

# RECLAMATION

*Managing Water in the West*

**Funding Opportunity Announcement No. R12SF80300**

**WaterSMART Applied Science Grants for the  
Southern Rockies Landscape Conservation Cooperative**



**U.S. Department of the Interior  
Bureau of Reclamation  
Policy and Administration  
Denver, Colorado**

**May 2012**

## **Mission Statements**

The U.S. Department of the Interior protects America's natural resources and heritage, honors our cultures and tribal communities, and supplies the energy to power our future.

The mission of the Bureau of Reclamation is to manage, develop, and protect water and related resources in an environmentally and economically sound manner in the interest of the American public.

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## Synopsis

<b>Federal Agency Name:</b>	U.S. Department of the Interior, Bureau of Reclamation, Policy and Administration
<b>Funding Opportunity Title:</b>	Applied Science Grants for the Southern Rockies Landscape Conservation Cooperative (LCC)
<b>Announcement Type:</b>	Funding Opportunity Announcement (FOA)
<b>Funding Opportunity Number:</b>	R12SF80300
<b>Catalog of Federal Domestic Assistance (CFDA) Number:</b>	15.557
<b>Dates:</b> (See FOA Section [Sec.] IV.B)	Application due date: June 28, 2012, 4:00 p.m., Mountain Daylight Time
<b>Eligible Applicants:</b> (See FOA Sec. III.A)	States, tribes, irrigation districts, water districts, universities, nonprofit research institutions, organizations with water or power delivery authority, or nonprofit organizations
<b>Recipient Cost-Share:</b> (See FOA Sec. III.D)	50 percent or more of project costs
<b>Federal Funding Amount:</b> (See FOA Sec. II.B)	Up to \$150,000 per agreement
<b>Estimated Number of Agreements to be Awarded:</b> (See FOA Sec. II.B)	5–7
<b>Total Amount of Funding Available for Award:</b> (See FOA Sec. II.A)	\$685,000



# Application Checklist

The following table contains a summary of the information that the applicant is required to submit with a WaterSMART Grant application.

√	What to Submit	Required Content	Form or Format	When to Submit
	Cover page	See Sec. IV.D.5.a	Form SF 424, available at: < <a href="http://www.grants.gov/agencies/forms_instruction_information.jsp">http://www.grants.gov/agencies/ forms_instruction_information.jsp</a> > Page 22	1
	Assurances	See Sec. IV.D.5.b	Form SF 424B available at: < <a href="http://www.grants.gov/agencies/aapproved_standard_forms.jsp#1">http://www.grants.gov/agencies/ aapproved_standard_forms.jsp#1</a> > Page 22	1
	Title page	See Sec. IV.D.5.c	Page 22	1
	Table of contents	See Sec. IV.D.5.d	Page 22	1
	Technical proposal and evaluation criteria:	See Sec. IV.D.5.e	Page 22	1
	• Executive summary	See Sec. IV.D.5.e(1)	Page 22	1
	• Technical project description	See Sec. IV.D.5.e(2)	Page 22–23	1
	• Evaluation criteria	See Sec. IV.D.5.e(3)	Pages 23–26	1
	Description of performance measures	See Sec. IV.D.5.f	Page 26	1
	Environmental and regulatory compliance	See Sec. IV.D.5.g	Page 26–27	1
	Required permits and approvals	See Sec. IV.D.5.h	Page 27	1
	Funding plan	See Sec. IV.D.5.i	Page 27–29	1
	Letters of commitment	See Sec. IV.D.5.i	Page 27–29	
	Letters of project support	See Sec. IV.D.5.j	Page 29	1
	Official resolution	See Sec. IV.D.5.k	Page 30	2
	Project budget proposal:	See Sec. IV.D.5.l	Pages 30–34	1
	• General requirements	See Sec. IV.D.5.l(1)	Page 30	1
	• Budget format	See Sec. IV.D.5.l(2)	Page 30	1
	• Budget narrative	See Sec. IV.D.5.l(3)	Page 30–33	1
	• Budget form	See Sec. IV.D.5.l(4)	Form SF 424A available at: < <a href="http://www.grants.gov/agencies/forms_instruction_information.jsp">http://www.grants.gov/agencies/ forms_instruction_information.jsp</a> > Page 34	

<sup>1</sup> Submit materials with your application on June 28, 2012.

<sup>2</sup> Documents should be submitted with your application; however, please refer to the applicable section of the FOA for extended submission dates.



## Abbreviations and Acronyms

AOR	Authorized Organization Representatives
CCR	Central Contractor Registration
CFDA	Catalog of Federal Domestic Assistance
DM	Reclamation Departmental Manual
DUNS	Data Universal Number System
E-Biz POC	E-Business Point of Contact
EIN	Employer Identification Number
FOA	Funding Opportunity Announcement
FWCA	Fish and Wildlife Coordination Act
FWS	U.S. Fish and Wildlife Service
FY	Fiscal year
GO	Grants Officer
IRS	Internal Revenue Service
LCC	Landscape Conservation Cooperative
NEPA	National Environmental Policy Act
NHPA	National Historic Preservation Act
OMB	Office of Management and Budget
Reclamation	Bureau of Reclamation
TIN	Taxpayer Identification Number
U.S.C.	United States Code
WaterSMART	Sustain and Manage America’s Resources for Tomorrow
%	Percent



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## Section I – Funding Opportunity Description

### I.A WaterSMART<sup>1</sup> Applied Science Grants for the Southern Rockies Landscape Conservation Cooperative

Resource managers concerned with conservation of natural and cultural resources are faced with increasing management challenges. Such challenges may include water scarcity, land-use conversion, impacts to traditional or historical resources, sensitive species protection and recovery, invasive species, and a range of other complex issues—all of which are amplified by climate change. In response, the Bureau of Reclamation (Reclamation) is participating in the Southern Rockies Landscape Conservation Cooperative (LCC). This effort represents a broader vision of conservation that includes working with partners across landscapes to ensure that science capacity is in place to enable resource managers to successfully address these 21<sup>st</sup> century conservation challenges.

The LCCs are management-science partnerships that inform integrated resource management actions addressing climate change and other stressors within and across landscapes. LCCs bring together science and resource conservation to support and complement adaptation strategies addressing climate change and water conservation. Each LCC functions within a specific landscape, but it also will be a part of a national and, ultimately, international network. LCCs are true cooperatives formed and directed by land, water, wildlife, and cultural resources managers and interested public and private organizations.

Reclamation, as a partner within the Southern Rockies LCC, is providing cost-shared funding on a competitive basis for applied science projects within the Southern Rockies LCC in fiscal year (FY) 2012. The projects should help resource managers address natural and cultural resources issues that have a connection to water resources management in a changing climate. Projects should also take into consideration Native American ancestral knowledge and frameworks of understanding on cultural landscapes that allow resource managers to integrate cultural and natural resources into landscape conservation. Projects need not be focused solely on water resources and can focus on other natural resources issues that may affect water resources management (e.g., an endangered species issue that may impact water diversions) or be affected by water resources management (e.g., riparian habitat or archeological site that may be impacted by reservoir operations).

The process of developing project categories discussed below began with the Southern Rockies LCC Steering Committee establishing key resources of interest to the LCC. The Southern Rockies LCC Science Working Group then worked at developing priority science needs based on these resources. The science needs

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<sup>1</sup> Sustain and Manage American's Resources for Tomorrow (WaterSMART).

serve the purpose of guiding and organizing the LCC's science delivery efforts related to priority resource management issues. Recognizing that the LCC is addressing natural and cultural resource issues that do not necessarily connect to water management, not all of the science needs listed below are applicable under this FOA. The full list is provided below to provide the reader with a full perspective of issues the Southern Rockies LCC is looking to address. The types of projects eligible for funding are more fully described in section III.C, below.

