

# RECLAMATION

*Managing Water in the West*

FUNDING OPPORTUNITY

**Request for Funding Opportunity R10AF20021**

**Lake Tahoe Regional Development Program**

**Fiscal Year 2010**



**U.S. Department of the Interior  
Bureau of Reclamation  
Mid-Pacific Region**

**April 2010**

**OVERVIEW**

See Section No.

Agency Name:	DOI, Bureau of Reclamation Sacramento, CA	
Funding Opportunity Title:	Lake Tahoe Regional Development Program	
Announcement Type:	Initial announcement	
Funding Opportunity Number:	R10AF20021	
Catalog of Federal Domestic Assistance (CFDA):	15.517	
Application Due Date:	Applications due June 7, 2010, 3:00 p.m. PST	<b>IV.E</b>
Eligible Applicants:	As described in Section III.A.	<b>III.A</b>
Cost Share:	No cost sharing requirement, but level of partnering is considered during proposal evaluation.	<b>III.B</b>
Federal Funding Amount:	Ranges from \$25,000 to \$400,000	<b>II.B</b>
Number of Anticipated Awards:	1 – 4	
Total amount of funding available for award:	Estimated at \$400,000.00	<b>II.A</b>

## PROPOSAL CHECKLIST

The following table contains a summary of the information that you are required to submit with your application.

√	What to Submit	Required Content	REQUIRED FORM OR FORMAT
	<b>TECHNICAL PROPOSAL:</b>	<b>See Sec. IV.B</b>	
	• Cover Page	See Sec. IV.B.2.1	Form SF 424 form available at <a href="http://www.whitehouse.gov/omb/grants/grants_forms.html">http://www.whitehouse.gov/omb/grants/grants_forms.html</a>
	• Assurances	See Sec. IV.B.2.2	Form SF 424B or SF 424D, as applicable, available at <a href="http://www.whitehouse.gov/omb/grants/grants_forms.html">http://www.whitehouse.gov/omb/grants/grants_forms.html</a>
	• Regulatory Compliance	See Sec. IV.B.2.3	See suggested format at Section IX
	• Funding Plan	See Sec. IV.C	See suggested format at Section IX
	<b>PROJECT BUDGET PROPOSAL:</b>	See Sec. IV.D.2	See suggested format at Section IX

## **SECTION I --**

### **I.A.1 BACKGROUND AND PURPOSE**

The U.S. Bureau of Reclamation (Reclamation) is soliciting proposals for projects to be funded under the Tahoe Regional Wetlands Development Program (LTRWDP). The purpose of this program is to assist in addressing the past degradation of Lake Tahoe and its watershed by undertaking projects, either directly or through financial assistance to others, to meet the environmental thresholds as defined in the Tahoe Regional Planning Agency's Environmental Improvement Program. The environmental thresholds are defined as the environmental standards necessary to protect the natural environment and public health and safety within the Lake Tahoe basin. The environmental thresholds of interest include water quality, soil conservation (stream environment zone), wildlife, fisheries and vegetation. To achieve environmental restoration in the Lake Tahoe basin, funded activities may include project planning and implementation, as well as program coordination and management. Proposed projects should be within the scope of either the Watershed and Habitat Improvement Focus Area or the Forest Health Focus Area as described in "A Federal Vision for the Environmental Improvement Program at Lake Tahoe."

This document may be accessed online at <http://www.fs.fed.us/r5/lbmu/documents/lbec/revise-FV-Final.pdf>

Prospective applicants include Federal, State and Local governments, private non-profit or for-profit organizations, and individuals.

The funding range is from \$25,000.00 to \$400,000 on approved projects.

### **I.A.2 PROGRAM OBJECTIVE**

Open solicitation of funding opportunities through the LTRWDP will facilitate meeting the objectives of the programs. Public outreach and solicitation helps ensure the programs receive a sufficient volume of quality proposals carrying out conservation actions pursuant to the programs' goals.

### **I.A.3 OBJECTIVE OF REQUEST FOR SOLICITATIONS**

The objective of the competitive solicitation is to ensure compliance with competition requirements related to Federal financial agreements and to ensure public participation in the Lake Tahoe Regional Wetlands Development Program.

## **I.B. ELIGIBLE PROJECTS**

### **DESCRIPTION OF ELIGIBLE ACTIVITIES AND PROGRAM PRIORITIES**

The LTRWDP funds a variety of actions that improve water quality and conditions for species and habitats in the Lake Tahoe Basin, recognizing that a balanced set of actions is needed to meet the stated objectives. The LTRWDP has, however, placed emphasis on certain kinds of activities considered more critical than others. Funds are generally distributed such that all of the funds are not allocated to either the California or Nevada side of the Lake Tahoe basin.

## **Fiscal Year 2010 Priorities**

The LTRWDP has established priorities related to environmental thresholds, habitats, geographic areas and level of urgency. Well-conceived proposals that address the priorities listed below will be given preference during proposal review. These priorities have been developed specifically for fiscal year 2010. They reflect the environmental thresholds of interest (namely water quality, soil conservation [stream environment zone], wildlife, fisheries and vegetation) and are complementary to other ongoing actions within the Lake Tahoe Basin.

The following are the LTRWDP priorities for Fiscal Year 2010:

### **A. Project Priorities**

1. The Upper Truckee River has been identified as high priority watershed in need of restoration. Annually, some 2,078 tons of sediment are transported to Lake Tahoe from the Upper Truckee River Watershed, or about two-thirds of the total amount reaching Lake Tahoe. In addition to causing a decline in lake clarity, fine sediments contribute to the degradation of aquatic habitats for fish and other wildlife in the river. For this priority, the LTRWDP is particularly interested in proposals that emphasize restoration of natural geomorphic and ecological processes along river reaches to reduce the river's suspended sediment and nutrient discharge to Lake Tahoe. Projects should restore and sustain, to the extent feasible, channel and floodplain morphology that results in reconnection of the river to its floodplain, as well as improve aquatic and riparian habitat quality.
2. The Rosewood Creek watershed has been identified as high priority watershed in need of restoration and management. Development within this watershed has interrupted the natural hydrologic processes and degraded the quality of this watershed in terms of water quality, fisheries, and levels of sediment deposited into Lake Tahoe. Nitrogen, phosphorus, and fine sediments are the primary components leading to the decline in lake clarity and water quality. For this priority, the LTRWDP is particularly interested in watershed restoration proposals that offer the highest level of environmental benefit.
3. Invasive species can alter ecosystem dynamics by competing with native species and changing the habitat suitability for a number of species. Species, such as Eurasian watermilfoil, Asian clams, and warm water fishes have infested Lake Tahoe and other waterbodies in the Lake Tahoe basin. In addition, other invasive species such as zebra and quagga mussels have recently been introduced to Nevada. For this priority, the LTRWDP is particularly interested in project proposals to implement an intensive inventory effort to locate infestations, reduce new introductions, and control or eradicate existing infestations of invasive species.
4. Other projects within the scope of either the Watershed and Habitat Improvement Focus Area or the Forest Health Focus Area as described in "A Federal Vision for the Environmental Improvement Program at Lake Tahoe" will also be considered, but may be given a lower priority depending on the number of quality proposals submitted for the first three categories.

### **I.C. PROGRAM AUTHORITY**

This Request for Funding Opportunity is issued in accordance with the authority of P.L. 108-7, Consolidated Appropriations Resolution, 2003, Water and Related Resources

"...the Bureau of Reclamation is authorized **hereafter** to negotiate and enter into financial assistance agreements with public and private agencies, organizations and institutions for activities under the Lake Tahoe Regional Wetlands Development Program."

## **SECTION II -- AWARD INFORMATION**

### **II.A. TOTAL PROJECT FUNDING**

The number of agreements awarded is dependent on the total amount of funding requested by successful proposals. Total estimated funding for the program for fiscal year 2010 is \$400,000.

### **II.B PROJECT FUNDING LIMITATIONS**

The funding range is from \$25,000 to \$400,000, on approved projects.

