

**U.S. Department of the Interior  
National Park Service**

**Financial Assistance  
Notice of Funding Opportunity (NOFO)**



Program Title	Ethnobotany and Traditional Ecological Knowledge for Wind Cave National Park, South Dakota
Notice of Funding Opportunity Number:	<u>P17AS00218</u>
Announcement Type:	<u>Initial</u>
CFDA Number:	<u>15.945 Cooperative Research &amp; Training Programs – Resource of the National Park System</u>

Issue Date:	<u>05/02/2017</u>	
Application Due Date:	<u>06/09/2017</u>	<u>5:00 p.m. CDT</u>

Agency Contact Information		Questions and Requests	
Program Questions		Grants Officer	
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## **Section A: Program Description**

**Federal Agency Name:** Department of the Interior, National Park Service

**Funding Opportunity Title:** Ethnobotany and Traditional Ecological Knowledge for Wind Cave National Park, South Dakota

**Funding Opportunity Number:** P17AS00218

**Catalog of Federal Domestic Assistance (CFDA) Number:** 15.945

**Legislative Authority:** 54 USC §101702(b): Allows the Secretary to enter into agreements with public or private educational institutions, States and their political subdivisions, for the purpose of developing adequate, coordinated, cooperative research and training programs concerning the resources of the National Park System. Pursuant to such agreements the NPS can accept from and make available to the cooperator such technical and support staff, financial assistance for mutually agreed upon research projects, supplies and equipment, facilities, and administrative services relating to cooperative research units as the Secretary deems appropriate.

**Federal Regulations:** 2 C.F.R. § 200, 2 C.F.R. § 1402

### **Program Background Information and Objectives:**

#### **A. Program Background Information**

The National Park Service (NPS), through the Midwest Regional Office (MWRO), is seeking proposals to document ethnobotany and traditional ecological knowledge (TEK) at Wind Cave National Park (WICA), South Dakota. The NPS is undertaking this project to establish a baseline of ethnobotany and ecological information that will be used in the protection and resource management of culturally significant plant species. In addition, the information will be used to help in the analysis of any environmental effects of plant gathering allowed under the federal regulation that allows members of federally recognized tribes to collect plants in NPS units for traditional purposes.<sup>1</sup> The focus of this project is the inventory and documentation of plant species that members of the Rosebud Sioux Tribe use for traditional purposes and that grow within the boundaries of Wind Cave National Park.<sup>2</sup> The inventory of species will be matched with the botanical inventory already maintained by the NPS. The resulting compiled inventory and documentation will be used to formulate an environmental analysis on the applicability and sustainability of gathering the species, and any inform management changes needed to ensure sustainable plant gathering at the park.

This collaborative project between the NPS, the selected Recipient, and members of the Rosebud Sioux Tribe will rely on ethnographic interviews with tribal members and primary and secondary literature source review and synthesis. The project will include completion of a report outlining the purposes, methodology, findings, and conclusions of the project. The

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<sup>1</sup> <https://www.federalregister.gov/documents/2016/07/12/2016-16434/gathering-of-certain-plants-or-plant-parts-by-federally-recognized-indian-tribes-for-traditional>

<sup>2</sup> Several federally recognized tribes are culturally associated with the Black Hills area, and all of the Lakota tribes attribute specific cultural and spiritual significance to the cave entrance and environs at Wind Cave National Park. The NPS anticipates that further collaboration with other interested tribes will be possible in the future as funding allows.

study shall conform to professional standards regarding methodology of anthropological and ethnobotanical research and writing. Stylistic and bibliographical standards shall conform to the current requirements of the journal *American Anthropologist*, and the current *Chicago Manual of Style*.

## **B. Program Objectives**

For many years there has been general discussion about changing federal regulations governing the collection of culturally significant plants from NPS units by Native Americans. A federal regulation which allows members of federally recognized tribes to gather plants and plant parts at NPS units with which they are traditionally associated was finalized in August, 2016. It is important for the NPS to acquire baseline ethnobotanical information regarding contemporary plant use: e.g. which species, how much, seasonality of collection, minimum and maximum quantity needs required for cultural uses; cultural restrictions (if any), traditional plant management techniques and knowledge, and any potential ecosystem or species impacts, in order to complete the Environmental Assessments required by the new regulation for any plant gathering that may occur at WICA.

Faculty and staff from the selected Recipient, in collaboration with NPW MWRO Chief Anthropologist, WICA staff, and members of Rosebud Sioux Tribe, will inventory and document the contemporary plant use, cultural needs, and any possible environmental effects of Native American plant collecting for plant species that are found at WICA.

The documentation on culturally significant plant species produced by this project should include both western science and Lakota traditional ecological knowledge where available and appropriate. Culturally sensitive information should not be included in the main report unless approved by the Rosebud Sioux tribal member providing the information. Culturally sensitive information may be included in a confidential appendix for park resource management use only, if approved by the tribal member providing such information.

## **C. Project Objectives**

The Midwest Regional Cultural Anthropology Program envisions the project will:

- 1) Provide a meaningful exchange of knowledge between culturally associated American Indian tribes and the park about culturally important plants located within the park;
- 2) Will identify the general location where these plants are located within the park's legislated boundary on federal land;
- 3) Will document each plant species and record the information necessary for the park to complete an Environmental Analysis (EA) examining the potential impacts of gathering the plants or plant parts, and whether such gathering can be done in a sustainable manner.
- 4) Will prepare recommendations for the management of the identified species, based on both western science and traditional ecological knowledge provided by Rosebud Sioux tribal members.

