

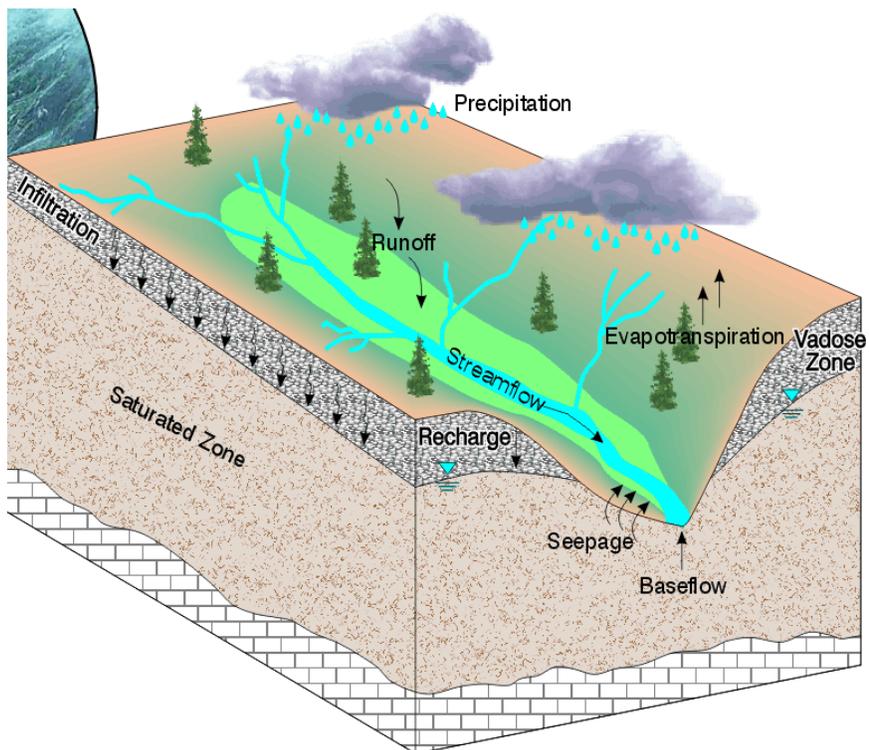
# RECLAMATION

*Managing Water in the West*

Funding Opportunity Announcement No. R10SF80256

**WaterSMART:**

## **System Optimization Review Grants for FY 2010**



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

April 2010

## **Mission Statements**

The mission of the Department of the Interior is to protect and provide access to our Nation's natural and cultural heritage and honor our trust responsibilities to Indian Tribes and our commitments to island communities.

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.

# Synopsis

<b>Federal Agency Name:</b>	Department of the Interior, Bureau of Reclamation, Policy and Administration
<b>Funding Opportunity Title:</b>	WaterSMART System Optimization Review Grants
<b>Announcement Type:</b>	Funding Opportunity Announcement (FOA)
<b>Funding Opportunity Number:</b>	R10SF80256
<b>Catalog of Federal Domestic Assistance (CFDA) Number:</b>	15.507
<b>Dates:</b> (See FOA Sec. IV.B)	Application due date: June 14, 2010, 4:00 p.m. Mountain Daylight Time
<b>Eligible Applicants:</b>  (See FOA Sec. III.A)	Irrigation and water districts, tribal water authorities, state agencies, and other organizations with water or power delivery authority located in the Western United States or United States Territories as identified in the Reclamation Act of June 17, 1902, as amended
<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 \$300,000 per agreement
<b>Estimated Number of Agreements to be Awarded:</b> (See FOA Sec. II.B)	4-8
<b>Total Amount of Funding Available for Award:</b> (See FOA Sec. II.A)	\$1,000,000



# 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.2.a.	Form SF 424, available at: <a href="http://www.grants.gov/agencies/aaproved_standard_forms.jsp#1">http://www.grants.gov/agencies/aaproved_standard_forms.jsp#1</a> Page 16	*
	Assurances	See Sec. IV.D.2.b.	Form SF 424B or SF 424D, as applicable, available at: <a href="http://www.grants.gov/agencies/aaproved_standard_forms.jsp#1">http://www.grants.gov/agencies/aaproved_standard_forms.jsp#1</a> Page 16	*
	Title page	See Sec. IV.D.2.c.	Page 16	*
	Table of contents	See Sec. IV.D.2.d.	Page 16	*
	Technical proposal and evaluation criteria:	See Sec. IV.D.2.e.	Page 16	*
	• Executive Summary	See Sec. IV.D.2.e.(1)	Page 16	*
	• Background Data	See Sec. IV.D.2.e.(2)	Page 17	*
	• SOR Overview	See Sec. IV.D.2.e.(3)	Pages 17-18	*
	• SOR Evaluation Criteria	See Sec. IV.D.2.e.(4)	Pages 19-24	*
	Environmental and Regulatory Compliance	See Sec. IV.D.2.f.	Page 24	*
	Required permits and approvals	See Sec. IV.D.2.g.	Page 25	*
	Funding plan	See Sec. IV.D.2.h.	Page 25	*
	Commitment letters	See Sec. IV.D.2.h	Page 25	**
	Official resolution	See Sec. IV.D.2.i.	Page 26	**
	Project budget proposal:	See Sec. IV.D.2.j.	Pages 27-31	*
	• General requirements	See Sec. IV.D.2.j.(1)	Page 27	*
	• Budget format	See Sec. IV.D.2.j.(2)	Page 27	*
	• Budget narrative	See Sec. IV.D.2.j.(3)	Pages 27-29	*
	• Budget form	See Sec. IV.D.2.j.(4)	Form SF 424A or SF 424C, as applicable, available at: <a href="http://www.grants.gov/agencies/aaproved_standard_forms.jsp#1">http://www.grants.gov/agencies/aaproved_standard_forms.jsp#1</a> Page 30	*