FY 2012 Southern Rockies LCC Science Needs:

- A. Develop a model to inform management decisions related to habitat protection/preservation for desired population numbers of riparian obligate and wetland species
- B. Assessment of vulnerability to reduction in habitat
- C. Assessing species/population vulnerabilities through identification of migration and connectivity corridors, and identification of adaptation strategies
- D. Identification of changes in source-water runoff and resultant changes to surface/groundwater interaction
- E. Incorporate climate change projections & ecological flow needs into hydrological models in order to develop water supply scenarios that would inform decisions about water allocation to meet human and ecological needs
- F. Data Management and Spatial Data: data cataloging and acquisition of spatial data to aid in identification of LCC focal resources and associated needs

For further information as well as a geographic map on the Southern Rockies LCC, see <<http://www.usbr.gov/WaterSMART/lcc.html>>.

## **I.B Objective of Funding Opportunity Announcement**

The objective of this funding opportunity announcement (FOA) is to invite States, tribes, irrigation districts, water districts, universities, nonprofit research institutions, nonprofit organizations, and other entities with water or power delivery authority to leverage non-Federal monies and resources by cost sharing with Reclamation on applied science projects, to meet identified and shared priorities with Southern Rockies LCC partners, and that are designed to enhance the management of natural and cultural resources in a changing climate. This includes analyzing the impacts of climate change and other landscape scale stressors on natural or cultural resources that affect or are affected by water resources management, and developing tools to assess and adapt to those impacts

within the boundaries of the Southern Rockies LCC. Eligible projects are intended to focus on the shared priorities of Reclamation and LCC partners identified by the Southern Rockies LCC. Projects will also support ongoing efforts under the SECURE Water Act (Subtitle F of Title IX of the Omnibus Public Land Management Act of 2009, Public Law 111-11 (42 United States

Code [U.S.C.] 10364)) and the Fish and Wildlife Coordination Act (FWCA), 16 U.S.C. 661-666c, as delegated to Reclamation in Departmental Manual (DM) 255 DM 1.1B.

## **I.C Program Authorities**

This FOA is issued under the authority of the Section 9504(a) and (b) of the SECURE Water Act, Subtitle F of Title IX of the Omnibus Public Land Management Act of 2009, Public Law 111-11 (42 U.S.C. 10364) and the Fish and Wildlife Coordination Act, 16 U.S.C. 661-666c, as delegated to Reclamation in Departmental Manual 255 DM 1.1B.



## **Section II – Award Information**

### **II.A Total Project Funding**

A total of \$685,000 in Federal funds will be available for projects under this FOA.

### **II.B Project Funding Limitations**

Reclamation's share of any one proposed project shall not exceed 50 percent (%) of the total project costs. Up to \$150,000 in Federal funding will be available for each project award. Reclamation may make awards exceeding that amount on a case-by-case basis. Multiple applications for funding may be submitted for consideration.

### **II.C Reclamation Responsibilities**

#### **II.C.1 Reclamation Involvement**

Project awards will be made through grants or cooperative agreements as applicable to each project. If a cooperative agreement is awarded, the recipient should expect Reclamation to have substantial involvement in the project. Substantial involvement by Reclamation may include:

- Collaboration and participation with the recipient in the management of the project and close oversight of the recipient's activities to ensure that the program objectives are being achieved.
- Oversight may include review, input, and approval at key interim stages of the project.

#### **II.C.2 Technical Assistance**

At the request of the recipient, Reclamation may provide technical assistance after award of the project. If you receive Reclamation's assistance, you must account for such costs in your budget. To discuss assistance available and the costs of such assistance, you may contact Avra Morgan at 303-445-2906 for further information.

### **II.D Award Date**

Reclamation expects to contact potential award recipients and unsuccessful applicants in August 2012. Within 1–3 months after that date of award, assistance agreements will be awarded to applicants who successfully pass all pre-award reviews and clearances.



## Section III – Eligibility Information

### III.A Eligible Applicants

- In accordance with Public Law 111-11, Section 9504, of the SECURE Water Act and the Fish and Wildlife Coordination Act, 16 U.S.C. 661-666c, as delegated to Reclamation in Departmental Manual 255 DM 1.1B., eligible applicants include any:
  - a. States and Territories identified in the Reclamation Act of June 17, as amended and supplemented—specifically Arizona, California, Colorado, Idaho, Kansas, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, Oregon, South Dakota, Texas, Utah, Washington, Wyoming, American Samoa, Guam, the Northern Mariana Islands, and the Virgin Islands
  - b. Irrigation districts, water districts, and other organizations with water or power delivery in the Western United States or Territories as identified in the Reclamation Act of June 17, as amended and supplemented—specifically Arizona, California, Colorado, Idaho, Kansas, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, Oregon, South Dakota, Texas, Utah, Washington, Wyoming, American Samoa, Guam, the Northern Mariana Islands, and the Virgin Islands
  - c. Tribes located in the Western United States
  - d. Universities located in the United States;
  - e. Nonprofit research institutions located in the United States
  - f. Nonprofit organizations located in the United States
    - Nonprofit organizations are eligible to apply for funding under all three funding categories if the proposal addresses fish or wildlife habitat in wetland, riparian, or aquatic areas and there is a nexus to a Reclamation project or activity.

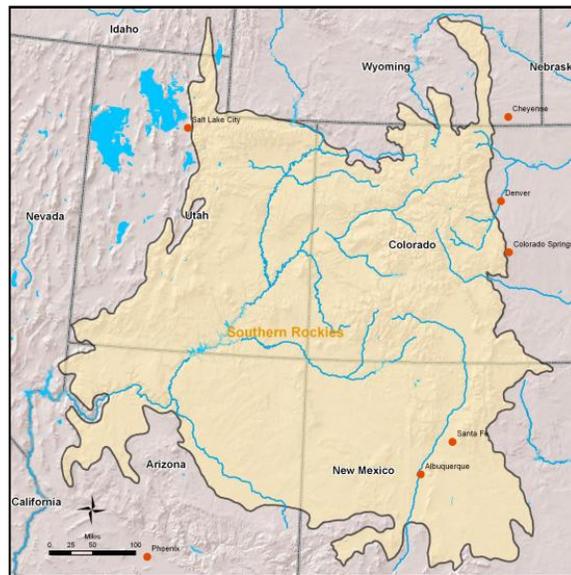
### III.B Ineligible Applicants

- Ineligible applicants under this FOA include:
  - a. Federal governmental entities
  - b. For-profit entities
  - c. Individuals

### III.C Eligible Projects

Proposed projects are expected to deliver new capabilities that address priorities identified and shared by Reclamation and the partners involved in the Southern Rockies LCC. Projects should use the best available science to develop knowledge, information, and tools that will lead to enhanced management of natural and cultural resources that affect or are affected by water resources management in a changing climate within the Southern Rockies LCC.<sup>1</sup> For more information about the Southern Rockies LCC, please see the Web site available at: <http://www.usbr.gov/WaterSMART/lcc.html>.

The Funding Categories I–III, below, describe projects that will be eligible for funding under this FOA. All projects should be completed within 2 years from the project start date. Applicants may submit multiple project proposals. Projects can address more than one funding category. Projects must be focused on the geographic area within the boundaries of the Southern Rockies LCC and **must address natural or cultural resources issues that affect or are affected by water resources management** in a changing climate.



Geographic extent of the Southern Rockies LCC.

<sup>1</sup> As an example of using the “best available science,” obtaining climate change data from the World Climate Research Programmes Coupled Model Inter-comparison Project is beneficial as the archive is updated as new data is made available from the most recent climate model runs.  
<http://gdo-dcp.ucllnl.org/>

### **III.C.1 Funding Categories**

Projects eligible for consideration under this FOA are described below and are grouped into the following Funding Categories I–III:

- Projecting future water availability and quality.
- Projecting the resiliency and vulnerability of natural or cultural resources.
- Assessing management impacts and adaptation opportunities.