The project will inventory plant use and need on at least the following aspects:<sup>3</sup>

1. A description of the specific plants or plant parts that grow within the boundaries of WICA that may be needed by tribal members to use for traditional purposes. This description should include scientific name, common name(s), and Lakota name(s) (if possible), to make cross-referencing between NPS and Rosebud Sioux Tribe information lists as easy as possible.
2. Description of the best times of the year for gathering each species, according to Lakota traditional ecological knowledge.
3. A brief, summarized description of how much of each species is needed for traditional uses (for example, to make a tea, only a small piece of a branch is required, or a handful of leaves).
4. Identification of the seasons or times of the year during which each species is best gathered.
5. A brief description of the methods that may be used for gathering (for example, collect by hand by an individual; collect with hand tools such as a knife or sickle; collect whole plants by a group on a specific outing or trip).<sup>4</sup>
6. A description of traditional management practices that the park can consider incorporating into existing park management to enhance sustainability for each specific plant species.
7. A description of any management practices or activities that would make sustainable gathering of each species difficult or impossible (for example, removing all instances of a plant that propagate through a root system, stripping bark from a plant causing it to die, prescribed fire burning species that are negatively impacted by regular burning, etc.).

Information important to the successful understanding of plant use and sustainable plant gathering may be derived through interviews with knowledgeable tribal members, the required literature search for background information, and conclusions from the scientific literature. Results of this project will provide a firmer empirical foundation to evaluate the long-term ecological effects of traditional plant collection practices and make recommendations on mechanisms and management practices that may enhance the sustainability of plant gathering in the park.

The project will be a multidisciplinary study in collaboration with NPS regional and park management, the Recipient, and the Rosebud Sioux Tribe. The project will be led by cultural anthropologists experienced both in the region and with traditional plant collection issues, with participation by tribal staff, tribal members, and NPS staff, and with assistance from ethnobotanists, plant ecologists, and other specialists as necessary.

Standard professional ethnography and ethnobotany research methods will be used to document traditional plant collection knowledge and plant use, as well as document known historical uses. Information to be documented includes, but may not be limited to depending on initial consultation with the Rosebud Sioux Tribe: scientific, Indian, and common names of cultural significant plants; known past historical uses (from the anthropology and ethnobotany literature);

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<sup>3</sup> These subtopics are part of the required elements of plant gathering agreements between a park and a federally recognized tribe (36 CFR 2.6).

<sup>4</sup> The plant gathering regulation requires that any plants or plant parts gathered from a NPS unit be done so by hand or using hand tools only (36 CFR 2.6 (f)(1)(viii)).

parts of the plants collected; quantity of parts and/or plants needed for the particular cultural uses of the species; frequency and seasonality of need; who will be collecting (not individual's names, but groups of people, such as tribal elders, medicine people, etc.); cultural mandates or sanctions on either the collecting itself or the collectors; and traditional knowledge of management of both individual species and the ecosystems in which the species are found. Detailed information about specific uses or "recipes" is neither required nor sought by this project. Personally identifying information about individual plant users and/or gatherers is not to be recorded, nor is it sought by the project. The project will be reviewed and evaluated by appropriate park, region, tribe, and research personnel. Final results will be included in a publishable-quality research manuscript for use by the park, the Rosebud Sioux Tribe, and the Midwest Regional Office of the NPS.

The results of this project will be peer-reviewed and need to withstand review and scrutiny by the scientific community and the public. It is expected that standard ethnobotanical research methods will be used during the course of this project, as can be found in such mainstream texts such as *Ethnobotany: A Methods Manual* by Gary J. Martin; *Ethnobotany: A Reader*, ed. By Paul E. McInnis; and "Considerations for Collecting Freelists in the Field: Examples from Ethnobotany," by Marsha Quinlan (2005, *Field Methods* 17:219-234). Other ethnographic research methods such as semi-structured interviews may also be used when appropriate.

#### **A. Personnel qualifications**

1. The Principal Investigator (PI) is responsible for all aspects of the proposed study. The research will be directed and overseen by a Principal Investigator (PI). The PI should be an applied cultural anthropologist with a Ph.D. in cultural anthropology, or someone with demonstrable and comparable research experience, evidenced by a publication record demonstrating a professional level of research, analysis, and report preparation. It is expected that this record of comparable experience will reflect an understanding and ability to apply ethnographic and cultural anthropology research methods. The researcher must demonstrate significant involvement in the research, writing, and the timely completion of ethnographic research. In addition, a record of completing ethnobotanical studies from an ethnoscience and cultural significance perspective (traditional ecological knowledge studies included) is highly desirable.

The PI must have, at minimum, a Ph.D. degree in Anthropology or related field from an accredited university. The PI shall have a publication record demonstrating a professional level of research and analysis of Native American cultural anthropological topics. It is expected that the publication record will reflect past performance on topics related to the general intellectual arena of traditional ecological knowledge research (ethnoscience; ethnobotany), and a good understanding of ethnographic and cultural anthropology research methodology.

2. Tribal representatives and NPS staff. It is expected that participation by both tribal members and NPS staff will be included in the conduct of this project. (Research projects undertaken for the NPS under the auspices of a CESU agreement require substantial involvement from agency staff. The type and duration of this participation will be negotiated.) Since work schedules vary tremendously with tribal members and NPS staff, this participation will necessarily have to be on an as-available basis. It is expected that staff with knowledge and experience with plants, traditional ecological knowledge, and natural and cultural resource management will participate at various points during the project.

## **B. Estimated cost**

The budget costs for this project includes the following items:

1. Personnel services
  - a. Principal Investigator
  - b. Co-Principal Investigator (as applicable)
  - c. Other personnel
  - d. Miscellaneous personal expenses
  - e. Expenses for tribal representatives
2. Supplies and equipment
3. Travel
4. Cost of analysis and report preparation
5. Overhead (if applicable @ 17.5% for CESU partner)
6. Other expenses
7. Total estimated cost

Quarterly progress reports will be required to demonstrate work accomplished. Failure to meet the agreed-upon work schedule without satisfactory reasons may result in termination of the project. A 1-day post-award conference shall take place at WICA within 60 days of award.

Salary levels are governed by the current base salary rate for the individual when not otherwise employed by the research project (41 CFR 1-15.309:7).

## **I. Additional Project Requirements**

### **A. General provisions**

The Principal Investigator should note that the research design derived for this project becomes a binding element of the work, and should not be changed without discussion and approval from the NPS Project Manager. Factors beyond anyone's control, such as adverse weather, may engender changes in either the project schedule, scope, or both.

