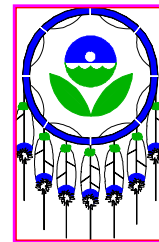




US ENVIRONMENTAL PROTECTION AGENCY REGION 10 INDIAN GENERAL ASSISTANCE PROGRAM (GAP) FY 2005 GRANT SOLICITATION NOTICE



OVERVIEW

Purpose

The US Environmental Protection Agency (EPA), Region 10 is currently soliciting applications for the FY 2005 Indian Environmental General Assistance Program (GAP) from federally-recognized Tribes and tribal consortia.

CFDA Number 66-926 Indian Environmental General Assistance Program

Application Process Timeline

GAP Solicitation distributed by Region 10.....October 15, 2004
GAP Proposal (Workplan and Budget) postmark deadline.....December 1, 2004
GAP PPG Proposal (Workplan and Budget) postmark deadline.....December 1, 2004
Acknowledgement letter mailed.....within 30 days of receipt of proposal
Workplan and Budget Narrative negotiation period.....through February 25, 2005
EPA request for complete application/denial letters.....by February 25, 2005
GAP Application postmark deadline.....March 31, 2005
PPG Application deadline.....to be determined by Project Officer
Grant awards issuedno later than September 30, 2005

Summary of Significant Changes to the GAP Application Process

- 1) Two-step application process, to include separate proposal and application.**
- 2) Earlier grant application schedule.**
- 3) Proposals for Unmet Needs (formerly called Special Projects) can be submitted for each year of the project and are not limited in amount.**
- 4) Region 10 Grant Application Handbook has been revised.**
- 5) Multi-year workplans (up to four years) will be accepted from current recipients with demonstrated administrative, financial and programmatic capability.**
- 6) Tribal consortia must submit supporting resolutions from all eligible member Tribes by the application deadline (March 31, 2005).**

I. FUNDING OPPORTUNITY DESCRIPTION

Background and Purpose

It is EPA policy to work with Tribes on a government-to-government basis to enhance environmental protection in Indian Country and tribal communities. In 1992, Congress passed the Indian Environmental General Assistance Program Act which authorizes EPA to provide General Assistance Program (GAP) grants to federally-recognized Tribes and tribal consortia for planning, developing, and establishing environmental protection programs in Indian Country, as well as developing and implementing solid and hazardous waste programs on tribal lands. The goal of this program is to assist Tribes in developing the capacity to manage their own environmental protection programs, and to develop and implement solid and hazardous waste programs in accordance with individual tribal needs and applicable federal laws and regulations.

Importance of Reporting Environmental Outcomes

The US Congress, the Office of Inspector General (IG), and the Office of Management and Budget (OMB) have raised concerns about the lack of clarity or documentation showing how EPA grant funds have been spent or are expected to be spent, and the lack of evidence that EPA grants produce environmental outcomes and results.

It is extremely important and required that recipients of EPA grants document environmental results and outputs that help measure tribal successes toward achieving GAP goals. GAP workplans must identify anticipated grant outputs, outcomes and deliverables. Please refer to IV. APPLICATION SUBMISSION INFORMATION on page 5 of this solicitation as well as Attachment B for more information and examples of outputs, outcomes and deliverables.

Eligible Activities

1. Capacity-Building Activities

Capacity building through this program may include developing the appropriate administrative and legal infrastructure, establishing tribal technical capability, and planning and establishing an integrated tribal environmental management program to be implemented through other EPA program-specific grants. Examples of capacity-building activities include, but are not limited to:

- A. Developing legal capability such as an assessment and revision of existing tribal codes, policies and ordinances, or the development of new codes, policies and ordinances to prevent environmental degradation on tribal lands.
- B. Developing administrative capability through assessing and modifying existing financial and administrative systems to ensure adequate tracking of grant funds.
- C. Developing a sustainable and integrated tribal environmental program by hiring and maintaining environmental staff positions, attending environmental trainings, workshops and conferences, and participating in emergency response planning.

2. Solid and Hazardous Waste Implementation Activities

GAP funds can be used for implementation of tribal solid and hazardous waste programs. Implementation of solid and hazardous waste activities may include, but are not limited to:

- A. Removal of abandoned vehicles, scrap metals and used tires;
- B. Planning and conducting household hazardous waste cleanups;
- C. Establishing recycling collection areas and support facilities; and
- D. Open dump cleanups.

Please note that implementation projects that involve ground disturbing, precedent setting, or highly controversial activities may be subject to compliance with the National Environmental Policy Act (NEPA). When NEPA compliance is necessary, the proposed GAP workplan must contain appropriate compliance activities, such as an environmental review, or the development of an Environmental Assessment (EA) or Environmental Impact Statement (EIS). Please contact your Tribal Coordinator to discuss whether or not NEPA activities may be required.

Please see GAP Guidance (<http://epa.gov/indian/pdfs/gap2000.pdf>) for more information regarding eligible activities.

Funding Priorities

The Indian General Assistance Program grant is **not a competitive grant program** and is exempt from the EPA Grants Competition Policy (EPA Order 5700.5) under Section 6(b)2. All applications that meet the requirements set forth in program regulations and guidance will be funded so long as funds are available. If the amount of total requested funds exceeds the amount available, projects will be funded based on the following priorities:

1. Individual Tribes

It is EPA policy to work with Tribes on a government-to-government basis. The primary purpose of GAP grants is to develop the capacity of Tribes to administer environmental protection programs. For this reason, grants to individual tribal governments are the highest funding priority of the GAP program.

2. Tribal Consortia Programs for the Benefit of Multiple Tribes

Funding for consortia will be considered after the funding needs of individual Tribes are met. Region 10 has found it necessary to establish this guideline when funding consortia for the following reasons: 1) the Region receives its GAP funding allocation based on the number of Tribes in the Region, not Tribes and consortia, and 2) in the past the funding amounts requested by Tribes and consortia applying for GAP grants has exceeded the amount allocated to the Region, resulting in overall reduction in the amount of funding available to individual Tribes.