As described in detail below, Funding Categories I–III are based on the FY 2012 priority Science Needs and project concepts developed by the Southern Rockies LCC. In particular, the Funding Categories incorporate those Science Needs and project concepts that have a nexus to water resources management and, therefore, fit best with Reclamation’s mission and authorities. In general, this includes projects focused on climate change impacts and other landscape-scale stressors to water resources within the Southern Rockies LCC. It also could include projects focused on other natural resources management issues that are affected by water management, including impacts of water supply or water quality changes to a particular species or plant community or, for example, cultural resources within a riparian, wetland, or aquatic habitat. Please note also that, pursuant to the eligibility requirements in section III.A of this FOA, proposals submitted by nonprofit organizations must address issues related to fish or wildlife habitat in wetland, riparian, or aquatic areas and must adequately demonstrate a nexus to a Reclamation project or activity in response to the technical proposal evaluation criteria in section IV.D.5.e(3).

Projects also must result in deliverables that can be applied to enhance management of natural and cultural resources within the Southern Rockies LCC. This may include the development or improvement of new or existing decision support tools, analysis of projected risks or uncertainty, or to inform decisions regarding water resource management. Accordingly, projects should be directly related to an existing natural or cultural resources management issue or complementary to on-the-ground conservation activities.

### **III.C.2 Funding Category I — Projecting future water availability and quality.**

Projects in this funding category should be consistent with Southern Rockies LCC Science Need D.

- Science Need D: Identify changes in source-water runoff and resultant changes in surface/ground water flows.

Projects should evaluate how climate change and/or urbanization will affect surface and ground water hydrology within the Southern Rockies LCC region. Climate change may result in spatial and temporal changes to weather events that would impact mountain snowpack, surface and ground water interactions, water

supplies and demands as well as land cover changes. Population changes in conjunction with urbanization and land use practices may, in turn, impact ground water recharge, surface runoff, and water supply availability from both surface and ground water sources.

The Southern Rockies LCC identified the following project descriptions to address the science need described above. Projects submitted under this Funding Category may include but are not limited to:

- a. Assessing how variability in significant meteorological events (e.g., monsoons, atmospheric river events) affects runoff and how climate change may impact these events. Developing applied science tools that resource managers could use to incorporate this information into their planning processes in locations throughout the Southern Rockies LCC.
- b. Synthesizing existing information regarding the effects of wildfire on watershed hydrology, fish, and wildlife. Based on the synthesis, develop a decision support tool for resource managers to use when evaluating risks to watershed hydrology resulting from catastrophic wildfires.
- c. Developing a decision support tool that helps resource manager's project how stormwater runoff may change with urbanization and how this may impact ground water recharge or local water supply.
- d. Assessing how climate change will affect the frequency and intensity of dust storms and their corresponding effects on mountain snowpack, leading to the development of a method or approach for resource managers to apply this information in their planning efforts.
- e. Developing improved techniques for generating streamflow and water supply volume forecasts using new modeling and/or field measurement techniques to better understand the factors influencing snow accumulation and melt at multiple scales.

### **III.C.3 Funding Category II — Projecting the resiliency and vulnerability of natural or cultural resources that affect or are affected by water resources management in a changing climate.**

Projects in this Funding Category should be consistent with Southern Rockies LCC Science Needs A and B:

- Science Need A: Develop a model to inform management decisions related to habitat protection/preservation for desired population numbers of riparian obligate and wetland species
- Science Need B: Assessment of vulnerability to reduction in habitat.

Projects in this funding category should address the resiliency and vulnerability of resources that affect or are affected by water resources management within the Southern Rockies LCC, including cultural, plant, fish, and wildlife resources. This includes characterizing the landscape in a way that supports informed decisionmaking on resource management issues (Southern Rockies LCC Science Need A). In general, this includes changes in habitat availability and connectivity as well as the sensitivity of habitats to climate change and the potential threat posed by reductions in habitat (Southern Rockies LCC Science Need B). Consideration also is given to potential impacts to species distribution (flora and fauna) due to climate change such as changes in land and aquatic species populations. Regarding cultural resources, this could include impacts to historic and prehistoric archaeological sites and traditional or cultural properties in riparian areas or areas affected by stream flows or water facility operations. In addition to climate change, this funding category also includes projects that address other threats to natural or cultural resources such as invasive species interactions.

The Southern Rockies LCC identified the following project descriptions to address the science need described above. Projects submitted under this Funding Category may include but are not limited to:

- a. Converting existing wetland spatial data that is not available in a Geographic Information System format into a seamless digital map across the entire Southern Rockies LCC suitable for geospatial analysis.
- b. Projecting the effects of climate change and other ecosystem stressors on the distribution of fish and wildlife populations that are dependent on large rivers and permanent streams, which may include the development of:
  - 1) assessments projecting the vulnerability of species or populations to the projected changes and
  - 2) adaptation strategies for conservation.
- c. Projecting changes to indigenous, traditional, or cultural resources related to the impacts of climate change, including climate change impacts on water resources management.

#### **III.C.4 Funding Category III — Assessing Management Impacts and Adaptation Opportunities**

Projects in this funding category should be consistent with Southern Rockies LCC Science Need E.

- Science Need E: Incorporate climate change projections and ecological flow needs into hydrological models in order to develop water supply scenarios that would inform decisions about water allocation to meet human and ecological needs.

Development of models that can incorporate projections of future climate change would assist resource managers in their efforts to assess the impacts on natural

and/or cultural resources management practices. Further, it supports their efforts to identify strategies to adapt to or mitigate those impacts and other stressors on the environment. The resource management issue must affect or be affected by water resources management.

The Southern Rockies LCC identified project descriptions to address the science need described above. Projects submitted under this Funding Category may include but are not limited to:

- a. Developing decision support tools that would assist water managers in estimating future agricultural water needs (e.g., improving crop coefficients).
- b. Developing decision support tools that would help water managers integrate the effects of climate change on cropping patterns into their management decisions.
- c. Developing decision support tools that would assist water managers in estimating evapotranspiration for agricultural lands more accurately and in a more timely manner.
- d. Assessing how the projected changes identified within the previous funding categories and associated water resources management changes may impact the management of natural or cultural resources.
- e. Developing adaptation strategies for the conservation of riparian habitats under different climate scenarios, which may include the development of decision support tools to assist resource managers.

### **III.D Length of Projects**

Proposed projects should be completed within 2 years from the project start date.

### **III.E Cost-Sharing Requirement**

Applicants must be willing to cost share 50% or more of the total project costs. Cost sharing may be made through cash or in-kind contributions from the applicant or third-party partners. All contributions, including cash or in-kind services, must be from a non-Federal source. Cost-share funding from sources outside the applicant's organization (e.g., loans or State grants) should be secured and available to the applicant prior to award. Reclamation may approve an award prior to an applicant securing non-Federal cost-share funds if Reclamation determines that there is sufficient evidence and that the non-Federal funds likely will be available to the applicant by the start of the project. Funding commitment letters must be submitted in accordance with Section IV.C, "Application Delivery

Instructions” and contain the information stated in Section IV.D.5, “Application Content,” Subsection, “Funding Plan and Letters of Commitment.”

### **III.E.1. Cost-Sharing Requirement**

All cost-share contributions must meet the criteria established in the Office of Management and Budget’s (OMB) administrative and cost principles circulars that apply to the applicant. These circulars are available at <http://www.whitehouse.gov/omb/circulars>.

### **III.F In-Kind Contributions**

In-kind contributions constitute the value of noncash contributions that benefit a federally assisted project. These contributions may be in the form of real property, equipment, supplies, and other expendable property as well as the value of goods and services directly benefiting and specifically identifiable to the project or program. The cost or value of in-kind contributions that have been or will be relied on to satisfy a cost-sharing or matching requirement for another Federal financial assistance agreement, a Federal procurement contract, or any other award of Federal funds may not be relied on to satisfy the cost-share requirement for WaterSMART Grant applications.

### **III.G Pre-Award Costs**

Project pre-award costs that have been incurred prior to the date of award may be submitted for consideration as an allowable portion of the recipient's cost share for the project.