\* Submit materials with your application on June 14, 2010

\*\* 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
ARC	Application Review Committee
CCR	Central Contractor Registration
CFDA	Catalog of Federal Domestic Assistance
DUNS	Data Universal Number System
E-Biz POC	E-Business Point of Contact
EIN	Employer Identification Number
ESA	Endangered Species Act
ET	Evapo-transpiration
FAQ	Frequently Asked Question
FOA	Funding Opportunity Announcement
GO	Grants Officer
IRS	Internal Revenue Service
NEPA	National Environmental Policy Act
NHPA	National Historic Preservation Act
O&M	Operation and maintenance
OMB	Office of Management and Budget
SCADA	Supervisory Control and Data Acquisition
SOR	System Optimization Review
OM&R	Operations, Maintenance, and Replacement
TIN	Taxpayer Identification Number
USFWS	U.S. Fish and Wildlife Service
WaterSMART	Sustain and Manage America's Resources for Tomorrow



# Contents

	<i>Page</i>
<b>Synopsis.....</b>	<b>iii</b>
<b>Application Checklist.....</b>	<b>v</b>
<b>Abbreviations and Acronyms .....</b>	<b>vii</b>
<b>Section I—Funding Opportunity Description.....</b>	<b>1</b>
A. WaterSMART Grants: System Optimization Review (SOR) Grants .....	1
B. Objective of Funding Opportunity Announcement (FOA) .....	1
C. Program Authority .....	2
D. Frequently Asked Questions .....	2
<b>Section II—Award Information .....</b>	<b>3</b>
A. Total Project Funding .....	3
B. Project Funding Limitations .....	3
C. Reclamation Responsibilities .....	3
D. Award Date.....	3
<b>Section III—Eligibility Information.....</b>	<b>5</b>
A. Eligible Applicants .....	5
B. Eligible SORs .....	5
1. Scope of the SOR .....	6
2. Who Will Perform the SOR .....	6
3. SOR Approach .....	6
C. Length of SOR.....	8
D. Cost-Sharing Requirement .....	8
1. Regulations.....	9
2. In-Kind Contributions .....	10
3. Pre-Award Costs .....	10
4. Indirect Costs.....	10
E. Other Requirements .....	10
1. Title to Improvements [Public Law 111-11, Section 9504(a)(3)(D)].....	11
2. Operation and Maintenance Costs [Public Law 111-11, Section 9504(a)(3)(E)(iv)] .....	11
3. Liability [Public Law 111-11, Section 9504(a)(3)(F)].....	11
a. In General.....	11
b. Tort Claims Act.....	11
<b>Section IV—Application and Submission Information.....</b>	<b>13</b>
A. Address to Request Application Package.....	13
B. Application Submission Date and Time .....	13
C. Application Delivery Instructions .....	13
D. Instructions for Submission of SOR Application.....	14
1. Application Format and Length .....	15

2. Application Content .....	15
a. SF-424 Application Cover Page .....	16
b. SF-424 Assurances .....	16
c. Title Page .....	16
d. Table of Contents .....	16
e. Technical Proposal and Evaluation Criteria .....	16
f. Environmental and Regulatory Compliance .....	24
g. Required Permits or Approvals .....	25
h. Funding Plan and Letters of Commitment .....	25
i. Official Resolution .....	26
j. Budget Proposal .....	27
E. Funding Restrictions .....	30
<b>Section V—Application Review Information .....</b>	<b>33</b>
A. Review and Selection Process .....	33
1. First-Level Screening .....	33
2. Second-Level Evaluation (Technical Review) .....	34
3. Third-Level Evaluation (Managerial Review) .....	34
B. Pre-Award Clearances and Approvals .....	34
<b>Section VI—Award Administration Information .....</b>	<b>37</b>
A. Award Notices .....	37
B. Award Document .....	37
C. Reporting Requirements and Distribution .....	37
1. Financial Reports .....	37
2. Program Performance Reports .....	37
3. Significant Development Reports .....	37
<b>Section VII—Agency Contacts .....</b>	<b>39</b>
<b>Section VIII—Other Information .....</b>	<b>41</b>
A. General Provisions .....	41
B. Electronic Application through Grants.gov .....	41
1. Applying for Funds Online at Grants.gov .....	41
2. Registering to Use Grants.gov (1-3 week process) .....	42

## **Section I—Funding Opportunity Description**

### **A. WaterSMART Grants: System Optimization Review (SOR) Grants**

The Nation faces an increasing set of water resource challenges. Aging infrastructure, rapid population growth, depletion of groundwater resources, impaired water quality associated with particular land uses and land covers, water needed for human and environmental uses, and climate variability and change all play a role in determining the amount of fresh water available at any given place and time. Water shortage and water-use conflicts have become more commonplace in many areas of the United States, even in normal water years. As competition for water resources grows—for irrigation of crops, growing cities and communities, energy production, and the environment—the need for information and tools to aid water resource managers also grows. Water issues and challenges are increasing across the Nation but particularly in the West due to prolonged drought.

These water issues are exacerbating the challenges facing traditional water management approaches which by themselves no longer meet today's needs. The Department's WaterSMART (Sustain and Manage America's Resources for Tomorrow) program is working to achieve a sustainable water strategy to meet the Nation's water needs. Through WaterSMART Grants, Reclamation provides cost-shared funding on a competitive basis for SORs that focus on improving efficiency throughout a system, district, or river basin.

For further information on the WaterSMART program, see <http://www.usbr.gov/WaterSMART/>.

### **B. Objective of Funding Opportunity Announcement (FOA)**

The objective of this FOA is to invite States, Indian Tribes, irrigation districts, water districts, and other organizations with water or power delivery authority to leverage money and resources by cost-sharing with Reclamation to assess the potential for water management improvements and identify specific ways to implement those improvements.