Consortia workplans should meet the needs of Tribes without duplicating individual tribal efforts. Workplans that directly benefit and build tribal environmental capacity will be given the highest consideration for funding. These activities may include: conducting technical trainings and workshops; coordinating conferences; and providing technical support and assistance to individual tribal programs at a regional or statewide level. **Consortia are strongly encouraged to develop projects that provide regional support to improve the administrative and financial capability of its member Tribes.**

II. AWARD INFORMATION

Funding

In FY 2004, EPA Region 10 awarded approximately \$25 million and funded 134 Tribes and tribal consortia in Alaska, Idaho, Oregon, and Washington. Our goal is to continue to provide funds to existing grantees as well as to support new applicants. **Actual award amounts will be based on funds available, the number of Tribes and consortia submitting complete applications, and the amount of unexpended funds remaining in existing GAP programs. Funding is in no way guaranteed to applicants.**

For a first year project, new applicants should request no less than \$75,000 but no more than \$110,000 in base program funding. All other applicants should request no more than \$110,000 per year in base funding. There is no non-federal match requirement under GAP. GAP project periods may not exceed four years. At the end of the four-year project, Tribes and consortia may apply for new GAP grants, but the project must have a different focus. Under this solicitation, Region 10 will consider multi-year workplans and budgets that extend up to four years from current recipients in good standing. Applicants should consult with their Tribal Coordinator prior to submitting a multi-year workplan, however.

Performance Partnership Grants

Tribes with two or more EPA programs that have demonstrated satisfactory performance under these programs may be eligible to apply for a Performance Partnership Grant (PPG). PPGs are formed by incorporating funds from at least two eligible EPA grants into a single grant, which can decrease the administrative burden and increase program flexibility for the Tribe. **Please note that Tribes applying for PPGs must adhere to the same timeline for submitting their GAP proposals as those Tribes applying for individual GAP grants.** Please contact your Tribal Coordinator, or the Region 10 Tribal Office at 800-424-4372 for more information about PPGs.

III. ELIGIBILITY INFORMATION

Matching Costs

Applicants are not required to provide any share of GAP project costs.

Eligible Recipients

All federally-recognized Tribes and tribal consortia in Region 10 are eligible to receive funds under this solicitation. A tribal consortium is defined as a partnership between two or more Tribes authorized by the governing bodies of those Tribes to apply for and receive assistance

under the GAP program. A tribal consortium is eligible to receive grants if the consortium can adequately document compliance with the following requirements:

1. A majority of its member Tribes meet the eligibility requirements to receive GAP grants;
2. All member Tribes that meet the eligibility requirements authorize the consortium to apply for and receive the grant; and
3. Only member Tribes that meet eligibility requirements will directly benefit from the grant project and the consortium will agree to a grant condition to that affect.

Consortia must include tribal resolutions or other official documentation from each GAP-eligible member Tribe with its full application. Resolutions should specify the period of time authorized by the member Tribe to apply for the consortia project.

IV. APPLICATION SUBMISSION INFORMATION

Application Process

1. Solicitation

This FY 2005 GAP solicitation will be distributed in hardcopy by mail to all known eligible applicants in Region 10 on October 15, 2004. Additionally, this notice may be distributed electronically to known e-mail addresses of potential applicants.

2. Initial Proposals

GAP proposals should be postmarked no later than Wednesday, December 1, 2004 and must contain the following required information to be considered:

A. Narrative Discussion, to include:

- 1) Description of geographic location;
- 2) Statutory authority citation (Indian Environmental General Assistance Program Act of 1992);
- 3) Description of environmental need and issues;
- 4) Description of Tribe's or consortium's capability to manage federal grants, including where the environmental staff fits into the applicant's organizational structure and, if a continuing grantee, the administrative, programmatic and financial progress made to date under the GAP grant;
- 5) Description of immediate- and long-term environmental goals; and
- 6) Description of a demonstrated environmental or human health need.

B. Workplan, to contain the following elements:

- 1) Workplan components to be funded under the grant;

- 2) The estimated work years and estimated funding amounts for each workplan component;
- 3) The workplan commitments for each workplan component, and a time frame for their accomplishment;
- 4) Identification of grant outputs and outcomes, including deliverables;
- 5) A performance evaluation process and reporting schedule in accordance with 40 CFR 35.515; and
- 6) Description of applicant and EPA roles and responsibilities in carrying out the workplan commitments.

Workplans that do not contain the required elements will not be approved. Please see the Assistance Application Handbook and Attachment B for more information on these elements.

Multi-year Workplans

Current GAP recipients who have demonstrated satisfactory performance under past and/or current GAP grants, and who are applying for a new grant or have at least two more eligible years under their existing grants, are strongly encouraged to develop a multi-year (two to four year) workplan and budget. If funding is available, multi-year workplans will be funded. **A workplan and budget for each project year must be included in the proposal.** Applicants interested in submitting a multi-year workplan should consult with their Tribal Coordinator prior to submission, however.

Unmet Needs (formerly defined as Special Projects)

Applicants that would like an opportunity to receive additional funds for unmet needs should supplement their base workplans and budgets with additional tasks or projects. **Unmet needs components and costs should be detailed in a separate workplan and budget narrative, similar to the format used for each year of a multi-year workplan and budget.** If funds are available after tentative decisions for baseline program funding are determined, EPA will consider the supplemental tasks as identified in the proposal.

Similarly, Tribes and tribal consortia interested in applying for GAP funds for a Direct Implementation Cooperative Agreement (DITCA) should do so as an Unmet Need. DITCAs can be used to carry out activities that will assist EPA with the implementation of federal environmental programs for Tribes if the Tribe itself does not have an environmental program in place. This authority is intended to provide flexibility for Tribes and EPA, by offering an additional approach to the “treatment in a manner similar to states” (TAS) process of involving Tribes in federal environmental management. Please contact your Tribal Coordinator, or the Region 10 Tribal Office at 800-424-4372 for more information about DITCAs.

C. Budget Narrative

A Budget Narrative, **broken out by federal object categories** (see Section B-Budget Categories of the Budget Information-Non-Construction Programs, SF 424A) **and by each year of the project** (and Unmet Needs, if applicable), **must** be included in the proposal. If applying for unmet needs, costs of unmet needs should be reflected in the total cost of the project on the Application for Federal Assistance (SF 424) and as a separate, but additional, Grant Function, Program or Activity in Section B-Budget Categories of the Budget Information-Non-Construction Programs (SF 424A) form.

