the type(s) of assistance instruments (i.e., grants, cooperative agreement awards, and/or other instruments) that may be awarded. If cooperative agreements may be awarded, this section should describe the substantial involvement the Service expects to have in the performance of such agreements. For single source cooperative agreement awards, enter: "The U.S. Fish and Wildlife Service (Service) will be substantially involved in projects under this funding opportunity. In particular, the Service will be responsible for the following: [list the specific project-related activities to be performed by Service staff]". If procurement contracts may also be awarded under this program, provide details on all related contract procedures and/or announcement(s) here]. If the program will award both competitive and single source awards under the same CFDA, the program has the option to include details on both aspects of the program in a single NOFA rather than posting separate NOFA(s) for the single source award(s). If the program chooses to include details on both aspects of the program, insert those details here. The NOFA must include all of the elements required in Section 6.9 of 516 FW 6, *Issuing Discretionary Grant and Cooperative Agreement Awards without Competition*].

III. Basic Eligibility Requirements

Eligible Applicants:

[Clearly identify the types of entities that are eligible to apply. If there are no restrictions on eligibility, this section may simply indicate that all potential applicants are eligible. If there are restrictions on eligibility, be clear about the specific types of recipients that are eligible, not just the types that are ineligible. Notify applicants if they are required to submit documentation to support an eligibility requirement. Text for this section should reflect related content in the program's CFDA profile and any authorizing legislation]. U.S. non-profit, non-governmental

organizations must provide a copy of their Section 501(c)(3) or (4) status determination letter received from the Internal Revenue Service.

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 online at <http://fedgov.dnb.com/webform>. U.S.-based entities may also request a DUNS number by telephone by calling the Dun & Bradstreet Government Customer Response Center, Monday – Friday, 7 AM to 8 PM CST at the following numbers:

U.S. and U.S. Virgin Islands: 1-866-705-5711

Alaska and Puerto Rico: 1-800-234-3867 (Select Option 2, then Option 1)

For Hearing Impaired Customers Only call: 1-877-807-1679 (TTY Line)

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.

C. Excluded Entities

Applicant entities 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.

D. Cost Sharing or Matching:

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

IV. Application Requirements

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

- A. A completed, signed and dated Application for Federal Assistance form. [At a minimum, all NOFAs must require applicants to submit the appropriate Standard Form (SF) 424, Application for Federal Assistance (i.e., SF 424, SF 424-Mandatory, or SF 424-Individual) form. The only exception to the SF 424 requirement is if the program has OMB approval to use an alternative application form. Insert form instructions based on your eligible applicant base. Individuals applying on their own (unrelated to any business or non-profit organization s/he may own or operate in her/his own name) must use the SF 424, Application for Federal Assistance-Individual form (<http://apply07.grants.gov/apply/FormLinks?family=12>). All other applicants to discretionary programs and for single source awards must use the SF 424, Application for Federal Assistance form (<http://apply07.grants.gov/apply/FormLinks?family=15>). Mandatory programs may require applicants to use the SF 424, Application for Federal Assistance-Mandatory form (<http://apply07.grants.gov/apply/FormLinks?family=16>)]. Do not include other Federal sources of funding, requested or approved, in the total entered in the “Federal” funding box on the Application for Federal Assistance form. Enter only the amount being requested under this program in the “Federal” funding box. Include any other Federal sources of funding in the total funding entered in the “Other” box.

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

B. Project Summary

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

C. Project Narrative

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

specific, measurable, and realistic (attainable within the project's proposed project period).

- 3. Project Activities, Methods and Timetable:** List the proposed project activities and describe how they relate to the stated objectives. Activities are the specific actions to be undertaken to fulfill the project objectives and reach the project goal(s). The proposed project activities narrative must be detailed enough for reviewers to make a clear connection between the activities and the proposed project costs. For projects being conducted within the United States, the narrative must provide enough detail so that reviewers are able to determine project compliance with the National Environmental Policy Act, Section 7 of the Endangered Species Act, and Section 106 of the National Historic Preservation Act. For projects being conducted on the high seas, the narrative should provide enough detail so that reviewers are able to determine project compliance with Section 7 of Endangered Species Act. Provide a detailed description of the method(s) to be used to carry out each activity. Provide a timetable indicating roughly when activities or project milestones are to be accomplished. Include any resulting tables, spreadsheets or flow charts within the body of the project narrative (do not include as separate attachments). The timetable should not propose specific dates but instead group activities by month for each month over the entire proposed project period.
- 4. Stakeholder Coordination/Involvement:** As applicable, describe how you/your organization has coordinated with and involved other relevant organizations or individuals in planning the project, and detail if/how they will be involved in conducting project activities, disseminating project results and/or incorporating your results/products into their activities.
- 5. Project Monitoring and Evaluation:** Detail the monitoring and evaluation plan for the project. Building on the stated project objectives, which must be specific and measurable, identify what you will measure (i.e., quantitative/quantifiable indicators) and how you will measure (i.e., methods, sample size, survey tools). Reference the stated project timetable (i.e., process indicators) and budget information (i.e., input indicators). Identify the products/services to be delivered and how/to whom they will be delivered (i.e., output indicators). Detail the expected direct effect(s) of the project on beneficiaries (i.e., outcome indicators). Include any available questionnaires, surveys, curricula, exams/tests or other assessment tools to be used for project evaluation. Describe the resources and organizational structure available for gathering, analyzing and reporting monitoring and evaluation data. If applicable, describe how project participants and beneficiaries will participate in monitoring and evaluation activities. Describe how findings will be fed back into decision making and project activities throughout the project period.
- 6. Description of Entities Undertaking the Project:** Provide a brief description of the applicant organization and all participating entities and/or individuals. Identify which of the proposed activities each agency, organization, group, or individual is responsible for conducting or managing. Provide complete contact information for the individual within the organization that will oversee/manage the project activities on a day-to-day basis. **If**

eligibility for funding is based in whole or in part on the qualifications of key personnel, provide for each key person a brief (**1-2 pages**) but descriptive overview of their education, experience and other skills that make them qualified to carry out the proposed project. To prevent unnecessary transmission of Personally Identifiable Information, ***do not include Social Security numbers, the names of family members, or any other personal or sensitive information including marital status, religion or physical characteristics on the description of key personnel qualifications.***

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

8. Literature Cited

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

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

D. Budget Form

Complete the **Budget Information for Non-Construction Programs (SF 424A)** or **Budget Information for Construction Programs (SF 424C)** form. Use the SF 424A if your project does not include construction and the SF 424C if the project includes construction or land acquisition. The budget forms are available online at <http://apply07.grants.gov/apply/FormLinks?family=15>. When developing your budget, keep in mind that financial assistance awards and subawards are subject to the cost principles in the following Federal regulations, as applicable to the recipient organization type:

- 2 CFR Part 220, Cost Principles for Educational Institutions
- 2 CFR Part 225, Cost Principles for States and Local Governments
- 2 CFR Part 230, Cost Principles for Non-Profit Organizations
- 45 CFR Part 74, Appendix E, Principles for Determining Costs Applicable to Research and Development Under Grants and Contracts with Hospitals
- 48 CFR 1, Subpart 31.2, Contracts with Commercial Organizations

Links to the full text of these Federal cost principles are available on the Internet at <http://www.fws.gov/grants/>.

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.

E. Budget Justification

In a separate narrative titled “**Budget Justification**”, explain and justify all requested budget items/costs. Detail how the SF 424 Budget Object Class Category totals were determined and demonstrate a clear connection between costs and the proposed project activities. For personnel salary costs, include the base-line salary figures and the estimates of time (as percentages) to be directly charged to the project. Describe any item that under the applicable Federal Cost Principles requires the Service's approval and estimate its cost. [Insert any other specific information for applicants to detail in their budget justifications].

Required Indirect Cost Statement: 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 all required documentation as detailed in the following table:

Circumstance:	Statement to include in budget narrative:	Other document(s) to attach:
<ul style="list-style-type: none"> No indirect cost rate Charges all costs directly 	Indirect Cost Statement: Our organization does not have an indirect cost rate and will charge all costs directly.	None.
<ul style="list-style-type: none"> Is not an individual Has an indirect cost rate Has an approved Negotiated Indirect Cost Rate Agreement (NICRA) with their Federal cognizant agency covering part/all of the proposed project period 	Indirect Cost Statement: We have an approved NICRA covering part/all of the proposed project period. A copy of that NICRA is attached.	Copy of approved NICRA.
<ul style="list-style-type: none"> Is not an individual Has an indirect cost rate Has established a NICRA in the past, but do not have an approved rate covering part/all of 	Indirect Cost Statement: Our indirect cost rate is [insert a description of the rate]. We have established a NICRA in the past but it expired. [Insert one of the following statements: “We submitted a new NICRA proposal to our cognizant agency on [insert date].” OR “In the event an award is made we will submit a NICRA proposal to our cognizant	Copy of most recently expired NICRA and, when applicable, a copy of any NICRA proposal submitted to the cognizant agency that is currently pending approval.

<p>the proposed project period</p> <ul style="list-style-type: none"> • May or may not have recently submitted a new NICRA proposal to cognizant agency. If not, will do so within the required timeframe, in the event an award is made 	<p>agency immediately and no later than 90 calendar days after the award is made”. We understand that:</p> <ul style="list-style-type: none"> • Although the Service may approve a budget that includes an estimate of indirect costs based on our stated rate, that approval will be contingent on our establishing a NICRA. • Recipients without a NICRA are prohibited from charging indirect costs to a Federal award. • Failure to establish a NICRA during the award period will make all costs otherwise allocable as indirect costs under the award unallowable. • We will not be authorized to transfer any unallowable indirect costs to the amount budgeted for direct costs or to satisfy cost-sharing or matching requirements without the prior written approval of the Service. <p>We may not shift unallowable indirect costs to another Federal award unless specifically authorized by legislation.</p>	
<ul style="list-style-type: none"> • Is not an individual • Has an indirect cost rate • Has never established a NICRA in the past • Will submit a NICRA proposal to cognizant agency within the required timeframe, in the event an award is made 	<p>Indirect Cost Statement: Our indirect cost rate is [insert a description of the rate]. We have never established a NICRA. In the event an award is made we will submit a NICRA proposal to our cognizant agency immediately and no later than 90 calendar days after the award is made. We understand that:</p> <ul style="list-style-type: none"> • Although the Service may approve a budget that includes an estimate of indirect costs based on our stated rate, that approval will be contingent on our establishing a NICRA. • Recipients without a NICRA are prohibited from charging indirect costs to a Federal award. • Failure to establish a NICRA during the award period will make all costs otherwise allocable as indirect costs under the award unallowable. 	<p>None at the time of application. In the event an award is made, recipient must submit a copy of their approved NICRA before charging indirect costs to the award.</p>

	<ul style="list-style-type: none"> We will not be authorized to transfer any unallowable indirect costs to the amount budgeted for direct costs or to satisfy cost-sharing or matching requirements without the prior written approval of the Service. <p>We may not shift unallowable indirect costs to another Federal award unless specifically authorized by legislation.</p>	
<ul style="list-style-type: none"> Is not an individual, state, local or Federally-recognized Indian tribal government Has never established a NICRA in the past Cannot charge all costs directly Will not be able to meet the requirement to submit a NICRA proposal within 90 calendar days after award, in the event an award is made 	<p>Indirect Cost Statement: We have never established a NICRA in the past and will not be able to meet the requirement to submit a NICRA proposal to our cognizant agency within 90 calendar days after award, in the event an award is made. In the event an award is made we request as a condition of award to charge a flat indirect cost rate of 10% of modified total direct costs (MTDC). We understand this rate will apply for the life of the award, including any future extensions for time, and that the rate cannot be changed even if we do establish a NICRA at any point during the award period. We understand that MTDC is defined as all salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and subawards and subcontracts up to the <u>first</u> \$25,000 of each subaward or subcontract (regardless of the period of performance of the subawards and subcontracts under the award). We understand that MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward and subcontract in excess of \$25,000.</p>	None.

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

Negotiating an Indirect Cost Rate with the Department of the Interior:

For organizations without a NICRA, you must have an open, active Federal award to submit an indirect cost rate proposal to your 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
2180 Harvard Street, Suite 430
Sacramento, CA 95815
Phone: 916-566-7111
Email: ics@nbc.gov
Internet address: <http://www.aqd.nbc.gov/Services/ICS.aspx>

- F. Statements Regarding A-133 Single Audit Reporting:** Following OMB Circular A-133 (http://www.whitehouse.gov/sites/default/files/omb/assets/a133/a133_revised_2007.pdf), all U.S. states, local governments, federally-recognized Indian tribal governments, and non-profit organizations expending \$500,000 USD or more in Federal award funds in a fiscal year must submit an A-133 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 an A-133 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 (<http://harvester.census.gov/sac/>). Include these statements at the end of the Project Narrative in a section titled "**A-133 Single Audit Reporting Statements**".

G. Assurances

Include the appropriate signed and dated Assurances form available online at <http://apply07.grants.gov/apply/FormLinks?family=15>. Use the **Assurances for Non-Construction Programs (SF 424B)** if the project does not involve construction. Use the **Assurances for Construction Programs (SF 424D)** if the project does involve construction or land acquisition. Signing this form does not mean that all items on the form are applicable. The form contains language that states that some of the assurances may not be applicable to your organization and/or your project or program.