SORs consist of:

- (1) An assessment of the potential for water management improvements in a river basin, system, or district
- (2) A report identifying specific improvements to increase efficiency, including a plan of action for implementing the recommendations

The recommendations can include physical improvements, such as modernizing a water delivery system, changing operations to improve efficiency, or facilitating water transfers or water marketing. The SOR may focus on a watershed, river basin, district, delivery system, or a portion thereof. Completing an SOR will help districts, states, and other local entities with water delivery authority to identify potential projects and develop the supporting documentation necessary to apply for Water and Energy Efficiency Grants under the WaterSMART program. Applicants who have already completed an SOR may receive additional points during the Water and Energy Efficiency Grant review process.

### **C. Program Authority**

This FOA is issued under the authority of Section 9504 of the Secure Water Act, Subtitle F of Title IX of the Omnibus Public Land Management Act of 2009, P.L. 111-11(42 USC 10364).

### **D. Frequently Asked Questions**

A list of Frequently Asked Questions (FAQs) about WaterSMART can be found on-line at <<http://www.usbr.gov/WaterSMART>>. The FAQs list will be updated periodically during the application period.

## Section II—Award Information

### A. Total Project Funding

It is expected that a total of up to \$1,000,000 in Federal funds will be available for project awards under this FOA.

### B. Project Funding Limitations

Reclamation's share of any one proposed SOR shall be up to 50 percent of the total SOR costs and shall generally not exceed \$300,000. Reclamation may make awards exceeding that amount on a case-by-case basis. Between 4 and 8 awards are expected to be made under this FOA; however, Reclamation reserves the right to make additional awards at a later date, depending on the availability of funding.

### C. Reclamation Responsibilities

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 will 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**, which may include review, input, and approval at key interim stages of the project

### D. Award Date

It is expected that the names of potential award recipients will be announced in July, 2010. Within one to three months after the initial announcement, assistance agreements will be awarded to applicants that successfully pass all pre-award reviews and clearances.



## Section III—Eligibility Information

### A. Eligible Applicants

In accordance with P.L. 111-11, Section 9502, eligible applicants include:

- State or Territory agencies or departments with water or power delivery authority
- Federally recognized Indian tribes with water or power delivery authority. The term “Indian tribe” has the meaning given in section 4 of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450b)
- Irrigation and water districts
- Municipal water or power delivery authorities
- Other organizations with water or power delivery authority

Applicants must also be located in the western U.S. or Territories as identified in the Reclamation Act of June 17, 1902, 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.

**Those not eligible** include entities without water or power delivery authority, such as:

- Other State governmental entities
- Federal governmental entities
- Institutions of higher education
- Individuals

### B. Eligible SORs

*Grants will be awarded to SOR projects that can produce a completed final report, including plans of action to secure water through water conservation, efficiency, and markets by September 30, 2012.*

## **1. Scope of the SOR**

SORs are intended to focus on improving efficiency throughout a system, district, river basin, or a portion thereof—not on a single structure such as improving one headgate or lining one ditch. SORs are intended to take a broad look at system-wide efficiency, and they are not focused on single project-specific planning. Accordingly, SOR funding may not be applied to the cost of design, engineering, or construction of a particular recommended project. Funding for the design, engineering, or construction of a project may be available under a separate FOA for Water and Energy Efficiency grants.

The scope of each SOR will vary, depending on the stage of the planning process being addressed. Some applicants may wish to perform a comprehensive analysis that takes into consideration all options for improving water management and results in recommendations for the best approach. In districts which have already done comprehensive planning, applicants may wish to update an earlier plan by focusing the SOR on a particular aspect of system improvement, such as water marketing or automation, and determining the best approach to implement the improvements.

## **2. Who Will Perform the SOR**

In many cases, the actual team performing the SOR will not be known until after funding is received and an outside consultant is hired. In this case, please identify the process to hire the consultant and list any credentials or experience that will be required of the SOR development team.

If the SOR team is known, you should indicate in the proposal who is likely to perform the SOR. The team should include at least one external party (i.e., who is not a member of the applicant's staff). More complicated SORs may require a more experienced and diverse team, whereas smaller and less complicated SORs may require a less diverse and experienced SOR development team.

Diversity on the review team—including reviewers with different areas of expertise and experience, where appropriate—is encouraged.

At the request of the applicant, Reclamation can provide technical assistance. The type of assistance can vary depending on the local area office. If you are interested in receiving Reclamation's technical assistance, you must account for this in your budget. To discuss the type of assistance available and the cost, contact your local Reclamation office which can be identified at <http://www.usbr.gov/main/about>.

## **3. SOR Approach**

The specific approach and methodology for performing the SOR will be proposed by the applicant and evaluated by Reclamation in the application selection and

review process. However, at a minimum, the following steps must be incorporated:

- **Gather information.** Gather background information about the applicant’s water management system, including water supply and water demand, age and condition of the study area, ability to accurately measure and control water deliveries, energy consumption etc. If additional data are needed, describe the collection methods and data to be collected. Discuss the estimated schedule, stages, and duration of the data gathering.
- **Identify issues and priorities.** Identify and prioritize water management issues you seek to address.
- **Set goals.** Establish goals relative to water conservation, water management, water marketing, improving sustainable water supplies, and addressing endangered species needs.
- **Identify and evaluate potential improvements.** Identify and evaluate potential improvements or operational changes to optimize water management. Evaluate the relative costs and benefits of the recommended improvements.
  - *Ranking.* Rank/prioritize the improvements based on estimates of the water management benefits associated with each improvement (including estimated water savings, improved efficiency, and other water management benefits).
  - *Improvements.* Describe how the proposed improvements are likely to help reduce tension over water or improve sustainable water supplies; consider entities outside the study area.
  - *Stakeholder involvement.* Describe any involvement in the SOR or the recommended improvements by any stakeholders or partners.
  - *Environmental issues and impacts.* Include a preliminary evaluation of environmental compliance issues that may be associated with potential projects, improvements or operational changes (e.g., compliance with National Environmental Policy Act [NEPA], Endangered Species Act [ESA], National Historic Preservation Act [NHPA], Clean Water Act and other Federal, tribal, State, or local environmental laws and regulations).
- **Define a Plan of Action.** Develop a plan of action for implementing the improvements identified, including recommending a sequence and a strategy for implementation, and identify sources of funding.