See the Assistance Application Handbook and Attachment B for more information and examples of acceptable Budget Narratives.

3. Acknowledgement Letter

EPA Region 10 will distribute letters to acknowledge receipt of proposals no later than February 25, 2005. Workplan and Budget Narrative negotiations will be initiated immediately following the distribution of acknowledgement letters.

4. Application

Applicants that submit a complete proposal and successfully finalize proposal negotiations with EPA will receive a request from EPA to submit a full application by February 25, 2005. A copy of the Application Handbook for Federal Assistance Agreements (Grants/Cooperative Agreements) 2004 Edition will be distributed with the letter.

Applications should be postmarked no later than March 31, 2005, to assure funding. Please note that this postmark deadline does not apply to PPG applications. Tribes applying for GAP funds through a PPG should work with their respective Tribal Coordinator and appropriate Tribal Specialists to identify a final application date. Late applications will be considered on a case-by-case basis. Applicants are strongly encouraged to submit full applications prior to this date if negotiations with their respective Tribal Coordinator have been finalized and approved. Applications must contain all of the required elements listed above in IV. APPLICATION SUBMISSION INFORMATION, 2. Initial Proposals, as well as the forms and supplemental information listed below.

A. Required Federal and EPA Forms

All applicants must submit the following:

1) Application for Federal Assistance (SF 424)

Please note that effective October 1, 2003, a Dun and Bradstreet Data Universal Numbering System (DUNS) number must be included on every SF 424. Please see Appendix C of the Assistance Application Handbook for more information about the DUNS number requirement.

2) Budget Information-Non-Construction Programs (SF 424A)

For new applicants or those continuing grantees applying for a new award (start of a new four year project), please **also** submit:

- 1) **Assurances-Non-Construction Programs (SF 424B)**
- 2) **Pre-award Compliance Review Report (EPA Form 4700-4)**
- 3) **Certification Regarding Debarment, Suspension, and Other Responsibility Matters (EPA Form 5700-49)**
- 4) **Certification Regarding Lobbying**

In addition, all applicants are encouraged to submit the following:

- 1) **Key Contacts sheet**
- 2) **Survey of Management Systems**

All forms can be found in the Application Handbook for Federal Assistance Agreements (Grants/Cooperative Agreements) 2004 Edition that will be distributed with the EPA request to submit a full application. They can also be found at: <http://yosemite.epa.gov/r10/omp.nsf/webpage/Region+10+Grants+Application+Handbook++2004>. Lastly, the Federal forms can also be found and **completed electronically** at http://www.whitehouse.gov/omb/grants/grants_forms.html.

3. Grant Award

Grant awards will be finalized no later than September 30, 2005.

V. APPLICATION REVIEW INFORMATION

Applications must meet the following requirements:

- 1) Completeness of the application based on the requirements of this solicitation notice;
- 2) Demonstration of risks to human health and the environment;
- 3) The strength of activities intended to build tribal capacity to address long-term environmental risks and needs; and
- 4) Demonstration of sound financial, administrative and programmatic management capability and past performance, if applicable. For current or previous recipients, this will include: timeliness and completeness of reports; progress under the current workplan; absence of duplicative activities in proposed workplan and budget; and amount of unexpended funds. For recipients with past performance issues, the application should include a discussion of the steps the applicant has taken to address issues and correct past administrative, financial or programmatic challenges.

If the applicant has not applied for GAP in the past, or past performance merits the review of the applicant's administrative or financial systems, a pre-award review may

need to be completed prior to the submission of an application. A Tribal Coordinator will contact the applicant to schedule this review if necessary.

Please keep the application short, clear, and concise. Be sure to include all of the information requested in this solicitation. Sample workplan formats, which contain all required elements, are provided in the Application Handbook as well as Attachment B of this package for your use. Please use one-inch margins and 11- or 12-point, Times New Roman or Arial font. Do not staple or permanently bind your proposal or application documents, but rather use paperclips or binder clips. Please consider submitting an electronic copy in addition to your hard copy proposal. Please number all workplan and budget narrative pages. Also consider denoting dates of original application and any subsequent revisions on the workplan and budget narrative.

VI. AWARD ADMINISTRATION

Applicants will be asked to complete any necessary revisions in a negotiation process to ensure compliance with all applicable regulations, program requirements, and EPA Region 10 goals and priorities applicable to the GAP program. All projects must comply with the following:

Regulations governing the award and the administration of environmental programs for Tribes and tribal consortia can be found in Title 40 of the Code of Federal Regulations (CFR), Parts 31 and 35, Subpart B (40 CFR 35.500-35.518).

Quarterly Performance Reports are required and will be due within 30 days of the end of each fiscal quarter. Tribes and tribal consortia must report progress under the workplan, including environmental outcomes and milestones. Additionally, reports must describe any problems with completing the tasks under the workplan and the recipient's plan for resolving these problems. Cumulative expenditure reports must also be provided on a quarterly basis. Please have all original signatures in blue ink.

Financial Status Reports (FSRs) are required and must be submitted within 90 days of the anniversary of each project year (interim FSRs) and a Final FSR must be submitted within 90 days of the end of the project period.

Additional reports and documents, such as an Annual Performance Report, annual Disadvantaged Business Enterprise Report, Quality Assurance Project Plan (required to be submitted and approved by EPA prior to any sampling), and/or project deliverables may also be required to be submitted under the terms and conditions of the grant.

Dispute Procedures can be found at 40 CFR Part 30.63 and 40 CFR Part 31.70.

Confidentiality

Applicants must clearly mark information they consider confidential. EPA will make confidentiality decisions in accordance with Agency regulations found at 40 CFR 2, Subpart B.

EPA reserves the right to reject any applications, deny funding after an application has been submitted or tentatively awarded, or to not make any awards.

VII. AGENCY CONTACTS

Initial Proposals

To be considered for funding, proposals must be postmarked by December 1, 2004.

