



## U.S. Environmental Protection Agency Region 10

### Indian Environmental General Assistance Program (GAP) FY11 Funding Announcement (for proposals beginning 10/1/10 or later)

#### I. OVERVIEW

The U.S. Environmental Protection Agency (EPA), Region 10, is requesting Indian Environmental General Assistance Program (GAP) grant proposals from federally recognized tribal governments and intertribal consortia for 2011 work plan program development activities. The goal of GAP is to assist tribes in building capacity to administer tribal environmental programs according to their individual needs. Tribes may also use GAP funds to implement solid waste programs; solid waste program development and planning should be completed prior to implementation of the solid waste programs.

The Catalog of Federal Domestic Assistance Number for GAP is 66.926.

#### A. IMPORTANT DUE DATES

<b>Funding Announcement distributed by EPA</b>	<b>October 7, 2009</b>
<b>Tribal GAP Draft Proposal MUST be postmarked or hand delivered by this date</b>	<b>December 30, 2009 - Draft proposals not postmarked or hand delivered by this date will not be accepted.</b>
<b>Acknowledgement of proposals received sent to Tribes</b>	<b>By January 15, 2010</b>
<b>GAP negotiations</b>	<b>January - May, 2010</b>
<b>Full applications with final revised work plans and required forms/certifications must be received by project officer</b>	<b>No later than June 1, 2010</b>
<b>GAP awards made to Tribes and Tribal consortia</b>	<b>By September 30, 2010</b>

#### B. IMPORTANT HIGHLIGHTS

- **GAP Deadlines are Firm.** Draft proposals MUST be postmarked or hand-delivered by **December 30, 2009**. Draft proposals not postmarked by this date will not be accepted. Final applications MUST be received by June 1, 2010.
- **GAP Online is now Mandatory.** Final revised work plans must be entered into the GAP Online system ([http://iaspub.epa.gov/GAP\\_Online/](http://iaspub.epa.gov/GAP_Online/)) no later than December 30, 2010. This requirement applies to all GAP grant recipients *except* Tribes funded through a Performance Partnership Grant (PPG). Tribes with PPGs should not use GAP Online. For those new to the GAP program or to GAP Online, please contact an EPA Project Officer for information or access the GAP Online User Guide at: <http://www.epa.gov/indian/gap.htm>.

The GAP Online system provides a centralized tool for creating work plans and reporting progress. User names and passwords have been distributed to tribes. If you do not have your user name and password, or if you have trouble entering data into GAP Online, please contact your Project Officer. See Section X of this Announcement for contact information if you do not have a Project Officer.

- **Description of Funding Priorities.** In an effort to be more transparent and to provide further clarification to tribes and tribal consortia, EPA has included a detailed description of regional funding priorities in Section XII of this funding announcement. In summary, EPA's first priority is to provide base funding to individual tribes. The second priority is to provide base funding to tribal consortia, and the third priority is to fund special projects, including the Alaska Peer Assistance Network (formerly Circuit Rider).

## **II. BACKGROUND AND PROGRAM DESCRIPTION**

EPA's policy is to work with tribes on a government-to-government basis to enhance environmental protection in 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.

The GAP program is exempt from competition. EPA has determined that competition for GAP is not practical because of the need to provide a clear and stable source of base funding for program development and capacity building across Indian country consistent with the primary statutory purpose of the program. Therefore, all applications that meet the stated requirements in program regulations and this guidance will be funded if funds are available. This grant notification includes three GAP funding opportunities:

- GAP Grants to Tribes and Tribal Consortia
- Hosting the Tribal Leaders Summit
- Coordination of the Regional Tribal Operations Committee

## **III. FUNDING OPPORTUNITIES**

### **A. Base Grant Funding**

Last year, EPA Region 10 received \$24,719,696 of GAP funding for tribes and tribal consortia in Alaska, Idaho, Oregon and Washington. Region 10 currently has approximately 231 tribes and 15 tribal consortia with active GAP grants, and also funds 7 Alaska Peer Assistance Network agreements. Our objective is to provide funding for new GAP grantees and to continue to support capacity building efforts for existing grantees. Award amounts will depend on the following:

- The amount of GAP funding Region 10 receives;
- The number of tribes and tribal consortia submitting applications; and
- The number of successfully negotiated grant proposals.

Past performance will also be reviewed. (See Section VII for more details.)

Available GAP funding will be awarded to assure base funding for all federally recognized Region 10 tribes that meet EPA GAP funding requirements. GAP grant project periods may not exceed four years. At the end of a four-year grant period, tribes and tribal consortia may apply for a new GAP grant to continue environmental capacity building activities.

## 1. Tribal Governments

Awards for base funding will not be less than \$75,000 for new grantees and may be up to \$115,000 per year. Tribes with large reservations may receive up to \$165,000 base funding based on national funding criteria. For Umatilla, Spokane, and Quinault, base funding is up to \$145,000; for Coeur d'Alene, Nez Perce, Shoshone-Bannock, and Warm Springs, base is up to \$155,000; and for Colville and Yakama, base is up to \$165,000.