**In no case will pre-award costs incurred prior to August 1, 2011, be considered for cost share purposes.**

Reclamation will review the proposed pre-award costs to determine if they are allowable in accordance with the authorizing legislation and applicable cost principles. To be considered allowable, any pre-award costs proposed for consideration under the new awards must comply with all applicable requirements under this FOA.

### **III.H Indirect Costs**

Indirect costs that will be incurred during the project development or construction, which otherwise will not be recovered, may be included as part of the applicant’s cost share. Indirect costs are those: (1) incurred for a common or joint purpose benefiting more than one cost objective and (2) not readily assignable to any one

cost objective. If the applicant proposes indirect costs in the budget, then the applicant must either supply a copy of a current federally negotiated indirect cost rate agreement or obtain an agreement within 1 year of award. For further information on indirect costs, refer to the applicable OMB cost principles circular referenced above and available at <http://www.whitehouse.gov/omb/circulars>.

### **III.I Other Requirements – Central Contractor Registration**

All applicants must be registered in the Central Contractor Registration (CCR) prior to the award of funds under this FOA. The CCR and instructions for registration are located at <http://www.bpn.gov/ccr>. All applicants must maintain an active CCR registration with current information during the time the applicant has an active Federal award.

## Section IV – Application and Submission Information

### IV.A Address to Request Application Package

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

If you are unable to access this information electronically, you can request paper copies of any of the documents referenced in this FOA by contacting:

By mail: Bureau of Reclamation  
Acquisition Operations Group  
Attn: Michelle Maher  
Mail Code: 84-27810  
P.O. Box 25007  
Denver, CO 80225

E-mail: mmaher@usbr.gov

Phone: 303-445-2025

### IV.B Application Submission Date and Time

Application submission date deadline:

- June 28, 2012, 4:00 p.m., Mountain Daylight Time

Proposals received after the application deadline will not be considered unless it can be determined that the delay was caused by Federal Government mishandling or by the Grants.gov application system.

*Please note that any application submitted to Reclamation for WaterSMART Grant funding may be subjected to a Freedom of Information Act request (5 U.S.C. Section 552, as amended by Public Law No. 110-175) and, as a result, may be made publicly available. In addition, **successful applications may be made publicly available** (following consultation with the applicant with redactions as needed) and may be posted on the Reclamation web site.*

### IV.C Application Delivery Instructions

Applications may be submitted electronically through <<http://www.grants.gov>> or hard copies may be submitted as stated in the following instructions. Under no circumstances will applications received through any other method (such as email or fax) be considered eligible for award.

By mail:

Bureau of Reclamation  
Acquisition Operations Group  
Attn: Michelle Maher  
Mail Code: 84-27810  
P.O. Box 25007  
Denver, CO 80225

Express delivery:

Bureau of Reclamation  
Attn: Michelle Maher, Mail Code: 84-27810  
Denver Federal Center, Bldg. 67 Rm. 152  
6<sup>th</sup> Avenue and Kipling Street  
Denver, CO 80225

Telephone: 303-445-2025

## **IV.D Instructions for Submission of Project Application**

Each applicant shall submit an application in accordance with the instructions contained in this section.

### **Applications Submitted by Mail**

- Applicants shall submit an original and one copy of all application documents for hardcopy submissions. Each document should be clearly identified as the “ORIGINAL” or as a “COPY.”
- In addition to hard copy documents, please submit a copy of your technical proposal on a CD in Microsoft Word format.
- Please do not use “comb,” “spiral,” or adhesive methods to bind the documents.
- Hard copy applications may be submitted by mail or express methods to the addresses listed in section IV.C, above.
- Materials arriving separately will not be included in the application package and may result in the application being rejected or not funded.
- Faxed and emailed copies of application documents will not be accepted.
- Do not include a cover letter or company literature/brochure with the application. All pertinent information must be included in the application package.

## **Applications Submitted Electronically**

If the applicant chooses to submit an electronic application, it must be submitted through Grants.gov at <<http://www.grants.gov>>.

- Please note that submission of an application electronically requires prior registration through Grants.gov, which may take 7–21 days. Please see registration instructions at <[http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp)>.
- Applicants have sometimes experienced significant delays when attempting to submit applications through Grants.gov. If you plan to submit your application through Grants.gov, you are encouraged to submit your application several days prior to the application deadline. If you are a properly registered Grants.gov applicant and encounter problems with the Grants.gov application submission process, you must contact the Grants.gov Help Desk to obtain a “Case Number.” This number will provide evidence of your attempt to submit an application prior to the submission deadline.

***Regardless of the delivery method used, you must ensure that your proposal arrives by the date and time deadline stated in section IV.B, above. Late applications will not be accepted unless it is determined that the delay was caused by Federal Government mishandling or by a problem with the Grants.gov application system.***

### **IV.D.1 Applying for Funds Online at Grants.gov**

Reclamation is participating in the Grants.gov initiative that provides the grant community with a single Web site to find and apply for grant funding opportunities. Reclamation encourages applicants to submit their applications for funding electronically through <[http://www.grants.gov/applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/applicants/apply_for_grants.jsp)>. Applicant resource documents and a full set of instructions for registering with Grants.gov and completing and submitting applications online are available at: <<http://www.grants.gov/applicants/resources.jsp>>.

### **IV.D.2 Assistance with Grants.gov**

If you need assistance with Grants.gov, the Contact Center is open 24 hours a day, 7 days a week. You may reach the Grants.gov Contact Center by email at <[support@grants.gov](mailto:support@grants.gov)> or by calling 1-800-518-4726.

If you are an individual applying for a grant on your own behalf and not on behalf of a company, academic or research institution, State, local or tribal government, nonprofit, or other type of organization, refer to the Individual Registration at: <[http://www.grants.gov/applicants/individual\\_registration.jsp](http://www.grants.gov/applicants/individual_registration.jsp)>. If you apply as

an individual to a grant application package designated for organizations, your application will be rejected.

#### **IV.D.3 Registering to Use Grants.gov (1- to 3-week process)**

The following checklist is provided to give you a summary of the steps that are required to register with Grants.gov. **This Registration process must be completed prior to submitting an electronic application through Grants.gov.**

Additionally, see table 1, step 2 below for completing the annual Central Contractor Registration renewal process.

**Note:** The following checklist information is available electronically at [http://www.grants.gov/assets/Organization\\_Steps\\_Complete\\_Registration.pdf](http://www.grants.gov/assets/Organization_Steps_Complete_Registration.pdf).

The registration is a one-time process, which is required before representatives of an organization can submit grant application packages electronically through Grants.gov. The registration process can take 3–5 business days or 1–3 weeks, depending on your organization and if all steps are met in a timely manner. The checklist in table 1 provides registration guidance for academic or research institutions; State, local, or tribal governments; and nonprofit or other type of organizations.

**Table 1. Checklist for Registering Your Organization in Grants.gov**

√	Step	Actions to Take	Purpose	Time Required
	<b>1: Obtain Data Universal Number System (DUNS) Number</b>	<p><b>Has my organization identified its DUNS number?</b></p> <p>Ask the grant administrator, chief financial officer, or authorizing official of your organization to identify your DUNS number.</p> <p>If your organization does not know its DUNS number or needs to register for one, visit Dun &amp; Bradstreet at &lt;<a href="http://fedgov.dnb.com/webform/displayHomePage.do">http://fedgov.dnb.com/webform/displayHomePage.do</a>&gt;</p>	The Federal Government has adopted the use of DUNS numbers to track how Federal grant money is allocated. DUNS numbers identify your organization.	Same day. You will receive DUNS number information online.
	<b>2: Register With Central Contractor Registration</b>	<p><b>Has my organization registered with the CCR?</b></p> <p>Ask the grant administrator, chief financial officer, or authorizing official of your organization if your organization has registered with the CCR.</p> <p>If your organization is not registered, you can apply online by going to &lt;<a href="http://www.ccr.gov">http://www.ccr.gov</a>&gt;. CCR has developed a handbook to help you with the process (available at &lt;<a href="http://www.bpn.gov/ccr/doc/UserAccount.pdf">http://www.bpn.gov/ccr/doc/UserAccount.pdf</a>&gt;). If AFTER having registered in CCR, you experience any registration problems, you can get help by going to the Federal Service Desk at &lt;<a href="https://www.fsd.gov">https://www.fsd.gov</a>&gt;.</p> <p>When your organization registers with CCR, you must designate an E-Business Point of Contact (E-Biz POC). This person will identify a special password called an "M-PIN."</p> <p>This M-PIN gives the E-Biz POC authority to designate which staff member(s) from your organization are allowed to submit applications electronically through Grants.gov. Staff members from your organization designated to submit applications are called Authorized Organization Representatives (AOR).</p>	Registering with the CCR is required for organizations to use Grants.gov.	<p>If your organization already has an Employer Identification Number (EIN) or Taxpayer Identification Number (TIN), then you should allow 1–3 business days to complete the entire CCR registration. The EIN and TIN will come from the Internal Revenue Service (IRS).</p> <p>If your organization does not have an EIN or TIN, then you should allow 2 weeks for obtaining the information from the IRS when requesting the EIN or TIN via phone or Internet. The additional number of days needed is a result of security information that needs to be mailed to the organization.</p>