### **B. Report standards/format and submission schedule**

The final report will be in Microsoft Word (latest version). It must be on 8-1/2 by 11-inch white paper. All pages must be numbered. All final published copies shall use archival bond. Copies of photographs (screened for reproduction clarity), maps, drawings, and text must be clean, clear, and legible. The format must comply with the current edition of the Chicago Manual of Style, with the bibliography or references cited section conforming to the American Anthropologist format. In addition, all reports must contain the following:

1. Title page listing the name of the Principal Investigator. If the report is authored by someone other than the PI, the title page must identify the author(s) and bear the inscription, "Prepared under the supervision of (name), Principal Investigator."

The title page shall also include signature and date lines for three approving officials in the following order: Recommended/Superintendent, Wind Cave National Park/Date; Concurred/Associate Regional Director, Cultural Resources/Date; and Approved/Regional Director, Midwest Region/Date.

2. Five (5) copies of the draft report will be submitted by the date agreed upon by the PI and NPS. In addition, an electronic copy of the draft report capable of being sent via email to tribal representatives will be submitted. The draft will be typed, double-spaced, with each line of text numbered on the left margin of each page of text, and shall include all maps, graphics, footnotes, and appendices to be included in the final report. The draft report will not be reviewed unless all of these materials are submitted. The PI shall have the draft material proofread by an editor prior to submitting it to the National Park Service for review. Should a substantial number (i.e., more than 50) of editorial errors be found so as to detract reviewers from concentrating on content concerns, the review document shall be returned to the PI for correction prior to re-submittal—at no additional expense to the National Park Service. The draft will be reviewed by the National Park Service for project sufficiency and professional quality. Within 60 days of receipt by NPS, the draft will be reviewed and the PI will be notified when review comments will be transmitted. During the period of revision of the draft, the PI will consult with NPS to ensure the satisfactory resolution of review comments.

3. Five (5) copies of the final draft report addressing and incorporating NPS review comments shall be submitted prior to printing the final document. In addition, an electronic copy of the draft report capable of being sent via email to tribal representatives will be submitted. The final draft will conform to the same standards as the draft material except the line-numbering of text in the left margins shall be removed. The final text may also be single-spaced and formatted in final pre-publication format. The PI will design appropriate cover art/graphics for the camera-ready final document. Within 60 days of NPS acceptance of the final draft (indicated by the three required signatures specified above), the PI will furnish to the Midwest Regional Office 20 separately bound copies of the report as well as a CD-ROM containing the final document in Adobe Acrobat .pdf format. The Midwest Regional Office will distribute these copies to the park and other interested parties. All press photographic and plate material used to reproduce the final document is the property of the National Park Service and may be used to produce additional copies in the future.

4. Two CD copies and one hard copy of the final documents will be submitted separately for uploading to IRMA.

### **C. Schedule**

From the date of the project start, the general schedule shall be as follows (dates to be finalized after Recipient is selected):

Project start will be August – September, 2017. Preliminary research begins and the Principal Investigator shall contact the NPS to schedule a one-day post-award meeting to be held at WICA within 60 days of contract award.

Quarterly progress reports containing sufficient detail to determine overall progress of the project will be submitted at the beginning of each month following the post-award meeting.

Principal Investigator will submit a draft review report by [winter] 2018 NPS and tribal review comments will be returned by TBD.

Principal Investigator will submit a final report by [early spring], 2019.

The final report and all deliverables are due by May 1, 2019.

Standards for the published final product are as follows: The cover stock shall be Hammermill CopyPlus (67 lb.), with a pH of 6.8 or higher or its equivalent. Bound copies shall be on PermaDur Bond (20 lb., long grain) archival bond with a pH of 8.5. The bound copies of the report shall be bound with GBC bindings. Plastic-comb binding is not permitted. All costs related to report production, duplication, binding, office supplies, word processing, disk copies, and related production expenses are the University's responsibility.

### **Additional Project Elements**

A. Submission of quarterly progress reports: quarterly progress reports shall be submitted to the MWRO which demonstrate work accomplished. These will be shared with the park Superintendent. Quarterly reports shall consist of no more than 4 pages and shall include, at minimum, a narrative discussion of repositories visited; source materials gathered; identification of deficiencies in data; the status on completion of chapters and appendix materials; and an assessment of how work performed meets the negotiated work schedule; the percent of study completion; and a detailed discussion of any anticipated problems which may hinder completion of future work. Failure to meet the agreed upon work schedule without satisfactory reasons may result in termination of the project.

When appropriate, completed sections of the draft work shall be submitted in support of the progress achieved to date.

### **B. Payment**

The PI and Co-PI (as applicable) will be reimbursed as actual costs are incurred. Payment shall be made response to normal invoice billings from the university through ASAP (Automated Standard Application for Payments).

## **Section B: Federal Award Information**

**Anticipated Federal Funding:** \$98,000.00 subject to the availability of funding

**Recipient Cost Share:**

Recipient cost share is not required for this agreement.

**Estimated Number of Agreements to be Awarded:** One

**Estimated Amount of Funding Available Per Award:**

The amount of this award will not exceed \$95,000.00

The amount of funding available per award for this NOFO will be determined as part of the application review process and funding made available through appropriations.

**Anticipated Start Date:**

The project receiving funding through this Notice of Funding Opportunity will start once funding has been secured and awards have been made. Project start will be August-September 2017. Preliminary research begins and the Principal Investigator shall contact the NPS to schedule a post-award meeting to be held at WICA within 60 days of contract award.

**Anticipated Term of the Agreement:** August 15, 2017 – September 30, 2019

Agreement terms for funded projects are estimated to range between one and five years, depending on the negotiated project statement of work. Agreements are not effective until fully executed with signature from the NPS Financial Assistance Awarding Officer (FAAO).

**Type of Agreements:**

**Stand-Alone Cooperative Agreement** – A legal instrument of financial assistance entered into when the principal purpose of the relationship of the agreement is to transfer something of value from the Federal awarding agency to the non-Federal entity to carry out a public purpose authorized by a law, and substantial involvement on the part of the National Park Service is anticipated in carrying out the funded activity. Stand-alone cooperative agreements contain terms and conditions, statements of work, and funding that is obligated by the cooperative agreement. They are not linked to task agreements or master cooperative agreements as they are fully self-contained.