For proposals submitted by Tribes and consortia located in Idaho, Oregon, and Washington, please forward the original application and one copy to:

US EPA, Region 10
1200 Sixth Avenue, **TO-149**
Seattle, WA 98101-1128
Attn: Katherine Holt

For proposals from Tribes and consortia in Alaska, please submit the original and one copy to:

US EPA, Alaska Operations Office
222 W. 7th Avenue, #19
Anchorage, AK 99513-7588
Attn: Santina Gay

Final Applications

If you are invited to submit a full application, please forward the original and one copy no later than March 31, 2005, to:

US EPA, Region 10
1200 Sixth Avenue, OMP-145
Seattle, WA 98101-1128
Attn: Wendy Wasson

Thank you for your interest in the Indian General Assistance Program. If after reviewing the enclosed application package you have any questions about the GAP application process or grant requirements, please contact your Tribal Coordinator. **For applicants in Alaska, general questions can be directed to the Alaska Tribal Unit office at 1-800-781-0983. For applicants in Idaho, Oregon, or Washington, please contact the Region 10 Tribal Unit office in Seattle at 1-800-424-4372.**

VIII. OTHER INFORMATION

For additional grant resources and information, please see Attachment A.

ATTACHMENT A

Grant Resources and Information

This list is certainly not all-inclusive but it should provide some useful links to sites that may assist you in the development of your application as well as your environmental programs.

Federal Application Forms and OMB Circulars

<http://www.whitehouse.gov/omb/grants/index.html>

EPA Application Forms

<http://www.epa.gov/ogd/AppKit/application.htm>

EPA GAP Guidance

<http://www.epa.gov/indian/laws3.htm>

EPA Region 10 Tribal Office

<http://yosemite.epa.gov/r10/tribal.NSF>

EPA Region 10 Grants

<http://yosemite.epa.gov/R10/HOMEPAGE.NSF/webpage/Grants>

Catalog of Federal Domestic Assistance

<http://www.cfda.gov/>

Federal Grants Portal

<http://fedgrants.gov/>

Basic Elements of Grant Writing

<http://www.cpb.org/grants/grantwriting.html>

EPA Grant Writing Tutorial

<http://www.epa.gov/seahome/grants/src/grant.htm>

Applying for an Indirect Cost Rate

<http://www.nbc.gov/icshome.html>

Also available in hard copy are the “IGAP Supplemental Guide to the Application Kit for Financial Assistance”, “Tools and Resources for EPA Assistance Applicants and Recipients”, and “Supplement to Tools and Resources”. If you would like a copy of any of these documents, please contact your Tribal Coordinator, or Robert Woodman or George Kudrin at 1-800-781-0983.

ATTACHMENT B

GAP Workplans and 40 CFR Part 35 Requirements

General Information

The workplan is one of the most important elements of the GAP application package. The workplan is also the basis for the management and evaluation of the recipient's performance under the assistance agreement. Applicants should note that though there is no required workplan format, the EPA Region 10 Assistance Handbook contains a "Sample Workplan" outline and a complete sample workplan and budget narrative is also included in this Attachment.

An Effective GAP Workplan:

- Includes program-specific requirements. It cites statutory authority for the program, which is the Indian General Assistance Program Act of 1992. When filling out the Application for Federal Assistance (SF 424), it is helpful to know that the Catalog of Federal Domestic Assistance (CFDA) number is 66-926. The program description is Indian General Assistance Program (GAP).
- Describes geographical location.
- Describes project objectives and expected public benefits.
- Gives details of the workplan components to be accomplished under the project, defined in objectives and tasks, and the resulting outputs, environmental outcomes and project deliverables.
- Indicates milestones and target dates.
- Supports budget items by justifying proposed funding needs and support infrastructure, including program supplies, equipment, office space and other resources.
- Includes required 40 CFR Part 35 elements detailed below.

Requirements for Workplans falling under 40 CFR Part 35, Subpart B

Tribes and tribal consortia applying for and/or receiving a GAP grant should refer to the program-specific regulations in 40 CFR Part 35, Subpart B or the associated Federal Register Notice at <http://www.epa.gov/fedrgstr/EPA-GENERAL/2001/January/Day-16/g219.htm>.

At a minimum, GAP workplans must contain the following:

1. Detailed description of the **workplan components** to be funded under the grant.
2. The **estimated work years/time frame** for each workplan component.
3. **Budget and estimated funding amounts** for each workplan component.
4. The **workplan commitments** for each workplan component and a time frame for their accomplishment.
5. **Performance evaluation process and reporting** schedule in accordance with Part 35.
6. **Roles and responsibilities of the Recipient and EPA** in carrying out the workplan commitments.

Note: See the sample GAP workplan (enclosed) for suggestions on how this information could be presented.

What is Joint Performance Evaluation?

Joint Evaluation of Performance

In accordance with 40 CFR Part 35, Subpart B, the applicant and EPA will develop a process for jointly evaluating and reporting the progress and accomplishments under the workplan. An evaluation process and a reporting schedule must be included in the applicant's workplan and must satisfy the requirements for progress reporting under 40 CFR 31.40(b).

The evaluation process must provide for:

- 1. A discussion of the accomplishments as measured against workplan commitments;**
- 2. A discussion of the cumulative effectiveness of the work performed under all workplan components;**
- 3. A discussion of existing and potential problems areas; and**
- 4. Suggestions for improvement including, where feasible, schedules for making improvements.**

Note: If the joint evaluation reveals that the recipient has not made sufficient progress under the workplan, EPA and the recipient will negotiate a resolution that addresses the issues. If the issues cannot be resolved through negotiation, the EPA may take appropriate measures under 40 CFR 31.70(d). The EPA will ensure that the required evaluations are performed according to the negotiated schedule and that copies of evaluation reports are placed in the official files and provided to the recipient.

What are the benefits to 40 CFR Part 35?

Part 35 provides increased flexibility to the recipient in managing your workplan. Making modifications is easier and fewer changes require formal amendments, although all changes should be discussed with your EPA Project Officer first to ensure that what you propose is allowable and reasonable.