### **II.C. RECLAMATION RESPONSIBILITIES**

If substantial involvement between Reclamation and the Recipient is anticipated during the performance of this project, the anticipated instrument will be a cooperative agreement. In support of this agreement, Reclamation will provide the following:

Reclamation shall collaborate and participate with the Recipient in the management of the project and closely oversee the Recipient's activities to ensure that the program objectives are being achieved. This oversight shall include review, input, and approval at key interim stages of the project as identified in the Recipient's proposal.

If substantial involvement is not anticipated on the part of Reclamation, the financial assistance instrument will be a grant.

Reclamation retains the rights to make awards using either grants or cooperative agreements instruments.

**The proposal must demonstrate a public benefit for financial assistance agreements.**

### **II.D. AWARD DATE**

It is anticipated that awards will be made by September 30, 2010.

## **SECTION III -- ELIGIBILITY INFORMATION**

### **III.A. ELIGIBLE APPLICANTS**

Applicants must be public and private agencies, organizations and institutions for activities under the Lake Tahoe Regional Wetlands Development Program.

### **III.B. COST SHARE GUIDELINES**

There is no cost sharing requirement; however, the contribution of funding or in-kind services is considered during proposal evaluation.

**III.C. Evaluation Criteria:** Refer to Section V.

**III.D. Methods for Evaluating and Ranking Applications:**

All applications are reviewed and ranked by a Technical Team, comprised of State and Federal biologists and program managers. Technical Team members utilize ranking criteria described in Section V.A to determine which proposals should be selected for funding. Selected applications are approved by Reclamation staff.

**III.E. Submission Deadline and Location for Submission:**

Submission deadline is **June 7, 2010, 3:00 p.m.** Application should be sent to:

Bureau of Reclamation  
Mid-Pacific Region, Acquisition Services  
Attn: Jeff Palachat (MP 3818)  
2800 Cottage Way, Room E-1815  
Sacramento CA 95825-1898

**III.F. OTHER REQUIREMENTS**

**III.F.1 TECHNICAL AND BUDGET PROPOSALS**

The applicant must submit technical and budget proposals in accordance with the requirements stated in Section IV of this document.

**III.F.2 FUNDING PLAN**

The applicant's proposal shall include a funding plan that describes the amount of funding they are applying for or have received from other sources for any portion of this project. Reclamation will use this information in making a determination of financial capability. See Section IV.C for information on submission of the Funding Plan.

**III.F.3 OTHER REGULATIONS**

Applicants shall adhere to Federal, State, and local laws, regulations, and codes, as applicable, and shall obtain all required approvals and permits. Applicants shall also coordinate and obtain approvals from site owners and operators. See Section IV.B.2.3 for additional information regarding environmental and regulatory compliance.

**SECTION IV -- APPLICATION AND PROPOSAL SUBMISSION INFORMATION**

**IV.A. ADDRESS TO REQUEST APPLICATION PACKAGE**

This document contains all information, forms, and electronic addresses required to obtain the information required for submission of a proposal.

#### IV.B. INSTRUCTIONS FOR SUBMISSION OF PROJECT PROPOSAL

Each applicant shall submit a proposal in accordance with the instructions contained in this section. Detailed instructions for each of these elements are set forth immediately below.

Applications must be submitted as a complete package. Materials arriving separately will not be included in the application package for consideration and will result in the application being rejected or not funded. **Mailing materials, package, packing envelopes or exterior wrapping of the proposal must reference the Funding Opportunity Announcement number R10AF20021. FAX copies of proposal documents will not be accepted.**

**Do not include** a cover letter or company literature/brochure with your proposal. All pertinent information must be included in your Technical and Project Budget Proposals, and Funding Plan in accordance with the formats described below.

##### IV.B.1 Proposal Format and Length

- Shown below is the proposal format to which all applicants must adhere when submitting a proposal.
- All proposals will be evaluated for their technical merit and completeness. Applicants should submit well-described and technically accurate proposal packages organized in the format below.

Format:

- I. Title of Project
- II. Project Objective (*clearly state what objectives the project hopes to achieve when implemented*)
- III. Project Proponent (*provide name, address, phone number, fax number, and email address of contact person*)
- IV. Location of Project (*include a detailed legal description - Township, Range Meridian, Section - of the project location, including size of project area, along with a map indicating local reference points. Also include photographs of the project site, if applicable.*)
- V. Amount of Funding Request (*specify funds requested from the LTRWDP*)
- VI. Total Project Cost (*specify total estimated cost of the project*)
- VII. Proposed Activities (*provide a detailed description of the action being proposed for funding; include any relevant background information, such as surrounding land-uses, etc...*)
- VIII. Project Timeline (*include milestones and final completion date for each tasks*)
- XI. Relationship to Program Ranking Criteria
  - a. Describe how the proposal will address the following, if applicable:

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1. Eligibility to Rank *(to be determined by Program Managers and technical team. Refer to description of criteria for more information)*
  2. Program Priority *(describe how the project relates to current year priorities of the program as specified in the RFA on [www.Grants.gov](http://www.Grants.gov), Section I. B, Eligible Projects)*
  3. Scope *(within the scope of Watershed and Habitat Improvement Focus Area or the Forest Health Focus Area as described in “A Federal Vision for the Environmental Improvement Program at Lake Tahoe”)*
  4. Environmental Threshold attainment *(indicate in as much detail as possible how the project will benefit the environmental thresholds of interest (water quality, soil conservation (stream environment zone), wildlife, fisheries and vegetation) as defined in the Tahoe Regional Planning Agency’s Environmental Improvement Program)*
  5. Project Urgency *(assign a scale of urgency to the action based on the level of threat to a habitat area or threshold)*
  6. Cumulative Benefit *(indicate how the project relates to the collective influence of other on-going or planned activities related to the same habitats or thresholds)*
  7. Project Site Connectivity *(describe how the project is physically connected to another protected or restored parcel)*
  8. Partners *(indicate amount of contributions, funds or in-kind services, from partners in relation to the overall cost of the project)*
- XII. Budget *(Provide a detailed budget summary that indicates annual costs by tasks and funding category, include cost share partners, and use the attached budget summary table as a template) [see **Attachment B**].*

**Attachment B  
Budget Summary Template**

BUDGET ITEM DESCRIPTION	COMPUTATION		RECIPIENT FUNDING	OTHER FUNDING	RECLAMATION FUNDING	TOTAL COST
	\$/Unit and Unit	Quantity				
<b>SALARIES AND WAGES</b> --Position title x hourly wage/salary x est. hours for assisted activity. Describe this information for each position.						
i.e. Manager	\$50/hr.	100	\$5,000		\$ 5,000	
<b>FRINGE BENEFITS</b> – Explain the type of fringe benefits and how applied to various categories of personnel.						
i.e. 20% applies to all personnel	20%		\$2,000		\$ 2,000	
<b>TRAVEL</b> —dates; location of travel; method of travel x estimated cost; who will travel						
<b>EQUIPMENT</b> —Leased Equipment use rate + hourly wage/salary x est. hours for assisted activity—Describe equipment to be purchased, unit price, # of units for all equipment to be purchased or leased for assisted activity: Do not list contractor supplied equipment here.						
<b>SUPPLIES/MATERIALS</b> --Describe all major types of supplies/materials, unit price, # of units, etc., to be used on this assisted activity.						
<b>CONTRACTUAL/ CONSTRUCTION</b> —Explain any contracts or sub-Agreements that will be awarded, why needed. Explain contractor qualifications and how the contractor will be selected.						
i.e. Engineering Consultant	\$48,000/L.S.	1	\$48,000		\$ 48,000	
i.e. Furnish and Install 48B50 RCP pipe	\$90/L.F.	2,000		\$180,000	\$180,000	
<b>OTHER</b> –List any other cost elements necessary for your project; such as extra reporting, or contingencies in a construction contract.						
i.e. Construction contingencies	10%		\$40,750		\$40,750	
<b>TOTAL DIRECT COSTS--</b>						
<b>INDIRECT COSTS - __%</b>						
<b>TOTAL PROJECT/ACTIVITY COSTS</b>						

**Task or Task Group:** Briefly state task or group of tasks to be accomplished (i.e. field Surveys, laboratory analysis, etc...)