**Substantial Involvement:**

Substantial involvement may include:

NPS is involved with the recipient in describing the goals, jointly developing the scope and the activities to be accomplished. This must be combined with other substantial involvement, such as providing technical assistance or any of the statements listed below, that goes beyond Federal stewardship responsibilities.

Project personnel will be working extensively and collaboratively with staff from the Midwest Regional Office, Wind Cave National Park, and representatives from the Rosebud Sioux Tribe in South Dakota.

The project will be a multidisciplinary study under NPS regional and park management, but conducted in collaboration with the Recipient and the Rosebud Sioux Tribe. The project will be led by cultural anthropologists experienced both in the region and with traditional plant collection issues, with participation by tribal staff, tribal members, and NPS staff, and with assistance from ethnobotanists, plant ecologists, and other specialists as necessary.

**Other Information:**

Applications for renewal or supplementation of existing projects are not eligible to compete with applications for new Federal awards.

## **Section C: Eligibility Information**

### **Application Due Date: Friday, June 09, 2017 5:00 p.m. CDT**

An applicant's failure to meet an eligibility criterion by the time of the application deadline will result in the application being excluded from consideration. This includes but is not limited to late and incomplete application packages.

#### **A. Eligible Applicants**

This announcement is limited to partners of the following Cooperative Ecosystem Studies Units (including university, state, and non-governmental organizations): Californian CESU; Chesapeake Watershed CESU, Colorado Plateau CESU, Desert Southwest CESU, Great Basin CESU, Great Lakes-Northern Forest CESU, Great Plains CESU, Great Rivers CESU, Gulf Coast CESU, Hawaii-Pacific Islands CESU, North and West Alaska CESU, North Atlantic Coast CESU, Pacific Northwest CESU, Piedmont-South Atlantic Coast CESU, Rocky Mountains CESU, Southern Appalachian Mountains CESU, and South Florida-Caribbean CESU. A list of active partners and the master Cooperative Agreements for these CESUs are linked to the following webpage: <http://www.cesu.psu.edu/>.

The NPS encourages multiple partner engagement in this project. This may occur through subawards to partner institutions from the primary awardee, or broad expertise from multiple PIs within a single institution. Further, proposals may consider the use of subcontracts to non-academic entities with full justification as to why this may be more effective than solely university entities.

#### **2. Cost Sharing or Matching**

Cost sharing or matching is not required or expected and will not be used as a factor during the merit review of applications. Any cost share offered is voluntary and will not be used as a factor during the merit review of applications.

## **Section D: Application and Submission Information**

### **1. Address to Request Application Package**

**PLEASE NOTE: APPLICATIONS FOR THIS ANNOUNCEMENT WILL BE SUBMITTED ELECTRONICALLY THROUGH GRANTS.GOV. SUBMISSION INFORMATION IS POSTED IN PART B OF SECTION IV BELOW.**

An Application Package has been included within this Notice of Funding Opportunity for your convenience, found in Appendix A. The Application Package contains three mandatory forms, which must be submitted with your proposal, forms include: [form SF-424](#) (Application for Financial Assistance), [form SF-424A](#) (Budget Information), [form SF-424B](#) (Assurances). The Application Package can also be accessed and downloaded from the Synopsis page of this announcement in Grants.gov. Applicants may also request paper copies of application materials by contacting the Awarding Agency using the information provided in Section G of this Notice of Funding Opportunity.

### **2. Contents and Form of Application Submission**

You must complete the mandatory forms and any applicable optional forms, in accordance with the instructions below, as required by this Notice of Funding Opportunity. Do not include any proprietary or personally identifiable information. A complete application should include:

- **Standard Form 424 (SF 424)** - Application for Federal Assistance  
Complete this form as much as possible with all applicable information.
- **Standard Form 424A**- Budget Information  
The project budget shall include detailed information on all cost categories and must clearly identify all project costs. Unit costs shall be provided for all budget items including the cost of work to be provided by contractors or sub-recipients. In addition, applicants shall include a narrative description of the items included in the project budget, including the value of in-kind contributions of goods and services provided to complete the project when cost share is identified to be included (reference section C of this announcement). Cost categories can include, but are not limited to, those costs items included on the SF424A and SF424C.
- **Standard Form 424B (SF 424B)** – Assurances  
This form must be signed and submitted with your application.
- **Project Narrative** - Proposal Submission Format  
The proposal is a narrative description that should specifically address each of the review criteria (see Section E). The proposal text must be no longer than 10 pages, no smaller than font size 11, and have 1-inch margins. The 10-page limit includes all text, figures, references, and resumes (Forms SF-424, SF-424A, SF-424B, and the statement of indirect charges are not counted as part of the 10-page limit). Additionally, only information that is pertinent to the proposal should be included.

- Complete Application Package should include:
  - ✓ Completed SF 424 – Application for Financial Assistance
  - ✓ Completed SF 424 A – Budget Information
  - ✓ Signed SF 424 B - Assurances
  - ✓ Project Narrative – no more than 10 pages, see above
  - ✓ Indirect Cost Rate, if applicable
  - ✓ Resumes/Curriculum Vitae
  
- Indirect Costs  
 This project will be awarded to a partner/member of a Cooperative Ecosystem Studies Unit (CESU). Indirect costs will be capped at 17.5% of their Federally-negotiated indirect cost base, per Department of the Interior [Indirect Cost Rate Deviation Memorandum](#) of December 22, 2014.

If selected for award, NPS reserves the right to request additional or clarifying information for any reason deemed necessary, including, but not limited to:

- (a) Other budget information – detailed budget/narrative
- (b) Financial capability
- (c) Evaluation of risk
- (d) Name and phone number of the Designated Responsible Employee for complying with national policies prohibiting discrimination (See 43 C.F.R. § 17)

### **3. Unique entity identifier and System for Award Management (SAM)**

Each applicant (unless exempt under 2 CFR §25.110) is required to:

- (a) Be registered in SAM before submitting its application;
- (b) Provide a valid unique entity identifier in its application (currently a DUNS number);
- (c) Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency.