**NOTE:** Your organization needs to renew your CCR registration once a year. You will not be able to move on to step 3 until you have renewed your CCR registration. This renewal may take up to 5 business days.

**Table 1. Checklist for Registering Your Organization in Grants.gov**

√	Step	Actions to Take	Purpose	Time Required
	<b>3: Username and Password</b>	<p><b>Have the AORs who officially submit applications on behalf of your organization completed their profile with Grants.gov to create their username and password?</b></p> <p>To create a username and password, AORs must complete their profile on Grants.gov. AORs will need to know the DUNS number of the organization for which they will be submitting applications to complete the process.</p> <p>After your organization registers with the CCR, AORs must wait 1 business day before they can complete a profile and create their usernames and passwords on Grants.gov.</p>	<p>An AOR username and password serves as an “electronic signature” when submitting a Grants.gov application.</p>	<p>Same day. After the AOR has completed their profile, they will be prompted to create a username and password that will allow the user to login and check their approval status immediately.</p>
	<b>4: AOR Authorization</b>	<p><b>Has E-Biz POC approved AORs to submit applications on behalf of the organization?</b></p> <p>When an AOR registers with Grants.gov to submit applications on behalf of an organization, that organization’s E-Biz POC will receive an email notification. The email address the AOR submitted in the profile will be the email address used when sending the automatic notification from Grants.gov to the E-Biz POC with the AOR copied on the correspondence.</p> <p>The E-Biz POC then must login to Grants.gov (using the organization’s DUNS number for the username and the “M-PIN” password (obtained in step 2) and approve the AOR, thereby giving him or her permission to submit applications.</p> <p>When an E-Biz POC approves an AOR, Grants.gov will send the AOR a confirmation email.</p>	<p>Only the E-Biz POC can approve AORs. This allows the organization to authorize specific staff members or consultants/grant writers to submit grants. Only those who have been authorized by the E-Biz POC can submit applications on behalf of the organization.</p>	<p>This depends on how long it takes the E-Biz POC to login and approve the AOR; once the approval is completed, the AOR can immediately submit an application.</p>
	<b>Step 5: Track AOR Status</b>	<p><b>What is your AOR status?</b></p> <p>AORs can also login to track their AOR status using their username and password (obtained in step 3) to check if they have been approved by the E-Biz POC.</p>	<p>To verify that the organization’s E-Biz POC has approved the AOR.</p>	<p>Logging in to check your AOR status is instantaneous. The approval process to become an AOR depends on how long it takes the E-Biz POC to login and approve the AOR.</p>

**NOTE:** Some applicants have experienced difficulties when attempting to submit their applications electronically through Grants.gov. If you encounter problems with the Grants.gov application submission process, you must contact the Grants.gov Help Desk (1-800-518-4726 or support@grants.gov) to obtain a “Case Number.” This will provide evidence of your attempt to submit an application prior to the submission deadline.

#### **IV.D.4 Application Format and Length**

The total application package shall be no more than **50 consecutively numbered** pages and shall be **single spaced**. If an application exceeds 50 pages, only the first 50 pages will be evaluated. The font shall be at least 12 points in size and easily readable. Page size shall be 8½ inches by 11 inches except for an occasional larger size for charts, maps, or drawings. Please limit the number of oversized pages. The Technical Proposal and Evaluation Criteria section shall be limited to a maximum of **20** pages.

It is requested that applications sent via the mail include a digital version of the technical proposal and all supporting technical material on a CD.

Applications will be prescreened for compliance to the page number limitations.

#### **IV.D.5 Application Content**

The application must include the following elements to be considered complete:

- SF-424 Core Form – Application cover page
- SF-424 B
- Title page
- Table of contents
- Technical proposal and evaluation criteria (limited to **20** pages)
  - Executive summary
  - Technical project description
  - Project evaluation criteria
- Post-project benefits (performance measures)
- Potential environmental impacts
- Required permits and approvals
- Funding plan and letters of commitment
- Letters of project support (do not submit separately)
- Official resolution
- Project budget application
  - Budget proposal
  - Budget narrative
  - Budget Form (SF-424 A)

SF-424, SF-424A, and SF-424B forms may be obtained at [http://www.grants.gov/agencies/forms\\_instruction\\_information.jsp](http://www.grants.gov/agencies/forms_instruction_information.jsp).

***IV.D.5.a SF-424 Application Cover Page***

This fully completed form must be signed by a person legally authorized to commit the applicant to performance of the project. **Failure to submit a properly signed SF-424 may result in the elimination of the application from further consideration.**

***IV.D.5.b SF-424 Assurances***

An SF-424B – Assurances – Nonconstruction Programs signed by a person legally authorized to commit the applicant to performance of the project shall be included. Questions regarding the SF-424B form should be referred to Michelle Maher at: mmaher@usbr.gov. **Failure to submit a properly signed SF-424B may result in the elimination of the application from further consideration.**

***IV.D.5.c Title Page***

The title page provides a brief, informative, and descriptive title for the proposed work that indicates the nature of the project. Include the name and address of the applicant and the name and address, email address, telephone, and fax numbers of the project manager.

***IV.D.5.d Table of Contents***

List all major sections of the technical proposal in the table of contents.

***IV.D.5.e Technical Proposal and Evaluation Criteria***

The technical proposal (20 pages maximum) includes: (1) the **Executive Summary**, (2) **Technical Project Description**, and (3) **Project Evaluation Criteria**. To ensure accurate and complete scoring of the application, **the proposal should address each subcriterion in the order presented here**. Where applicable, the point value is indicated.

- (1) **Technical Proposal: Executive Summary.** Include a one-paragraph project summary that specifies the funding categories (I–III) and briefly identifies how the proposed project contributes to accomplishing the goals of this funding category (see Section III.C, “Eligible Projects”). Discuss briefly how the required work will be performed and what are the highlights of the proposal.
- (2) **Technical Proposal: Technical Project Description.** The technical project description should describe the work in detail and the approach to be used to carry it out. Break out the work into major tasks. This description shall have sufficient detail to permit a comprehensive evaluation of the proposal. The technical project description should also:
  - (a) Describe the goal of the work in very specific terms.
  - (b) Explain how the project should enhance the management of natural and cultural resources that affect or are affected by water resources management in a changing climate within the Southern Rockies LCC.

- (c) Describe and discuss in detail the stages of the proposed project; include an estimated project schedule showing the stages and the duration of the proposed work, including major milestones and dates; and substantiate the method(s) selected, the principles or techniques that are proposed to solve the problem, and the degree of success expected.
  - (d) Provide a specific discussion of the any anticipated problems or major difficulties in performing or accomplishing the work.
  - (e) Describe any prior studies that relate to the project or that will inform the project.
  - (f) Identify sources and support for non-Federal funding.
- (3) **Technical Proposal: Project Evaluation Criteria.** The Technical Proposal portion of the application should thoroughly address each of the following criteria and subcriteria in the order presented to assist in the complete and accurate evaluation of the proposal.
- (a) **Technical Merit (50 points).** Up to 50 points may be awarded for a proposal based on its technical merit. Points will be allocated to consider projects that are expected to result in significant information, knowledge, or tool development and the ability to accomplish the objectives of the proposed project.