**Personnel:** Indicate cost based on type of position, annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

**Fringe Benefits:** Indicate proposed fringe benefit rates based on the proposed personnel costs indicated.

**Travel:** Itemize travel expenses of project personnel by task.

**Equipment and Supplies:** Itemize cost of equipment and supplies by task. Include equipment used specifically for the project. Generally, supplies include any materials that are expendable or consumed during the course of the project.

**Contracts –** Indicate costs of additional technical assistance required to fulfill the agreement not available internally.

**Indirect Costs –** Indicate amount and cost rate (%).

**Other Costs –** Indicate other cost not otherwise specified, if applicable.

#### **IV.B.2 Technical Proposal Content (see section IV.B.1)**

**IV.B.2.1 Cover Page –** A fully completed SF 424 - Application for Federal Assistance. This form must be signed by a person legally authorized to commit your organization to performance of the project. **Inclusion of a properly signed SF 424 in your proposal is a mandatory requirement. Failure to adhere to this requirement will result in the elimination of your proposal from further consideration.** This form is available at [http://www.whitehouse.gov/omb/grants/grants\\_forms.html](http://www.whitehouse.gov/omb/grants/grants_forms.html).

**IV.B.2.2 Assurances –** Include with your proposal a completed and signed SF 424B – Assurances – Non-Construction Programs or an SF 424D – Assurances – Construction Programs. This form must be signed by a person legally authorized to commit your organization to performance of the project. **Inclusion of a properly signed SF 424B or SF 424D in your proposal is a mandatory requirement. Failure to adhere to this requirement will result in the elimination of your proposal from further consideration.** These forms are available at [http://www.whitehouse.gov/omb/grants/grants\\_forms.html](http://www.whitehouse.gov/omb/grants/grants_forms.html).

**IV.B.2.3 Environmental and Regulatory Compliance –** Applicants are required to comply with all applicable State, Federal, and local environmental, cultural, and paleontological resource protection laws and regulations. These may include, but are not limited to, the National Environmental Policy Act (NEPA), including the Council on Environmental Quality and Department of the Interior regulations implementing NEPA, the Clean Water Act, the National Historic Preservation Act (NHPA), which requires consultation with the State Historic Preservation Office, the Endangered Species Act (ESA), and could require consultation with potentially affected Tribes.

Reclamation is the lead Federal agency for NEPA compliance. As the lead agency, Reclamation is solely responsible for determining the appropriate level of NEPA compliance, which could be a categorical exclusions checklist, environmental assessment, or environmental impact statement. However, a project sponsor (or their contractor) can provide much of the necessary information and data analyses.

In order to allow Reclamation to assess the probable environmental impacts and associated costs for each proposal, all applicants must respond to the following list of questions focusing on the requirements of NEPA, the Endangered Species Act, and the National Historic Preservation Act. If any question is not applicable to your project, please explain why. If you have any questions, please contact your local Reclamation office.

- (1) Will your project impact the surrounding environment (i.e. soil [dust], air, water [quality and quantity], animal habitat, and other environmental impacts associated with the proposal? If so, please explain the impacts and any steps that could be taken to minimize the impacts.
- (2) Are you aware of any endangered or threatened species in the project area?

In addition, applicants must obtain all required approvals and permits, and shall coordinate and obtain any approvals required from site owners and operators. Applicants should state in their proposals whether any permits or approvals are required, and explain the applicant's plan for obtaining such permits or approvals.

Environmental and regulatory compliance costs are addressed in Section IV.D.2.7, below.

#### **IV.C. FUNDING PLAN INSTRUCTIONS**

The applicant's proposal shall include a funding plan that describes amount of funding they are applying for or have received from other sources for any portion of this project. Reclamation will use this information in making a determination of financial capability.

#### **IV.D. BUDGET PROPOSAL INSTRUCTIONS**

##### **IV.D.1 General Requirements**

Include a project budget with the annual estimated project costs associated with the proposed project. Additionally, the proposal should contain an estimate of any increase or decrease in annual operation and maintenance (O&M) costs resulting from the project. The price base (date) for construction and O&M estimates should also be included. The project budget should include the value of in-kind contributions of goods and services and sources of funds provided to complete the project.

##### **IV.D.2 Budget Proposal Format (see section IV.B.1)**

The project budget shall clearly identify all project costs by task and the funding source, i.e., Reclamation, Applicant, or other funding sources.

**Applicants are required to disclose any other sources and amount of funding they are applying for or have received for any portion of this project.** Additionally, applicants should include a narrative description of the items included in the project budget.  
**Submission of the following information is mandatory. Award will not be made to any applicant who fails to fully disclose the following information.**

**IV.D.2.1 Salaries and Wages and Qualifications of the Applicant/ Cooperators– Salaries and Wages**-Indicate program manager and other key personnel by name and title. Other personnel may be indicated by title alone. For all positions, indicate salaries and wages, estimated hours or percent of time, and rate of compensation proposed. All labor estimates, including any proposed subcontractors, shall be allocated to specific tasks as outlined in the Recipient's technical proposal. Labor rates and proposed hours shall be displayed for each task.

Clearly identify any proposed salary increases and the effective date.

Generally, salaries of administrative and/or clerical personnel should be included as a portion of your indirect costs. If these salaries can be adequately documented as direct costs, they may be included in this section; however, an explanation should be included in your budget narrative.

**Qualifications**- Include a qualifications statement of the project manager(s). Statements may be attached to the end of the Application and shall not exceed two pages.

Identify and describe the role of any external cooperators that will be used for this project.

**IV.D.2.2 Fringe Benefits** – Indicate rates/amounts, what costs are included in this category, and the basis of the rate computations. Indicate whether these rates are used for proposal purposes only or whether they are fixed or provisional rates for billing purposes. Federally-approved rate agreements are acceptable for compliance with this item.

**IV.D.2.3 Travel** – Include purpose of trip, destination, number traveling, length of stay and all travel costs including airfare (basis for rate used), per diem, lodging, and miscellaneous travel expenses. For local travel, include mileage and rate of compensation.

**IV.D.2.4 Equipment** – Itemize costs of all equipment having a value of over \$500 and include information as to the need for this equipment.

**IV.D.2.5 Supplies** – Itemize supplies by major category, quantity, and purpose, such as whether the items are needed for office use, research, or construction.

**IV.D.2.6 Contractual** – Identify all work that will be accomplished by sub-recipients, consultants, or contractors, including a detailed budget estimate of time, rates, supplies, and materials that will be required for the task. If a sub-recipient, consultant, or contractor is proposed and approved at time of award, no other approvals will be required. Any changes or additions will require a request for approval.

**IV.D.2.7 Environmental and Regulatory Compliance Costs** – Reference cost incurred by Reclamation or the applicant in complying with environmental regulations applicable to a Lake Tahoe Regional Development project, which include NEPA, ESA, NHPA and the Clean Water Act, and other regulations depending on the project, including costs associated with any required permits or approvals.

**IV.D.2.8 Other** – Any other expenses, such as those for reporting, not included in the above categories shall be listed in this category, along with a description of the item and what it will be used for. No profit or fee will be allowed.

Funding for contingencies will only be considered in association with construction projects. Proposals for construction contingency funding at a rate greater than 10% will not be found acceptable.

**IV.D.2.9 Indirect Cost** – Show the proposed rate, cost base, and proposed amount for allowable indirect costs based on the applicable OMB circular cost principles (see Section VIII) for the recipient's organization. It is not acceptable to simply incorporate indirect rates within other direct cost line items.

If the recipient has separate rates for recovery of labor overhead and general and administrative costs, each rate shall be shown. The applicant should propose rates for evaluation purposes which will be used as fixed or ceiling rates in any resulting award. Include a copy of any federally-approved Indirect Cost Rate Agreement.

If you do not have a Federally-approved Indirect Cost Rate Agreement or if unapproved rates are used, explain why, and include the computational basis for the indirect expense pool and corresponding allocation base for each rate. Information on “Preparing and Submitting Indirect Cost Proposals” is available from the Department of the Interior, National Business Center, Indirect Cost Section, at <http://www.nbc.gov/icshome.cfm>.