- **Prepare an SOR Final Report.** The SOR Final Report is the final product of the SOR analysis and must meet the following requirements. The SOR Report shall summarize the analysis performed through the above steps, including these sections:
  - *Evaluation of Efficiency.* An evaluation of the recipient’s current level of system efficiency with specific recommendations for projects to optimize efficiency.
  - *Costs and Benefits.* A statement of the relative costs and benefits of the recommended improvements discussing each of the four elements described in the above bullet “Identify and evaluate potential improvements”
  - *Plan of Action.* The plan of action described in the above bullet, “Define a Plan of Action” for implementing the improvements identified.
  - *Recommended Actions.* Where the SOR is focused on specific types of improvements, such as automation or another type of modernization, the report recommendations will focus on suggesting a strategy for implementing that type of improvement. The improvements identified in the SOR Report may be physical (e.g., system automation, measurement, or canal lining or piping). Other improvements may be operational (e.g., modify district policies or procedures to encourage conservation, facilitate water transfers, use water markets or otherwise improve water management). The recommended actions should be practical, affordable, and consistent with any State, basin-wide or local water plans, laws, and your needs and objectives.

### **C. Length of SOR**

Proposed projects should be completed by September 30, 2012. Applications for SORs that will not be completed by September 30, 2012 will be considered if it can be demonstrated that there will be measurable accomplishments each year.

### **D. Cost-Sharing Requirement**

Applicants must be willing to cost share 50 percent 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. Cost share funding from sources outside the applicant’s organization, e.g., loans or state grants, is to be secured and available to the applicant by no later than September 1, 2010. Funding commitment letters must be submitted in accordance with Section IV.C and contain the information

stated at Section IV.D.2.h. Applicant cost sharing in excess of 50 percent will be more favorably ranked during the selection process.

## 1. Regulations

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/>.

- **STATE, LOCAL, AND TRIBAL GOVERNMENTS** that are recipients or subrecipients shall use:
  - Circular A-87, revised 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”
  
- **NONPROFIT ORGANIZATIONS** that are recipients or subrecipients shall use:
  - 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”
  
- **ORGANIZATIONS OTHER THAN THOSE INDICATED ABOVE** that are recipients or subrecipients 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/>.

Additionally, please reference 43 CFR 12.77 for further regulations that cover the award and administration of subawards by State governments.

## **2. 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.

## **3. Pre-Award Costs**

SOR costs that have been incurred prior to the date of award but after the date of authorization may be submitted for consideration as an allowable portion of the recipient's cost share for the SOR. **In no case will pre-award costs incurred prior to October 28, 2009, 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.

## **4. Indirect Costs**

Indirect costs that will be incurred during performance of the SOR, which will not otherwise be recovered, may be included as part of the applicant's cost share. Indirect costs are those that are both:

- (1) Incurred for a common or joint purpose benefiting more than one cost objective
- (2) Not readily assignable to any one cost objective

For further information on indirect costs, refer to the applicable OMB cost principles circular referenced above.

## **E. Other Requirements**

Applicants shall adhere to Federal, State, Territorial, 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.

**1. Title to Improvements [Public Law 111-11, Section 9504(a)(3)(D)]**

If the activities funded through an agreement awarded under this FOA result in an infrastructure improvement to a federally owned facility, the Federal Government shall continue to hold title to the facility and improvements to the facility.

**2. Operation and Maintenance Costs [Public Law 111-11, Section 9504(a)(3)(E)(iv)]**

The non-Federal share of the cost of operating and maintaining any infrastructure improvement funded through an agreement awarded under this FOA shall be 100 percent.

**3. Liability [Public Law 111-11, Section 9504(a)(3)(F)]**

***a. In General***

Except as provided under chapter 171 of title 28, United States Code (commonly known as the “Federal Tort Claims Act”), the United States shall not be liable for monetary damages of any kind for any injury arising out of an act, omission, or occurrence that arises in relation to any facility created or improved through an agreement awarded under this FOA, the title of which is not held by the United States.

***b. Tort Claims Act***

Nothing in this section increases the liability of the United States beyond that provided in chapter 171 of title 28, United States Code (commonly known as the “Federal Tort Claims Act”).



## Section IV—Application and Submission Information

### A. Address to Request Application Package

This document contains all information, forms, and electronic addresses required to obtain the information required 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: Stephanie Bartlett  
Mail Code: 84-27810  
P.O. Box 25007  
Denver CO 80225

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

Phone: 303-445-2025

### B. Application Submission Date and Time

Application submission date deadline:

- June 14, 2010, 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.

### C. Application Delivery Instructions

Applications may be submitted electronically through <http://www.grants.gov> or hard copies may be submitted as follows:

By mail:

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

Express delivery:

Bureau of Reclamation  
Attn: Stephanie Bartlett, 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

## **D. Instructions for Submission of SOR Application**

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

- 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.”
- 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 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.
- Electronic applications must be submitted through Grants.gov at <http://www.grants.gov>.

## Section IV—Application and Submission Information

- Please note that submission of an application electronically requires prior registration through Grants.gov, which may take 7-21 days. See Section VIII.B for further information on submission of applications through Grants.gov.
- 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 you encounter problems with the Grants.gov application submission process, you must contact the Grants.gov Help desk to obtain a “Case Number.” This Case Number will provide evidence of your attempt to submit an application prior to the submission deadline.
- Regardless of the delivery method used, applicants must ensure that their proposals arrive 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.