Registration processes for SAM can be found at <https://www.sam.gov>

A financial assistance agreement will not be made with an applicant until the applicant has complied with all applicable unique entity identifier and SAM requirements. If an applicant has not fully complied with the requirements by the time that an agreement is ready for award, a determination may be made that the applicant is not qualified to receive a Federal award. That determination may be used as a basis for making a Federal award to another applicant.

In addition, in order to submit an application through Grants.gov an applicant must have an active SAM registration and register for submission permissions through the [Grants.gov](#) website. Utilize the following link to guide you through this process:

<http://www.grants.gov/web/grants/applicants/organization-registration.html>

### **4. Submission Dates and Times**

Applicants are held responsible for their proposals being submitted to the National Park Service. Applications must be received by Friday, June 9, 5:00 p.m. CDT. Applicants are encouraged to submit the application well before the deadline.

Application preparation time may take several weeks, so please start the application process as soon as possible. Applications received after the deadline will not be reviewed or considered for award. If it is determined that a proposal was not considered due to lateness, the applicant will be notified during the selection process.

## **5. Intergovernmental Review**

This funding opportunity is not subject to Executive Order (EO) 12372 “Intergovernmental Review of Federal Programs.” Applicants subject to EO 12372 must contact their State’s Single Point of Contact (SPOC) to find out about and comply with the State’s process. The names and addresses of the SPOC’s are listed in the OMB’s home page at:

[http://www.whitehouse.gov/omb/grants\\_spoc/](http://www.whitehouse.gov/omb/grants_spoc/)

## **6. Funding Restrictions**

Costs incurred by the applicant prior to the start date of the period of performance of a signed Federal award are only allowable with written approval by a Financial Assistance Awarding Officer.

## **7. Other Submission Requirements**

### **a. Other Required Documents**

All applicants must provide a statement to identify whether or not any overlap exists between the proposed project and any other active or anticipated projects in terms of activities, costs, or time commitment of key personnel. If any overlap exists, applicants must provide a description of the overlap in their application. Applicants must also state whether the application submitted for consideration under this program is/is not in any way duplicative of any application that was submitted for funding consideration to any other potential funding source (Federal or non-Federal). If such a circumstance exist, applicants must detail when the other duplicative proposal(s) were submitted, to whom (entity name and program), and when funding decisions are expected to be announced. If at any time a proposal is awarded funds that would be duplicative of the funding requested from NPS, the applicant must immediately notify the NPS point of contact.

### **b. Required Electronic Submission**

Applications must be submitted electronically through grants.gov to the National Park Service by the deadline identified in paragraph 4 above. Applications submitted by other means or not received by the deadline will not be considered.

In the event the applicant experiences technical difficulties with submitting their application, please contact: Julie Hendricks, Grants Officer (402)661-1662 or [julie\\_hendricks@nps.gov](mailto:julie_hendricks@nps.gov).

**START THIS PROCESS EARLY DON'T DELAY!**

**Section E: Application Review Information**

**1. Review Criteria**

- NPS will evaluate and consider only those applications that separately address each of the merit review criteria.
- Each applicant is required to provide a detailed narrative, in accordance with section D.2., of the following criteria elements. It is HIGHLY recommended that the project narrative have sections labeled as follows:

Criterion 1	
Technical Capability – Research Strategy & Methodology	
	<p>The applicant shall provide a realistic plan that demonstrates the ability to fulfill the government's need in accordance with Part B: Program Objectives. This strategy shall describe how the prospective recipient will organize, manage, execute, and evaluate the project. The strategy shall include a completion schedule with timelines and the identification of repositories and other information sources to be searched.</p> <p>Failure to provide the requested information may indicate a lack of understanding of the requirement and may result in the application being excluded from further consideration.</p>

Criterion 2	
Capacity of Principal Investigator & Research Team	
Feasibility	<p>The applicant shall provide a description of the entire proposed research team identifying the Principal Investigator (PI), Co-Principal Investigator and any contractors, subcontractors and specific areas of responsibility. The description shall identify lines of communication, the responsibilities of each proposed team member, and shall highlight the experience of the team in working jointly on similar type projects. The experience of the Principal Investigator in organizing and conducting similar studies shall be explained in detail. In addition, a resume for each proposed team member shall be provided (as appendix) showing the necessary background, skills, and experience of each individual. (As an appendix – number of pages does not count toward page maximums).</p> <p>The Principal Investigator: The Principal Investigator (PI) is responsible for all aspects of the proposed study. The PI must have, at minimum, a Ph.D. degree in Anthropology or related field from an accredited university. The PI shall have a publication record demonstrating a professional level of research and analysis of Native American cultural anthropological topics. It is expected that the publication record will reflect past performance on topics related to the general intellectual arena of traditional ecological knowledge research (ethnoscience; ethnobotany), and a good understanding of ethnographic and cultural anthropology research methodology.</p>

Criterion 3	
Relevant Previous Experience	
	<p>The applicant shall submit a list of at least (2), but not more than (3), recent and relevant examples of completed projects, which should demonstrate the applicants' and its team members' experience in performance of the work similar to that described in the SOW. For the purpose of this solicitation the term recent means projects that have been completed and the term relevant is defined as follows:</p> <p>Very Relevant: Present/past performance effort involved essentially the same magnitude of effort and complexities this solicitation requires.</p> <p>Relevant: Present/past performance effort involved much of the magnitude of effort and complexities this solicitation requires.</p> <p>Somewhat Relevant: Present/past performance effort involved some of the magnitude of effort and complexities than this solicitation requires.</p> <p>Not Relevant: Present/past performance effort did not involve any of the magnitude of effort and complexities this solicitation requires.</p> <p>The applicant must indicate whether it was the prime or subcontractor on each project. If the offeror was the prime contractor, the applicant shall also describe its primary role/duties in execution of the work (i.e. the major components of the project which were completed by the prime's staff and major components which were subcontracted out). The offeror shall also provide information on the project as to the size, complexity, and distinctive and/or unique features of the project. The offeror should provide specific information to demonstrate that it has relevant experience as it relates projects listed in the Specifications</p>

## 2. Review and Selection Process

NPS personnel, and in some cases independent reviewers, will review all proposals. All proposals for funding will be considered using the criteria outlined above. A summary of the review panel comments may be provided to the applicant if requested.