**IV.D.2.10 Total Cost** – Indicate total amount of project costs, including the Federal and non-Federal cost share amounts.

**IV.D.2.11 Budget Information** – In addition to the above-described budget information, the applicant must complete an SF 424A, Budget Information – Non-construction Programs, or an SF 424C, Budget Information, Construction Programs. These forms are available at [http://www.whitehouse.gov/omb/grants/grants\\_forms.html](http://www.whitehouse.gov/omb/grants/grants_forms.html).

#### **IV.E. DATE FOR RECEIPT OF PROPOSALS**

**Proposals will be accepted until 3:00 p.m., Pacific Standard Time, on June 7, 2010. Proposals received after this date and time will not be considered for award.**

#### **IV.F. PROPOSAL DELIVERY INSTRUCTIONS**

Proposals shall be submitted in hard copy only and addressed as follows (**facsimile transmissions of proposals will not be accepted**):

**Mailing Address:**

Bureau of Reclamation  
Mid Pacific Region  
Attn: Maria E. Castaneda (MP-3813)  
2800 Cottage Way, Room E-1815  
Sacramento CA 95825-1898

**IV.G. PROPOSAL SUBMISSION CHECKLIST**

A Proposal Submission Checklist has been included in this Funding Opportunity Announcement. The Checklist contains a summary of the information you are required to submit with your application.

**SECTION V -- APPLICATION REVIEW INFORMATION**

**V.A. EVALUATION AND RANKING CRITERIA**

**V.A.1 EVALUATION CRITERIA**

Proposals will be evaluated by a technical panel in accordance with the criteria listed below. The relative importance placed on the evaluation criteria is shown in descending order of importance.

**V.A.2 DESCRIPTION OF RANKING CRITERIA**

**I. Introduction**

This section presents the ranking criteria for each proposal along with general guidelines for funding used during evaluation of proposals being considered for funding by the LTRWDP.

**II. General Considerations**

The following considerations are used to evaluate each proposal:

- 1) Actions funded by the LTRWDP are opportunity driven. Funding decisions are often dependent on the number and scope of proposals received in a given year.
- 2) The past performance of an applicant is considered during project selection. Poor performance during implementation of past grant agreements might weigh against further funding.
- 3) Project feasibility is considered during proposal selection. The Program manager determines whether a project will result in real benefits to environmental thresholds in a cost-effective manner before making funding decisions.

### **III. Proposal Ranking Criteria**

#### Eligibility to Rank

This criterion considers whether or not the proposal merits ranking. The technical team will determine this by considering the following: 1) compliance with the terms and conditions of the RFA, and 2) past performance of the project applicant in cases where the applicant has received funding in the past from the LTRWDP or other programs, and their performance related to this funding is measurable. Specifically, for compliance with the terms and conditions of the RFA, we will consider whether or not the proposal meets the goals and objectives of the LTRWDP. For past performance, we will consider how well the project applicant, as a previous recipient, complied with submitting invoices, reports, and other requested for previous projects in a complete and timely manner; communicated and coordinated on past projects between themselves and the funding agency; complied with the terms and conditions of previous agreements; was responsive to requested information.

#### Program Priority

This criterion addresses a proposal's relationship to the annual priorities of the LTRWDP. Each year the Program establishes these priorities based on past expenditures and existing needs. A proposal that addresses needs within these priorities will be ranked accordingly. Priorities are indicated in the Programs' Request for Funding Opportunity on [www.Grants.gov](http://www.Grants.gov), Section I. B, Eligible Projects.

Within the scope of Watershed and Habitat Improvement Focus Area or the Forest Health Focus Area as described in "A Federal Vision for the Environmental Improvement Program at Lake Tahoe" and excerpted below.

"Programs and projects within the Watershed and Habitat Improvement Focus Area are intended to improve water quality; sensitive species and wildlife habitat; and stream environment zones (SEZs). Water quality is protected by retrofitting facilities, roads and trails, and other projects. Water quality is also protected through SEZ restoration which reduces stream bank erosion. These programs and projects protect or restore sensitive species habitat. Large-scale vegetation improvement projects are not part of this Focus Area, but are part of the Forest Health Focus Area. Education is a critical emphasis under the Watershed and Habitat Improvement Focus Area, as an informed public that understands and supports these projects and understands how to reduce impact to sensitive areas is essential to EIP success."

"Programs and projects within the Forest Health Focus Area are intended to improve overall forest condition for wildlife, plants and visitor use. Past human activity has resulted in a forest that has an unhealthy mix of species and density of trees, which creates a severe fire hazard. Projects will restore the forest to a healthier condition and reduce fire hazard. Other projects could include aspen stand enhancement and meadow restoration. Both of these ecosystems are impacted by conifer encroachment. Education about healthy forest condition and fire safe behavior is key to garnering public support and cooperation for needed forest projects."

#### Environmental Threshold attainment

This criterion considers a project's impact on environmental thresholds as defined in the Tahoe Regional Planning Agency's Environmental Improvement Program. The environmental thresholds of interest include water quality, soil conservation (stream environment zone), wildlife, fisheries and vegetation.

Project Urgency

The purpose of this criterion is to evaluate and assign a scale of urgency to an action, based on: 1) the level of environmental degradation addressed in a proposal and 2) the resulting threat should the action not be carried out. During proposal evaluation, the Technical Team will ask the question “How badly do we need to do this project?” in the context of the overall goals of the LTRWDP.

Cumulative Benefit

This criterion considers a project’s impact on environmental thresholds in relation to the collective influence of other on-going or planned activities.

Project Site Connectivity

This criterion is used to distinguish between projects that have synergistic benefits because they are in proximity to other projects or protected areas, rather than those that are isolated and diminished in value because of that isolation. This criterion is related to “Cumulative Benefit” but is specific to project location, and does not consider other collective influences on the project’s overall impact and effectiveness.

Partners

This criterion distinguishes projects where there will be contributions of cash or in-kind services toward the total cost of the project. Project proponents must specify the following in their proposals: (1) specific partners and (2) specific funding amounts or in-kind services (as a percentage of total cost) from those partners. This information must be provided in order for partnering levels to be ascertained and counted. Unfunded cost of the project (other than that requested from the LTRWDP) will not be considered as a level of partnering unless the above information is specified. Project applicants are also required to equate in-kind services to dollars, or these services will not be considered when partnering levels are being tallied. This criterion does allow for past contributions to the overall objective of a project. For example, if a proposal seeks funds for the last phase of a riparian restoration project, funding of earlier phases would be counted when determining partnering levels. It should also be noted that failure to secure funds from other specified sources may jeopardize delivery of funds under a LTRWDP funding agreement. It is highly encouraged that project applicants seek other sources of funding along with funding from the LTRWDP.

Technical Merit and Completeness of Proposal

Projects should be well described in the proposals and will be ranked for completeness and technical accuracy. The Technical Team will consider how well the objectives and methods are explained; whether backup documentation is complete and detailed; quality of maps and tables; how well the proposal addresses the ranking criteria; and how well the proposal package adhered to the required format.

LTRWDP Cost

No ranking is applied to this criterion, but the information is used to evaluate the relative amount of cost-share contributions to be provided by partners.

Total Cost

No ranking is applied to this criterion, but the information is used to evaluate the relative amount of cost-share contributions to be provided by partners.

## **SECTION VI -- AWARD ADMINISTRATION INFORMATION**

### **VI.A. AWARD NOTICES**

Successful applicants will receive by mail a notice of award of a Grant or Cooperative Agreement document, signed by a Grants Officer, notifying the applicant of project award and project starting date.

### **VI.B. AWARD DOCUMENT**

If your organization is awarded an agreement as a result of this Request for Funding Opportunity, the applicable portions of Sections II, III, and VIII of this document will be included in the resulting agreement.

### **VI.C. REPORTING REQUIREMENTS AND DISTRIBUTION**

If your organization is awarded an agreement as a result of this Request for Funding Opportunity, Reclamation may require you to submit the following types of reports during the term of the agreement. Detailed information on the type, frequency, and distribution of these reports is included in Section VIII.B.4, titled Reporting Requirements and Distribution, of this document.