### 1. Application Format and Length

The total application package shall be no more than **75 consecutively numbered** pages, and shall be single spaced and printed single-sided. If an application exceeds 75 pages, only the first 75 pages will be evaluated. The font shall be at least 12 points in size and easily readable. Page size shall be 8 ½” x 11” except for an occasional larger size for charts, maps, or drawings. The Technical Proposal section shall be limited to a maximum of **30** (thirty) pages.

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

### 2. Application Content

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

- SF-424 Core Form – Application cover page
- SF-424 B or D Form, as applicable to the project
- Title page
- Table of contents
- Technical proposal (limited to 30 pages)
  - Executive summary
  - Background data
  - General SOR Overview
  - Technical proposal description

- Potential environmental impacts
- Required permits and approvals
- Funding plan and letters of commitment
- Official resolution
- Project budget application
  - Budget proposal
  - Budget Narrative
  - SF-424 A or C Form, as applicable to the project

SF-424, SF-424A, SF-424B, SF-424C, and SF-424D forms may be obtained at [http://www.grants.gov/agencies/aapproved\\_standard\\_forms.jsp#1](http://www.grants.gov/agencies/aapproved_standard_forms.jsp#1).

**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.**

**b. SF-424 Assurances**

An SF-424B – Assurances – Non-Construction Programs or an SF-424D – Assurances – Construction Programs, signed by a person legally authorized to commit the applicant to performance of the project shall be included. Questions regarding whether to use an SF-424B or SF-424D should be referred to Stephanie Bartlett at: [sbartlett@usbr.gov](mailto:sbartlett@usbr.gov). **Failure to submit a properly signed SF-424B or SF-424D may result in the elimination of the application from further consideration.**

**c. Title Page**

Provide 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, e-mail address, telephone, and fax numbers of the project manager.

**d. Table of Contents**

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

**e. Technical Proposal and Evaluation Criteria**

**The technical proposal (30 pages maximum) includes: (1) the Executive Summary, (2) Background Data, (3) General SOR Overview, and (4) SOR Evaluation Criteria. To ensure accurate and complete scoring of your application, your proposal should address each subcriterion in the order presented here. Where applicable, the point value is indicated.**

- (1) Technical Proposal: Executive Summary.** The executive summary should include:

## Section IV—Application and Submission Information

- Discussion of the study area and how the SOR will be performed.
- Identification of the approach for completing the SOR and the issues that the applicant plans to address in the SOR.
- Identification of the current transport losses, water marketed, the average annual water supply, average annual demand, projected future demand, and average annual shortage of the study area. This information should be provided in tabular or bullet format.

### (2) **Technical Proposal: Background Data.**

- Provide a map of the area, showing the geographic location of the system to be analyzed as part of the proposed SOR. State (in acre feet) the amount of water involved and describe the source of water and current water uses (e.g., agricultural district, municipal district, drainage basin) and current and projected water demand. Include the location of the area (state, county, and direction from nearest town) to be addressed.
- Provide a description of the delivery system involved. For agricultural systems, please include the miles of canals, miles of laterals, existing irrigation improvements (i.e., type, miles, or acres), estimated canal and lateral seepage losses and on-farm efficiency, to the extent known. For municipal systems, please include the number of connections, current levels of efficiency, to the extent known, and any other relevant information describing the system.
- If the application includes renewable energy or energy efficiency elements, describe existing energy sources and current energy uses. If applicable, describe any ESA issues that exist in the geographic area.
- If the above background information is included in a current planning or engineering document (such as a water conservation plan for example), the applicant may reference that document and attach the relevant pages of the plan or document as an appendix.
- Identification of any past working relationships with Reclamation, including a brief summary of any previous grants. This should include the date(s), description of relationship with Reclamation, and a description of the previous grant project(s).

### (3) **Technical Proposal: General SOR Overview.** Provide an overview of the goals and approach of the SOR.

- (a) *Goals.* Discuss the preliminary goals and objectives of the proposed SOR. List known water supply or water management issues that you anticipate evaluating in the SOR.
- (b) *Approach.* Describe, in sufficient detail to permit a comprehensive evaluation of the proposal, your planned approach to completing the SOR, including the following steps:
- Information gathering.
  - Identifying issues and priorities.
  - Setting goals.
  - Identifying and evaluating potential improvements.
  - Creating a plan of action. **NOTE: If this step is not clearly identified, the application will be eliminated from consideration.**
  - Developing an SOR Report.
- (c) *Discussion.* The discussion should include:
- The method to be used to gather information about your system.
  - How water management issues will be identified and prioritized.
  - The method to be used to identify potential policy, operational, or physical improvements capable of improving water conservation, increasing water use efficiency, and/or enhancing water management.
  - The expected members of the SOR development team and the qualifications and experience that would be necessary. If the team is unknown, describe the process to hire the members and the qualifications that will be used to select the members.
- (d) *Scope.* Describe, the planned scope of the SOR (i.e., both the geographic scope—basin, district or a portion thereof—and the range of issues being addressed). If the geographic scope is addressed under the background information, reference that section of the application and provide support for the proposed scope.
- (e) *Tasks and Schedule.* Describe the major tasks to be addressed in the SOR and an estimated schedule demonstrating the stages and duration of each part of the SOR.

- (4) **Technical Proposal: SOR Evaluation Criteria.** The following information is intended to assist you in preparing a detailed technical proposal. To ensure complete and accurate scoring, each application should address each of the subcriteria in the order presented. This information should be contained in the 30 page Technical Proposal.