H. Certification and Disclosure of Lobbying Activities:

Under Title 31 of the United States Code, Section 1352, an applicant or recipient must not use any federally appropriated funds (both annually appropriated and continuing

appropriations) or matching funds under a grant or cooperative agreement award to pay any person for lobbying in connection with the award. Lobbying is defined as influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress connection with the award. Submission of an application also represents the applicant's certification of the statements in 43 CFR Part 18, Appendix A-Certification Regarding Lobbying. If you/your organization have/has made or agrees to make any payment using non-appropriated funds for lobbying in connection with this project AND the project budget exceeds \$100,000, complete and submit the **SF LLL, Disclosure of Lobbying Activities** form. See 43 CFR, Subpart 18.100 for more information on when additional submission of this form is required. Submission of an application also represents the applicant's certification of the statements in 43 CFR Part 18, Appendix A-Certification Regarding Lobbying.

NOTE: Revise application checklist below to match your program's application requirements, as needed. Do not remove any universally required items. Remove yellow highlighting when highlighted items are retained. Remove this note.

Application Checklist

- ☐ **Evidence of non-profit status:** If a non-profit organization, a copy of their Section 501(c)(3) or (4) status determination letter received from the Internal Revenue Service.
- ☐ **SF 424, Application for Federal Assistance:** A complete, signed and dated SF 424, SF 424-Mandatory, or SF 424- Individual form
- ☐ **Project summary**
- ☐ **Project narrative**
- ☐ **Timetable**
- ☐ **Description of key personnel qualifications**
- ☐ **A-133 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 OMB Circular A-133 Single Audit Reporting requirements
- ☐ **SF 424 budget form:** A complete SF 424A or SF 424C Budget Information form
- ☐ **Budget justification**
- ☐ **Federally-funded equipment list:** If Federally-funded equipment will be used for the project, a list of that equipment
- ☐ **NICRA:** When applicable, a copy of the organization's current Negotiated Indirect Cost Rate Agreement
- ☐ **SF 424 Assurances form:** Signed and dated SF 424B or SF 424D Assurances form
- ☐ **SF LLL form:** If applicable, completed SF-LLL Disclosure of Lobbying Activities form

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

V. Submission Instructions

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

Intergovernmental Review: Before submitting an application, U.S. state and local government applicants should visit the following website (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.

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

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

To submit an application by mail:

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

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

To submit an application by e-mail:

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

The required SF 424 Application for Federal Assistance and Assurances forms and any other required standard forms MUST be signed by your organization’s authorized official. The

Signature and Date fields on the standard forms downloaded from Grants.gov are pre-populated with the text “Completed by Grants.gov upon submission” or “Completed on submission to Grants.gov”. Remove this text (manually or digitally) before signing the forms.

To submit an application through Grants.gov:

Go to the Grants.gov Apply for Grants page (http://www07.grants.gov/applicants/apply_for_grants.jsp) for an overview of the process to apply through Grants.gov. You/your organization must complete the Grants.gov registration process before submitting an application through Grants.gov. Registration can take between three to five business days, or as long as two weeks if all steps are not completed in a timely manner.

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

VI. APPLICATION REVIEW

Criteria: To be considered for funding, applications must [This section must address the criteria your program will use to evaluate applications. This includes merit and other review criteria that evaluators will use to judge and select applications, including any statutory, regulatory, or other preferences (e.g., minority status or Native American tribal preferences) that will be applied in the review process. These criteria are distinct from eligibility criteria that are addressed before an application is accepted for review and any program policy or other factors that are applied during the selection process, after the review process is completed. The intent is to give applicants visibility into the evaluation process so that they can make informed decisions when preparing their applications and so that the process is as transparent, open, and equitable as possible. The announcement should clearly describe all criteria, including any sub-criteria. If criteria vary in importance, the announcement should specify the relative percentages, weights, or other means used to distinguish among them. For statutory, regulatory, or other preferences, the announcement should provide a detailed explanation of those preferences with an explicit indication of their effect (e.g., whether they result in additional points being assigned). If an applicant’s proposed cost sharing will be considered in the review process (as opposed to being an eligibility criterion) the announcement must specifically address how it will be considered (e.g., to assign a certain number of additional points to applicants who offer cost sharing, or to break ties among applications with equivalent scores after evaluation against all other factors). If cost sharing will not be considered in the evaluation, state so here, so that there is no ambiguity for potential applicants. Vague statements that cost sharing is encouraged, without clarification as to what that means, are unhelpful to applicants.]

Review and Selection Process:

[This section may vary in the level of detail provided. List any program policy, or other factors or elements other than merit criteria, the selecting official may use in selecting applications for award (e.g., geographical dispersion, program balance, or diversity). You also may include other details you deem appropriate. For example, this section may indicate who is responsible for evaluation against the merit criteria (e.g., peers external to the agency or Federal agency

personnel) and/or who makes the final selections for award. If you have a multi-phase review process (e.g., an external panel advising internal agency personnel who make final recommendations to the deciding official) you may describe the phases of the process. You also may include: the number of people on an evaluation panel and how it operates, the way reviewers are selected, reviewer qualifications, and the way that conflicts of interest are avoided. In addition, if you permit applicants to nominate suggested reviewers for their applications, or to identify reviewers that the applicants feel may be inappropriate due to a conflict of interest, that information should be included here.]

VII. Award Administration

Award Notices: Following review, applicants may be requested to revise the project scope and/or budget before an award is made. Successful applicants will receive written notice in the form of a notice of award document. Notices of award are typically sent to recipients by e-mail. If e-mail notification is unsuccessful, the documents will be sent by courier mail (e.g., FedEx, DHL or UPS). Award recipients are not required to sign/return the Notice of Award document. Acceptance of an award is defined as starting work, drawing down funds, or accepting the award via electronic means. Awards are based on the application submitted to, and as approved by, the Service. The notice of award document will include instructions specific to each recipient on how to request payment. If applicable, the instructions will detail any additional information/forms required and where to submit payment requests. Applicants whose projects are not selected for funding will receive written notice, most often by e-mail, within 30 days of the final review decision.

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

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

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

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

Foreign recipients receiving funds electronically to a bank in the United States will be paid by Electronic Funds Transfer (EFT) through the Automated Clearing House network. Foreign

recipients who wish to be paid to a bank account in the United States must enter and maintain current banking information in SAM (see Section III).

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

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

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

Recipient Reporting Requirements:

Interim financial reports and performance reports may be required. Interim reports will be required no more frequently than quarterly, and no less frequently than annually. A final financial report and a final performance report will be required and are due within 90 calendar days of the end date of the award. 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.

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.

VIII. Agency Contacts

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

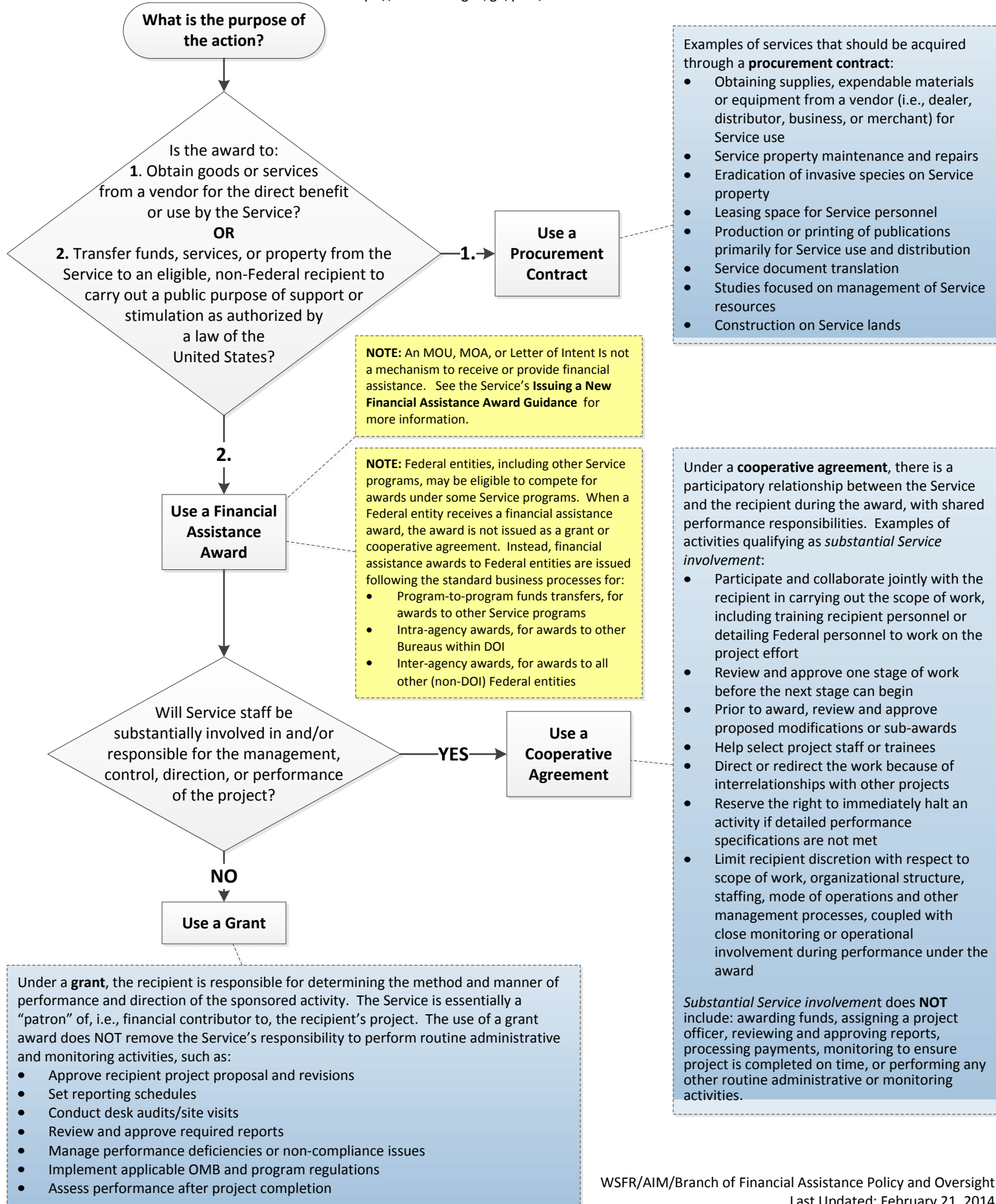
IX. Paperwork Reduction Act Statement: The Paperwork Reduction Act requires us to tell you why we are collecting this information, how we will use it, and whether or not you have to respond. A response to this Notice of Funding Availability is required to receive funding. A Federal agency may not conduct or sponsor and you are not required to respond to a collection of information unless it displays a currently valid OMB control number. OMB has approved this collection and assigned OMB Control No. [insert control number], which expires on [insert expiration date]. The public reporting burden for this collection of information is estimated to average of [xx minutes or hours] per application and [xx minutes or hours] per performance report. These burden estimates include time for reviewing instructions and gathering data, but do not include the time needed to complete government-wide Standard Forms associated with the application and financial reporting. You may send comments regarding the burden estimate or any other aspect of this information collection to the Information Collection Clearance Officer, U.S. Fish and Wildlife Service, 4401 North Fairfax Drive, Mailstop 222, Arlington, VA 22203.

U.S. Fish and Wildlife Service

SELECTION OF FUNDING INSTRUMENT DECISION DIAGRAM

For more information, see the Service's [Issuing a New Financial Assistance Award Guidance](#) posted on InsideFWS at

<https://inside.fws.gov/go/post/FAPO-NewAwards>



U.S. Fish and Wildlife Service
Checklist for a New Financial Assistance Award

Follow the instructions in the "Issuing a New Financial Assistance Award Guidance" posted on the Intranet at <https://inside.fws.gov/go/post/FAPO-NewAwards> to complete this form. Maintain the completed form in the official award file.

Grants.gov Funding Opportunity #: _____

Program Application #: _____
(Enter any program-generated application #)

CFDA Number: _____ **Program Title:** _____

The Service has authority to issue financial assistance awards under this program. See the Authorization section of the program's CFDA.gov profile for authorizing legislation.

Recipient Name: _____ **DUNS Number:** _____

Recipient Type (select from drop down): _____

Project Title: _____

Project Period Start Date: _____ **Project Period End Date:** _____
(In project period start date field, enter "Signature date" or specific start date) (Enter date)

Items		YES	NO
1.	Check YES to confirm that the project to be funded IS financial assistance and NOT a contract/acquisition. The primary purpose of the award is to support or stimulate activities that are not for the direct benefit/use by the Service.		
2.	Check YES next to ONE of the following to indicate the financial assistance award instrument to be used:		
A.	GRANT: No substantial Service involvement is expected.		
B.	COOPERATIVE AGREEMENT: Service staff will be substantially involved in the project.		
3.	Is this a discretionary single source award (see 516 FW 6)? Check YES or NO. A YES response also means that a signed copy of FWS Form 3-2452 will be maintained in the official award file.		
4.	A. Was a complete Funding Opportunity for the program/single source award posted on Grants.gov? Check YES or NO. A YES response also means that the required dated print screens will be maintained in the (check one): _____ official award file or _____ centralized subject-matter file.		
	B. If 4A is NO, check YES next to ONE of the following to indicate the justification for not posting the Funding Opportunity (FO) on Grants.gov:		
(1)	The FO is for a mandatory program.		
(2)	The FO is for discretionary award(s) less than \$25,000 each for which 100% of eligible applicants live outside of the U.S.		
(3)	The FO is for a discretionary single source award for less than \$25,000 in total Federal funds.		
(4)	The FO is for an award made under the Indian Self-Determination and Education Assistance Act (P.L. 93-638, 88 Stat. 2204).		
(5)	Because of a compelling and unusual urgency, or substantial danger to health or safety, there is not enough time to follow adequate competitive procedures.		
5.	Check YES to confirm that this award is made based on an approved application submitted by the applicant that matches the award to be made in regards to funding amount and project scope and includes a complete and signed SF 424, Application for Federal Assistance form. The application on which the award is based will be maintained in the official award file.		
6.	Check YES next to ONE of the following to indicate the applicable indirect cost rate circumstance:		
A.	The recipient is an individual. Individuals are not authorized to charge indirect costs to an award.		
B.	The recipient is not an individual. The recipient will charge all costs directly.		
C.	The recipient is not an individual. The recipient has an approved NICRA covering part/all of the project period. A copy of their NICRA will be maintained in the (check one): _____ official award file or _____ centralized subject-matter file.		
D.	The recipient is not an individual. The recipient has either already submitted a NICRA proposal covering part/all of the project period or has agreed to do so within the required timeframe after this award is issued. All related documentation will be maintained in the (check one): _____ official award file or _____ centralized subject-matter file.		
E.	The recipient is not an individual or governmental entity. The recipient has agreed to accept as a condition of award a flat indirect cost rate of 10% of MTDC.		
7.	Is the reimbursement of pre-award costs approved as part of this award? A YES response also means the applicant has demonstrated in writing that pre-award costs were necessary and reasonable for accomplishing the overall project objectives, that the costs would have been approved had they occurred within the award period of performance, and that the recipient's written request for pre-award costs will be maintained in the official award file.		