#### **VI.C.1 Financial Reports**

- SF-425, Financial Status Report
- SF-272, Report of Federal Cash Transactions

#### **VI.C.2 Program Performance Reports**

- Interim Reports
- Annual Reports
- Final Report

#### **VI.C.3 Significant Developments Reports**

## **SECTION VII -- AGENCY CONTACT**

Organizations or individuals interested in submitting proposals in response to this solicitation may direct questions to Reclamation in writing.

Questions may be submitted to the attention of Jeff Palachat, Grants Officer, as follows:

#### **By mail:**

Bureau of Reclamation  
Mid-Pacific Region  
Attn: Jeff Palachat (MP 3818)  
2800 Cottage Way, Room E-1815  
Sacramento CA 95825-1898

**E-mail:** [spalachat@usbr.gov](mailto:spalachat@usbr.gov)

**RECLAMATION:**

Ms. Myrnie Mayville  
Lake Tahoe Regional Development Program Manager  
Bureau of Reclamation  
P.O. Box 5310  
Stateline, NV 89449-5310  
(775) 589-5240  
**E-mail:** [mmayville@usbr.gov](mailto:mmayville@usbr.gov)

**SECTION VIII -- OTHER INFORMATION**

If you are awarded a Cooperative Agreement/Grant as a result of this Request for Funding Opportunity, the following General Provisions and Special Provisions may be included in your agreement by the administering agency.

**VIII.A. GENERAL PROVISIONS**

**VIII.A.1 Regulations and Guidance**

The regulations at 43 CFR, Part 12, Subparts A, C, E, and F, are hereby incorporated by reference as though set forth in full text. The following Office of Management and Budget (OMB) Circulars, as applicable, and as implemented by 43 CFR Part 12, are also incorporated by reference and made a part of this agreement. Failure of a recipient to comply with any applicable regulation or circular may be the basis for withholding payments for proper charges made by the recipient and/or for termination of support. Copies of OMB Circulars are available at [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html). The implementation of the circulars at 43 CFR Part 12 is available at <http://www.gpoaccess.gov/ecfr/>.

**VIII.A.1.1 COLLEGES AND UNIVERSITIES that are recipients or sub-recipients shall use the following:**

Circular A-21, revised May 10, 2004, "Cost Principles for Educational Institutions"

Circular A-110, as amended September 30, 1999, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations" (Codification by Department of Interior, 43 CFR 12, Subpart F)

Circular A-133, revised June 27, 2003, "Audits of States, Local Governments, and Non-Profit Organizations"

**VIII.A.1.2 STATE, LOCAL AND TRIBAL GOVERNMENTS that are recipients or sub-recipients shall use the following:**

Circular A-87, as amended May 10, 2004, "Cost Principles for State, Local, and Indian Tribal Governments"

Circular A-102, as amended August 29, 1997, "Grants and Cooperative Agreements with State and Local Governments" (Grants Management Common Rule, Codification by Department of Interior, 43 CFR 12, Subpart C)

Circular A-133, revised June 27, 2003, "Audits of States, Local Governments, and Non-Profit Organizations"

**VIII.A.1.3 NONPROFIT ORGANIZATIONS that are recipients or subrecipients shall use the following:**

Circular A-110, as amended September 30, 1999, "Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations" (Codification by Department of Interior, 43 CFR 12, Subpart F)

Circular A-122, revised May 10, 2004, "Cost Principles for Non-Profit Organizations"

Circular A-133, revised June 27, 2003, "Audits of States, Local Governments, and Non-Profit Organizations@

**VIII.A.1.4 ORGANIZATIONS OTHER THAN THOSE INDICATED ABOVE** that are recipients or sub-recipients shall use the basic principles of OMB Circular A-110 (Codification by Department of Interior, 43 CFR 12, Subpart F), and cost principles shall be in accordance with 48 CFR Subpart 31.2, titled "Contracts with Commercial Organizations," which is available at <http://www.gpoaccess.gov/ecfr/> .

**VIII.A.1.5** Additionally, please reference 43 CFR 12.77 for further regulations that cover the award and administration of sub-awards by State governments.

**VIII.A.2 Debarment and Suspension**

The Department of the Interior regulations at 43 CFR 42, Government-wide Debarment and Suspension (Non-procurement), which adopt the common rule for the government-wide system of debarment and suspension for non-procurement activities, are hereby incorporated by reference and made a part of this agreement. By entering into this grant or cooperative agreement with the Bureau of Reclamation, the recipient agrees to comply with 43 CFR 42, Subpart C, and agrees to include a similar term or condition in all lower-tier covered transactions. These regulations are available at <http://www.gpoaccess.gov/ecfr/>

**VIII.A.3 Drug-Free Workplace**

The Department of the Interior regulations at 43 CFR 43-Governmentwide Requirements for Drug-Free Workplace (Financial Assistance), which adopt the portion of the Drug-Free Workplace Act of 1988 (41 U.S.C. 701 et seq, as amended) applicable to grants and cooperative agreements, are hereby incorporated by reference and made a part of this agreement. By entering into this grant or cooperative agreement with the Bureau of Reclamation, the recipient agrees to comply with 43 CFR 43, Subpart B, if the recipient is not an individual, or with 43 CFR 43, Subpart C, if the recipient is an individual. These regulations are available at <http://www.gpoaccess.gov/ecfr/>.

#### **VIII.A.4 Assurances and Certifications Incorporated by Reference**

**VIII.A.4.1.** The provisions of the Assurances, SF 424B or SF 424D as applicable, executed by the Recipient in connection with this agreement shall apply with full force and effect to this agreement as if fully set forth in these General Provisions. Such Assurances include, but are not limited to, the promise to comply with all applicable Federal statutes and orders relating to nondiscrimination in employment, assistance, and housing; the Hatch Act; Federal wage and hour laws and regulations and work place safety standards; Federal environmental laws and regulations and the Endangered Species Act; and Federal protection of rivers and waterways and historic and archeological preservation.

**VIII.A.4.2** When required by 43 CFR 18-New Restrictions on Lobbying, recipients shall complete a Certification Regarding Lobbying form. This certification is incorporated by reference and made a part of this agreement. These regulations are available at <http://www.gpoaccess.gov/ecfr/>.

#### **VIII.A.5 Covenant against Contingent Fees**

The recipient warrants that no person or agency has been employed or retained to solicit or secure this agreement upon an agreement or understanding for a commission, percentage, brokerage, or contingent fee, excepting bona fide employees or bona fide offices established and maintained by the recipient for the purpose of securing agreements or business. For breach or violation of this warranty, the Government shall have the right to annul this agreement without liability or, in its discretion, to deduct from the agreement amount, or otherwise recover, the full amount of such commission, percentage, brokerage, or contingent fee.

#### **VIII.A.6 Contracting with Small and Minority Firms, and Women's Business Enterprises**

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.

**VIII.A.6.1** The grantee and sub-grantee shall take all necessary affirmative steps to assure that minority firms, and women's business enterprises are used when possible.

**VIII.A.6.2** Affirmative steps shall include:

**VIII.A.6.2.1** Placing qualified small and minority businesses and women's business enterprises on solicitation lists;

**VIII.A.6.2.2** Assuring that small and minority businesses, and women's business enterprises are solicited whenever they are potential sources;

**VIII.A.6.2.3** 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;

**VIII.A.6.2.4** Establishing delivery schedules, where the requirement permits, which encourage participation by small and minority business, and women's business enterprises;

**VIII.A.6.2.5** Using the services and assistance of the Small Business Administration, and the Minority Business Development Agency of the Department of Commerce as appropriate, and

**VIII.A.6.2.6** Requiring the prime contractor, if subcontracts are to be let, to take the affirmative steps listed in A.6.2.1 through A.6.2.5, above.

### **VIII.A.7 Notice Regarding Buy American Act**

In accordance with the annual Energy and Water Development Appropriations Act, please be advised that it is and has been the sense of Congress that, to the greatest extent practicable, all equipment and products purchased with funds made available in this Act should be American-made. This provision shall remain in effect unless revoked by a future specific act of Congress.