**(a) Water Conservation (31 points)**

*Up to 31 points may be awarded for a proposed SOR that will address potential for water conservation and efficiency improvements.*

*Up to 25 of these points may be awarded for a proposed SOR that will address the potential for water conservation and efficiency improvements in a system, district, or portion of river basin.*

Include the following information:

- (1) Describe how the SOR will assess the potential for water conservation
- (2) Identify the total average annual water supply in acre-feet
- (3) Describe how the SOR will address water conservation issues, including, whether you will:
  - Develop a water budget
  - Assess drainage and tail water conditions or any other factors related to improving conservation
  - Identify water conservation tools that will be considered (e.g., piping or lining canals)
- (4) Describe how the proposed SOR will address the potential to improve water management, including an estimate the amount of water that you believe could be better managed in acre feet and as a percent of the average annual supply
- (5) Discuss any known water management-related issues that will be investigated in the proposed SOR, including for example, whether you will:
  - Examine water measurement capabilities
  - Evaluate the schedule of deliveries

- Identify water management tools that will be considered (e.g., Supervisory Control and Data Acquisition [SCADA], gate automations, or evapo-transpiration [ET] controllers)

*Up to 6 additional points may be awarded for a proposed SOR that will address larger areas involving multiple entities.*

Describe the geographical scope of the proposed SOR. Specifically, address whether the proposed SOR would involve only one irrigation district or if the SOR will examine a portion of a river basin or a watershed. Discuss the entities involved in the SOR.

**(b) Energy Efficiency (16 points)**

*Up to 16 points will be awarded based on the extent to which the proposed SOR will address the potential for increased use of renewable energy in the management and delivery of water or other potential energy conservation improvements.*

*Up to 10 of those points may be awarded for proposed SORs that will address the potential for renewable energy components (facilities that enable the use of renewable energy, e.g., small-scale hydroelectric units, solar-electric facilities, wind energy systems).*

Please include:

- (1) How the SOR will address renewable energy systems in your operation
- (2) Whether the SOR will address steps necessary to proceed with construction or installation of renewable energy components, including discussion of any necessary permits
- (3) Extent to which the SOR will result in estimates of the quantity of energy to be generated and the expected energy efficiency of a renewable energy system
- (4) Whether and how the SOR will address expected environmental benefits of a renewable energy system
- (5) Whether the SOR will address expected reduction in the use of energy currently supplied through a Reclamation project
- (6) How the SOR will determine potential beneficiaries of the renewable energy system

*Up to 6 additional points may be awarded for SORs that address the potential for reduction in energy demands through retrofitting equipment to increase energy efficiency or through water conservation improvements.*

Please describe the steps that will be taken to investigate the potential for energy efficiency improvements in the study area, including energy savings from any water conservation improvements.

**(c) Addressing Endangered Species Concerns (11 points)**

*Up to 11 points may be awarded for proposed SORs expected to address federally-listed threatened or endangered species or federally-recognized candidate species.*

For a proposed SOR that will address threatened species, endangered species, and designated critical habitats affected by a Reclamation project, please include:

- (1) Relationship of the species to a Reclamation project water supply
- (2) Likely impacts that would result from an interruption in the water supply
- (3) Extent to which the proposed SOR will address potential reductions in the likelihood of listing or other improvements to the status of the species

**OR**

For a proposed SOR that will address federally-recognized candidate species that rely on or impact water supplies, please include:

- (1) Relationship of the species to water supply
- (2) Likely impacts that would result from an interruption in the water supply
- (3) Extent to which the proposed project would reduce the likelihood of listing or would otherwise improve the status of the species

Projects that benefit both federally-listed endangered species and federally-recognized candidate species will receive additional consideration under this criterion.

**(d) Other Contributions to Water Supply Sustainability (11 points)**

*Up to 11 points may be awarded for proposed SORs that are likely to contribute to a more sustainable water supply in ways not covered by other*

*criteria (e.g., addressing specific local concerns, water supply shortages due to climate variability, significant population growth, or drought).*

- (1) Will the proposed SOR address specific concerns (e.g. water supply shortages due to climate variability and/or heightened competition for finite water supplies)?
- (2) Generally, describe the issues that affect water supply sustainability and describe how the proposed SOR will address those issues.
- (3) Explain how the proposed SOR will identify actions to improve sustainable water supplies.

**(e) Water Marketing (11 points)**

*Up to **11 points** may be awarded for SORs that will assess the potential for water marketing. Credit will be given for applications that will investigate potential water marketing opportunities or that will investigate physical improvements or operational changes to facilitate water marketing.*

Briefly describe any water marketing or banking opportunities that will be assessed in the SOR.

- (1) Describe any known water marketing opportunities that will be investigated further, including the potential type of transaction (e.g., sale, lease, or exchange), parties, and how the market could operate
- (2) If no known water marketing opportunities exist, describe how potential water marketing opportunities may be identified
- (3) Describe any issues that the SOR will address to help facilitate water marketing (e.g., evaluation of whether supplies are available for water marketing, investigation of physical or operational improvements to make water available for marketing, or evaluation of any legal impediments to water marketing [e.g., any restrictions under Reclamation law or contracts, individual project authorities, water spreading, and applicable state water laws])
- (4) Identify potential partners or groups that will be contacted while investigating water marketing opportunities

**(f) Demonstrated Results (8 points)**

*Up to 8 points will be awarded for proposals that can demonstrate that the SOR is likely to result in a plan of action to address water supply sustainability.*

**Subcriteria No. 1—Methodology**

*Up to 6 points may be awarded based on how well the methodology and basis for the SOR are developed, defined, and identified. While an SOR must include the following steps, this subcriteria will consider the process identified to complete each step:*

- Gathering information
- Identifying issues and priorities
- Setting goals
- Identifying and evaluating potential improvements
- Creating a plan of action
- Developing an SOR Report

Emphasis will be placed on the process for developing a plan of action.