Multi-year proposals for up to four years may be accepted from GAP recipients with a strong record of achieving outputs and outcomes and grants management experience. Multi-year proposals are encouraged, but please discuss this option with a Project Officer before submitting a proposal.

## 2. Tribal Consortia

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:

- A majority of member tribes are eligible to receive GAP grants.
- Member tribes that meet the eligibility requirements authorize the consortium to apply for and receive the grant.
- Only member tribes that meet eligibility requirements will directly benefit from the grant project; the consortium must agree to that grant condition.
- Tribal consortia may be funded after all eligible and qualified tribal government applicants are funded. Because the demand for funding may exceed available funds, consortia are advised to describe how proposals respond to the administrative and technical assistance needs of their member tribes. If there is not enough funding to fully fund tribal governments, then consortia will not be funded.
- Consortia may request base funding in the amount of \$75,000 to \$115,000 per year; EPA will provide funding to consortia based on available funds.
- Multi-year proposals for up to two years may be accepted and are encouraged. Please discuss this option with a Project Officer before submitting a proposal.
- Tribal resolutions or other written certification from a duly authorized representative of each Tribal government that clearly demonstrates that a partnership of Indian Tribal governments exists must be provided. The documentation must specify the period of time (up to two years) authorized by the tribal government to support the consortium project. The time frame referenced in the documentation must match the work plan period. For example, consortia submitting two year funding proposals must have support resolutions that indicate support for the two year project period. New resolutions or documents of support must be submitted as needed in subsequent funding years.
- Tribal consortia must submit supporting resolutions or other documentation described above from eligible Tribal governments **by the draft proposal deadline** (December 30, 2009). If required documentation is expected but not received by this deadline, consortia must submit a letter of explanation, including a list of Tribes that are expected to submit documentation, and a date by which the consortia will provide the documentation to EPA.

## **B. Additional Funding Opportunities**

### **1. Coordination of Regional Tribal Operations Committee (RTOC)**

Region 10 will provide funding to a tribe to coordinate RTOC activities that will help develop tribal capacity. In the past, funding has been awarded to the tribe whose staff serves as the RTOC Tribal Co-Chair. If a tribe is interested in submitting a proposal to coordinate the RTOC grant, please contact Diana Boquist, EPA Region 10 RTOC Project Officer, at 206-553-1586.

### **2. Tribal Leaders Summit**

Tribes and tribal consortia located in the State of Oregon may express interest in hosting the next Tribal Leaders Summit by submitting an abstract (a one-page description of proposed tasks and their costs). Approximately 300-400 attendees are expected for the summit, requiring sizable conference facilities and lodging availability. As a policy, tribally owned facilities are preferred. The host tribe will be awarded a cooperative agreement in time to allow 6 to 9 months planning and preparation for the Summit in collaboration with Region 10. (Note that the 2010 Tribal Leaders Summit will be held in Juneau, Alaska.) See **Attachment A** for information on submitting an abstract.

## **IV. ELIGIBILITY INFORMATION**

### **A. Eligible Recipients**

All federally-recognized tribes in Region 10 are eligible to receive funds. Tribal consortia that meet the eligibility requirements described above may also receive funding, if available after tribal governments are funded at their base funding levels.

### **B. Matching Costs**

Applicants are not required to provide any matching funds.

### **C. Eligible Activities**

A brief synopsis of capacity-building activities and solid and hazardous waste activities is provided below. For more information on eligible activities, please refer to **Attachment B**; the *Indian Environmental General Assistance Program Guidelines for the Award and Management of General Assistance Agreements for Indian Tribes*, March 2000 (<http://www.epa.gov/indian/pdfs/gap2000.pdf>); and the 2006 Grant Administration Guidance, February 2006 (<http://www.epa.gov/indian/pdfs/gap2006.pdf>).

#### **1. Capacity-Building Activities**

GAP funding can be used for activities that build tribal capacity to develop and manage environmental protection programs. Capacity building 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. Except for solid waste or hazardous waste implementation activities, GAP funds cannot be used to implement any other types of environmental programs.

#### **2. Solid and Hazardous Waste Planning and Implementation Activities**

GAP funds can be used for planning, development, and implementation of tribal solid and hazardous waste programs. Region 10 strongly encourages completion of an integrated solid

waste management plan (ISWMP) prior to beginning implementation activities so the plan can provide guidance and structure for addressing solid and hazardous waste issues. Tasks may include, but are not limited to, the following:

- Developing an integrated waste management plan
- Activities to clean up, close, or upgrade open dumps
- Removal of abandoned vehicles, scrap metal, and used tires
- Planning and conducting household hazardous waste cleanups
- Establishing recycling collection areas and support facilities

EPA requests that Tribes locate and provide information to EPA about open dumps impacting tribal lands. EPA and Indian Health Service have developed a short open dump form which can be found as **Attachment C** in this announcement package. Tribes that complete and submit open dump forms to EPA will ensure that the dumps are captured in the national open dump inventory and eligible for funding from federal agencies. Contact Kristin Hall at EPA Region 10 for more information (ph: 206-553-6357).