### **VIII.A.8 Resolving Disagreements**

When entering into a cooperative agreement with a recipient, Reclamation commits itself to working with the recipient in a harmonious manner to achieve the objectives of the project successfully. When disagreements arise between the parties, they must be resolved according to the procedures discussed below:

**VIII.A.8.1** Reclamation shall attempt first to resolve disagreements with the recipient through informal discussion among the Grants Officer (GO), the Program Officer, and the recipient's Project Director.

**VIII.A.8.2** If the disagreement cannot be resolved through informal discussion between these parties, the GO and the Program Officer shall document the nature of the disagreement and bring it to the attention of the Grant Office Manager.

**VIII.A.8.3** After reviewing the facts of the disagreement, as presented by the Grants and Program Offices, the Grant Officer Manager will arrange a formal meeting. If agreement still cannot be reached, the parties will collectively decide on any varied approaches which might be used to resolve the disagreement. The parties shall be responsible for their individual expenses related to any approach utilized to resolve the disagreement. If attempts at resolving the disagreement fail, the Chief, Acquisition and Assistance Management Division, or the Regional Director, whichever is applicable, shall make a decision which shall be final and conclusive.

**VIII.A.8.4** Nothing herein shall be construed to delay or limit Reclamation's right to take immediate and appropriate action, as set forth at 43 CFR Subpart 12.83 or 12.962, as applicable, in the event of material noncompliance by the recipient, and no attempts at informal resolution shall be necessary.

Any post award issue will be open for resolution in accordance with the above procedures, with the exception of disagreements regarding continuation of the agreement (termination must be in accordance with 43 CFR 12), or other matters specifically addressed by the agreement itself.

### **VIII.A.9 Lobbying Restrictions**

In accordance with the annual Energy and Water Development Appropriations Act, please be advised that it is and has been the sense of Congress that none of the funds appropriated by this Act may be used in any way, directly or indirectly, to influence Congressional action on any legislation or appropriation matters pending before Congress, other than to communicate

to Members of Congress as described in 18 U.S.C. 1913. This provision shall remain in effect unless revoked by a future specific act of Congress.

#### **VIII.A.10 Electronic Funds Transfer (EFT)**

In accordance with the Debt Collection Improvement Act of 1996, 31 CFR 208, effective January 2, 1999, all Federal payments to recipients must be made by EFT unless a waiver has been granted in accordance with 31 CFR 208.4. Upon award of a financial assistance agreement, Reclamation will provide the recipient with further instructions for implementation of EFT payments or a certification form to request exemption from EFT.

#### **VIII.A.11 Endorsement of Commercial Products and Services**

In accordance with 43 CFR 12.2(d), this provision applies to grants and cooperative agreements whose principal purpose is a partnership where the recipient contributes resources to promote agency programs, publicize agency activities, assists in fund-raising, or provides assistance to the agency. If the agreement is awarded to a recipient, other than a State government, a local government, or a federally-recognized Indian tribal government, and the agreement authorizes joint dissemination of information and promotion of activities being supported, the following provision shall be made a term and condition of the award:

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 which 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.

All information submitted for publication or other 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 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.

A recipient further agrees to include this provision in a sub-award to any sub-recipient, except for a sub-award to a State government, a local government, or to a federally-recognized Indian tribal government.

## VIII.B. SPECIAL PROVISIONS

### VIII.B.1 Grants Officer Representative (GOR) (Reclamation 08/03)

The GOR for this agreement will be:

Bureau of Reclamation  
Attn: (To be completed at time of award)  
Address:  
Telephone:

The GOR is authorized to act only on technical matters during the term of this Agreement. The GOR and the Recipient's Project Manager shall work closely to insure that all requirements of the Agreement are being met. The GOR's responsibilities include, but are not limited to, the following:

- (a) Assist the Recipient concerning the accomplishment of the tasks described in the Agreement;
- (b) Provide information to the Recipient which assists in the interpretation of the tasks; and
- (c) Review, and where required, approve reports and information to be delivered to the Government.

Technical assistance must be within the general scope of the Agreement. The GOR does not have the authority to and may not issue any technical assistance which:

- (a) Constitutes an assignment of additional work outside the general scope of the Agreement;
- (b) In any manner causes an increase or decrease in the total estimated cost or the time required for performance; or
- (c) Changes any of the expressed terms, conditions, or specifications.

### VIII.B.2 Payment Policy (Reclamation 11/03)

Acceptance of a financial assistance agreement from Reclamation creates a legal responsibility on the part of the recipient organization to use the funds and property provided in accordance with the terms and conditions of the agreement. Reclamation has a reversionary interest in the unused balance of funding and in any funds improperly applied.

Payments to recipients are made in accordance with the basic standards and methods stated in the payment regulations at 43 CFR 12.61 or 43 CFR 12.922, as applicable to this agreement. These requirements are intended to minimize the time elapsing between the transfer of funds from the Federal government and the disbursement of these funds by the recipient.

Payment will be made in advance or by reimbursement as follows:

- (1) Advance Payment** -- Recipients shall be paid in advance provided (1) they maintain or demonstrate the willingness and ability to maintain procedures to minimize the time elapsing between the transfer of funds and their disbursement by the recipient, (2) they

comply with reporting requirements for timely submission of financial status reports, and (3) they impose these same standards on sub-recipients.

Advances to recipients shall be limited to the minimum amounts needed and shall be timed to be in accordance with the actual, immediate cash requirements of the recipient in carrying out the purpose of the agreement. The timing and amount of cash advances shall be as close as administratively feasible (generally no more than 3 days) to actual disbursements for direct program costs and the proportionate share of allowable indirect costs.

**(2) Reimbursement** -- Reimbursement shall be the preferred method of payment when a recipient (1) does not meet the requirements for advance payment stated above; (2) does not have financial management systems that meet the standards in 43 CFR 12.60 or 43 CFR 12.921, as applicable; or (3) has been converted to payment restrictions for non-compliance with the terms and conditions of the agreement. Reimbursement is also the preferred method of payment for agreements involving construction.

### **VIII.B.3 Payment Method (Reclamation 11/03)**

**Electronic Funds Transfer** -- Payments under this agreement will be made to recipients by electronic funds transfer (EFT) unless the recipient qualifies for exemption from this payment method. Whether funds are paid in advance or as a reimbursement, the actual payment will be made through Vendor Express. Vendor Express allows the Government to transfer funds to a recipient's financial institution along with explanatory information regarding the payment.

**Requesting Payments** - Requests for advance or reimbursement may be made by the following methods:

**(1) SF-270, Request for Advance or Reimbursement** - On a monthly basis, recipients may submit an original and two copies of a properly certified SF-270 form to the address identified in Block [ # 6], page 1, of this agreement. For advance payments, this form may be submitted on a monthly basis, at least two weeks prior to the date on which funds are required, and on the basis of expected disbursements for the succeeding month and the amount of Federal funds already on hand. Requests for reimbursement may be submitted on a monthly basis, or more frequently if authorized by the Grants Officer (GO). Requested funds are delivered to the recipient via ACH Vendor Express. This form is available on the Internet at [http://www.whitehouse.gov/omb/grants/grants\\_forms.html](http://www.whitehouse.gov/omb/grants/grants_forms.html).

**(2) SF-271, Outlay Report and Request for Reimbursement for Construction Programs** - The SF-271 shall be used for construction agreements paid by the reimbursement method, letter of credit, electronic funds transfer, or Treasury check advance, except where the advance is based on periodic requests from the recipient, in which case the SF-270 shall be used. This request may be submitted on a quarterly basis, but no less frequently than on an annual basis. Recipients may submit an original and two copies of a properly certified SF-271 form to the address identified in Block [#6], page 1, of this agreement. This form is available on the Internet at [http://www.whitehouse.gov/omb/grants/grants\\_forms.html](http://www.whitehouse.gov/omb/grants/grants_forms.html).