### a. Initial Review

Prior to conducting the comprehensive merit review, an initial review will be performed to determine whether: (1) the Applicant is eligible for an award; (2) the information required by the NOFO has been submitted; (3) all mandatory requirements of the NOFO are satisfied; and (4) the proposed project is responsive to the program objectives of the NOFO (program determination). If an applicant fails to meet the requirements or objectives of the NOFO, or does not provide sufficient information for review, the applicant will be considered non-responsive and eliminated from further review.

## b. Comprehensive Merit Review

The following adjectival ratings will be used to evaluate proposals. The ranking of each criterion must be based on the strengths and weaknesses of the application narrative. To assist in evaluating the proposal, the following will be used as a guideline:

Superior
Good
Acceptable
Marginal
Not Acceptable
<b>Descriptive Statement</b>
<b>Superior:</b> Applicant fully addresses all aspects of the criterion, convincingly demonstrates that it will meet the Government's performance requirements, and demonstrates no weaknesses. Information submitted demonstrates an exceptional and clear understanding of all aspects of the requirements established by the RFP. The proposal contains no significant weaknesses, deficiencies or disadvantages and significantly exceeds most or all the requirements established by the RFP.
<b>Good:</b> Applicant fully addresses all aspects of the criterion, convincingly demonstrates a likelihood of meeting the Government's requirements, and demonstrates only a few minor weaknesses. Information submitted demonstrates the Offeror's potential to exceed performance or capability standards. Proposal reflects some strength that may be of benefit to the Government. Deficiencies noted are of a minor nature. The submittal demonstrates all requirements of the RFP are understood, and all requirements have been met or exceeded.
<b>Acceptable:</b> Applicant addresses all aspects of the criterion and demonstrates the ability to meet the Government's performance requirements. The Application contains weaknesses and/or a number of minor weaknesses. Information submitted demonstrates Offeror's potential to meet performance or capability standards. Proposal meets the minimum standard requirements of the RFP. Few or no advantages or strengths. The proposal contains only minor weaknesses. The submitted proposal is complete and comprehensive, reflecting an understanding of the scope and depth of the RFP.
<b>Marginal:</b> Applicant addresses all aspects of the criterion and demonstrates the ability to meet the Government's performance requirements. The Application contains significant weaknesses and/or significant minor weaknesses. Proposer possesses only a few of the desired attributes and qualities expressed in the RFP, for the factor being evaluated. The Government may still receive benefit from the proposal submitted. Weaknesses and deficiencies noted are correctable without major revision of the proposal.
<b>Unacceptable:</b> Applicant does not address all aspects of the criterion and the information presented indicates a strong likelihood of failure to meet the Government's requirements. Significant weaknesses are

demonstrated and clearly outweigh any strength presented. Proposer lacks the desired attributes and qualities necessary to receive a higher rating. Weaknesses and/or deficiencies noted are uncorrectable without a major revision of the proposal.

**c. Selection**

The Selection Official may consider the merit review recommendation to select applications for funding.

**d. Discussions and Award**

The Government may enter into discussions with a selected applicant for any reason deemed necessary, including, but not limited to: (1) only a portion of the application is selected for award; (2) the Government needs additional information to determine that the recipient is capable of complying with the requirements of DOI Financial Assistance Regulations, and/or (3) additional specific terms and conditions are required. Failure to satisfactorily resolve the issues identified by the Government may preclude award to the applicant.

**3. Evaluation of Recipient Risk**

In accordance with 2 C.F.R. § 200.205, applications selected for funding will be subject to a pre-award risk assessment which may include a review of information contained within the applicant's proposal, past audits, Federal Awardee Performance and Integrity Information System (FAPIIS), and/or past performance on previous Federal financial assistance awards. Negative information that leads to a recipient being designated as "Medium Risk" or "High Risk" may result in specific conditions, as identified in 2 C.F.R. § 200.207, being incorporated into the final award.

Prior to making a Federal award, any information about the applicant that is in the designated integrity and performance (currently FAPIIS) will be reviewed and considered (see 41 U.S.C. § 2313). Applicants may review and comment about any information about itself in FAPIIS. The Federal awarding agency will consider any comments by the applicant, in addition to the other information in the designated integrity and performance system, in making a judgment about the applicant's integrity, business ethics, and record of performance under Federal awards when completing the review of risk posed by applicants as described in 2 C.F.R. §200.205

## **Section F: Federal Award Administration Information**

### **1. Federal Award Notices**

Upon being selected for the award, successful applicants will receive a notification of the selection of their application for funding. NPS will notify the applicant selected for award by August 1, 2017. A notice of selection is not an authorization to begin performance on an agreement. This notice will detail the next steps in the awarding process. Once all clearances and reviews, and analyses have been conducted, a cooperative agreement will be sent for signature.

Work cannot begin before the recipient receives a fully executed copy of the cooperative agreement which contains the signature of the Financial Assistance Awarding Officer. Any pre-award costs incurred prior to the receipt of a signed agreement or written notice signed by a Financial Assistance Awarding Officer authorizing pre-award costs, is at the applicant's own risk. A signed grant/cooperative agreement signed by a Financial Assistance Awarding Officer is the only authorizing document to begin performance.

Organizations whose applications have not been selected will be advised as promptly as possible.