**Subcriterion No. 1 – Project Scope:**

*Up to 25 points may be allocated based on the scope of the project and its ability to address the priorities as defined within Funding Categories I–III and identified Southern Rockies LCC Science Needs. This includes identifying the tasks necessary to answer the primary objective of the proposed project.*

**Describe how the proposed project meets the Funding Categories and Science Needs, including:**

- Which Funding Category(ies) and relevant Southern Rockies LCC Science Needs the project is expected to address.
- The specific tasks that will be undertaken to reach the proposed project objective?

**Subcriterion No. 2 – Ability to Accomplish Project Scope:**

*Up to 25 points may be allocated based on the demonstrated ability of the project team (all participants conducting the project tasks) to accomplish the project scope in the timeline presented.*

**Describe the project team's ability to accomplish the project scope, including:**

- How the budget will be allocated to each of the tasks identified?
- Who are the members of the project team, and what tasks will each member perform? Describe each project team member's affiliation with an eligible applicant as defined within section III.A. If all members have yet to be identified (for example, a research assistant or a graduate student), please identify the number to be hired.
- What are the credentials of each of the project team members?
- Have the project team members accomplished projects similar in scope to that proposed in the past either as Principal Investigators or team members?
- Is the project team capable of proceeding with tasks within the proposed project immediately upon entering into a financial assistance agreement?

**(b) Relevance of the Project to the LCC (30 points):**

*Up to 30 points may be awarded for proposed project based on its relevance to the partners of the LCC. Evaluations will be made with respect to how the project outcomes may inform resource management within the LCC.*

**Describe the relevance of the project to the Southern Rockies LCC, including:**

- What is the geographic extent of the project? What is the relevance of the results of the project to a broader geographic area encompassed by the LCC? Describe how the project results will be geographically applicable across the entire Southern Rockies LCC region.
- Does the project complement existing efforts within the geographic area of the LCC? Explain how the proposed project relates to similar efforts within the LCC and how the proposed project will complement rather than duplicate or complicate those efforts. Applicants should make a reasonable effort to explore related ongoing projects within the LCC. For example, several State and Federal entities are evaluating climate change impacts within the boundaries of the LCC, including Reclamation's Colorado River Basin Study and the Bureau of Land Management's Rapid Ecoregional Assessments. Additionally, Reclamation and the

U.S. Fish and Wildlife Service funded applied science projects within the Southern Rockies LCC in FY 2011. Descriptions of these previously funded projects are available at:  
<http://www.usbr.gov/WaterSMART/lcc/projects.html>.

- What is the expected benefit of the proposed project to partners within the LCC? Explain how the proposed project will help address specific resource management issues within the LCC, including:
  - Will the proposed project benefit water management within the LCC? Will it benefit the management of other natural or cultural resources? Explain how.
  - Will the proposed project improve understanding of tribal and indigenous perspectives on landscapes and resources?
  - Will the results inform resource management actions immediately upon completion of the proposed project, or will additional work be required?
  - Is there support for the proposed project from resource managers or other partners within the LCC (identify any partners or letters of support).

**(c) Dissemination of Results (15 Points):**

*Up to 15 points may be awarded for proposals that can articulate how the results will be disseminated, transferred, and communicated directly with partners within the LCC.*

**Describe how results will be disseminated, including:**

- If spatially explicit data or tools are being developed, will the data products be available in industry standard formats that are compatible with Geographic Information System platforms?
- Describe the anticipated number and type of peer reviewed scientific journal articles.
- Describe the number and type of presentations regarding the results of the project. For example, presentations at scientific conferences or presentations to resource managers within the LCC.

**(d) Connection to Reclamation Project Activities (5 points):**

*Up to 5 points may be awarded if the proposed project is in a basin with connections to Reclamation project activities. No points will be*

*awarded for proposal without connection to a Reclamation project of Reclamation activity. Note: Pursuant to the eligibility requirements in section III.A of this FOA, proposals submitted by nonprofit organizations must address issues related to fish or wildlife habitat in wetland, riparian, or aquatic areas and must adequately demonstrate a nexus to a Reclamation project or activity in response to this criterion in order for their project to be eligible for funding.*

**Describe the connection to Reclamation projects or activities, including:**

- How is the project connected to Reclamation project activities?
- Does the applicant receive Reclamation project water?
- Is the project on Reclamation project lands or involving Reclamation facilities?
- Is the project in the same basin as a Reclamation project or activity?
- Will the proposed work contribute water to a basin where a Reclamation project is located?

***IV.D.5.f Performance Measure for Quantifying Actual Post-Project Benefits***

Upon completion of the project, LCC Grant recipients will be required to submit a final report describing the completed project and quantifying the actual project benefits. If information regarding project benefits is not available immediately upon completion of the project, the financial assistance agreement may be modified to remain open until such information is available and until a final report is submitted.

***IV.D.5.g Environmental and Regulatory Compliance***

In most cases, there would be no environmental compliance associated with applied science projects because they would generally involve nondestructive data collection, inventory, study, research, and monitoring activities. However, some environmental compliance may be required if the project involves any surface-disturbing activities that could affect the surrounding environment, such as clearing brush to perform a survey or installing monitoring equipment on an existing structure (e.g., headgates) that alters that structure. For activities that would have such disturbances, a 1% budget line item is required to cover costs associated with environmental compliance.

Reclamation will assess the probable level of environmental compliance that would be required for each application by considering the applicant's responses to the following list of questions focusing on the requirements of the National Environmental Policy Act (NEPA), the Endangered Species Act, and the National Historic Preservation Act (NHPA). Please answer the following

questions to the best of your knowledge. If any question is not applicable to your project, please explain why. If you have any questions, you may contact Avra Morgan at 303-445-2906 for further information.

- (1) Will the project impact the surrounding environment (e.g., soil [dust], air, water [quality and quantity], animal habitat)? Please briefly describe all earth-disturbing work and any work that will affect the air, water, or animal habitat in the project area. Please also explain the impacts of such work on the surrounding environment 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? If so, would they be affected by any activities associated with the proposed project?
- (3) Are there wetlands inside the project boundaries? If so, please estimate how many acres of wetlands there are and describe any impact the project will have on the wetlands.
- (4) Are there any known archeological sites in the proposed project area?
- (5) Will the project result in any modification of, or effects to, individual features of a water delivery system (e.g., headgates, canals)?
- (6) If you answered yes to the previous question:
  - (a) State when those features were constructed and describe the nature and timing of any alterations or modifications to those features.
  - (b) Are any buildings, structures, or features in the area of the proposed listed or eligible for listing on the National Register of Historic Places? The local State Historic Preservation Office can assist in answering this question.
  - (c) Are there any known archeological sites in the area of the proposed project? Would they be affected by any activities associated with the project? The State Historic Preservation Office can assist in answering this question.

***Under no circumstances may an applicant begin any ground-disturbing activities (including grading, clearing, and other preliminary activities) on a project before environmental compliance is complete and Reclamation explicitly authorizes work to proceed. This pertains to all components of the proposed project, including those that are part of the applicant's non-Federal cost share. Reclamation will provide a successful applicant with information once environmental compliance is complete. An applicant that proceeds before environmental compliance is complete may risk forfeiting Reclamation funding under this FOA.***

***IV.D.5.h Required Permits or Approvals***

In the application, applicants must state whether any permits or approvals are required and explain the plan for obtaining such permits or approvals.

***IV.D.5.i Funding Plan and Letters of Commitment***

Describe how the non-Reclamation share of project costs will be obtained. Reclamation will use this information in making a determination of financial capability.