U.S. Fish and Wildlife Service
Checklist for a New Financial Assistance Award

Items		YES	NO
8.	Check YES next to ONE of the following to indicate the applicable NEPA review circumstance:		
A.	All of the project activities will occur outside of the U.S. NEPA review is not required.		
B.	The project will occur in the U.S. and was reviewed for potential significant effects on the human environment. It was determined that the project is completely covered by a Categorical Exclusion AND no Extraordinary Circumstance applies. A YES response also means that the required NEPA review statement will be maintained in the official award file.		
C.	The project will occur in the U.S. and was reviewed for potential significant effects on the human environment. It was determined that the project either: does not meet the criteria for a Categorical Exclusion; is not completely covered by a Categorical Exclusion; OR an Extraordinary Circumstance applies. All related required documentation will be maintained in the (check one): ____ official award file or ____ centralized subject-matter file.		
9.	Check YES next to ONE of the following to indicate the applicable Section 7 ESA review circumstance:		
A.	All project activities will be conducted outside of the U.S. Section 7 ESA review is not required.		
B.	Project activities will be conducted in the U.S. but either: 1) no listed, proposed or candidate endangered or threatened species or designated or proposed critical habitat exists in the project area, or 2) the project has no potential to affect species or their designated critical habitats. No further Section 7 ESA review is required.		
C.	Project activities will be conducted in the U.S. and the program finds the activities may affect listed, proposed or candidate endangered or threatened species or designated or proposed critical habitat. A YES response also means that the program will follow the appropriate intra-Service consultation process and all related documentation will be maintained in the (check one): ____ official award file or ____ centralized subject-matter file.		
10.	Check YES next to ONE of the following to indicate the applicable Section 106 NHPA review circumstance:		
A.	All of the proposed project activities will be conducted outside of the U.S. Section 106 NHPA review is not required.		
B.	Project activities will be conducted in the US. All NHPA consultation requirements will be met. All resulting documentation will be maintained in the (check one): ____ official award file or ____ centralized subject-matter file.		
11.	Was an Office of the Solicitor review of the project requested? Check YES or NO. A copy of the request and any response will be maintained in the official award file.		
12.	Check YES next to ONE of the following to indicate the applicable A-133 Single Audit circumstance:		
A.	The applicant is NOT a governmental entity or non-profit organization and is exempt from OMB Circular A-133.		
B.	The applicant IS a governmental entity or non-profit organization that reported in their application that they were NOT required to submit an A-133 report for their most recently closed FY.		
C.	The applicant IS a governmental entity or non-profit organization that reported in their application that they WERE required to submit an A-133 report for their most recently closed FY. The required Single Audit Database screen print will be maintained in the (check one): ____ official award file or ____ centralized subject-matter file.		
13.	Check YES next to ONE of the following to indicate the applicable SAM.gov registration circumstance:		
A.	The applicant is an individual waived by OMB regulation from the SAM registration requirement.		
B.	The applicant is not an individual but was waived by the AD-WSFR from the SAM registration requirement. A signed copy of FWS Form 3-2451 will be maintained in the official award file.		
C.	The applicant is not an individual and must register in SAM. A dated print screen of the SAM Entity Overview record showing the entity's DUNS number and active SAM.gov registration status will be maintained in the official award file.		
14.	Check YES to confirm that a review of the SAM Exclusions database was conducted and either: 1) no active exclusions were found or 2) none of any active exclusions found prohibit this award from being funded. The required dated print screen(s) will be maintained in the official award file.		
15.	Check YES to confirm that all applicable steps of the "Establishing a Recipient's Payment Method" guidance were completed.		

I, as the last point of review before this award is passed to the Agreements Officer for obligation, certify that all pre-award actions and documentation that the program is required to complete are complete.

I, as the last point of review before funds are obligated, certify that all required pre-award actions and documentation are complete.

Program Representative Sign and Date

Agreements Officer Sign and Date

Printed Name of person signing

Printed Name of person signing

FINANCIAL ASSISTANCE BUSINESS PROCESS-SAMPLE GRANTS.GOV PRINT SCREENS
[Search](#) [Contact Us](#) [SiteMap](#) [Help](#) [RSS](#) [Home](#)
[Home](#) > [Find Grant Opportunities](#) > [Search Grant Opportunities](#) > [Search Results](#) > [Synopsis](#)
FOR APPLICANTS

[Applicant Login](#)
[Find Grant Opportunities](#)
[Basic Search](#)
[Browse by Category](#)
[Browse by Agency](#)
[Advanced Search](#)
[Email Subscription](#)
[Get Registered](#)
[Apply for Grants](#)
[Track My Application](#)
[Applicant Resources](#)
[Search FAQs, User Guides and Site Information](#)

APPLICANT SYSTEM-TO-SYSTEM**FOR GRANTORS****ABOUT GRANTS.GOV****HELP****CONTACT US****SITE MAP****Fiscal Year 2013 Candidate Conservation Action Funds****Synopsis****Full
Announcement****Application**

The synopsis for this grant opportunity is detailed below, following this paragraph. This synopsis contains all of the updates to this document that have been posted as of **12/05/2012**. If updates have been made to the opportunity synopsis, update information is provided below the synopsis.

If you would like to receive notifications of changes to the grant opportunity click [send me change notification emails](#). The only thing you need to provide for this service is your email address. No other information is requested.

Any inconsistency between the original printed document and the disk or electronic document shall be resolved by giving precedence to the printed document.

Document Type:	Grants Notice
Funding Opportunity Number:	F13AS00039
Opportunity Category:	Discretionary
Posted Date:	Dec 05, 2012
Creation Date:	Dec 05, 2012
Original Closing Date for Applications:	Jul 31, 2013 Applications are due by July 31, 2013. However, you may submit applications throughout the year. Consideration of applications ultimately will be based on the FWS budget cycle.
Current Closing Date for Applications:	Jul 31, 2013 Applications are due by July 31, 2013. However, you may submit applications throughout the year. Consideration of applications ultimately will be based on the FWS budget cycle.
Archive Date:	Oct 31, 2013
Funding Instrument Type:	Cooperative Agreement Grant Procurement Contract
Category of Funding Activity:	Environment Natural Resources
Category Explanation:	
Expected Number of Awards:	
Estimated Total Program Funding:	\$0
Award Ceiling:	\$0
Award Floor:	\$0
CFDA Number(s):	15.660 -- Endangered Species - Candidate Conservation Action Funds
Cost Sharing or Matching Requirement:	No

Eligible Applicants

Unrestricted (i.e., open to any type of entity above), subject to any clarification in text field entitled "Additional Information on Eligibility"

Additional Information on Eligibility:

Applicants must have a demonstrated knowledge and understanding of the biology of the involved candidate or at-risk species in the United States and their ecosystem, including preferably having worked with the species in the field. FWS Regional (or Field Office) contacts will discuss potential proposals with interested parties if needed, and review eligible applications. The FWS Regional Office will refer interested parties to the appropriate FWS Field Office for further consideration as appropriate. For potential proposals submitted directly to the Field Office, the Field Office will conduct the proposal review and selection process. A list of FWS Regional and Field Office contacts is available in the Full Announcement under section VII. Agency Contacts.

FINANCIAL ASSISTANCE BUSINESS PROCESS-SAMPLE GRANTS.GOV PRINT SCREENS**Agency Name**

Fish and Wildlife Service

Description

Financial assistance is available to secure candidate and other at-risk species information or undertake restoration actions that will help avert federal listing of species. The purpose is to provide a means by which the ecosystems upon which candidate and at-risk species depend may be conserved, to provide a program for the conservation of these species.

Link to Additional Information

[Please visit http://www.grants.gov/](http://www.grants.gov/) and search for CFDA Number 15.660 for the full announcement

If you have difficulty accessing the full announcement electronically, please contact:

Kelly Niland, 703-358-2492
Kelly_Niland@fws.gov
Kelly_Niland@fws.gov

Synopsis Modification History

There are currently no modifications for this opportunity.

FINANCIAL ASSISTANCE BUSINESS PROCESS-SAMPLE GRANTS.GOV PRINT SCREENS[Search](#) [Contact Us](#) [SiteMap](#) [Help](#) [RSS](#) [Home](#)[Home](#) > [Find Grant Opportunities](#) > [Search Grant Opportunities](#) > [Search Results](#) > Full Announcement**FOR APPLICANTS**[Applicant Login](#)[Find Grant Opportunities](#)[Basic Search](#)[Browse by Category](#)[Browse by Agency](#)[Advanced Search](#)[Email Subscription](#)[Get Registered](#)[Apply for Grants](#)[Track My Application](#)[Applicant Resources](#)[Search FAQs, User Guides and Site Information](#)[APPLICANT SYSTEM-TO-SYSTEM](#)[FOR GRANTORS](#)[ABOUT GRANTS.GOV](#)[HELP](#)[CONTACT US](#)[SITE MAP](#)**Fiscal Year 2013 Candidate Conservation Action Funds**[Synopsis](#)**Full
Announcement**[Application](#)

Click on the following file to download the full announcement.

Announcement Group	Description	File Type
Full Announcement	Full Text Of The Fiscal Year 2013 Candidate Conservation Action Funds Announcement	DOCX
Full Announcement	Zip of All Attachments	ZIP


[Contact Us](#) [SiteMap](#) [Help](#) [RSS](#) [Home](#)
[Home](#) » [Applicants](#) » [Search Opportunities](#) »

FOR APPLICANTS

[Applicant Login](#)
[Find Grant Opportunities](#)
[Search Opportunities](#)
[Basic Search](#)
[Browse by Category](#)
[Browse by Agency](#)
[Advanced Search](#)
[Email Subscription](#)
[Get Registered](#)
[Apply for Grants](#)
[Track My Application](#)
[Applicant Resources](#)
[Search FAQs, User Guides and Site Information](#)
[ABOUT GRANTS.GOV](#)
[FOR GRANTORS](#)
[RESOURCES](#)
[ABOUT GRANTS.GOV](#)
[HELP](#)
[CONTACT US](#)
[SITE MAP](#)

SELECTED GRANT APPLICATIONS FOR DOWNLOAD

Download the application and its instructions by selecting the corresponding download link. Save these files to your computer for future reference and use. You do not need Internet access to read the instructions or to complete the application once you save them to your computer.

READ BELOW BEFORE YOU APPLY FOR THIS GRANT!

Before you can view and complete an application package, you **MUST** have Adobe Reader installed. Application packages are posted in Adobe Reader format. You may receive a validation error using incompatible versions of Adobe Reader. To prevent a validation error, it is now recommended you uninstall any earlier versions of Adobe Reader and install the latest compatible version of Adobe Reader.

If more than one person is working on the application package, ALL applicants must be using the same software version.

Click [here](#) to download the required Adobe Reader if you do not have it installed already.

Additional Resources:

- Sign-up for [Grants.gov Updates](#) for the latest issues and news.
- Download [Adobe Reader](#) for free.
- Visit [Help](#) for FAQs and more information on Applying for grants.

Below is a list of the application(s) currently available for the CFDA and/or Funding Opportunity Number that you entered.

To download the application instructions or package, click the corresponding download link. You will then be able to save the files on your computer for future reference and use.

CFDA	Opportunity Number	Competition	Competition	Agency	Instructions and Application
ID	Title				
15.660	F13AS00039			Fish and Wildlife Service	download

U.S. Fish and Wildlife Service
Financial Assistance Business Process
Indirect Costs and Negotiated Indirect Cost Rate Agreements

Term	Definition
Cognizant Agency	The Federal awarding agency that provides the predominant amount of direct funding to a recipient, unless otherwise assigned by the White House Office of Management and Budget (OMB). The Department of Health and Human Services is the cognizant agency for hospitals, states and most cities. The Department of the Interior is the cognizant agency for all Indian tribal governments and insular governments.
Direct Costs	Any costs that can be specifically identified with a particular project or activity, or that can be directly assigned to the project or activity with a high degree of accuracy. Direct costs generally include, but are not limited to, salaries, staff travel, project-related equipment, and supplies directly benefiting the award-supported project or activity.
Fixed Rate	Fixed rate means an indirect cost rate which has the same characteristics as a predetermined rate, except that the difference between the estimated costs and the actual costs of the period covered by the rate is carried forward as an adjustment to the rate computation of a subsequent period.
Final Rate	A final rate is a rate applicable to a specified past period based on the actual incurred costs for that period. A final rate is not subject to adjustment.
Indirect Costs	Costs incurred by an organization for common or joint objectives and that, therefore, cannot be identified specifically with a particular project or program but are, nevertheless, necessary to the general operation of its activities. Indirect costs generally include, but are not limited to, facilities operation and maintenance costs, depreciation, and administrative expenses. Because of the diverse characteristics and accounting practices of non-profit organizations, it is not possible to specify the types of cost that may be classified as indirect in all situations.
Negotiated Indirect Cost Rate Agreement (NICRA)	The document reflecting the cognizant agency's approval of a recipient's indirect cost rate. A NICRA will contain: <ul style="list-style-type: none"> • The approved rate(s) and information directly related to the use of the rates (e.g., type of rate, effective period, and distribution base); • The treatment of fringe benefits as either direct and/or indirect costs, or an approved fringe benefit rate; • General terms and conditions; and • Special remarks (e.g., composition of the indirect cost pool).
Predetermined Rate	Predetermined rate means an indirect cost rate applicable to a specified current or future period, usually the organization's fiscal year. The rate is based on an estimate of the costs to be incurred during the period. A predetermined rate is not subject to adjustment.
Provisional Rate	Provisional rate or billing rate means a temporary indirect cost rate applicable to a specified period which is used for funding, interim reimbursement, and reporting indirect costs on awards pending the establishment of a final rate for the period.