### **2. Administrative and National Policy Requirements**

#### **a. Code of Federal Regulations (CFR)**

By accepting Federal financial assistance, the recipient organization agrees to abide by the applicable Federal regulations in the expenditure of Federal funds and performance under this program: [2 C.F.R. Part 200](#) - Uniform Administrative Requirements, Cost Principles, And Audit Requirements For Federal Awards

#### **b. Standard Award Terms and Conditions**

This agreement incorporates the Standard Award Terms and Conditions found at the following Department of the Interior website as if they were given here:

[http://www.doi.gov/pam/programs/financial\\_assistance/TermsandConditions.cfm](http://www.doi.gov/pam/programs/financial_assistance/TermsandConditions.cfm)

Acceptance of a Federal financial assistance award from the Department of the Interior carries with it the responsibility to be aware of and comply with the terms and conditions of the award. Acceptance is defined as the start of work, drawing down funds, or accepting the award via electronic means. Awards are based on the application submitted to, and as approved by the Financial Assistance Awarding Officer. All financial assistance awards are subject to the terms and conditions incorporated either directly or by reference in the award document. Code of Federal Regulations/Regulatory Requirements, as applicable, are listed below (Contact the Financial Assistance Awarding Officer with any questions regarding the applicability of the following):

- 2 C.F.R. Part 175 - Trafficking Victims Protection Act of 2000
- 2 C.F.R. Parts 182 & 1401 - Government-wide Requirements for a Drug-Free Workplace
- 2 C.F.R. Parts 180 & 1400 - Government-wide Debarment and Suspension (Non-procurement)
- 43 CFR. 18 - Restrictions on Lobbying

## **c. Special Terms and Conditions**

### **Order of Precedence**

Any inconsistency in the agreement shall be resolved by giving precedence in the following order: (a) Any national policy requirements and administrative management standards; (b) 2 C.F.R. Part 200, in its entirety; (c) requirements of the applicable OMB Circulars and Treasury regulations; (d) special terms and conditions; (e) all agreement sections, documents, exhibits, and attachments; (f) and the recipient's project proposal.

### **Modifications**

The agreement may be modified by written agreement signed by both the recipient's Authorized Representative and the Financial Assistance Awarding Officer. Administrative changes (i.e. Awarding Officer name change, etc.) which do not change the statement of work, agreement amount, etc., or otherwise affect the recipient may be signed unilaterally by the Financial Assistance Awarding Officer. Additionally, a unilateral modification may be utilized if it should become necessary to impose remedies for non-compliance, suspension or termination of the agreement in accordance with 2 CFR 200, Section 200.338 – 200.342.

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

## **d. Payments**

All applicants must be registered in the System for Awards Management (SAM) prior to award under this NOFO. Instructions for registering for SAM are located at <http://www.sam.gov/portal/public/SAM>. All applicants must maintain an active SAM registration with current information at all times while they have an active Federal award or an application under consideration.

All applicants must also be registered with, and willing to process all payments through, the Department of the Treasury Automated Standard Application for Payments (ASAP) system. All recipients with active NPS financial assistance agreements must be enrolled in ASAP under the appropriate Agency Location Code(s) (ALC) and the Data Universal Number System (DUNS) Number prior to the award of funds. If a recipient has multiple DUNS numbers they must separately enroll within ASAP for each unique DUNS Number and/or Agency. Note that if your entity is currently enrolled in the ASAP system with an agency other than NPS, you must enroll specifically with NPS in order to process payments.

## **e. Liability**

### **(1) Insurance:**

The recipient shall be required to (1) obtain liability insurance or (2) demonstrate present financial resources in an amount determined sufficient by the Government to cover claims brought by third parties for death, bodily injury, property damage, or other loss resulting from one or more identified activities carried out in connection with this financial assistance agreement.

**(2) Insured:**

The Federal Government shall be named as an additional insured under the recipient's insurance policy.

**(3) Indemnification:**

The recipient hereby agrees to indemnify the Federal Government, NPS or from any act or omission of the Recipient, its officers, employees, or (members, participants, agents, representatives, agents as appropriate), (1) against third party claims for damages arising from one or more identified activities carried out in connection with this financial assistance agreement and (2) for damage or loss to government property resulting from such an activity. This obligation shall survive the termination of this Agreement.

- i. To purchase public and employee liability insurance at its own expense from a responsible company or companies with a minimum limitation of one million dollars (\$1,000,000) per person for any one claim, and an aggregate limitation of Three Million Dollars (\$3,000,000) for any number of claims arising from any one incident. The policies shall name the United States as an additional insured, shall specify that the insured shall have no right of subrogation against the United States for payments of any premiums or deductibles due thereunder, and shall specify that the insurance shall be assumed by, be for the account of, and be at the insured's sole risk. Prior to beginning the work authorized herein, the Recipient shall provide the NPS with confirmation of such insurance coverage.
- ii. To pay the United States the full value for all damage to the lands or other property of the United States caused by the Recipient.
- iii. To provide workers' compensation protection to the Recipient, its officers, employees, and representatives.
- iv. To cooperate with NPS in the investigation and defense of any claims that may be filed with NPS arising out of the activities of the Recipient, its agents, and employees.
- v. In the event of damage to or destruction of the buildings and facilities assigned for the use of the Recipient in whole or in part by any cause whatsoever, nothing herein contained shall be deemed to require NPS to replace or repair the buildings or facilities. If NPS determines in writing, after consultation with the Recipient that damage to the buildings or portions thereof renders such buildings unsuitable for continued use by the Recipient, NPS shall assume sole control over such buildings or portions thereof. If the buildings or facilities rendered unsuitable for use are essential for conducting operations authorized under this Agreement, then failure to substitute and assign other facilities acceptable to the Recipient will constitute termination of this Agreement by NPS.

**(4) Flow-down:**

For the purposes of this clause, "Recipient" includes such sub-recipients, contractors, or subcontractors as, in the judgment of the recipient and subject to the Government's determination of sufficiency, has sufficient resources and/or maintains adequate and appropriate insurance to achieve the purposes of this clause.

#### **f. Award Instrument Information**

Projects will be funded, subject to the availability of funds, by issuance of a cooperative agreement.

The final award agreement will identify the amount of funding provided by NPS, any cost share to be provided by the Recipient, a detailed Statement of Work (SOW) for the project, a project plan, and detailed project budget.

An agreement issued and signed by the NPS Financial Assistance Awarding Officer obligates NPS funds. Notification of a successful proposal does not constitute authority to incur costs. Once the cooperative agreement for a successful proposal has been signed by the NPS Financial Assistance Awarding Officer, the recipient may incur costs as specified in the approved budget submittal.

#### **g. Funding Restrictions**

All funding is contingent upon the availability and appropriation of funds by the United States Congress.