Requirements for Changes to Workplans and Budgets

Under 40 CFR Part 35, Subpart B, the following provisions govern amendments and other changes to workplans and budgets occurring after the workplan is negotiated and the assistance agreement is awarded:

- (a) Changes requiring prior approval.** The recipient needs the Regional Administrator's prior written approval to make significant post-award changes to work plan commitments. EPA, in consultation with the recipient, will document approval of these changes including budgeted amounts associated with the revisions.
- (b) Changes requiring approval.** Recipients must request, in writing, grant amendments for changes requiring increases in environmental program grant amounts and extensions of the funding period. Recipients may begin implementing a change before the amendment has been approved by EPA, but do so at their own risk. If EPA approves the change, EPA will issue a grant amendment. EPA will notify the recipient in writing if the change is disapproved.
- (c) Changes not requiring approval.** Other than those situations described in paragraphs (a) and (b) of this section, recipients do not need to obtain approval for changes, including changes in grant work plans, budgets, or other parts of grant agreements, unless the Regional Administrator determines approval requirements should be imposed on a specific recipient for a specified period of time.
- (d) Office of Management and Budget (OMB) cost principles.** The Regional Administrator may waive, in writing, approval requirements for specific recipients and costs contained in OMB cost principles.

Please contact your Project Officer or Grant Specialist if you have any questions about workplans or 40 CFR Part 35 requirements.

Budget Notes and Reminders for Applicants

1. This document is a **SAMPLE ONLY**. Please adapt it to your own situation and provide explanations and information that are relevant to your Tribe. Be sure to explain the need for items that may appear to duplicate previous years' purchases. Explain costs that may appear high due to remote location and/or expensive shipping/transportation charges.

2. For any equipment purchase, an Equipment Justification **must be included**. Here is a sample that shows information that is helpful to a reviewer. "This equipment will enable the Environmental Coordinator and Assistant to access the remote areas of Tribe's traditional use area where there is no road. This is necessary if we are to assess local environmental conditions of the Black River Watershed (Objective 6). The Tribe does not have a vehicle that can be used by the Environmental Program. If we leased or rented a vehicle for this work, it would cost us approximately \$500 per month or \$6000 per year over several years. Since this will be part of the ongoing activities of the Environmental Program, it is more cost effective to buy our own vehicle, which has a useful life of 10 years. Upon project completion, the vehicle will continue to be used by the Environmental Program (EP) or, if the EP no longer needs the vehicle, another federally-funded program within the Tribe. Vehicle use logs, maintenance records, use policies and inventory will be kept for the vehicle."

3. Regarding consultants, be sure your situation meets the definition of a consultant.

- A consultant is an individual with specialized skills who, although not on the recipient's payroll as an employee, provides personal services to the recipient under an agreement which essentially establishes an employer-employee relationship between the recipient and the individual providing the services.

- Consultants are typically individuals who are experts with excellent qualifications.

- An employer-employee relationship may be found to exist when:

- the recipient selects the individual based on expertise in a particular field,
- directs the individual's work, and
- exercises day-to-day control of the individual's activities.

- It is EPA policy to limit EPA's participation in the amounts recipients pay to consultants to the consultant fee cap (\$524.72 per day and \$65.59 per hour in 2004). Recipients may pay more than the consultant fee cap, but EPA will not participate in any amount over the maximum. The consultant fee cap also applies to consultants hired by a recipient's contractors.

- The consultant fee cap does not apply to contracts awarded to firms or individuals that are awarded under the procurement procedures under 40 CFR Parts 30 and 31 (40 CFR 30.27(b) and 40 CFR 31.36(j)(2)) so long as the terms of the contract do not provide the recipient with responsibility for the selection, direction, and control of the individual(s) who will be providing services under the contract. Conversely, the consultant fee cap does apply to contracts awarded to firms or individuals that are awarded under the procurement procedures of 40 CFR Parts 30 and 31 if the terms of the contract provide the recipient with responsibility for the selection, direction, and control of the individuals who will be providing services under the contract at an hourly or daily rate of compensation.

- Questions regarding consultants may be addressed to, and copies of the Consultant Policy may be obtained from, the Region 10, Grants Administration Unit Manager, Armina Nolan, 206-553-0530 or email to: nolan.armina@epa.gov

4. Indirect Costs

- Indirect costs can be included in your proposal only if the Tribe/Tribal organization has an approved indirect cost rate (ICR) agreement **or** provides documentation that it has applied for an indirect cost rate. A copy of the approved ICR agreement must be provided with this application if you have included indirect costs in your budget.

- Costs included in the indirect cost pool must NOT be included in the direct costs.

- For more information on indirect costs applicant may consult:

- OMB Circular A-87, which can be found at: http://www.whitehouse.gov/omb/grants/grants_circulars.html
- National Business Center at <http://www.nbc.gov/icsprep.html>

Sample Work Plan

This work plan example is intended to provide formatting ideas and to show the level of detail requested for an Indian General Assistance Program (IGAP) Proposal. Applicants should review prior years submissions to be sure that the work plans are not duplicative and reflect the growth of their environmental programs.

The activities described are typical and allowable for the Indian General Assistance program. However, each Tribe is encouraged to develop unique work plans that reflect Tribal goals for their IGAP program. Please contact your Project Officer with questions about IGAP activities.

NATIVE VILLAGE OF NATIVE VILLAGE OF RAVEN FY 2006 INDIAN GENERAL ASSISTANCE PROGRAM PROPOSAL

October 1, 2005 - Sept. 30, 2006

I. INTRODUCTION

The Native Village of Raven is in Southeast Alaska on the Black River, about 30 air miles north of Juneau. Raven is a federally recognized Tribe and is the governing body for the village. In recent years, our community has been revitalized. The population has jumped from 40 to 60 residents and is expected to increase as we develop facilities and infrastructure to support community growth. 96% of our population is Alaskan Native. Travel to other villages is by plane, ferry or skiff, as there are no connecting roads to surrounding communities. SeaAir Charters brings the mail twice a week. Since there are no scheduled flights to Raven, residents have to charter planes to Juneau for health care and shopping. Fuel, freight and other large items are barged from Seattle to Juneau or Haines and then flown into Raven. Shipment costs increase yearly. Sometimes small barges are available for backhaul, but it is very expensive, and becoming more so. In the last year, our fuel costs have increased by 15%.

A. Environmental Issues

This summer's housing project will bring new residents to Raven. Eventually, as the population continues to grow, the old dump will need to be closed and a new permitted landfill developed. Research on a waste reduction and funding sources to deal with our solid waste issues will be a major priority.