1. Can a recipient charge all costs directly?

Yes. A recipient can use the direct cost allocation method if they have only a few funding sources. We do not recommend this method if the recipient has more than three funding sources.

2. What requirements must a recipient meet before charging indirect costs to a grant or cooperative agreement award?

A recipient who receives an award as an individual separate from a business or non-profit organization he/she may operate is not eligible to charge indirect costs to their award. All other recipients must either:

- A. Show that the indirect amount they seek to charge is proper by submitting to their cognizant agency an indirect cost rate proposal that includes financial documentation and analysis showing that the desired rate is supported, accurate, and reasonable. Once the proposal is approved by the cognizant agency it is referred to as a Negotiated Indirect Cost Rate Agreement (NICRA); or
- B. Request/accept a flat 10% indirect cost rate to be charged to allowable direct costs (see Question 4) for the life of the award. This option is available only to recipients who do not have an approved NICRA at the time of award. This option may be of interest to recipients who: have never previously received a Federal award; will require more than 90 calendar days from the date the award is made to prepare an indirect cost rate proposal; and/or do not expect to apply for or receive any future Federal awards.

3. What information does an indirect cost rate proposal contain?

The proposal identifies all activities carried out within the organization, classifies those activities as either indirect or direct, and then subtracts from the indirect costs those costs that are ineligible based on OMB guidance and agency regulation. The proposal also identifies the type of rate being requested. A recipient must develop their indirect cost rate proposal based on the Federal cost principles applicable to their organization, as follows:

- 2 CFR Part 220, Cost Principles for Educational Institutions
- 2 CFR Part 225, Cost Principles for State, Local and Indian Tribal Governments
- 2 CFR Part 230, Cost Principles for Non-Profit Organizations (except those listed in Attachment C of OMB Circular A-122)
- 48 CFR Part 31.2, Cost Principles for for-profit/commercial organizations and non-profits listed in Attachment C of OMB Circular A-122
- 45 CFR part 74, Appendix E, Principles for Determining Costs Applicable to Research and Development Under Grants and Contracts with Hospitals

Links to the full text for these regulations are available on the Internet at <http://www.fws.gov/grants/>. Foreign recipients must contact their cognizant agency for guidance on which cost principles to follow when developing an indirect cost rate proposal.

4. Does an applicant have to have a NICRA when they apply for funds?

No. Applicant entities must have an open, active Federal award before they can submit an indirect cost rate proposal to their cognizant agency. An applicant who has never received Federal funds or an applicant whose previously negotiated rate has expired and has not

received other Federal funds since will not have a NICRA in place when they apply for funding.

5. What indirect cost related information must applicants submit with their application?

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 as applicable to their circumstance and attach to the application all required documentation, as detailed in the table below:

Circumstance:	Statement to include in budget narrative:	Document(s) to attach:
<ul style="list-style-type: none"> No indirect cost rate Charges all costs directly 	Indirect Cost Statement: Our organization does not have an indirect cost rate and will charge all costs directly.	None
<ul style="list-style-type: none"> Is not an individual Has an indirect cost rate Has an approved Negotiated Indirect Cost Rate Agreement (NICRA) with their Federal cognizant agency covering part/all of the proposed project period 	Indirect Cost Statement: We have an approved NICRA covering part/all of the proposed project period. A copy of that NICRA is attached.	Copy of approved NICRA.
<ul style="list-style-type: none"> Is not an individual Has an indirect cost rate Has established a NICRA in the past, but do not have an approved rate covering part/all of the proposed project period May or may not have submitted a new NICRA proposal to cognizant agency. If not, will do so within the required timeframe, in the event an award is made 	<p>Indirect Cost Statement: Our indirect cost rate is [insert a description of the rate]. We have established a NICRA in the past but it expired. [Insert one of the following statements: "We submitted a new NICRA proposal to our cognizant agency on [insert date]." OR "In the event an award is made we will submit a NICRA proposal to our cognizant agency immediately and no later than 90 calendar days after the award is made. We understand that:</p> <ul style="list-style-type: none"> Although the Service may approve a budget that includes an estimate of indirect costs based on our stated rate, that approval will be contingent on our establishing a NICRA. Recipients without a NICRA are prohibited from charging indirect costs to a Federal award. Failure to establish a NICRA during the award period will make all costs otherwise allocable as indirect costs under the award unallowable. 	Copy of most recently expired NICRA and, when applicable, a copy of any NICRA proposal submitted to the cognizant agency that is currently pending approval.

	<ul style="list-style-type: none"> We will not be authorized to transfer any unallowable indirect costs to the amount budgeted for direct costs or to satisfy cost-sharing or matching requirements without the prior written approval of the Service. We may not shift unallowable indirect costs to another Federal award unless specifically authorized by legislation. 	
<ul style="list-style-type: none"> Is not an individual Has an indirect cost rate Has never established a NICRA in the past Will submit a NICRA proposal to cognizant agency within the required timeframe, in the event an award is made 	<p>Indirect Cost Statement: Our indirect cost rate is [insert a description of the rate]. We have never established a NICRA. In the event an award is made we will submit a NICRA proposal to our cognizant agency immediately and no later than 90 calendar days after the award is made. We understand that:</p> <ul style="list-style-type: none"> Although the Service may approve a budget that includes an estimate of indirect costs based on our stated rate, that approval will be contingent on our establishing a NICRA. Recipients without a NICRA are prohibited from charging indirect costs to a Federal award. Failure to establish a NICRA during the award period will make all costs otherwise allocable as indirect costs under the award unallowable. We will not be authorized to transfer any unallowable indirect costs to the amount budgeted for direct costs or to satisfy cost-sharing or matching requirements without the prior written approval of the Service. We may not shift unallowable indirect costs to another Federal award unless specifically authorized by legislation. 	<p>None at the time of application. In the event an award is made, recipient must submit a copy of their approved NICRA before charging indirect costs to the award.</p>
<ul style="list-style-type: none"> Is not an individual, state, local or Federally-recognized Indian tribal government Has never established a NICRA in the past Cannot charge all costs directly Will not be able to meet 	<p>Indirect Cost Statement: We have never established a NICRA in the past and will not be able to meet the requirement to submit a NICRA proposal to our cognizant agency within 90 calendar days after award, in the event an award is made. In the event an award is made we request as a condition of award to charge a flat indirect cost rate of 10% of modified total direct costs (MTDC). We understand this rate will apply for the life of the award, including any future</p>	<p>None.</p>

<p>the requirement to submit a NICRA proposal within 90 calendar days after award, in the event an award is made</p>	<p>extensions for time and cannot be changed even if we do establish a NICRA at any point during the award period. We understand that MTDC is defined as all salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and subawards and subcontracts up to the first \$25,000 of each subaward or subcontract (regardless of the period of performance of the subawards and subcontracts under the award). We understand that MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward and subcontract in excess of \$25,000.</p>	
--	--	--

6. When must a recipient wanting to establish or maintain a NICRA submit an indirect cost rate proposal?

A recipient must submit an indirect cost rate proposal:

- A. Immediately after the recipient is advised in writing that a Federal award will be made and no later than 90 calendar days of the date the award is made; and then
- B. Within six months of the end of the recipient's fiscal year on an annual basis for the life of the Federal award. For example, an organization receives an award with a three-year project period that begins August 1, 2013 and ends August 1, 2016. The organization's fiscal year ends on December 31st. The organization must submit rate proposals within six months of: Dec. 31, 2013; Dec. 31, 2014; Dec. 31, 2015; and Dec. 31, 2016.

7. Must we honor a recipient's approved rate?

Yes. Once a rate is approved by the cognizant agency, we are expected to honor that rate on all awards to the entity. The only exceptions are:

- A. If the Federal program is governed by legislation or regulation that otherwise prohibits or limits recipient indirect cost rates. In this case, when the amount otherwise allocable as indirect costs exceeds the amount allowable under the award, the excess amount may, if not otherwise prohibited by legislation or regulation, be used to satisfy cost-sharing or matching requirements. However, the difference may not be shifted to another Federal award unless specifically authorized by legislation.
- B. If the recipient is NOT a state, local or Federally-recognized Indian tribal government, did not have an approved rate at the time of the award and chooses to accept as a condition of award a flat 10% indirect cost rate chargeable against modified total direct costs for the life of the award, regardless of any rate they might negotiate after award. This 10% *de minimus* rate allowance is provided specifically for those non-governmental entities that have never had a rate and for whom existing requirements

to negotiate might be a burden that prevents them from receiving assistance or implementing it effectively.

8. What if a recipient wants to waive or ask for less than their approved rate?

We must always honor a recipient's approved rate. The only exception is if the recipient submits to the Service a written statement signed by *the official having the authority to negotiate indirect cost rates for the recipient organization* notifying us that they will assess a reduced indirect cost rate. This statement must also specify to which award(s)/project(s) the reduced rate will apply. The Service will not use the reduced rate on any award/project not specified by the recipient in writing. A copy of the recipient's statement must be maintained in the official award file for every award to which the rate is applied.

9. How do we make an award to an entity that does not have a NICRA but has indicated in their proposal that they will submit an indirect cost rate proposal after the award is made?

For entities that do not have a NICRA, either because they never had one or their previously approved NICRA has expired, we can conditionally approve the organization's proposed budget for both direct and indirect costs. The program will obligate funds for all expected direct and indirect costs, but will include an award condition that prohibits the recipient from charging any indirect costs until they have established a NICRA. If the recipient does not establish a NICRA during the award period, all indirect costs will be unallowable and the program 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. The recipient is not authorized to shift the disallowed indirect costs to another Federal award unless specifically authorized by legislation.

10. If the Department of the Interior is their cognizant agency, what office does a recipient contact for more information on indirect cost rate proposals?

An organization that has not previously established an indirect cost rate and has received, or expects to receive, the greatest amount of Federal funding in direct awards from the Department of the Interior, should contact the Interior Business Center at:

Indirect Cost Services
Acquisition Services Directorate, National Interior Business Center
U.S. Department of the Interior
2180 Harvard Street, Suite 430
Sacramento, CA 95815
Phone: 916.566.7111 Fax: 916.566.7110
Email: ics@nbc.gov
Website: http://www.doi.gov/ibc/services/Indirect_Cost_Services/index.cfm

11. What if a recipient submitted their indirect cost rate proposal within the required timeframe but the cognizant agency delays approval of their proposal?

The recipient must provide to the Service a copy of their submitted proposal, the name of their cognizant agency, and evidence of the proposal submission date in the form of either a copy of an emailed submission or written confirmation of the proposal receipt date from the

cognizant agency. The Service may, upon review of the documentation and consultation with the cognizant agency, give written approval to the recipient to charge indirect costs at their proposed rate until their proposal is approved. Service approval to charge indirect costs based on a proposed rate will depend on the circumstance; the Service will not approve a recipient to charge indirect costs based on a proposed rate if rate approval delays are due to the recipient having submitted a late, incomplete, or inaccurate proposal. The recipient must receive written prior approval from the Service before charging indirect costs based on a proposed rate. The award may be subject to further revision if the approved rate is higher or lower than the proposed rate.

U.S. Fish and Wildlife Service
Financial Assistance Business Process
Setting Project Period Dates for Grant and Cooperative Agreement Awards

Term	Definition
Project Period	The period of Federal sponsorship. Also referred to as the period of performance.
Funding Period	The period of time when Federal funding is available for obligation by the recipient. Also referred to as the budget period. Specifying a funding period is required only when the project will be funded incrementally over time. When a funding period is specified, a recipient may charge only the allowable costs resulting from obligations incurred during that period plus any pre-award costs we have authorized.
Real property maintenance and/or retention period	The period during which a recipient must maintain and/or retain real property that was restored or purchased with Federal funds during the award period. The real property maintenance/retention period begins on the day AFTER the project period ends, and must not be identified in a notice of award as being part of the project period.

1. What are the standards for establishing a project period start date?

Unless otherwise legally prescribed, the standards for establishing a project period start date are as follows:

- If the program completes review, approval and obligation of funds for a project *before* the start date requested by the applicant on their SF 424, *Application for Federal Assistance*, the project period start date should be the requested start date.
- If the program is unable to complete review, approval and obligation of funds for a project until *after* the start date requested by the applicant, the project period start date should be back-dated to start on either the date the program received a complete application package or the start date requested by the applicant, whichever is later (i.e., whichever event occurred closest to today's date).
- If the applicant does not request a specific start date in their application, the project period start date will typically be either the same date as the date funds are obligated or the date the notice of award is signed by the authorized Service official. Some programs specify in their Notice of Funding Availability that applicants should not request a specific start date on their application.
- In the event we must obligate funds before all legal compliance reviews are complete (i.e., National Environmental Policy Act, Section 106 of the National Historic Preservation Act, and Section 7 of the Endangered Species Act reviews), programs have the option to set the project period start date for a date in the future to allow time for all required compliance reviews to be completed before the recipient begins any activities under the award.