**(3) Automated Standard Application for Payments (ASAP)** - Recipients may utilize the Department of Treasury ASAP payment system to request advances or reimbursements. ASAP is a recipient-initiated payment and information system designed to provide a single point of contact for the request and delivery of Federal funds. Once a request is made through ASAP, funds are provided to the recipient either through ACH or Fedwire. Further information regarding ASAP may be obtained from the ASAP website at

<http://www.fms.treas.gov/asap>. Upon award, you will be provided with information regarding enrollment in the ASAP system.

#### **VIII.B.4 Reporting Requirements and Distribution (Reclamation 11/03)**

Failure to comply with the reporting requirements contained in this agreement may be considered a material non-compliance with the terms and conditions of the award. Non-compliance may result in withholding of payments pending receipt of required reports, denying both the use of funds and matching credit for all or part of the cost of the activity or action not in compliance, whole or partial suspension or termination of the agreement, recovery of funds paid under the agreement, withholding of future awards, or other legal remedies.

**(1) Financial Reports** - All financial reports shall be signed by an Authorized Certifying Official for the recipient's organization. The following forms are available at [http://www.whitehouse.gov/omb/grants/grants\\_forms.html](http://www.whitehouse.gov/omb/grants/grants_forms.html).

**(a) SF-425 Financial Status Report** - This form is utilized to report total expenditures for the reporting period. The SF-425 must be used if the recipient is accountable for the use of program income.

An original and two copies of this form shall be submitted quarterly within 30 days following the end of each reporting period.

A final SF-425 shall be submitted within 90 days following completion of the agreement.

**(b) SF-272, Report of Federal Cash Transactions** - This report shall be submitted by recipients that draw down cash advances by means of electronic funds transfer or Treasury check. Recipients shall identify in the "Remarks" section the amount of cash advances received in excess of 3 days prior to disbursement and explain actions taken to reduce excess balances.

An original and two copies of this form shall be submitted on a quarterly basis within 15 days following the end of the reporting period.

#### **(2) Program Performance Reports**

**(a) Interim Reports** - Recipients shall submit an original and two copies of program performance reports on a quarterly basis within 30 days following the end of each reporting period. Program performance reports shall contain the following:

(i) A comparison of actual accomplishments with the goals and objectives established for the reporting period;

(ii) Where project output can be quantified, a computation of the cost per unit of output;

(iii) When appropriate, reasons why goals and objectives were not met; and

(iv) Other pertinent information including, when appropriate, analysis and explanation of cost overruns or high unit costs.

**(b) Annual Reports** - An original and two copies of an annual program performance report shall be submitted within 90 days following the end of each year of the agreement. Copies of this report may be required to be included with any application for continuing support of the agreement.

**(c) Final Report** - An original and two copies of the final program performance report shall be submitted no later than 90 days following the expiration or termination of the agreement.

**(3) Significant Developments**

During the term of the agreement, the recipient must immediately notify the GO if any of the following conditions become known:

(a) Problems, delays or adverse conditions which will materially impair their ability to meet the objectives of the agreement;

(b) Favorable developments which enable the recipient to meet time schedules and objectives sooner than or at less cost than projected or to produce more beneficial results than originally planned.

This notification is to include information on the actions taken or contemplated to resolve problems, delays, or adverse conditions, and any assistance needed from Reclamation to help resolve the problem.

**(4) Report Distribution**

Copies of reports shall be distributed as follows:

TYPE OF AGREEMENT	GO (Block 6, Page 1)	GOR (Block 8, Page 1)
Financial Reports	1	2
Performance Reports	1	2
Significant Developments	1	2

**VIII.B.5 Modifications (Reclamation 08/03)**

Any changes to this agreement shall be made by means of a written modification. Reclamation may make changes to the agreement by means of a unilateral modification to deal with administrative matters, such as changes in address, no-cost time extensions, the addition of previously agreed upon funding, or de-obligation of excess funds at the end of the agreement. Additionally, a unilateral modification may be utilized by Reclamation if it should become necessary to suspend or terminate the agreement in accordance with 43 CFR 12.83 or 43 CFR 12.961, as applicable.

All other changes shall be made by means of a bilateral modification to the agreement. No oral statement made by any person, or written statement by any person other than the GO, shall be allowed in any manner or degree to modify or otherwise effect the terms of the Agreement.

All requests for modification of the Agreement shall be made in writing, provide a full description of the reason for the request, and be sent to the attention of the GO. Any request for project extension shall be made at least 45 days prior to the expiration date of the agreement or the expiration date of any extension period that may have been previously

granted. Any determination to extend the period of performance or to provide follow-on funding for continuation of a project is solely at the discretion of Reclamation.

**VIII.B.6 Recipient's Project Manager (Reclamation 08/03)**

The Recipient's Project Manager for this Agreement shall be **(To be completed at time of award)**.

**VIII.B.7 Funds Available for Payment (Reclamation 08/03)**

The Government's obligation under this Agreement is contingent upon the availability of appropriated funds from which payment for Agreement purposes can be made. No legal liability on the part of the Government for any payment may arise until funds are made available to the GO for this Agreement, and until the Recipient receives notice of such availability, to be confirmed in writing to the Recipient by the GO.

Funds for payment under the first year of this agreement are included in the fiscal year 2010, Energy and Water Development Appropriation Act, Public Law 111-85. Funding for any optional year of the agreement is contingent upon subsequent Congressional funding.

**VIII.B.8 Reimbursable Costs and Limitations (Reclamation 08/03)**

**VIII.B.8.1** The Recipient shall provide all personnel, services, facilities, equipment, materials and supplies, and perform all travel which may be necessary and appropriate for the proper performance of this Agreement. Costs so incurred will be paid for as provided herein. Reclamation's obligation to provide funding to the Recipient for costs incurred in these connections shall be limited to the Recipient's direct and indirect costs associated with this Agreement. All such direct and indirect costs must be determined to be allowable under the regulations contained in 48 CFR Subpart 31.2 or an OMB Cost Principle Circular, as applicable, which are incorporated herein through the General Provisions of this agreement.

**VIII.B.8.2** The recipient shall not incur costs or obligate funds for any purpose pertaining to operation of the program or activities beyond the expiration date stated in the agreement. The only costs which are authorized for a period of up to 90 days following the award expiration date are those strictly associated with closeout activities for preparation of the final report.

**VIII.B.8.3** Reclamation's financial participation is limited. Reclamation will only fund up to its share of those amounts requested in the project proposal and as are subsequently approved and funded in the agreement. The recipient shall not be obligated to continue performance under the agreement or to incur costs in excess of the costs set forth in the proposal and subsequent agreement. However, if the recipient chooses to expend funds in excess of the approved project budget, the recipient will be responsible to fund the excess without funding participation by Reclamation.

**VIII.B.9 Budget Revisions (Reclamation 08/03)**

The Recipient shall follow the requirements at 43 CFR 12.70(c) or 43 CFR 12.925, as applicable, when making revisions to budget and program plans. Additionally, approval shall be requested for transfers of amounts budgeted for indirect costs to absorb increases in direct costs, or vice versa.

**VIII.B.10 Procurement Standards (Reclamation 08/03)**

When utilizing Federal funds for the procurement of supplies and other expendable property, equipment, real property, and other services under this agreement, the Recipient shall utilize the Procurement Standards set forth at 43 CFR 12.76 or 43 CFR 12.940 -12.948, as applicable. The Recipient may be required to submit evidence that its procurement procedures are in compliance with the standards stated therein. Additional guidance for contracting with small and minority firms, and women's business enterprises, is included in the General Provisions section of this agreement.

**VIII.B.11 Property Standards (Reclamation 08/03)**

All property, equipment and supplies acquired by the Recipient with Federal funds shall be subject to usage, management, and disposal in accordance with the Property Standards at 43 CFR 12.72 - 12.73, or 43 CFR 12.930 - 12.937, as applicable.

**VIII.B.12 Inspection (Reclamation 08/03)**

Reclamation has the right to inspect and evaluate the work performed or being performed under this agreement, and the premises where the work is being performed, at all reasonable times and in a manner that will not unduly delay the work. If Reclamation performs inspection or evaluation on the premises of the Recipient or a sub-recipient, the Recipient shall furnish and shall require sub-recipients to furnish all reasonable facilities and assistance for the safe and convenient performance of these duties.