Safe fuel storage for the power plant, commercial businesses, private homes and the school is a concern. No spill response plan is in place for the tribally owned power plant (40,000 gallon capacity) or the school fuel storage (18,000 gallon capacity). The Tribe needs to research spill research plans used by other small communities. It is important that the Tribe develop the capability to respond if there is a spill of any size.

Every summer, hunting and fishing camps engulf the Black River. There are 13 commercial camps and one lodge, as well as 154 traditional camps on the lower river. This has raised concerns about the environmental impacts on water quality from human and solid waste disposal. Additionally two mining operations are currently in the permit application and development stages.

B. Accomplishments and Management Capabilities

Raven first received funding for the current GAP grant for FY 2004 and is now applying for its third year of funding under that grant. We have hired an Environmental Coordinator and a half-time Assistant to implement the workplan. Environmental staff and Council Members have attended EPA-sponsored workshops to learn about the GAP program. Tribal administrative staff attended training in bookkeeping and grant writing to improve their ability to write and manage grants. Tribal environmental staff attended a water quality-monitoring workshop that was a tremendous help in conducting two workshops with the school children. The information learned will become part of a five year environmental plan to help guide future work.

Additionally, environmental staff researched information that resulted in several village improvement projects, such as an Alaska Native Health Board Solid Waste Demonstration grant. They were the liaison between Randall Environmental Services and the Tribe during the development of the village's water, sewer, and solid waste management engineering study. The regional Housing Authority also relied on the Environmental Coordinator as a contact person and information source. Raven is a member of the Black River Watershed Council (BRWC) that was formed three years ago by the surrounding villages to preserve water quality and protect habitat in the Black River drainage. The environmental staff has been instrumental in securing funding for outreach and environmental education projects conducted by the BRWC.

The Tribal Administrator continues to work with the Bookkeeper and Council to enhance the Tribe's capability to manage federal and non-federal grants and programs. This work resulted in the development of a more formal organizational structure. The

Environmental Program is included under the Administrative staff, which has immediate oversight of the program. Through GAP, the Tribal Administration recently upgraded their computerized accounting system and is considering revisions to the internal financial policies and procedures. Raven had its annual audit last year and there were no problems noted. There were difficulties in 2002, but these have been corrected. Due to A-133 audit requirement change, the Tribe does not expect to reach the \$500,000 audit threshold. However, they wish to fully evaluate the internal management systems and to continue building capacity to successfully administer federal funds. Also, there has been turnover in the Tribes Administrative staff, so some training that was completed in prior years will be repeated.

II. GOALS AND OBJECTIVES

Goal: Because Raven is a small village with limited resources, and faces significant impacts, our goal is to continue to concentrate on building capacity to develop and administer environmental programs to address the environmental issues and needs identified above. The Tribe has developed this proposal under the statutory authority provided by the Indian Environmental General Assistance Program Act of 1992.

Our objectives given this goal are to:

- 1) Maintain programmatic and administrative functions, continue capacity building and training.
- 2) Evaluate administrative policies and procedures and management systems.
- 3) Develop a 5-year environmental protection plan.
- 4) Continue participation in the Black River Watershed Council.
- 5) Explore funding sources to address solid and hazardous waste management concerns.
- 6) Assess and document environmental conditions in traditional use areas.

III. WORKPLAN NARRATIVE

This section describes the activities to support the goals and objectives identified above. The Village Administrator and Book keeper are responsible for maintaining audit acceptable financial records, processing payroll, ensuring administrative requirements are met, and participating in the objectives that will develop the infrastructure to manage environmental programs. The Environmental Coordinator has primary responsibility for implementing the work plan. The Environmental Assistant will provide program support to accomplish the work plan tasks. Consultants will be hired to work with the tribal staff to develop a long-range environmental protection plan and refine the administrative policies and procedures.

Objective 1: Maintain Programmatic and Administrative Functions, Continue Capacity Building and Training.

Personnel: Environmental Coordinator, Environmental Assistant

Description: Both staff positions will continue to be funded. Another laptop will be purchased so that the Coordinator and Assistant both have reliable computers. The laptop will enable staff to record information when traveling.

Tribal Environmental staff, the Administrator and a Council member will attend the fall and spring EPA GAP Conferences in Anchorage and Region 10 Tribal Leaders Summit. Environmental staff will develop and submit required reports to Tribal Coordinator, Grant Specialist and DBE Coordinator. The Tribe will also be purchasing new furniture, in part so they may host watershed and environmental council meetings.

Task 1: Research computer, office furniture sources. (October)

Task 2: Order supplies as described. (November)

Task 3: Prepare and submit quarterly Progress Reports, annual Financial Status and Disadvantaged Business Enterprise Utilization Reports and other required documentation to EPA.

Task 4: Attend ANHB/GAP, AFE/GAP and Region 10 Tribal Leaders Summit. (October/February/TBA)

Task 5: Work with Tribal Administrative staff to be sure that reports are submitted on time. (Quarterly, Annually)

Timeline: On-going throughout fiscal year.

Outcome: Proper grant administration and work conducted in accordance with approved work plan. Staff and Council will receive training to enhance program development and management capabilities.

Outputs/Deliverables: Conferences attended will be summarized in our quarterly progress reports to EPA. Quarterly progress reports will be submitted to Tribal Coordinator. Annual (interim) Financial Status Report will be submitted to EPA Grants Specialist and the annual Disadvantaged Business Enterprise Utilization (DBE) reports will be submitted to the DBE Coordinator.

Objective 2: Evaluate Administrative Policies/Procedures and Management Systems

Personnel: Administrator, Environmental Coordinator, with assistance from Consultant.

Description: We want to be sure our administrative systems comply with federal grant management requirements. A consultant will evaluate and recommend improvements to our management systems.

Task 1: Review 40 CFR, Part 31 guidelines on procurement and hiring of contractors and consultants. (See Budget Note 3 for more information). (October)

Task 2: Solicit proposals and negotiate contract with consultant (November)

Task 3: Coordinator will work with Administrator and Consultant to evaluate internal management systems and policies. Consultant will generate report and recommendations for improvements (December-March)

Task 4: Develop draft changes based on results of Task 3 (April)

Task 5: Hold meeting(s) with Tribal Council to review draft changes and recommendations (April)

Task 6: Implement changes for adopted by the Tribal Council (June)

Timeline: October - June

Outcome: Compliance with federal grant management requirements. Improvements to internal management systems and policies.