2. What should the project period start date be if we are authorizing pre-award costs?

Follow the standards in the response to Question 1. The start date should not be back-dated to incorporate pre-award costs. Pre-award costs, by definition, are incurred as a result of activities performed BEFORE the start of the project period. Pre-award costs must

be specifically authorized in the notice of award. See the [Issuing a New Financial Assistance Award Guidance](#) posted on the Intranet at <https://inside.fws.gov/go/post/FAPO-NewAwards> for more information.

3. On incrementally funded projects, what are the standards for establishing funding periods?

Unless otherwise legally prescribed, each funding period start and end date should reflect the start and end dates of each complete and independent segment (see NOTE below) of the project. Funding periods should not overlap. The last funding period must end on the same date as the project period end date. When a funding period is specified, a recipient may charge only the allowable costs resulting from obligations incurred during that period plus any pre-award costs we have authorized.

NOTE: Not all projects qualify to be funded incrementally. To qualify for incremental funding, each segment of a project must be complete and independent from the other segments in regards to financial obligations, goals, objectives, scope of work and expected outcomes.

4. What are the standards for establishing a project period end date?

The project period end date should be set no later than the date when we expect the recipient to complete all project activities. The project period end date must not be extended to incorporate any required post-award reporting period or real property maintenance/retention period. The end of the project period and subsequent award closeout do NOT affect the recipient's continued responsibilities for real property maintenance, retention and/or disposition.

U.S. Fish and Wildlife Service
Financial Assistance Business Process
Notice of Award Letter Template

Point of Contact

Send any questions about this document by email to the Chief, Branch of Financial Assistance Policy and Oversight (FAPO), Wildlife and Sport Fish Restoration Program (WSFR), Division of Administration and Information Management (AIM). See the FAPO About/Contact Us Intranet page at <https://inside.fws.gov/index.cfm/go/post/FAPO-About> for contact information.

Document Change Log

We will post updated versions of this document on the Intranet at <https://inside.fws.gov/go/post/FAPO-NewAwards> and will log updates made to this document in the following table:

Date Changed	Changed By	Description of Change Made

Instructions

Use the Notice of Award Letter Template as a starting point for developing an award-specific notice of award letter. Programs must review this template at least annually to make sure any program-specific templates that are developed based on this template remain up to date. FAPO will update this template over time to incorporate changes resulting from any new government-wide regulations, Department of the Interior or Service policy, or new/changed Financial and Business Management System (FBMS) functionality. For more information, see the [Issuing a New Financial Assistance Award Guidance](#) document posted on the Intranet at <https://inside.fws.gov/go/post/FAPO-NewAwards>.

The Notice of Award Letter Template begins on page 2 of this document. Do not send this Instructions cover page to your recipient. This Instructions cover page does not need be maintained in the official award file. The table below provides editing instructions for completing an award-specific Notice of Award Letter:

Text Characteristic	Represents
Times New Roman text with gray highlighting	Instructions for completing required elements that must be replaced with program-specific text
Times New Roman text with yellow highlighting	Instructions for customizing the letter with program-, project-, and/or recipient-specific content
Arial text with blue highlighting	Notes and additional instructions that must be removed
Times New Roman text, not highlighted	Text that either: 1) must not be removed or 2) can only be removed if it is determined that, based on yellow highlighted instructions above the text, the text does not apply to the award

To save completion time and to shorten the template document, programs are invited to develop program- and/or recipient-specific notice of award letter templates based on this template. Deciding which sections apply to your program and/or recipients will be the most time-consuming step. Contact FAPO if you need assistance in determining which sections apply to your awards.



United States Department of the Interior

FISH AND WILDLIFE SERVICE

[Insert city, state and zip code]



In Reply Refer To:

FWS/[Insert program-specific acronyms/insert DTS number, when applicable]

[Recipient contact name and title]

[Recipient organization name]

[Recipient address]

DUNS: [insert recipient DUNS number, or remove text if award is to an individual]

Subject: Notice of [enter Grant or Cooperative Agreement] Award [enter FBMS award number]

Dear Mr. /Ms. [recipient contact name]:

NOTE: Change the text highlighted in yellow in the paragraph below as needed to identify the proposal, or version of, in the event one or more revisions were submitted, on which this award is based. Remove yellow highlighting when highlighted text is retained. Remove this note.

Your organization's application for Federal financial assistance titled "[enter project title]" submitted to the U.S. Fish and Wildlife Service (Service)'s CFDA Program [enter program's CFDA number] is approved. This award is made under the authority of: [insert program's *primary* authorizing legislation]. 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 signed on [insert date], hereby incorporated by reference into this award. Funds under this award are to be used to [Enter a BRIEF one to two sentence statement of the purpose and/or objectives of the award. You do not need to re-write the approved proposal, which is already incorporated by reference, but rather provide enough of a description so that the recipient is clear as to the project/activity being funded. If deliverables/products OTHER than the standard financial and performance reports are expected, describe those deliverables/products here].

[If the award is for a cooperative agreement, include a detailed and project-specific description of the substantial activities to be carried out by Service staff under the award ("The Service will..." and "the Recipient will..." statements). Substantial involvement does NOT include: awarding funds, assigning a project officer, reviewing and approving standard financial and performance reports, processing payments, monitoring to ensure project is completed on time, or performing any other routine administrative and monitoring activities. These responsibilities are inherent to every financial assistance award and do NOT justify issuing a cooperative agreement! Do not include these types of activities in the "The Service will..." substantial involvement statement. See the [Selection of Funding Instrument Decision Diagram](#) posted on the Intranet at <https://inside.fws.gov/go/post/FAPO-NewAwards> for more information on what types of activities are/are not considered substantial involvement].

NOTE: The notice of award must include the project period start and end dates. Some awards may also require information on funding period(s) start and end date(s). Select one of the two

options provided below for stating the project and funding periods for the award. Remove the yellow highlighted Option 1 and Option 2 section headers. Remove the text under the option that is not applicable to the award. Update the text for the option that is applicable to the award following the instructions provided. Remove yellow highlighting when highlighted text is retained. See the **Setting Project Period Dates for Grant and Cooperative Agreement Awards** document posted on the Intranet at <https://inside.fws.gov/go/post/FAPO-NewAwards> for more information on setting appropriate project period start and end dates for both standard and incrementally funded awards. Remove this note.

Project Period Option 1-Standard (not incrementally funded)

Note: the yellow highlighted text in the last sentence of the paragraph below is optional ONLY if program legislation specifically provides a different timeframe for the recipient to liquidate all obligations. Otherwise, the text must not be changed. Remove yellow highlighting when highlighted text is retained. Remove this note.

The project period of this award [enter “is” or “begins on”] [enter start date or “the signature date on this letter”] through [enter end date]. Only allowable costs resulting from obligations incurred during the project period [enter “and any authorized pre-award costs”, if pre-award costs are approved] 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 project period. You must submit a written request to the Service Project Officer identified in the Project Contacts section below before the end of the stated project period if you need more time to liquidate all obligations.

Project Period Option 2-Incrementally funded project

The project period of this award [enter “is” or “begins on”] [enter start date or “the signature date on this letter”] through [enter end date]. This is the period of Federal sponsorship. This project will be funded incrementally over time [Insert detailed description of how the incremental funding will work (e.g., anticipated timing of subsequent increments? How much for each increment? How much total expected over the entire project period? What documentation does the recipient have to provide to receive next increment- deliverables from previous segment, SF 424, budget, other?)].

The funding period for the first segment of this project is [enter “is” or “begins on”] [enter a specific start date or “the signature date on this letter”] through [enter end date]. The total amount of Service funding available for the first segment of this project is [enter total Service amount for first segment]. Only allowable costs resulting from obligations incurred during this funding period and [enter “and any authorized pre-award costs”, if pre-award costs are approved] may be charged to this award.

Note: The yellow highlighted text in the last sentence of the paragraph below is optional ONLY if program legislation specifically provides a different timeframe for the recipient to liquidate all obligations. Otherwise, the text must not be changed. Remove yellow highlighting when highlighted text is retained. Remove this note.

The Service will revise this award over time to add new funding for each subsequent project segment. Each project segment will be assigned a specific funding period, during which only allowable costs resulting from obligations incurred during the specified funding period may be charged to this award. All obligations incurred during a funding period must be liquidated no later than 90 calendar days of the funding period end date. You must submit a written request to the Service Project Officer before the end of the stated period if you need more time to liquidate all obligations.

The Service's obligation to provide incremental funding up to the total anticipated award amount is contingent on: 1) satisfactory Recipient performance and 2) the availability of funds. No legal liability on the part of the Service exists unless and until the Service obligates funds and notifies the Recipient in writing that funds are available for the purposes of this award.

NOTE: If the award includes post project period, real property retention and/or maintenance requirements, the retention/maintenance period (e.g., habitat retention period) must be identified SEPARATELY from the project period and must NOT be referred to as a project period, performance period, budget period or funding period. Remove this note.

This award is funded as follows:

NOTE: The award funding details below are presented in a TABLE format. This table can and should be changed to reflect any special circumstance. Change/add table column headers to convey recipient share, matching funds, other Federal sources, and/or Federal funding identifiers, as needed. Change row titles or insert new rows as needed to: 1) identify all future expected-to-be-funded periods and anticipated award total, for incrementally funded projects or, 2) identify obligations allocated for different purposes or programs, if recipient needs to maintain separation of funds across purposes or programs. Remove this note.

	<u>Service</u>	<u>Recipient</u>
This obligation:	\$0.00	\$0.00
Award Total:	\$0.00	\$0.00

If you authorize the recipient to be reimbursed for some or all pre-award costs, include and update the following text and remove these yellow highlighted instructions. If pre-award costs are not authorized, remove the following text and these yellow highlighted instructions:

Pre-award Costs: Your organization is authorized to be reimbursed for [insert description of expenses, e.g., all direct and indirect pre-award expenses] incurred ☒ calendar days prior to the project period start date of this award and necessary to comply with the proposed project schedule/period of performance. Pre-award expenses are allowable only to the extent that they are authorized by the approved Standard Form (SF) 424, *Application for Federal Assistance*, scope of work, and project budget incorporated by reference under this award.

If the award is subject to mandated Federal share/recipient match or cost-share requirements, describe those requirements here and remove these yellow highlighted instructions. If the award is not subject to such requirements, remove the following text and these yellow highlighted instructions:

Federal Share/Match Requirements: [Insert description of the Federal share and/or recipient cost-share or match requirements and/or restrictions here].

NOTE: Review the three indirect cost-related conditions provided below and include/remove condition text as appropriate to the award. If more than one condition is included, remove the "Indirect Costs:" section identifier on all but the condition appearing first. Remove this note.

Indirect Costs-Condition 1: For recipients other than individuals, if the funding program is governed by legislation or regulation that prohibits or limits recipient indirect cost rates AND the program does not have any legislative or regulatory restriction on using un-allowable indirect costs to satisfy cost-sharing or matching under the award, include and update the following text and remove these yellow highlighted instructions. If this condition does not apply, remove the following text and these yellow highlighted instructions:

Indirect Costs: In accordance with [insert citation of legislation/regulation], indirect costs under this Federal program are [enter either “limited to [insert description of limit]” or “not allowed”]. The amount otherwise allocable as indirect costs based on your organization’s approved Negotiated Indirect Cost Rate Agreement (NICRA) may be used to satisfy cost-sharing or matching requirements. Indirect costs otherwise allocable to this award may not be shifted to another Federal award unless specifically authorized by legislation.

Indirect Costs-Condition 2: For recipients other than individuals and state, local and Federally-recognized Indian tribal governments, if the recipient cannot charge all costs directly, does not have a NICRA and has chosen to accept as a condition of award a flat indirect cost rate of 10% of modified total direct costs, include the following text and remove these yellow highlighted instructions. If this condition does not apply, remove the following text and these yellow highlighted instructions:

Indirect Costs: Recipient is authorized to charge only a flat indirect cost rate of 10% of the Modified Total Direct Costs (MTDC) for the life of this award, including any subsequent amendments and extensions for time, regardless of any Negotiated Indirect Cost Rate Agreement (NICRA) the Recipient may establish with the Federal government during the award period. MTDC is defined as all salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and subawards and subcontracts up to the first \$25,000 of each subaward or subcontract (regardless of the period of performance of the subawards and subcontracts under the award). MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward and subcontract in excess of \$25,000.

Indirect Costs-Condition 3: For recipients other than individuals, if the recipient will submit an indirect cost rate proposal after the award is made and the program has conditionally approved a budget that includes total estimated indirect costs, include the following text and remove these yellow highlighted instructions. If this condition does not apply, remove the following text and these yellow highlighted instructions:

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 project 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 project 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.

If the Recipient has submitted an indirect cost rate proposal to the cognizant agency within the required timeframe but the cognizant agency has delayed approval of the proposal, the Recipient must provide to the Service Project Officer a copy of the submitted proposal, the name of the cognizant agency, and evidence of the proposal submission date in the form of either a copy of an emailed submission or written confirmation of the proposal receipt date from the cognizant agency. The Service may, upon review of the documentation and consultation with the cognizant agency, give written approval to the Recipient to charge indirect costs at their proposed rate until their proposal is approved. Service

approval to charge indirect costs based on a proposed rate will depend on the circumstance; the Service will not approve a Recipient to charge indirect costs based on a proposed rate if rate approval delays are due to the Recipient having submitted a late, incomplete or inaccurate proposal. The Recipient must receive written prior approval from the Service before charging indirect costs based on a proposed rate. The award may be subject to further revision if the approved rate is higher or lower than the proposed rate.