**VIII.B.13 Audit (Reclamation 01/04)**

Non-Federal entities that expend \$300,000 (\$500,000 for fiscal years ending after December 31, 2003) or more in a year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507) and revised OMB Circular A-133, which is available at [http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html). Federal awards are defined as Federal financial assistance and Federal cost-reimbursement contracts that non-Federal entities receive directly from Federal awarding agencies or indirectly from pass-through entities. They do not include procurement contracts, under grants or contracts, used to buy goods or services from vendors. Non-Federal entities that expend less than \$300,000 (\$500,000 for fiscal years ending after December 31, 2003) a year in Federal awards are exempt from Federal audit requirements for that year, except as noted in A-133, §\_\_\_.215(a), but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and General Accounting Office (GAO).

Audits shall be made by an independent auditor in accordance with generally accepted government auditing standards covering financial audits. Additional audit requirements applicable to this agreement are found at 43 CFR 12.66 or 43 CFR 12.926, as applicable. General guidance on the single audit process is included in a pamphlet titled, "Highlights of the Single Audit Process" which is available on the internet at <http://www.dot.gov/ost/m60/grant/sincontact.htm>. Additional information on single audits is available from the Federal Audit Clearinghouse at <http://harvester.census.gov/sac/>.

**VIII.B.14 Enforcement (Reclamation 08/03)**

In accordance with 43 CFR 12.83 or 43 CFR 12.962, as applicable, if the recipient materially fails to comply with any term of this agreement, whether stated in a Federal statute or regulation, an assurance, in a State plan or application, a notice of award, or elsewhere, Reclamation may take one or more of the following actions as appropriate:

**VIII.B.14.1** Temporarily withhold cash payments pending correction of the deficiency by the recipient or sub-recipient or more severe enforcement action by the awarding agency;

**VIII.B.14.2** Disallow (deny both use of funds and any matching credit for) all or part of the cost of the activity or action not in compliance;

**VIII.B.14.3** Wholly or partly suspend or terminate the current award for the recipient's or sub-recipient's program;

**VIII.B.14.4** Withhold further awards for the program; or

**VIII.B.14.5** Take other remedies that may be legally available.

**VIII.B.15 Termination (Reclamation 08/03)**

In accordance with 43 CFR 12.84 or 43 CFR 12.961, as applicable, and except as provided for in the Enforcement Provision, above, this agreement may be terminated in whole or part only as follows:

**VIII.B.15.1** By the awarding agency with the consent of the recipient or sub-recipient in which case the two parties shall agree upon the termination conditions, including the effective date and in the case of partial termination, the portion to be terminated, or

**VIII.B.15.2** By the recipient, or sub-recipient, upon written notification to Reclamation, setting forth the reasons for such termination, the effective date, and, in the case of partial termination, the portion to be terminated. However, if, in the case of a partial termination, the awarding agency determines that the remaining portion of the award will not accomplish the purposes for which the award was made, the awarding agency may terminate the award in its entirety under either the Enforcement Provision or paragraph 1 of this Provision.

**VIII.B.16 Copyrights (Reclamation 08/03)**

**VIII.B.16.1** For recipients subject to the administrative standards set forth in OMB Circular A-110, the following copyright provision, as implemented by 43 CFR 12.936(a), shall apply:

“The recipient may copyright any work that is subject to copyright and was developed, or for which ownership was purchased, under an award. The Federal awarding agency(ies) reserves a royalty-free, nonexclusive and irrevocable right to reproduce, publish, or otherwise use the work for Federal purposes, and to authorize others to do so.”

**VIII.B.16.2** For recipients subject to the administrative standards set forth in OMB Circular A-102 and the Grants Management Common Rule, the following copyright provision, as implemented by 43 CFR 12.74, shall apply:

“The Federal awarding agency reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish or otherwise use, and to authorize others to use, for Federal Government purposes:

(a) The copyright in any work developed under a grant, sub-grant, or contract under a grant or sub-grant; and

(b) Any rights of copyright to which a grantee, sub-grantee or a contractor purchases ownership with grant support.”

**VIII.B.17 Rights to Data (Reclamation 08/03)**

For recipients subject to the administrative standards set forth in OMB Circular A-110, the following provision, as implemented by 43 CFR 12.936(c), shall apply:

"The Federal Government has the right to:

(1) Obtain, reproduce, publish or otherwise use the data first produced under an award; and

(2) Authorize others to receive, reproduce, publish, or otherwise use such data for Federal purposes.”

**VIII.B.18 Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) Requirement (Reclamation 07/04)**

Effective October 1, 2003, applicants for Federal grants or cooperative agreements must provide a D&B DUNS number with their application. This number is to be included in Block 5 of your SF 424 Application for Federal Assistance (Rev.9-2003), or in Block 6 of previous versions of the SF 424.

If you do not have a DUNS number, one may be obtained at no cost by calling the dedicated toll-free DUNS Number Request Line at 1-866-705-5711, or by going to the DUNS Government Contractor and Grantee website at <https://eupdate.dnb.com/requestoptions/government/ccrreg/>.

Individuals who would personally receive a grant or cooperative agreement award from the Federal government, apart from any business or non-profit organization they operate, are exempt from the requirement to provide a DUNS number with their application. Reclamation must, however, have a DUNS number for payment processing purposes, and will therefore obtain a DUNS number for any individual who is awarded a grant or cooperative agreement.

**SECTION IX -- FORMS**

This section contains suggested forms that are intended to assist your organization in the preparation of a proposal that will meet the proposal submission requirements stated in this Request for Funding Opportunity.

**IX.1** Cover Page -- SF-424 Application for Financial Assistance form

**IX.2** SF-424B, Assurances – Non-construction Programs, or SF-424D, Assurances – Construction Programs form.

**IX.3** Budget Narrative

**IX.4** Budget Form – SF 424A, Budget Information – Non-construction Programs, or SF 424C, Budget Information - Construction Programs

**COVER PAGE** (See RFA Section IV.B.2.1)

Include an SF 424 Application for Financial Assistance

**ASSURANCES FORM** (See RFA Section IV.B.2.2)

Include an SF 424B, Assurances – Non-construction Programs, or SF 424D, Assurances – Construction Programs form

**BUDGET NARRATIVE** (See RFA Section IV.D.2)

Applicants shall include a Budget Narrative with the application. The Budget Narrative provides a discussion of or explanation for items included in the Budget Proposal. Listed below are some examples of the types of information that would be included in a Narrative:

**Salaries/Wages and Qualifications** – Discuss type of personnel needed for the project, their qualifications (include a resume(s) of the project manager(s) not exceed two pages), and the rationale for the number of hours proposed for various personnel. Identify and describe the role of any external cooperators that will be used for this project.

**Fringe Benefits** – Discuss type of benefits and how they apply to various categories of personnel. Indicate whether your organization has a Federally-approved benefit agreement.

**Travel** – Discuss the types of trips that are needed and the purpose, the number of personnel traveling, and travel arrangements.

**Equipment** – Discuss why certain types of equipment are needed for the project. If equipment purchase is recommended, discuss why the equipment cannot be leased or rented for the term of the project.

**Supplies** – Discuss the major types of supplies that are to be purchased and why they are needed for the project.

**Contractual/Construction** – Discuss any contracts or sub-agreements that will be awarded and why they are needed for the project. Discuss contractor qualifications and how the contractor will be selected (competitive bid compliance). Discuss major categories of construction activities/expenses.

**Environmental and Regulatory Compliance Costs** – Discuss what costs have been included, why they are needed, and how the costs were determined.

**Other Costs** – Discuss other miscellaneous items needed for the project.

**Indirect Costs** – Discuss whether you have a Federally-approved Indirect Cost Rate Agreement or the basis for determination of any proposed indirect rate that has not been previously approved by the Federal Government.

**Total Costs** – Discuss the total amount of project costs, including the Federal and non-Federal cost share amounts.

**BUDGET FORM** (See Section IV.D.2)

Include either an SF 424A, Budget Information – Non-construction Programs, or an SF 424C, Budget Information - Construction Programs form.