Outputs/Deliverables: Assessment of administrative and management systems including findings and recommendations on areas needing improvements. Meetings held with Tribal Council and progress made in developing and implementing changes will be summarized in our quarterly progress reports to EPA. A copy of the report on management systems will be sent to EPA. Note: The Village Administrator will provide support to this objective as part of his general duties.

Objective 3: Develop a 5-Year Environmental Plan

Personnel: Environmental Coordinator, Environmental Assistant, Contractor

Description: Environmental staff will develop a five- year plan to address environmental issues that have been identified in previous village surveys and at Tribal Council meetings. A Environmental Planning Firm (Contractor) will assist us, as we have no strategic planning experience. We will complete the plan during the project period. Understanding the value and process of long range planning will help to gain Tribal Council and community support. **Task 1:** Review 40 CFR part 31, guidelines on procurement and hiring of contractors and consultants. (October)

Task 2: Contact other Tribes that have produced a tribal environmental plan and request information on contractors retained for this purpose. (October)

Task 3: Solicit proposals and negotiate consultant contract to work with environmental staff and Tribal Council on developing a long-range plan. (November)

Task 4: Compile information that contractor will need to understand our environmental concerns (December)

Task 5: Organize workshop(s) with Tribal Council and previously formed Environmental Committee to discuss and outline steps to complete a long-range plan and receive Council approval. (January-April)

Task 6: Finalize plan and submit for Council approval (May)

Timeline: October-May

Outcome: Understanding by staff and council members of process or steps to develop a long-range plan and involvement in development of Environmental Plan. Strategic planning skills will benefit the Tribe in their efforts to address other community development issues.

Outputs/Deliverables: Five-year plan to address environmental problems and needs. Copy will be sent to EPA.

Objective 4: Continue Participation on Black River Watershed Council

Personnel: Environmental Coordinator, Environmental Assistant

Description: Raven has been an active member of the Black River Watershed Council. The Council meets quarterly and is working on a watershed plan for the lower Black River sub-watershed. The plan will address immediate concerns (pollution sources in the villages) and long-term issues from existing and potential development along the river corridor. The Council has requested that GAP staff assume a greater role in providing technical assistance and gathering information for the plan.

Task 1: Attend quarterly meetings in several nearby villages. Member Tribes rotate hosting meetings. (Quarterly)

Task 2: Gather information for watershed planning. (October-March)

Task 3: Keep Tribal Council abreast of the watershed council's progress (Monthly)

Task 4: Collaborate with environmental staff from the other Black River villages on Council priorities and activities (Ongoing)

Task 5: Host one BRWC meeting and participate in plan finalization (June)

Task 6: Hold village public meetings to inform residents and gather input on key decision points (As needed.) **Timeline:** October-September

Outcome: The Watershed Council is a forum for the Black River villages to work together to protect water quality and habitat. Networking with villages and exposure to consensus-based decision-making are additional benefits from our participation in this planning process. Through on-going efforts, the watershed will be better protected and the residents more informed on watershed health.

Outputs/Deliverables: Watershed Council meetings and work completed on their behalf will be summarized in quarterly progress reports. Copies of interim and final watershed plans will be provided to EPA.

Objective 5: Explore Funding Sources to Address Solid and Hazardous Waste Management Concerns

Personnel: Environmental Coordinator, Environmental Assistant

Description: Research available funding sources and technical resources/partners that can be utilized in completing solid and hazardous waste activities outlined in Tribe's water/sewer/solid waste master plan.

Task 1: Gather information from agencies and organizations on resources and technical assistance that are available (Ongoing)

Task 2: Contact other villages for information on strategies and funding sources to develop and implement programs that address solid and hazardous waste issues (October-December)

Task 3: Prepare list of potential funding sources and grant application timelines (December)

Task 4: Incorporate information from Tasks 1 and 2 into long-range plan (December)

Task 5: Develop and submit at least two applications for funding solid and hazardous waste priorities (December-April)

Timeline: October-April

Outcome: Information needed to begin planning for and addressing solid and hazardous waste issues facing our village. Knowledge of grant sources that we can apply for the following year to address some of these issues as well as a community education and prevention program on the health risks associated with hazardous waste and household chemicals.

Outputs/Deliverables: List of funding sources and technical resources available to address solid and hazardous waste management concerns. Copy will be sent to EPA. At least two funding proposals for solid/hazardous waste projects will be submitted to funding entities. Copies will be sent to EPA.

Objective 6: Evaluate and Document Environmental Conditions in Traditional Use Areas

Personnel: Environmental Coordinator, Environmental Assistant

Description: This work will be done in support of the 5-year Environmental Plan and as a precursor to a future baseline water quality assessment.

Task 1: Interview local elders to gather knowledge of past environmental problems. (January-March)

Task 2: Use ATV to visit and photograph areas of concern in Tribe's traditional resource areas, including old dump, military and mining sites (April - May)

Task 3: Compile information for use in the 5-year plan and in the development of educational brochure for village residents. (July)

Timeline January-July

Outcome: The information gathered will support long range planning efforts and improve planning and communication with agencies. Tribe and agencies will be better informed of our environmental issues and concerns.

Outputs/Deliverables: A summary of the information gathered will be presented to the Tribal Council. Summary and brochure will be sent to EPA. Residents will receive a copy of the brochure.

IV. JOINT PERFORMANCE EVALUATION PROCESS

Within 30 days of the end of each fiscal quarter, Environmental Program staff will submit a performance report detailing the accomplishments toward the completion of workplan commitments, discussing the work performed for all workplan components, and identifying any existing problem areas that could affect or delay project completion. If the EPA Project Officer, after reviewing the report, finds that the recipient has not made sufficient progress under the workplan, EPA and the Raven Tribal Council will negotiate a resolution that addresses the issues. This evaluation process will help to ensure that the grant is being administered properly and that work conducted under the grant is in accordance with approved work plan.

V. EPA ROLES AND RESPONSIBILITIES

The EPA will have no substantial involvement in the accomplishment of workplan commitments. EPA will monitor progress and provide technical assistance as needed to ensure project completion.