If project includes generation of program income, include and update the following text and remove these yellow highlighted instructions. If this condition does not apply, remove the following text and these yellow highlighted instructions:

Program Income: The approved project includes activities that will generate program income. Income earned during the project period of performance of this award shall be [insert instructions for how Recipient must handle program income, e.g., retained by the Recipient and used for (refer to 43 CFR sections 12.65 and 12.924 for program income use option to be inserted here)]. Recipient must report program income generated through the performance of this project on the Standard Form (SF) 425, Federal Financial Report form (see Reporting Requirements section below).

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 Federal regulations applicable to Service awards are listed by recipient type in the **Service Financial Assistance Award Terms and Conditions** posted on the Internet at <http://www.fws.gov/grants/>. If you do not have access to the Internet and require a full text copy of the award terms and conditions, contact the Service Project Officer.

Special Conditions and Provisions:

NOTE: It is very important that for every award you always review the **Sample Special Award Terms and Conditions** document posted on the Intranet at <https://inside.fws.gov/go/post/FAPO-NewAwards> to determine which conditions apply to the award. If one or more of the special award terms and conditions regularly apply to your awards, we strongly recommend you permanently re-insert the text for those items into a modified template for program use. When special award terms and conditions are needed, insert them here and remove the yellow highlighting on the section title above. Not all the sample special terms and conditions provided will apply to every award, nor is the sample list meant to address all possible special award terms and conditions. If the award does not require any special terms and conditions, remove the Special Conditions and Provisions section title highlighted in yellow above. Remove this note.

[Detail any special terms and conditions here. Do not include special terms/conditions that do not apply].

Payments:

NOTE: Select the applicable standard text regarding payments from the choices highlighted in yellow below. Retain and update the text below the selected section. Delete the yellow highlighted text above the applicable section and delete all of the other payment option sections. See the **Establishing a Recipient's Payment Method before Obligor Funds for a New Grant or Cooperative Agreement Award in FBMS** guidance document posted on the Intranet at <https://inside.fws.gov/go/post/Payments-New> for more information on payments. Remove this note.

For domestic recipient enrolled in ASAP:

Your organization has completed enrollment in U.S. Treasury's Automated Standard Application for Payment (ASAP) system. When requesting payment in ASAP, your Payment Requestor will be required to enter an Account ID. The 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 letter followed by a percent sign (%). Refer to the ASAP.gov Help menu for detailed instructions on requesting payments in ASAP. [If the recipient is required to manage funds across purposes or programs (i.e., funding accounts) insert any related information/instructions here].

For domestic recipient waived from ASAP or non-domestic paid EFT to U.S. bank:

Use the Standard Form (SF) [enter either: "270, Request for Advance or Reimbursement (Non-Construction)" or "271, Outlay Report and Request for Reimbursement (Construction)"] to request payments and advances. [Enter either "This form is available on the Internet at http://www.whitehouse.gov/omb/grants_forms/" or "This form is attached"]. Send all payment requests to the Service Project Officer.

For non-domestic recipient paid through ITS who submit requests directly to Service program (don't forget to send the Recipient the required ITS payment cover sheet as an attachment to the award!):

Use the Standard Form (SF) [enter either: "270, Request for Advance or Reimbursement (Non-Construction)" or "271, Outlay Report and Request for Reimbursement (Construction)"] to request payments and advances. This form is available on the Internet at http://www.whitehouse.gov/omb/grants_forms/. Payments to non-domestic recipients to a bank outside the United States are transferred electronically through the U.S. Treasury's International Treasury Services (ITS) system. Your organization must also complete the attached ITS Payment Cover Sheet and send it together with each signed payment request to the Service Project Officer.

Recipients are responsible for ensuring any sensitive data being sent to the Service is protected during its transmission/delivery. The Service strongly recommends 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 the Service Project Officer and provide any sensitive data over the telephone.

For non-domestic recipients paid through ITS who submit requests directly to NBC (don't forget to send the recipient the required ITS payment cover sheet as an attachment to the notice of award!):

Your organization must use the Standard Form (SF) [enter either: "270, Request for Advance or Reimbursement (Non-Construction)" or "271, Outlay Report and Request for Reimbursement (Construction)"] to request payments and advances. This form is available on the Internet at http://www.whitehouse.gov/omb/grants_forms/. Payments to non-domestic recipients receiving funds to a bank outside the United States are transferred electronically through the U.S. Treasury's International Treasury Services (ITS) system. Your organization must also complete the attached ITS Payment Cover Sheet and send it together with your signed payment request form to our Interior Business Center (IBC) by fax to 303-969-7281 or by email to fbmsfwspayments@nbc.gov.

Recipients are responsible for ensuring any sensitive data being sent to the IBC is protected during its transmission/delivery. The Service strongly recommends 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.

Reporting Requirements:

NOTE: Select either Option 1 or Option 2 below. Delete yellow highlighted option section headers and text for option not selected. Refer to Service policies [516 FW 1](#) and [516 FW 2](#) to accurately complete reporting period and due date tables. Add or delete table rows as needed. Significant development reporting is required and should not be removed. For construction projects, describe in detail any on-site technical inspections and certified percentage of completion data that will be used to assess performance in lieu of/in addition to performance reporting. If the award is a cooperative agreement to an individual (this option is not allowed for any other recipient type) and the program will replace some or all of the required performance reports with site visit reports, replace the performance reporting schedule with an expected site visit schedule. The site visit reports must be done at least annually and are to be completed on the same schedule as the replaced recipient performance reports would have been due. Remove this note.

OPTION 1-If the recipient is waived from ASAP and the program wishes to waive interim SF 425, Federal financial reports, retain and update the following text (all the way through to Option 2 heading):

Financial Reports: No interim Standard Form (SF) 425, *Federal Financial Reports* are required. Submission of payment requests using the SF 270 or SF 271 satisfies interim financial reporting requirements. A final SF 425, *Federal Financial Report* is required within 90 calendar days of the end date of the award. These forms are available on the Internet at http://www.whitehouse.gov/omb/grants_forms/. For additional information regarding financial reporting requirements and sanctions for noncompliance, please reference <http://www.fws.gov/policy/516fw1.html>.

Performance Reports:

[Insert Quarterly, Semi-annual, or Annual] interim performance reports and a final performance report are required under this award. The performance report periods and report due dates under this award are:

Report:	Report Period:	Report Due Date:
Interim Performance	[insert start of period-end of period dates]	[insert corresponding due date]
Interim Performance	[insert start of period-end of period dates]	[insert corresponding due date]
Final Performance	[insert start of period-end of period dates]	[insert corresponding due date]

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. [Enter any program- or project-specific performance reporting content requirements here]. Please include the award number provided in the subject line of this letter on all reports.

Financial and performance reporting due dates may be extended by the Service Project Officer upon receipt of a written request identifying the type of report to be extended, the requested revised due date, and a justification for the extension. The Service Project Officer may approve an additional extension if justified by a catastrophe that significantly impairs the award recipient's operations. Requests for reporting due date extensions must be received in writing by the Service Project Officer no later than one day before the original reporting due date.

Significant Development Reports:

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.

Other Deliverables:

NOTE: If any other deliverables are expected, remove yellow highlighting on Other Deliverables section header above and update gray highlighted text below. If section does not apply, remove section title and related text below. Remove this note.

[Identify any other deliverables expected/required from the Recipient such as products, research reports, invention disclosures, Federally-owned property report (see 43 CFR 12.72 or 12.933, as applicable by recipient type), land purchase documentation, etc. here].

All reports [enter "and other deliverables" if applicable] must be sent to the Service Project Officer.

OPTION 2-If the recipient is to be paid in ASAP or the recipient is waived from ASAP but the program does not want to waive interim SF 425, Federal financial reports, retain and update the following text (all the way through to Project Plan and Budget Amendments section heading):

Financial and Performance Reporting Requirements:

[Insert Quarterly, Semi-annual, or 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:	Report Due Date:
Interim financial & performance	[insert start of period-end of period dates]	[insert corresponding due date]
Interim financial & performance	[insert start of period-end of period dates]	[insert corresponding due date]
Final financial	[insert start of period-end of period dates]	[insert corresponding due date]
Final performance	[insert start of period-end of period dates]	[insert corresponding due date]

Recipients must use the Standard Form (SF) 425, *Federal Financial Report* form for all financial reporting. This form is available at http://www.whitehouse.gov/omb/grants_forms/.

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. [Enter any program- or project-specific performance reporting content requirements here]. 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 by the Service upon receipt of a written request addressed to the Service Project Officer identifying the type of report to be extended, the requested revised due date, and a justification for the extension. The Service Project Officer 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 Project Officer no later than one day before the original reporting due date.

Significant Developments Reports:

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.

Other Deliverables:

NOTE: If any other deliverables are expected, remove yellow highlighting on Other Deliverables section header above and update gray highlighted text below. If section does not apply, remove section title and related text below. Remove this note.

[Identify any other deliverables expected/required from the recipient such as products, research reports, invention disclosures, Federally-owned property report (see 43 CFR 12.72 or 12.933, as applicable by recipient type), land purchase documentation, etc. here].

All reports [enter “and other deliverables” if applicable] must be sent to the Service Project Officer.

Project Plan and Budget Amendments:

NOTE: Programs/servicing offices are responsible for being aware of the allowances and restrictions detailed in administrative circulars and program legislation related to amendments and then editing this section as appropriate for the type of project or recipient. For awards to foreign entities and individuals, the program must detail for the recipient all project plan and budget amendment requirements to be applicable to the award. Remove this note.

Recipients are permitted to re-budget within the approved direct cost budget to meet unanticipated requirements and may make limited program changes to the approved project. However, certain types of post-award changes in budgets and projects shall require the *prior written approval* of the Service Project Officer. State, local, or Indian tribal governments must refer to 43 CFR 12.70 for additional information on the types of changes that require prior written approval. Commercial organizations, institutions of higher education, hospitals and other non-profit organizations must refer to 43 CFR 12.925 for additional information on the types of changes that require prior written approval.

For non-construction awards to institutions of higher education, hospitals, commercial organizations, non-profit organizations, and foreign entities, if you want the Recipient to request prior approval to shift funds budgeted for indirect costs to direct costs, include the following statement and remove these yellow highlighted instructions. If you do not want to apply this condition, remove the following text and these yellow highlighted instructions:

Indirect/Direct Cost Transfers: The transfer of amounts budgeted for indirect costs to cover an increase in direct costs and vice versus requires prior written approval from the Service. Service approval of budget changes, such as changes resulting from an increase in the Recipient’s approved indirect cost rate, will depend on if funds are available either from budgeted direct costs or through additional Federal funding. If funds are not available the Service may, if not otherwise prohibited by legislation or regulation, allow the Recipient to use the excess indirect cost amount to satisfy cost-sharing or matching requirements. However, the excess amount may not be shifted to another Federal award unless specifically authorized by legislation. Recipient must submit such budget change requests to the Service Project Officer.

If the award is for more than \$100,000 to a state, local or Indian tribal government and the program wants to waive the pre-approval requirement for 10% transfers among direct cost categories (see 43 CFR 12.70), insert the following text and remove these yellow highlighted instructions. If this condition does not apply, remove the following text and these yellow highlighted instructions:

Recipient does not need prior written approval from the Service to make a cumulative transfer among direct cost categories which exceed, or are expected to exceed, ten percent of the current total approved budget.

Project Period Extensions:

If additional time is needed to complete the approved project, you must send written notice to the Service Project Officer. This notice must be received by the Service Project Officer at least [X] calendar days before the authorized project period end date, and must include supporting reasons and 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:
[Enter complete contact information, including telephone and email, for the Service employee responsible for the oversight and management of this award.]	[Enter complete contact information for the recipient's project officer/principal investigator/primary point of contact responsible for the oversight and management of this award.]

Please contact [insert program contact name] with any questions. Please include the Service award number provided in the subject line of this letter in all written communications.

Sincerely,

U.S. Fish and Wildlife Service Financial Assistance Award Terms and Conditions

Acceptance of a financial assistance award (i.e., grant or cooperative agreement) from the U.S. Fish and Wildlife Service (Service), Department of the Interior (Interior) carries with it the responsibility to be aware of and comply with the terms and conditions of 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 from the Service are subject to the terms and conditions incorporated into the 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 sub-awards and sub-recipients, unless a particular award term or condition specifically indicates otherwise. The Federal regulations applicable to Service grant and cooperative agreement award recipients and sub-recipients are:

Commercial Organizations

General

[43 CFR Part 12](#), Subpart A, Administrative and Audit Requirements and Cost Principles for Assistance Programs

Cost Principles

[48 CFR 1, Subpart 31.2](#), Contracts with Commercial Organizations

Other Requirements

[2 CFR Part 25](#), Universal Identifier and Central Contractor Registration

[2 CFR Part 170](#), Reporting Subawards and Executive Compensation

[2 CFR Part 175](#), Award Term for Trafficking in Persons

[2 CFR Part 1400](#), Government-wide Debarment and Suspension (Non-procurement)

[2 CFR Part 1401](#), Requirements for Drug-Free Workplace (Financial Assistance)

[43 CFR 18](#), New Restrictions on Lobbying: Submission of an application also represents the applicant's certification of the statements in [43 CFR Part 18, Appendix A](#), Certification Regarding Lobbying.

[41 USC §6306](#), Prohibition on Members of Congress Making Contracts with Federal Government: No member of or delegate to Congress or Resident Commissioner shall be admitted to any share or part of this award, or to any benefit that may arise therefrom; this provision shall not be construed to extend to an award made to a corporation for the public's general benefit.