#### **Cost Principles:**

Costs must be allowable in accordance with the applicable Federal cost principles referenced in 2 CFR Part 200, Subpart E – Cost Principles.

#### **Pre-award Costs:**

Must comply with 2 CFR Part 200.458 and requires written approval from the Financial Assistance Awarding Officer.

### **3. Reporting**

#### **a. Financial Status Reports:**

A report of expenditures is required as documentation of the financial status of awards according to the official accounting records of the recipient's organization. The financial information will be reported by completing and submitting the Federal Financial Report (FFR), SF425. At a minimum, financial reports will be required annually and shall be submitted within 90 calendar days after the end of the annual reporting period. The Financial Assistance Awarding Officer may designate a reporting schedule requiring more frequent reporting based on the assessment of risk. The reporting requirements will be defined within the stand-alone cooperative agreement. A final FFR shall be submitted no more than 90 calendar days after the end date of the agreement.

The FFR can be downloaded at:

[http://www.whitehouse.gov/omb/grants/standard\\_forms/ffr.pdf](http://www.whitehouse.gov/omb/grants/standard_forms/ffr.pdf)

The NPS Financial Assistance Awarding Officer will review the report for patterns of cash expenditures and assess whether performance or financial management problems exist. Before submitting the FFR to the NPS Financial Assistance Awarding Officer, recipients must ensure that the information submitted is accurate, complete, and consistent with the recipient's accounting system. The recipient Authorized Certifying Official's signature on

the FFR certifies that the information in the FFR is correct and complete and that all outlays and obligations are for the purposes set forth in the agreement documents, and represents a claim to the Federal Government. Filing a false claim may result in the imposition of civil or criminal penalties.

**b. Performance Reports:**

A report of performance is required as documentation of performance towards the accomplishments of the Federal award and detailing project activity and participant profile information. At a minimum, performance reports will be required annually and shall be submitted within 90 calendar days after the end of the annual reporting period. The Financial Assistance Awarding Officer may designate a reporting schedule requiring more frequent reporting based on the assessment of risk. The reporting requirements will be defined within the stand-alone cooperative agreement. A final performance report shall be submitted no more than 90 calendar days after the end date of the agreement.

In accordance with 2 C.F.R. 200 § 200.328, the performance reports shall contain brief information on:

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

Before submitting the performance report to the NPS Financial Assistance Awarding Officer, recipients must ensure that the information submitted is accurate, complete, and consistent with the recipient's Federal financial report. Filing false information may result in the imposition of civil or criminal penalties.

**c. Non-Compliance:**

Failure to comply with the reporting requirements contained in an agreement may be considered a material non-compliance with the terms and conditions of the award. Non-compliance may result in withholding of future payments, suspension or termination of the agreement, recovery of funds paid under the agreement, and the withholding of future awards. The specific information regarding type, frequency and means of submission of post-Federal award reporting requirements will be contained in the award document.

**Section G: Federal Awarding Agency Contacts**

**Questions and Requests pertaining to this Notice of Funding Opportunity shall be submitted to:**

Name:	<u>Julie Hendricks, Lead Grants Officer</u>
Address:	<u>National Park Service Midwest Regional Office</u>
Phone:	<u>(402) 661-1662</u>
E-mail:	<u>julie_hendricks@gmail.com</u>
Fax:	<u>(402) 661-1663</u>

## **Section H: Other Information:**

### **1. Program Information**

- a. This is a one-time program.

### **2. Proprietary and Personally Identifiable Information**

#### **a. Notice of Potential Disclosure under Freedom of Information Act**

Applicants should be advised that identifying information regarding all applicants, including applicant names and/or points of contact, may be subject to public disclosure under the Freedom of Information Act, whether or not such applicants are selected for negotiation of award. Applicants must identify any proprietary information within their applications.

#### **b. Personally Identifiable Information**

In responding to this Notice of Funding Opportunity, applicants must ensure that Protected Personally Identifiable Information (PII) is not included in the following documents: Project Abstract, Project Narrative, Biographical Sketches, Budget or Budget Justification. These documents will be used by the Merit Review Committee in the review process to evaluate each application. PII is defined by the Office of Management and Budget (OMB) as:

Any information about an individual maintained by an agency, including but not limited to, education, financial transactions, medical history, and criminal or employment history and information that can be used to distinguish or trace an individual's identity, such as their name, social security number, date and place of birth, mother's maiden name, biometric records, etc., including any other personal information that is linked or linkable to an individual. This definition of PII can be further defined as: (1) Public PII and (2) Protected PII.

#### **Public PII:**

PII found in public sources such as telephone books, public websites, business cards, university listing, etc. Public PII includes first and last name, address, work telephone number, email address, home telephone number, and general education credentials.

#### **Protected PII:**

PII that requires enhanced protection. This information includes data that if compromised could cause harm to an individual such as identity theft.

### **3. Routine Notices to Applicants**

#### **a. Modification or Changes to the Notice of Funding Opportunity**

Notices of any modifications to this Notice of Funding Opportunity will be posted on Grants.gov. You can receive an email when a modification or an announcement message is posted. When you download the application at Grants.gov; you can also register to receive notifications of changes through Grants.gov.

**b. Government Right to Reject or Negotiate**

NPS reserves the right, without qualification, to reject any or all applications received in response to this announcement and to select any application, in whole or in part, as a basis for negotiation and/or award.

**c. Evaluation and Administration by Non-Federal Personnel**

In conducting the merit review evaluation, the Government may seek the advice of qualified non-Federal personnel as reviewers. The Government may also use non-Federal personnel to conduct routine, nondiscretionary administrative activities. The applicant, by submitting its application, consents to the use of non-Federal reviewers/administrators. Non-Federal reviewers must sign conflict of interest and non-disclosure agreements prior to reviewing an application. Non-Federal personnel conducting administrative activities must sign a nondisclosure agreement.

**d. Notice of Right to Conduct a Review of Financial Capability**

NPS reserves the right to conduct an independent third party review of financial capability for applicants that are selected for negotiation of award (including personal credit information of principal(s) of a small business if there is insufficient information to determine financial capability of the organization).

**Appendix A - Application Package  
Forms SF 424, SF 424A, SF 424B**