Project funding provided by a source other than the applicant shall be supported with letters of commitment from these additional sources. This is a **mandatory requirement**. Letters of commitment shall identify the following elements:

- (1) The amount of funding commitment.
- (2) The date the funds will be available to the applicant.
- (3) Any time constraints on the availability of funds.
- (4) Any other contingencies associated with the funding commitment.

Cost-share funding from sources outside the applicant's organization (e.g., loans or State grants) should be secured and available to the applicant prior to award.

Commitment letters from third party funding sources should be submitted with your Applied Science Grant application. If a commitment letters are not available at the time of the application submission, please provide a timeline for all commitment letters. However, cost share funding for sources outside the applicant's organization (e.g., State loans or State grants), should be secured and available to the applicant prior to award.

Reclamation may approve an award prior to an applicant securing non-Federal cost-share funds if Reclamation determines that there is sufficient evidence and that the non-Federal funds will be available to the applicant by the start of the project.

The funding plan must include all project costs, as follows:

- (1) How you will make your contribution to the cost-share requirement (e.g., monetary and/or in-kind contributions) and the sources of funds you will contribute (e.g., reserve account, tax revenue, and/or assessments).
- (2) Describe any in-kind costs incurred before the anticipated project start date that you seek to include as project costs. The description of these costs shall include:
  - (a) What project expenses have been incurred?
  - (b) How the expenses benefitted the project?

- (c) The amount of the expense.
  - (d) The date of cost incurrence.
- (3) Provide the identity and amount of funding to be provided by funding partners as well as the required letters of commitment.
- (4) Describe any funding requested or received from other Federal partners.

**Note:** Other sources of Federal funding may not be counted towards the applicant’s 50% cost share unless otherwise allowed by statute.

- (5) Describe any pending funding requests that have not yet been approved and explain how the project will be affected if such funding is denied.

Please include the following chart to summarize your non-Federal and other Federal funding sources (table 2). Denote in-kind contributions with an asterisk (\*). Please ensure that the total Federal funding (Reclamation and all other Federal sources) does not exceed 50% of the total estimated project cost.

**Table 2. Summary of Non-Federal and Federal Funding Sources**

Funding Sources	Funding Amount
Non-Federal Entities	
1.	
2.	
3.	
<i>Non-Federal Subtotal:</i>	
Other Federal Entities	
1.	
2.	
3.	
<i>Other Federal Subtotal:</i>	
<i>Requested Reclamation Funding:</i>	
<i>Total Project Funding:</i>	

**IV.D.5.j Letters of Project Support**

Project support letters should be included with the project application. Letters of support should state how the project will benefit Southern Rockies LCC partners

and/or resource managers, as well as any other advantages gained through project support.

**IV.D.5.k Official Resolution**

Include an official resolution adopted by the applicant's board of directors or governing body or, for State government entities and universities, an official authorized to commit the applicant to the financial and legal obligations associated with receipt of LCC Grant financial assistance, verifying:

- The identity of the official with legal authority to enter into agreement.
- The board of directors, governing body, or appropriate official who has reviewed and supports the application submitted.
- The capability of the applicant to provide the amount of funding and/or in-kind contributions specified in the funding plan.
- The applicant will work with Reclamation to meet established deadlines for entering into a cooperative agreement.

**An official resolution meeting the requirements set forth above is mandatory.**

If the applicant is unable to submit the official resolution by the application deadline due to the timing of board meetings or other justifiable reasons, the official resolution may be submitted up to 30 days after the application deadline. This requirement does not apply to university applicants.

**IV.D.5.l Budget Proposal**

- (1) **General Requirements.** Include a project budget with the annual estimated project costs associated with the proposed project. Include the value of in-kind contributions of goods and services and sources of funds provided to complete the project. The proposal must clearly delineate between Reclamation and applicant contributions.
- (2) **Budget Proposal Format.** The project budget shall include detailed information on the categories listed below and must clearly identify all project costs and the funding source(s) (i.e., Reclamation or other funding sources). Unit costs shall be provided for all budget items including the cost of the work to be provided by the contractors. **Lump sum costs are not acceptable.** Additionally, applicants shall include a narrative description of the items included in the project budget. It is strongly advised that applicants use the budget format shown on table 3 at the end of this section or a similar format that provides a detailed breakdown of costs and need justifications for budgets presented in the SF-424A, 424B, C, or D.
- (3) **Budget Narrative Format.** Submission of a budget narrative is mandatory. An award will not be made to any applicant who fails to fully disclose this information. The Budget Narrative provides a discussion of, or explanation

for, items included in the budget proposal. The types of information to describe in the narrative include, but are not limited to, those listed in the following subsections.

*(a) 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. The labor rates should identify the direct labor rate separate from the fringe rate or fringe cost for each category. All labor estimates, including any proposed subcontractors, shall be allocated to specific tasks as outlined in the recipient's technical project description. 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 the stated indirect costs. If these salaries can be adequately documented as direct costs, they may be included in this section; however, a justification should be included in the budget narrative.

*(b) 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 application purposes only or whether they are fixed or provisional rates for billing purposes. Federally approved rate agreements are acceptable for compliance with this item.

*(c) Travel.* Include purpose of trip, destination, number of persons 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.

Travel is limited to presentations to disseminate the results of the project (i.e., presentations given at scientific conferences or presentations to natural and cultural resources users). Travel should be limited to an appropriate number of personnel and to a reasonable number of trips.

*(d) Equipment.* Itemize costs of all equipment having a value of over \$500 and include information as to the need for this equipment. If equipment is being rented, specify the number of hours and the hourly rate.

Itemize costs of all equipment having a value of over \$500 and include information as to the need for this equipment, as well as how the equipment was priced if being purchased for the agreement. If equipment is being rented, specify the number of hours and the hourly rate. Local rental rates only are accepted for equipment actually being rented or

leased for the project. If equipment currently owned by the applicant is proposed for use under the proposed project, and the cost to use that equipment is being included in the budget as in-kind cost share, provide the rates and hours for each piece of equipment owned and budgeted. These should be ownership rates developed by the recipient for each piece of equipment. If these rates are not available, the U.S. Army Corps of Engineer's recommended equipment rates for the region are acceptable. Blue book, Federal Emergency Management Agency, and other databases should not be used.

*(e) Materials and Supplies.* Itemize supplies by major category, unit price, quantity, and purpose, such as whether the items are needed for office use, research, or construction. Identify how these costs were estimated (i.e., quotes, past experience, engineering estimates, or other methodology).

*(f) Contractual.* Identify all work that will be accomplished by subrecipients, consultants, or contractors, including a breakdown of all tasks to be completed and a detailed budget estimate of time, rates, supplies, and materials that will be required for each task. If a subrecipient, 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. Identify how the budgeted costs for subrecipients, consultants, or contractors were determined to be fair and reasonable.

*(g) Environmental and Regulatory Compliance Costs.* In most cases, there will be no environmental compliance associated with projects because they generally will involve nondestructive data collection, inventory, study, research, and monitoring activities. If no environmental compliance is expected to be required based on the nature of the planned project activities, then the applicant is not required to include a line item in their budget for environmental compliance activities. In these cases, the minimal cost for Reclamation staff to confirm and document the absence of environmental issues will be considered an administrative cost paid for by Reclamation.

However, if you believe that the project will require some environmental compliance—however small—then you must include a line item in your budget for environmental compliance activities. For example, if the project will involve any disturbances to the surrounding environment, such as clearing brush to perform a survey or installing monitoring equipment on an existing structure (e.g., headgates, canals) that would alter that structure, then some environmental compliance will be required. In the application review and selection process, Reclamation will consider whether the applicant has budgeted appropriately for environmental compliance, taking into consideration the amount budgeted and the

applicants responses to the questions set forth above, in Section IV.D.5.g., “Environmental and Regulatory Compliance.”

How environmental compliance activities will be performed (e.g., by Reclamation, the applicant, or a consultant), and how the environmental compliance funds will be spent will be determined pursuant to subsequent agreement between Reclamation and the applicant. If any portion of the funds budgeted for environmental compliance is not required for compliance activities, such funds may be reallocated to the project, if appropriate.