[Executive Order 13513](#), Federal Leadership on Reducing Text Messaging while Driving: Recipients are encouraged to adopt and enforce policies that ban text messaging while driving, including conducting initiatives of the type described in section 3(a) of the order.

Foreign Entities

Foreign entities includes: public international organizations, foreign governments, foreign governmental entities, and all other foreign entities except individuals. For foreign entities, the notice of award document will detail all administrative and cost-related requirements and restrictions.

Other Requirements

[2 CFR Part 25](#), Universal Identifier and Central Contractor Registration

[2 CFR Part 175](#), Award Term for Trafficking in Persons (applicable to private entity sub-recipients)

[2 CFR Part 1400](#), Government-wide Debarment and Suspension (Non-procurement). Applies to all foreign entities *except*: foreign governments, foreign governmental entities, public international organizations, any entity owned in whole or in part or controlled by a foreign government and any entity made up of one or more foreign governments or foreign governmental entities.

[43 CFR 18](#), New Restrictions on Lobbying: Submission of an application also represents the applicant's certification of the statements in [43 CFR Part 18, Appendix A](#), Certification Regarding Lobbying.

[41 USC §6306](#), Prohibition on Members of Congress Making Contracts with Federal Government: No member of or delegate to the United States Congress or Resident Commissioner shall be admitted to any share or part of this award, or to any benefit that may arise therefrom; this provision shall not be construed to extend to an award made to a corporation for the public's general benefit.

[Executive Order 13513](#), Federal Leadership on Reducing Text Messaging while Driving: Recipients are encouraged to adopt and enforce policies that ban text messaging while driving, including conducting initiatives of the type described in section 3(a) of the order.

Individuals

An individual is a person applying for or receiving Federal funds under a grant or cooperative agreement award separate from any business or non-profit organization he/she may operate. For individuals, the notice of award document will detail all administrative and cost-related requirements and restrictions.

Other Requirements

[2 CFR Part 175](#), Award Term for Trafficking in Persons

[2 CFR Part 1400](#), Government-wide Debarment and Suspension (Non-procurement)

[2 CFR Part 1401](#), Requirements for Drug-Free Workplace (Financial Assistance)

[43 CFR 18](#), New Restrictions on Lobbying (submission of an application also represents the applicant's certification of the statements in [43 CFR Part 18, Appendix A](#), Certification Regarding Lobbying.

[41 USC §6306](#), Prohibition on Members of Congress Making Contracts with Federal Government: No member of or delegate to Congress or Resident Commissioner shall be admitted to any share or part of this award, or to any benefit that may arise therefrom; this provision shall not be construed to extend to an award made to a corporation for the public's general benefit.

[Executive Order 13513](#), Federal Leadership on Reducing Text Messaging while Driving: Recipients who are individuals are encouraged to not engage in text messaging when driving a vehicle while conducting activities funded under this award.

Institutions of Higher Education, Hospitals and other Non-Profit Organizations

General

[43 CFR Part 12](#), Subpart A, Administrative and Audit Requirements and Cost Principles for Assistance Programs

Administrative Guidelines

[2 CFR Part 215](#), Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations

[43 CFR Part 12](#), Subpart F, Uniform Administrative Requirements for Grants and Cooperative Agreements with Institutions of Higher Education, Hospitals, other Non-Profits

Cost Principles

Publicly financed institutions of higher education: [2 CFR Part 220](#), Cost Principles for Educational Institutions

Non-profits listed in Attachment C of OMB Circular A-122: [48 CFR 1, Subpart 31.2](#), Contracts with Commercial Organizations

All other non-profits: [2 CFR Part 230](#), Cost Principles for Non-Profit Organizations

Hospitals: [45 CFR part 74, Appendix E](#), Principles for Determining Costs Applicable to Research and Development Under Grants and Contracts with Hospitals

Audit Requirements

Non-profits: [OMB Circular A-133](#), Audits of States, Local Governments, and Non-Profit Organizations

Other Requirements

[2 CFR Part 25](#), Universal Identifier and Central Contractor Registration

[2 CFR Part 170](#), Reporting Subawards and Executive Compensation

[2 CFR Part 175](#), Award Term for Trafficking in Persons

[2 CFR Part 1400](#), Government-wide Debarment and Suspension (Non-procurement)

[2 CFR Part 1401](#), Requirements for Drug-Free Workplace (Financial Assistance)

[43 CFR 18](#), New Restrictions on Lobbying: Submission of an application also represents the applicant's certification of the statements in [43 CFR Part 18, Appendix A](#), Certification Regarding Lobbying.

[41 USC §6306](#), Prohibition on Members of Congress Making Contracts with Federal Government: No member of or delegate to Congress or Resident Commissioner shall be admitted to any share or part of this award, or to any benefit that may arise therefrom; this provision shall not be construed to extend to an award made to a corporation for the public's general benefit.

[Executive Order 13513](#), Federal Leadership on Reducing Text Messaging while Driving: Recipients are encouraged to adopt and enforce policies that ban text messaging while driving, including conducting initiatives of the type described in section 3(a) of the order.

State, Local and Federally-recognized Indian Tribal Governments

General

[43 CFR Part 12](#), Subpart A, Administrative and Audit Requirements and Cost Principles for Assistance Programs

Administrative Guidelines

[OMB Circular A-102](#), Grants and Cooperative Agreements with State and Local Governments

[43 CFR Part 12](#), Subpart C, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments

Cost Principles

[2 CFR Part 225](#), Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87)

Audit Requirements

[OMB Circular A-133](#), Audits of States, Local Governments, and Non-Profit Organizations

Other Requirements

[2 CFR Part 25](#), Universal Identifier and Central Contractor Registration

[2 CFR Part 170](#), Reporting Subawards and Executive Compensation

[2 CFR Part 175](#), Award Term for Trafficking in Persons (applicable to private entity sub-recipients)

[2 CFR Part 1400](#), Government-wide Debarment and Suspension (Non-procurement)

[2 CFR Part 1401](#), Requirements for Drug-Free Workplace (Financial Assistance)

[43 CFR 18](#), New Restrictions on Lobbying: Submission of an application also represents the applicant's certification of the statements in [43 CFR Part 18, Appendix A](#), Certification Regarding Lobbying.

[41 USC §6306](#), Prohibition on Members of Congress Making Contracts with Federal Government: No member of or delegate to Congress or Resident Commissioner shall be admitted to any share or part of this award, or to any benefit that may arise therefrom; this provision shall not be construed to extend to an award made to a corporation for the public's general benefit.

[Executive Order 13513](#), Federal Leadership on Reducing Text Messaging while Driving: Recipients are encouraged to adopt and enforce policies that ban text messaging while driving, including conducting initiatives of the type described in section 3(a) of the order.

U.S. Fish and Wildlife Service
Financial Assistance Business Process
Sample Financial Assistance Award Special Terms and Conditions

Point of Contact

Send any questions about this guidance by email to the Chief, Wildlife and Sport Fish Restoration Program (WSFR), Division of Administration and Information Management (AIM), Financial Assistance Policy and Oversight (FAPO) Branch. See the FAPO About/Contact Us Intranet page at <https://inside.fws.gov/index.cfm/go/post/FAPO-About> for contact information.

Document Change Log

FAPO will update this document over time to incorporate changes resulting from any new government-wide regulations or new Department of the Interior or Service policy. We will post updated versions of this document on the Intranet at <https://inside.fws.gov/go/post/FAPO-NewAwards> and will log updates made to this guidance in the following table:

Date Changed	Changed By	Description of Change Made

Instructions

Use this document as a starting point for developing a project-, program-, and recipient-specific set of special award terms and conditions. All applicable special award terms and conditions must be included in the notice of award. The award must *not* include reference or direct citation to special terms or conditions that do not apply to the award.

For each sample circumstance, this document provides: 1) a complete description of the circumstance and 2) either corresponding Standard Award Condition (SAC) text to be inserted into the award or instructions for developing a circumstance-specific award condition. Copy and insert into the award under the Special Award Terms and Conditions header all applicable award conditions (see the Notice of Award Letter Template posted on the Intranet at <https://inside.fws.gov/go/post/FAPO-NewAwards>).

NOTE: This document does not include *all* possible special award terms and conditions, only a sample of some of the more frequently applicable conditions.

Sample Financial Assistance Award Special Terms and Conditions

Contents

1. Acknowledgement of Support in Publications	2
2. Acknowledgement of Support on Facilities or Equipment	3
3. Environmental Compliance Reviews	3
4. High Risk Recipient	3
5. Individuals Hiring Contractors	4
6. National Technical Information Service	5
7. Natural Resource Library	5
8. Promotional Partnership with a Non-Governmental Entity	6
9. Purchases by Governmental Entities	7
10. Purchases by Non-Governmental Entities.....	7
11. Requiring Use of the Service Logo.....	8
12. Scientific and Scholarly Activities	8
13. Transferring Title of Equipment to Federal Government or Third Party.....	9

NOTE: 43 CFR Part 12, Subpart E—Buy American Requirements for Assistance Programs and Service policy 301 FW 7, Green Procurement **DO NOT APPLY** to Service grants and cooperative agreements. Also, the Seat Belt provision is already incorporated by general applicability of 43 CFR Part 12 to all awards and does not need to be included as a separate provision.

1. Acknowledgement of Support in Publications

Circumstance:	When the program wants the recipient to acknowledge program, Service and/or Departmental support on formally published (on Internet or printed) documents, insert the first paragraph of the text provided in the standard award condition below and update as instructed in the gray highlighted text. When the program wants the recipient to also insert a <i>program</i> symbol (i.e., a symbol that is <u>not</u> the Service's logo), insert the second paragraph of the standard award condition (SAC) below and update as instructed.
----------------------	---

SAC:	<p>The [insert description of the items to be produced] produced under this award must include the following statement acknowledging support from the [insert any combination of Department of the Interior, Service and program title]: “[insert program-specific statement]”.</p> <p>All of these materials must also include the [insert program name] symbol. A print-ready symbol is available electronically upon request from the Service Project Officer.</p>
-------------	---

2. Acknowledgement of Support on Facilities or Equipment

Circumstance:	When the program wants to ask or encourage the recipient to display the <i>program</i> symbol (i.e., a program-specific icon that is <u>not</u> the Service’s logo) on facilities or equipment acquired, developed, operated or maintained with Service award funds, insert the standard award text provided below and update as instructed in the gray highlighted text.
SAC:	[Insert either “We encourage you to” or “Please”] display the [insert program name] symbol on [insert description of facilities or equipment]. A print-ready symbol is available electronically upon request from the Service Project Officer.

3. Environmental Compliance Reviews

Circumstance:	When an award will be released in PRISM and funds obligated in FBMS before all environmental compliance reviews (i.e., NEPA, Section 7 of the ESA, Section 106 of the NHPA) are complete, insert the standard award text provided below and update as instructed in the gray highlighted text.
SAC:	[Insert a detailed description of the work that can be started and the work that must not be started until all compliance reviews are complete]. As a condition of award, the Recipient and any sub-recipient(s) must not begin any potentially impactful work related to this award until the Service has notified you in writing that such work can begin. Recipients and sub-recipients of Federal grants and cooperative agreement awards must comply with the requirements of the National Environmental Policy Act (NEPA), Section 7 of Endangered Species Act (ESA), and Section 106 of the National Historic Preservation Act (NHPA).

4. High Risk Recipient

Circumstance:	When a recipient has been determined to be high risk, we must provide justification for placing them on high risk status, and detail the additional conditions applicable to them (e.g., payment restrictions or increased reporting frequency requirements). Since such restrictions and/or additional requirements will vary by circumstance, standard award condition text is not provided for this situation. Refer to 43 CFR 12.52 or 12.914 to develop related award conditions.
----------------------	--

SAC:	Program must develop circumstance-specific condition text to insert into the award.
-------------	---

5. Individuals Hiring Contractors

Circumstance:	<p>When the award is a <i>grant</i> to an individual who will hire a contractor to perform work activities approved under the award on privately-owned property, insert the standard award condition (SAC) text provided below into the award.</p> <p>When the award is a <i>cooperative agreement</i> to an individual who will hire a contractor to perform work activities approved under the award on privately-owned property, the Service may share in the responsibilities described in the standard award condition provided in the next column. If the Service will perform any of these responsibilities, insert the SAC text provided below into the award and then update it to specify which party will perform each of the required responsibilities.</p>
SAC:	<p>Recipient has an obligation to protect themselves from potential liability when hiring any contractor to perform work activities approved under this award on their private property by checking references and ensuring that any contractor hired is licensed, bonded, and has valid employee insurance coverage for events of injury or bodily harm.</p> <p>Recipient may not make a sub-award to a contractor unless the contractor has provided its Data Universal Numbering System (DUNS) number to the Recipient. A DUNS number means the nine-digit number established and assigned by Dun and Bradstreet, Inc. to uniquely identify business entities. A DUNS number may be obtained by telephone (866-705-5711) or on the Internet (at http://fedgov.dnb.com/webform).</p> <p>Before hiring any contractor, Recipient must confirm that the contractor is not suspended or debarred from receiving Federal funds. Recipient must go on the Internet to http://sam.gov and on the Home Page or Search Records tab, type the contractor's DUNS number in the search bar, and click on the Search icon. If no exclusion record is found, the contractor is not suspended or debarred from receiving Federal funds. Recipient may proceed with hiring the contractor. If an exclusion record is found, Recipient must not proceed with hiring the contractor. Contact the Service Project Officer with any questions.</p>