If EPA will be involved in completing any portion of the workplan commitments, please state as such.

VI. SUMMARY OF FTE % AND COST PER OBJECTIVE INFORMATION

FTE may be thought of as “Full Time Equivalent” or “Percentage of Employee Effort”. It is a way of evaluating how much staff time will be spent on each objective and is just an estimate.

Objective	% FTE	Cost/Objective
1	15	22,385
2	15	16,727
3	20	12,228
4	20	22,270
5	15	19,890
6	15	16,500
Total	100%	\$110,000

Detailed Budget Narrative - Native Village of Raven

Personnel Position/title	Annual Salary	Percentage of time allotted to project	Amount	Subtotal
Environmental Coordinator	\$35,000	100%	\$35,000	
Env. Assistant	\$32,000	50%	\$16,000	
Bookkeeper	\$34,000	10%	\$3,400	
Student Intern		\$8 per hour X 10 hours per week for 26 weeks.	\$2,080	
				\$56,480
Fringe				
Fringe consists of FICA, FUTA, Retirement, Health and Life Ins. Calculated @ 21% of salaries.				
				\$11,861
Travel				
A Tribal Council member will participate in trip C below, to affect future policy decisions for the Tribe's environmental program. The Tribal Administrator will attend workshop A to gain information on the financial and administrative requirements. The Environmental Coordinator will attend A, B, and C and the Assistant will attend A & B for program information and Administration.				
A. ANHB ACTEM/GAP and AFE/GAP conferences/trainings in Anchorage. (See objective 1). Coordinator, Assistant, Administrator.				
Airfare - \$300 RT Raven - Anchorage X 3 people X 2 conferences.			\$1,800	
Meals & misc. - \$75 per day X 6 days X 3 people X 2 conferences.			\$2,700	
Lodging - \$85 per night X 5 nights X 3 people X 2 conferences.			\$2,550	
Car rental - \$120 week X 2 conferences.			\$240	
B. Black River Watershed meetings in member villages. One meeting hosted by Raven. (See obj. 4). Coordinator, Assistant				
Airfare - \$160 RT Raven - Host Village X 2 people X 3 meetings.			\$960	
Meals and misc. - \$80 per night X 2 nights X 2 people X 3 meetings.			\$960	
Lodging - No costs to be charged to grant, attendees arrange personal lodging.			\$0	
C. 2005 Region 10 Tribal Leaders Summit. Location unknown. Seattle used for planning purposes. (See obj. 1). Coordinator, Council member. (Budget note 1).				
Airfare - \$950 RT Raven - Juneau - Seattle X 2 people X 1 conference			\$1,900	
Meals and misc. - \$75/day X 4 days/conf X 2 people X 1 conference			\$600	
Lodging - \$85/night X 3 nights/conf X 2 people X 1 conference			\$510	
Car Rental: \$40/day X 4 days			\$160	
				\$12,380
Equipment				
Four wheel ATV, including freight cost. (See objective 1, budget note 2).				
Note: For all requests to purchase equipment, an Equipment Justification must be included. See budget note 2 for an example.				
Supplies				
Note: Describe supplies needed and show how you reached your estimate. If you are requesting items that have been purchased before, such as a computer, camera or desks, please say why they are being purchased again. Example below.				
Office supplies				
Amounts shown include shipping costs. Supplies are for Environmental Program (EP) use only, unless otherwise specified.				
A. Office supplies. (Pens, paper and other consumables). Estimated at \$85 per month, based on last year's use by this program.				
			\$1,020	
B. Office furniture. The costs were estimated from an office supply catalog.				
Desk for Environmental Coordinator - Old desk worn out, needs replacement.			\$340	
Computer table			\$430	

Chairs, 10 each at \$24 each. For use at watershed council meetings.	\$240
File cabinet - an additional cabinet is needed for expanding GAP program files.	\$430
Table - For use at watershed council meetings.	\$400

Detailed Budget Narrative - Native Village of Raven - Continued

Supplies - continued

C. Other supply items.

Satellite dish, necessary for internet access. Cost of \$4000 is shared by four programs. \$1,000

Laptop with accessories - to replace outdated laptop. Estimate from catalog. \$3,000

Surge protectors \$40

ATV fuel, supplies and replacement parts. Estimate includes 15% fuel cost increase, due to increased prices in our region. \$500

\$7,400

Contractual

We will contract with a firm to develop our Tribal environmental plan. This estimate is based on phone quotes from three firms. The average quote was for \$4000. It is estimated that it will take about 75 hours to accomplish. (obj. 3.)

\$4,000

Other

A. Consultant. A consultant will be obtained to provide expertise to the Tribe to review and update its administrative systems and management practices. (obj. 2). We contacted three consultants whose average hourly rate was \$50 per hour. The estimated amount of time will be 40 hours. \$2,000

Plus travel costs - Airfare for 2 trips @ \$300 from Juneau to Raven. \$600

Meals and misc. - \$75 per day x 2 trips X 2 days \$300

Lodging - \$85 per night X 2 trips X 2 days \$340

B. ANHB & AFE registration fees. Est. at \$100 per person for 6 participants. \$600

C. Building lease - \$400 per month X 12 months. The Tribe pays \$1600 per month for the Tribal office building. The GAP program occupies 25% of the square footage of the total space. Therefore, GAP pays 25% of the total lease costs. (includes utilities). \$4,800

Or

Eight people occupy the building, each with about the same amount of space. There are two GAP staff, therefore GAP pays about 25% of the total lease costs.

D. Dedicated phone line estimated at 50\$ per month, 12 months. \$600

E. Long distance. We use phone cards for long distance. This amount is based on what it cost last year to purchase enough cards for 12 months. Exclusive to IGAP. \$1,000

F. Internet Fees - \$40 per month, based on 12 months. Tribe estimates it will pay 160 per month for internet access. GAP is one of four programs that shares the cost, therefore GAP is charged 25% of the monthly fee. \$480

\$10,720

TOTAL DIRECT COSTS

\$110,001

Indirect Cost Rates: Please review the information in Budget Note 4, on the following page, if your Tribe uses an Indirect Cost Rate