**Subcriteria No. 2—Personnel Qualifications**

*Up to 2 points may be awarded based on the qualifications of the individuals performing the SOR or the likelihood of the competition process to hire those individuals to result in highly qualified team members.*

**(g) Project Financing and Cost Sharing (8 points)**

*Up to 8 points will be awarded for proposals based on the extent to which costs are reasonable for the work proposed and the extent to which non-Federal cost-share exceeds minimum requirements.*

**Subcriteria No. 1—Reasonableness of Costs**

*Up to 6 points may be awarded for proposed SORs for which the costs are reasonable, appropriate for the work proposed, necessary, and predominantly allocated to direct costs.*

Does the budget identify direct, indirect, environmental, and contingency costs? If not, explain.

**Subcriteria No. 2—Additional non-Federal Funding**

*Up to 2 additional points may be awarded to proposals that provide non-Federal funding in excess of 50 percent of the project costs.*

State the percentage of non-Federal funding provided.

**(h) Connection to Reclamation Project Activities (4 points)**

*Up to 4 points may be awarded if the proposed SOR is in a basin with connections to Reclamation project activities. No points will be awarded for proposals without connection to a Reclamation project or Reclamation activity.*

- In what way is the proposal connected to Reclamation project activities?
- Does the proposed SOR involve Reclamation project water?
- Will the SOR address Reclamation facilities or Reclamation project lands?
- Is the proposed SOR in the same basin as a Reclamation project or activity?
- Will the proposed SOR potentially benefit a basin where a Reclamation project is located?
- Will a Reclamation district be involved in the SOR?

***f. Environmental and Regulatory Compliance***

In most cases, there would be no environmental compliance associated with SORs because they would generally involve non-destructive data collection, inventory, study, research, and monitoring activities. However, some environmental compliance may be required if the SOR 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 SOR-related activities that would have such disturbances, a one-percent 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 NEPA, ESA, and NHPA. Please answer the following questions to the best of your knowledge. If any question is not applicable to your SOR, please explain why. If you have any questions, please contact your local Reclamation office which can be found at <http://www.usbr.gov/main/about/addresses.html>.

## Section IV—Application and Submission Information

- Will any activities associated with the proposed SOR impact the surrounding environment (e.g., soil [dust], air, water [quality and quantity], animal habitat)? Such activities could include, for example, brush clearing, installation of measuring or monitoring devices, soil sampling, etc. If so, please describe the impacts and any steps planned to minimize the impacts.
- Are you aware of any endangered or threatened species in the SOR area? Would they be affected by any activities associated with the SOR?
- Are there wetlands inside the SOR boundaries? Would they be affected by any activities associated with the SOR?
- When was the water delivery system constructed?
- Will the SOR result in any modification of, or effects to, individual features of a water delivery system (e.g., headgates, canals)?
- If you answered yes to the previous question, state when those features were constructed and describe the nature and timing of any alterations or modifications to those features.
- Are any buildings, structures, or features in the area of the proposed SOR listed or eligible for listing on the National Register of Historic Places? The local Reclamation office can assist in answering this question.
- Are there any known archeological sites in the area of the proposed SOR? Would they be affected by any activities associated with the SOR? The local Reclamation office can assist in answering this question.

### ***g. Required Permits or Approvals***

Applicants must state in the application whether any permits or approvals are required and explain the plan for obtaining such permits or approvals.

### ***h. 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.

SOR 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:

- (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

Commitment letters should be included with your SOR application. If a final funding commitment has not been received by the date of application, commitment letters are to be submitted by no later than September 1, 2010, to the address shown in Section IV.C, above.

The funding plan must include all project costs. Address:

- (1) How you will make your contribution to the cost-share requirement, e.g. monetary and/or in-kind contributions and source funds you 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 they 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 percent 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.

***i. Official Resolution***

Include an official resolution adopted by the applicant's board of directors or governing body, or for state government entities, an official authorized to commit the applicant to the financial and legal obligations associated with receipt of WaterSMART 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 you are unable to submit the official resolution by the application deadline because of the timing of board meetings or other justifiable reasons, the official resolution may be submitted up to 30 days after the application deadline.

***j. Budget Proposal***

**(1) General Requirements.** Include an SOR budget with the annual estimated project costs and an estimate of any increase or decrease in operation and maintenance (O&M) costs resulting from the 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 SOR budget shall include detailed information on the categories listed below and must clearly identify all SOR costs and the funding source(s) (e.g., Reclamation or other funding sources). Unit costs shall be provided for all budget items, including the cost of work to be provided by contractors. **Lump sum costs are not acceptable.**

Additionally, applicants shall include a narrative description of the items included in the SOR budget. It is strongly advised that applicants use the budget format shown in table 1 at the end of this section or a similar format that provides this information.

**(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. Listed below are examples of the types of information to include in the narrative.

*(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. All labor estimates, including any proposed subcontractors, shall be allocated to specific tasks as outlined in the recipient's technical proposal 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.
- (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.
- (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.
- (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.
- (g) *Environmental and Regulatory Compliance Costs*. In most cases, there will be no environmental compliance associated with SORs because they generally will involve nondestructive data collection, research, inventory, study, research, and monitoring activities. If no environmental compliance is expected to be required based on the nature of the planned SOR 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 SOR 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 SOR 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.2.f., “Environmental and Regulatory Compliance.”

How environmental compliance activities will be performed (e.g., by Reclamation, the applicant, or a consultant), 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 what it will be used for. 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 D., “Cost Sharing Requirement”) for the recipient’s organization. It is not acceptable to simply incorporate indirect rates within other direct cost line items.

If you have separate rates for recovery of labor overhead and general and administrative costs, each rate shall be shown. You 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 you use unapproved rates, 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 Interior, the National Business Center, and Indirect Cost Section, at <http://www.aqd.nbc.gov/services/ICS.aspx>.