6. National Technical Information Service

Circumstance:	<p>Per 15 U.S.C. Section 3704B-2, if funding under this award will be used to produce unclassified scientific, technical, or engineering information <i>resulting from research and development activities</i> (defined as basic and applied research that results from the efforts of scientists and engineers in any medium or information <i>that bears on business and industry in general</i>) that is to be published or made available by either the recipient or the Service for public dissemination to the private sector, academia, State and local governments, and Federal agencies (go to http://www.ntis.gov/products/publications.aspx to view examples), insert the standard award condition (SAC) text provided below into the award.</p> <p>The regulation is very specific as to which types of documents qualify for transmittal to NITS. Programs are responsible for making a determination if this condition actually applies to the award. Do not include this condition if it does not apply!</p>
SAC:	<p>Funding under this award will be used to produce [insert description of expected scientific, technical, or engineering publication to be produced]. Your organization is required to send one copy of the final published report to:</p> <p style="padding-left: 40px;">National Technical Information Service 5301 Shawnee Road Alexandria, Virginia 22312</p> <p>Please include a cover letter that identifies you/your organization and states: “This publication is intended for deposit in the NTIS. This publication was produced under U.S. Fish and Wildlife Service Award Number [insert Award Number]”. Do not send financial or performance reports to this address. See the Reporting Requirements section below for where to send financial and performance reports.</p>

7. Natural Resource Library

Circumstance:	<p>481 DM 4 states that the <u>Service shall determine</u> whether a publication is suitable for the library by applying the following criteria: 1) the publication IS of value for: public information and awareness; educational use; scientific, technical or research use; and 2) the publication is NOT: limited to official use only; classified for reasons of national security; for administrative, operational or proprietary use only; issued periodically and regularly compiled totally at a later date; a preliminary draft, working paper, press release, open file or other ephemera; a map, chart, poster, booklet or pamphlet; of local interest only; or otherwise readily available (e.g., publicly accessible on the Internet). If a final publication <u>qualifying for transmittal to the library</u> is expected to be produced under the award insert the standard award condition (SAC) text provided below into the award and update as instructed in the gray highlighted text. Do not include this condition if it does not apply!</p>
----------------------	---

	NOTE: For Service staff sending publications to the library, the library accepts publications in hard copy and on compact disc. However, all items <u>must be sent by courier mail</u> . Hard copy publications sent by regular USPS delivery are often damaged and CDs are always destroyed by the Department's mail irradiation system. Do not send documents to the library that do not qualify under the 481 DM 4 criteria!
SAC:	<p>Funding under this award will be used to produce [insert description of publication(s) to be produced]. Your organization is required to send one copy of the final published document (s) to:</p> <p style="padding-left: 40px;">U.S. Department of the Interior Natural Resource Library Division of Information and Library Services-Gifts and Exchanges Section 1849 C Street NW Washington, D.C. 20240</p> <p>The copy can be a paper copy or saved to a compact disc. Do not send by regular U.S. Postal Service! Send all publications using your preferred courier mail service (e.g., FedEx, UPS and DHL). Expedited delivery is not required. Please include a cover letter that identifies you/your organization and states: "This publication is intended for deposit in the Natural Resource Library. This report was produced under U.S. Fish and Wildlife Service Award Number [insert Award Number]". Do not send financial or performance reports to this address. See the Reporting Requirements section below for where to send financial and performance reports.</p>

8. Promotional Partnership with a Non-Governmental Entity

Circumstance:	Per 43 CFR 12.2(d), if the award is made to an entity <i>OTHER THAN</i> a State, local, or Federally-recognized Indian tribal government <u>AND the principal purpose of the award</u> is a partnership where the recipient/partner contributes resources to promote Service programs or activities, publicizes Service activities, assists in fundraising, or provides assistance to the Service and the project includes joint dissemination of information and promotion of activities being supported, insert the standard award condition (SAC) text provided below into the award.
SAC:	<p>Recipient shall not publicize or otherwise circulate promotional material (such as advertisements, sales brochures, press releases, speeches, still and motion pictures, articles, manuscripts or other publications) which states or implies governmental, Departmental, bureau, or government employee endorsement of a product, service, or position that the recipient represents. No release of information relating to this award may state or imply that the Government approves of the recipient's work products, or considers the recipient's work product to be superior to other products or services.</p> <p>All information submitted for publication or public releases of information regarding this project shall carry the following disclaimer: "The views and conclusions contained in this document are those of the authors and</p>

	<p>should not be interpreted as representing the opinions or policies of the U.S. Government. Mention of trade names or commercial products does not constitute their endorsement by the U.S. Government.” Recipient must obtain prior Government approval for any public information releases concerning this award which refer to the Department of the Interior or any bureau or employee (by name or title). The specific text, layout photographs, etc. of the proposed release must be submitted with the request for approval.</p> <p>Recipient must include this provision in subawards made under this award to any recipient other than a state, local, or Federally-recognized Indian tribal government.</p>
--	---

9. Purchases by Governmental Entities

Circumstance:	In accordance with 505 DM 3, for awards to states, local governments and federally recognized Indian tribal governments that will afford opportunities for purchases from the business community, insert the standard award condition (SAC) text provided below into the award.
SAC:	It is a national policy to award a fair share of contracts to small and minority business firms. The Department of the Interior is strongly committed to the objectives of this policy and encourages all recipients of its grants and cooperative agreements to take affirmative steps to ensure such fairness. As a condition of award, the Recipient and sub-recipients shall take all necessary affirmative steps to assure that minority firms, women's business enterprises, and labor surplus area firms are used when possible. Affirmative steps shall include: (1) Placing qualified small and minority businesses and women's business enterprises on solicitation lists; (2) Assuring that small and minority businesses, and women's business enterprises are solicited whenever they are potential sources; (3) Dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by small and minority business, and women's business enterprises; (4) Establishing delivery schedules, where the requirement permits, which encourage participation by small and minority business, and women's business enterprises; (5) Using the services and assistance of the Small Business Administration, and the Minority Business Development Agency of the Department of Commerce as appropriate, and (6) Requiring prime contractors, if subcontracts are to be let, to take the affirmative steps listed in (1) through (5) above.

10. Purchases by Non-Governmental Entities

Circumstance:	In accordance with 505 DM 5, for awards to institutions of higher education, hospitals and other nonprofit organizations that will afford opportunities for purchases from the business community, insert the standard award condition (SAC) text provided below into the award.
SAC:	It is a national policy to place a fair share of purchases with minority business firms. The Department of the

	Interior is strongly committed to the objectives of this policy and encourages all recipients of its grants and cooperative agreements to take affirmative steps to ensure such fairness. Positive efforts shall be made by recipients to utilize small businesses, minority-owned firms, and women's business enterprises, whenever possible. Recipients of Federal awards shall take all of the following steps to further this goal: (1) Ensure that small businesses, minority-owned firms, and women's business enterprises are used to the fullest extent practicable; (2) Make information on forthcoming opportunities available and arrange time frames for purchases and contracts to encourage and facilitate participation by small businesses, minority-owned firms, and women's business enterprises; (3) Consider in the contract process whether firms competing for larger contracts intend to subcontract with small businesses, minority-owned firms, and women's business enterprises; (4) Encourage contracting with consortiums of small businesses, minority-owned firms and women's business enterprises when a contract is too large for one of these firms to handle individually; and (5) Use the services and assistance, as appropriate, of such organizations as the Small Business Administration and the Department of Commerce's Minority Business Development Agency in the solicitation and utilization of small businesses, minority-owned firms and women's business enterprises.
--	--

11. Requiring Use of the Service Logo

Circumstance:	Per Service policy 041 FW 2, all programs not specifically excepted in the policy must obtain Director's approval prior to requiring a recipient to use the Service logo in any manner (e.g., inserting it on formally published products, using it on meeting materials, displaying it on facilities or equipment). Text must be circumstance specific. If the program has received Director's approval for the recipient to use the Service logo, the notice of award must: 1) explicitly authorize them to use the logo; 2) clearly outline the specific authorized use(s) of the logo; 3) explicitly state that the Service is waived from liability for any misuse; and 4) cite the consequences of violating 18 U.S.C. 701. Coordinate the text of the award condition with External Affairs.
SAC:	Program must develop circumstance-specific condition text to insert into the award.

12. Scientific and Scholarly Activities

Circumstance:	305 DM 3 defines scientific and scholarly activities as: 1) inventorying, monitoring, experimentation, study, research, modeling or scientific and scholarly assessments that are conducted in a manner specified by documented protocols and procedures and include any of the biological, cultural or social sciences as well as landscape architecture, engineering, mathematics and statistics that employ the scientific method; AND 2) the results of which include the analysis, synthesis, compilation or translation of information and data into formats <u>intended for use in the Service's and/or the Department's decision-making processes or publications</u> . If the award will fund scientific and scholarly activities insert the standard award condition (SAC) text provided below.
----------------------	--

SAC:	The Recipient will conduct scientific and scholarly activities as defined in Department of the Interior policy 305 DM 3, <i>Integrity of Scientific and Scholarly Activities</i> that are intended for use in Service decision-making processes and/or publications. Acceptance of this award carries with it the responsibility to be aware of and follow the Code of Scientific and Scholarly Conduct described in 305 DM 3, Section 3.7 to the best of your ability.
-------------	---

13. Transferring Title of Equipment to Federal Government or Third Party

Circumstance:	Typically equipment purchased by a recipient will vest with the recipient. However, CFR Part 12 allows the Service the right to transfer the title of equipment purchased by a recipient to the Federal Government or a third party. This right is subject to the standards provided in 43 CFR 12.72(g) Equipment and in 12.934(h) Equipment depending on recipient type. If equipment purchased by a recipient will be transferred to either the Federal Government or another party, include a circumstance-specific award condition that identifies the property to be transferred, provides disposition instructions, and when applicable, authorizes the recipient to be reimbursed for the purchase.
SAC:	Program must develop circumstance-specific condition text to insert into the award.

U.S. Fish and Wildlife Service
Financial Assistance Business Process
Modifying the PRISM Grant and Cooperative Agreement Cover Page

For every award, we must provide a notice of award to the recipient. The notice of award must include the following elements:

- A. Either the PRISM Grant and Cooperative Agreement Cover Page or a customized notice of award letter,
- B. USFWS Financial Assistance Award Terms and Conditions, either cited in the award cover sheet/letter or provided as an attachment (see <http://www.fws.gov/grants/>),
- C. Any special program or project-specific terms and conditions (see the **Sample Financial Assistance Award Special Terms and Conditions** document posted on the Intranet at <https://inside.fws.gov/go/post/FAPO-NewAwards>).

Programs choosing to use the PRISM Grant and Cooperative Agreement Cover Page must modify it before sending it to a recipient. To modify the cover page, either save the completed document to your desktop and then either use Adobe Acrobat Professional to make the following changes to the form or print the form in paper copy and make the following changes by hand:

1. From Box 12. Period of Performance, remove the text “(Approximately)”.

12. PERIOD OF PERFORMANCE (Approximately)
02/02/2012 through 11/30/2012

2. If the award is a Grant, remove from Box 18 the text “Cooperative Agreement”.

18. APPLICABLE ENCLOSURE(S), IF CHECKED:	
<input checked="" type="checkbox"/> PROVISIONS	<input type="checkbox"/> SPECIAL CONDITIONS
<input type="checkbox"/> REQUIRED PUBLICATIONS AND REPORTS	
COOPERATIVE AGREEMENT RECIPIENT	
AUTHORIZED REPRESENTATIVE	DATE

3. In the Recipient “Authorized Representative” signature field under Box 18, enter “Signature not required”. Recipients are not required to sign the Notice of Financial Assistance Award document.

18. APPLICABLE ENCLOSURE(S), IF CHECKED:	
<input checked="" type="checkbox"/> PROVISIONS	<input type="checkbox"/> SPECIAL CONDITIONS
<input type="checkbox"/> REQUIRED PUBLICATIONS AND REPORTS	
COOPERATIVE AGREEMENT RECIPIENT	
AUTHORIZED REPRESENTATIVE	DATE
Signature not required	

Programs sending the PRISM Grant and Cooperative Agreement Cover Page to a recipient must make sure the recipient also receives:

- Complete Service project officer contact information,
- Detailed payment instructions, and
- Detailed financial and performance reporting requirements, including reporting periods, due dates and submission instructions.



United States Department of the Interior

FISH AND WILDLIFE SERVICE
Washington, D.C. 20240



In Reply Refer To
FWS/AWSR/AIM:056929

APR 01 2014

Memorandum

To: Service Directorate

From: Deputy Director

Subject: New Financial Assistance Award Guidance and Attachments
(For immediate implementation)

Attached, is a new guidance document "*Issuing a New Financial Assistance Award Guidance*" and eleven related documents. This guidance must be implemented immediately for all new grant and cooperative agreement awards created in the Financial and Business Management System on or after the signature date of this memorandum. This guidance replaces all prior guidance, forms and templates that are either duplicative or do not follow the requirements under this guidance. Please disregard all previous documents.

This guidance and related attachments will improve individual and organizational performance of the Service's financial assistance business processes. Implementation of this guidance helps the Service address recent audit and review findings, known implementation inconsistencies across Service regions and programs, and informational/knowledge gaps identified by Service employees involved in the financial assistance business process.

Preliminary and final drafts of these documents were sent to the Directorate for comment in the Data Tracking System (DTS) under DTS#050126 and DTS#055902. The Wildlife and Sport Fish Restoration Program received and responded to 369 comments. We urge you to review the attached response matrix documents to understand the rationale behind the final versions.

If you have any questions, please contact Ms. Maribel Langas Miller, Financial Assistance Policy and Oversight (FAPO) Branch Chief at (703) 358-2107. FAPO staff is available upon request to assist programs with implementation of this guidance.