*(h) Reporting.* Recipients are required to report on the status of their project on a regular basis. Include a line item for reporting costs (including final project and evaluation costs). Please see section VI.C for information on types and frequency of reports required.

*(i) Other.* Any other expenses not included in the above categories shall be listed in this category, along with a description of the item and how it will be used. No profit or fee will be allowed.

*(j) Indirect Costs.* Show the proposed rate, cost base, and proposed amount for allowable indirect costs based on the applicable OMB circular cost principles (see Section III.E., “Cost-Sharing Requirement”) 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 a federally approved indirect rate agreement is not available, provide supporting documentation for the rate. This can include a recent recommendation by a qualified certified public accountant along with support for the rate calculation.

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 U.S. Department of the Interior, the National Business Center, and Indirect Cost Section, at <<http://www.aqd.nbc.gov/services/ICS.aspx>>.

*(k) Contingency Costs.* All proposed contingency line items must be supported by a rationale. Further, in most cases, contingency cost estimates are limited to 10% of projected construction costs.

(l) *Total Cost.* Indicate total amount of project costs, including the Federal and non-Federal cost-share amounts.

- (4) **Budget Form.** In addition to the above-described budget information, the applicant must complete an SF-424A, Budget Information – Nonconstruction Programs. The form is available at <  
<http://apply07.grants.gov/apply/FormLinks?family=15>>.

## IV.E Funding Restrictions

See section III.G for restrictions on incurrence and allowability of pre-award costs.

**Table 3. Sample Budget Proposal Format**

BUDGET ITEM DESCRIPTION	COMPUTATION		RECIPIENT FUNDING	FUNDING FROM OTHER PARTNERS	RECLAMATION FUNDING	TOTAL COST
	\$/Unit and Unit	Quantity				
SALARIES AND WAGES						
Employee 1						
Employee 2						
Employee 3						
FRINGE BENEFITS						
Full-time employees						
Part-time employees						
TRAVEL						
Trip 1						
Trip 2						
Trip 3						
EQUIPMENT						
Item A						
Item B						
Item C						
SUPPLIES/MATERIALS						
Office Supplies						
Construction						
CONSRACTUAL <sup>1</sup> / CONSTRUCTION						
Item 1						
Item 2						
Item 3						
ENVIRONMENTAL AND REGULATORY COMPLIANCE <sup>2</sup>						
OTHER						
Reporting						
<b>TOTAL DIRECT COSTS</b>						
INDIRECT COSTS - ___%						
<b>TOTAL PROJECT COSTS</b>						

<sup>1</sup> Contracts should be broken out into specific line items. Lump sum estimates are not acceptable. Applicants may attach a separate, detailed budget for each contract to adequately address all contractor budget items.

<sup>2</sup> Environmental and regulatory compliance should be included only if the project involves any surface-disturbing activities that could affect the surrounding environment.



## Section V – Application Review Information

### V.A Review and Selection Process

Reclamation reserves the right to reject any and all applications that do not meet the requirements of this FOA or are outside the scope of Applied Science Grants for the Southern Rockies LCC. Awards will be made for projects most advantageous to Reclamation and the Southern Rockies LCC partners. Award selection may be made to maintain balance among the funding categories listed in section III.C. The evaluation process will comprise of three phases.

#### V.A.1 First-Level Screening

All applications will be screened to ensure that:

- The application meets the requirements of the FOA package, including submission of technical and budget proposals, a funding plan, letter(s) of commitment, and related forms.
- The application contains a properly executed form SF-424, Application for Financial Assistance, and form SF-424B, Assurances–Nonconstruction Programs.
- The application includes an official resolution, adopted by the applicant’s board of directors, governing body, or appropriate authorized official.
- At least 50% of the project cost will be paid for with non-Federal funding. Cost-share funding from sources outside the applicant’s organization (e.g., loans or State grants) should be secured and available to the applicant prior to award. Reclamation may approve an award prior to an applicant securing non-Federal cost-share funds if Reclamation determines that there is sufficient evidence that the non-Federal funds will be available to the applicant by the start of the project.
- The applicant meets the eligibility requirements stated in this document.
- The application meets the description of eligible projects in Section III.C, “Eligible Projects,” of this document (Funding Category(ies) I–III) and is within the scope of this FOA.
- The project can be completed within 2 years from the project start date unless otherwise agreed upon.

**An application must pass all First-Level Screening criteria to be forwarded for further consideration at the Second-Level Evaluation phase.**

### **V.A.2 Second-Level Evaluation (Technical Review)**

Project evaluation criteria will comprise 100 points as stated in section IV.D.5.e (3). An Application Review Committee, comprised of experts in relevant disciplines will score the grant applications against the project evaluation criteria.

### **V.A.3 Third-Level Evaluation (Managerial Review)**

Management will prioritize projects to ensure the total amount of all awards does not exceed available funding levels, to ensure balance among the program tasks, and to ensure that the projects meet the scope and priorities of the Southern Rockies LCCs. Positive or negative past performance by the applicant and any partners in previous working relationships with Reclamation will be considered.

## **V.B Pre-Award Clearances and Approvals**

After completion of the third-level evaluation, Reclamation will notify applicants whose proposals have been selected for award consideration.

Reclamation also will complete a business evaluation and determination of responsibility. During these evaluations, the Grants Officer (GO) also will consider several factors that are important but not quantified, such as:

- Pre-award clearances, determinations, reviews, and approvals.
- Allowability and allocability of proposed costs.
- Financial strength and stability of the organization.
- Past performance, including satisfactory compliance with all terms and conditions of previous awards, such as environmental compliance issues, reporting requirements, proper procurement of supplies and services, and audit compliance.
- Adequacy of personnel practices, procurement procedures, and accounting policies and procedures, as established by applicable OMB circulars.

If the results of all pre-award reviews and clearances are satisfactory, an award of funding will be made once the agreement is finalized (approximately 1–3 months from date of initial selection). If the results of pre-award reviews and clearances are unsatisfactory, consideration of funding for the project may be withdrawn.

## **Section VI – Award Administration Information**

### **VI.A Award Notices**

Successful applicants will receive, by electronic or regular mail, a notice of award.

### **VI.B Award Document**

If the applicant is awarded a financial assistance agreement as a result of this FOA, the proposed project and other relevant information from the application will be referenced in the agreement. The agreement document must be signed by a Reclamation GO before it becomes effective.

### **VI.C Reporting Requirements and Distribution**

If the applicant is awarded an agreement as a result of this FOA, the applicant will be required to submit the following types of reports during the term of the agreement.

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

- SF-425, Federal Financial Report

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

- Semi-annual reports
  - Final report (please note that final reports are public documents and will be made available on Reclamation's Web site).
  - The cost of creation of a final report should be included in the budget proposal as required in section IV.D.5.k.
  - The final report shall include but not be limited to:
    - A narrative summary of all work performed under the agreement
    - A detailed project report description
    - Description and interpretation of the data, methods, results, and conclusions, as appropriate
    - Major accomplishments and/or implementation of the project
  - More detailed final report requirements may be specified if an agreement is awarded.



## Section VII – Agency Contacts

There will be no pre-application conference. *Organizations or individuals interested in submitting applications in response to this FOA may direct questions to Reclamation in writing.* Questions may be submitted to the attention of Michelle Maher, GO, as follows:

**By mail:**

Bureau of Reclamation  
Acquisition Operations Group  
Attn: Michelle Maher  
Mail Code: 84-27810  
P.O. Box 25007  
Denver, CO 80225

**Overnight delivery:**

Bureau of Reclamation  
Attn: Michelle Maher, Mail Code: 84-27810  
Denver Federal Center, Bldg. 67 Rm. 152  
6<sup>th</sup> Avenue and Kipling Street  
Denver, CO 80225

**By e-mail:**

[mmaher@usbr.gov](mailto:mmaher@usbr.gov)