- (k) *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, or an SF-424C, Budget Information–Construction Programs. These forms are available at <[http://www.grants.gov/agencies/approved\\_standard\\_forms.jsp#1](http://www.grants.gov/agencies/approved_standard_forms.jsp#1)>.

## **E. Funding Restrictions**

See Section III.D. for restrictions on incurrence and allowability of pre-award costs.

Section IV—Application and Submission Information

**Table 1. Sample Budget Proposal Format**

BUDGET ITEM DESCRIPTION	COMPUTATION		RECIPIENT FUNDING	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					
CONTRACTUAL/ <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 SOR involves any surface-disturbing activities that could affect the surrounding environment.



# Section V—Application Review Information

## A. Review and Selection Process

The Government reserves the right to reject any and all applications which do not meet the requirements of this FOA, or are outside the scope of this FOA. Awards will be made for projects most advantageous to the Government.

The evaluation process will be comprised of three steps.

### 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 SF-424 Application for Financial Assistance and a form SF-424B, Assurances—Non-Construction Programs, or SF-424D, Assurances—Construction Programs
- The application includes an official resolution, adopted by the applicant’s board of directors, governing body, or appropriate authorized official
- At least 50 percent of the cost of the SOR will be paid for with non-Federal funding. Cost share funding commitments are to be submitted to Reclamation by September 1, 2010
- The applicant meets the eligibility requirements stated in this document
- The application meets the description of eligible SORs in Section III.B., “Eligible SORs,” of this document and is within the scope of this FOA
- The project can be completed by September 30, 2012

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

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

Technical criteria will comprise 100 points as stated in Section IV.D.2.e(4). An Application Review Committee (ARC), made up of experts in relevant disciplines selected from across Reclamation, will score the applications against the selection criteria.

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

Management will prioritize projects to ensure:

- (1) The total amount of all awards does not exceed available funding levels
- (2) Balance among the program tasks
- (3) The proposed SORs are within the scope and priorities of this FOA

Positive or negative past performance by the applicant and any partners in previous working relationships with Reclamation will be considered.

## **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 and will forward their applications to the appropriate Reclamation regional or area office for completion of environmental compliance.

The local Reclamation office will also complete a business evaluation and determination of responsibility. During these evaluations, the Grants Officer (GO) will also consider several factors which 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

## Section V—Application Review Information

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 one to three months from date of initial selection).



## **Section VI—Award Administration Information**

### **A. Award Notices**

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

### **B. Award Document**

If the applicant is awarded a financial assistance agreement as a result of this FOA, the proposed SOR and other relevant information from the application will be referenced in the agreement. Examples of award documents, including applicable terms and conditions, may be viewed at <<http://www.usbr.gov/mso/aamd/doing-business-financial-assistance.html>>. The agreement document must be signed by a Reclamation GO before it becomes effective.

### **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.

#### **1. Financial Reports**

- SF-425, Federal Financial Report

#### **2. Program Performance Reports**

- Quarterly reports
- Final report (please note that final reports are public documents and will be made available on Reclamation's website)

#### **3. Significant Development Reports**

- When applicable



## 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 Stephanie Bartlett, GO, as follows:

**By mail:**

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

**Express delivery:**

Bureau of Reclamation  
Attn: Stephanie Bartlett  
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:**

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



## Section VIII—Other Information

### A. General Provisions

The General provisions applicable to this agreement are available at: <<http://www.usbr.gov/mso/aamd/doing-business-financial-assistance.html>>. The General Provisions are included within the Standard Document Templates shown on that page. Please review the appropriate recipient and project type template document applicable to your application.

Applicants are advised to review 43 CFR 12 for further guidance relating to the administration of an anticipated agreement beyond the point of award.

### B. Electronic Application through Grants.gov

**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 to obtain a “Case Number.” This will provide evidence of your attempt to submit an application prior to the submission deadline.**

#### 1. Applying for Funds Online at Grants.gov

Reclamation is participating in the Grants.gov initiative that provides the grant community with a single website 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>>.

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> or by calling 1-800-518-4726.

Table 2 provides a checklist 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 Step 2 in Table 2 for completing the annual Central Contractor Registration (CCR) renewal process.**

## 2. Registering to Use Grants.gov (1-3 week 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 three to five business days or one to three weeks**—depending on your organization and if all steps are met in a timely manner. The checklist in Table 2 provides registration guidance for a company, academic or research institution; State, local, or tribal government; not-for-profit; or other type of organization.

**Table 2. Checklist for Registering Your Organization in Grants.gov**

√ Step	Actions to take	Purpose	Time required
1: Obtain Data Universal Number System (DUNS) Number	<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 <a href="http://fedgov.dnb.com/webform/displayHomePage.do">http://fedgov.dnb.com/webform/displayHomePage.do</a></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.

Section VIII—Other Information

Step	Actions to take	Purpose	Time required
<p><b>2: Register With Central Contractor Registration</b></p>	<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 <a href="http://www.ccr.gov">http://www.ccr.gov</a>. CCR has developed a handbook <a href="https://www.bpn.gov/ccr/doc/UserAccount.pdf">https://www.bpn.gov/ccr/doc/UserAccount.pdf</a> to help you with the process. If AFTER having registered in CCR, you experience any registration problems, you can get help by going to the Federal Service Desk <a href="https://www.fsd.gov">https://www.fsd.gov</a>.</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 (AORs).</p>	<p>Registering with the CCR is required for organizations to use Grants.gov.</p>	<p>If your organization already has an Employer Identification Number (EIN) or Taxpayer Identification Number (TIN), then you should allow one – three 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 two 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.**

<p><b>3: Username and Password</b></p>	<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 one 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>
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Step	Actions to take	Purpose	Time required
<p>√ <b>4: AOR Authorization</b></p>	<p><b>Has the E-Business Point of Contact (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 the AOR submitted in the profile will be the email 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 must then 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>
<p><b>Step 5: Track AOR Status</b></p>	<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>