**NOTE:** 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 work plan 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 Project Officer to discuss whether or not NEPA activities may be required.

## V. FOCUS AREAS

While EPA Region 10 provides funding for all activities that build the capacity of tribal governments to manage environmental programs, tribes are encouraged to discuss the following recommended focus areas with their EPA Project Officer. Additional detail on each of these focus areas is included in **Attachment D**.

- A. Capacity Building Activities (for new tribes or tribes with difficulty meeting grants management requirements)
- B. For tribes with established programs that have demonstrated grants management ability, Region 10 recommends considering the following focus areas:
  - Managing Solid and Hazardous Waste/Establishing and Implementing Recycling Programs
  - Planning Tribal Responses to the Environmental Impacts of Climate Change
  - Renewable Energy Planning
  - Resource Extraction
  - Protecting Subsistence Resources
  - Developing Capacity to Properly Operate Utilities
  - Environmental Education
  - Develop Tribal Consultation Policy
  - Collaboration with the Regional Tribal Operations Committee (see **Attachment E** for a list of contacts)

## VI. REQUIRED GRANT PROPOSAL ELEMENTS

Elements of the draft proposal include the following:

### A. Narrative Discussion (may be included as an attachment when submitting a proposal in GAP Online)

1. Describe any high-priority environmental and human health issues that affect the tribe(s), and their relation to any environmental assessment or strategy efforts conducted to date.
2. Describe tribal capacity building efforts needed to address environmental and human health risks.
3. Describe where the environmental staff is placed within the tribal organizational structure. (An organization chart is acceptable.)
4. List other funding sources (both federal and non-federal) that the tribe has managed or plans to pursue to develop and implement environmental programs.
5. Describe tribal and EPA roles and responsibilities in carrying out the work plan commitment. (Sample language is included in Attachment F.)
6. Provide a performance evaluation process and reporting schedule in accordance with 40 CFR 35.515. (Sample language is included in Attachment F.)

### B. General Work Plan Requirements

Applicants must submit work plans in a standardized template, provided in **Attachment F**. A separate work plan for each project year in a multi-year proposal is required. Work plan components and commitments should not duplicate prior efforts, but should demonstrate clear progress over time or specify new focus areas. Work plans must contain the elements listed below.

- A description of each work plan component to be funded;
- Estimated work years (FTEs) and funding amounts for each work plan component;
- The work plan commitments for each work plan component, and a timeframe for their completion;
- The expected outputs (or deliverables) for each commitment;
- Outcomes (environmental result) associated with each work plan component; and
- Quality assurance documentation (if applicable). All sampling and compilation activities require an EPA approved quality assurance project plan (QAPP) before beginning the activity.

One-Time Mandatory Tasks. The following tasks are mandatory for all grantees. New grantees should complete these tasks within the first few years of receiving a new GAP grant. The Tribal Environmental Plan should be revised whenever the document becomes outdated; the Administrative/Fiscal Assessment should be repeated whenever there are substantial changes to the tribe's financial systems.

- Environmental Assessment or Inventory. Identify actual or potential environmental and human health issues; prioritize which issues to address first.
- Tribal Environmental Plan. Develop an environmental plan to address priorities identified in the assessment.

- Administrative/Fiscal Assessment. Review and assess the tribe's financial, procurement and property management procedures to insure that the tribe's systems meet the requirements of 40 CFR Part 31 and Cost Principles under 2 CFR Part 225 (formerly OMB Circular A-87). Corrections to deficiencies found in the tribe's administrative systems are eligible activities under GAP.

### **C. Detailed Budget (may be included as an attachment when submitting a proposal in GAP Online)**

A detailed budget narrative must be submitted, with a breakdown by object class categories. Note that separate budgets are required for each project year in a multi-year work plan. EPA has developed a budget template format (recommended but not mandatory), which is provided in **Attachment G**.

### **D. Optional Special Project Funding for the Benefit of Multiple Tribes**

Individual tribes and tribal consortia may submit requests for special project needs as optional work plan components for funding up to \$75,000 per component **to conduct activities that benefit multiple (or all) tribes in the Region**. Optional components must be ranked in order of importance. Note: Funding for special projects is expected to be very limited, and actual funding amounts for special projects will be determined once Region 10 receives its funding allocation. Requests for additional funding are limited to the 2011 project year (i.e. multi-year proposals cannot request special project funding for subsequent project years).

A separate work plan and budget must be developed for each optional special project funding component. Proposed special project activities workplans must include expected human health and environmental benefits. Types of activities for the benefit of multiple Tribes might include technical assistance, grants management training, hosting workshops and/or training for multiple tribes, and the Alaska Peer Assistance Network.

The Alaska Peer Assistance Network can be a component of special project funding in Alaska. Under the initiative, Alaska GAP grantees (i.e. Tribes or Consortia) can propose assistance to other Tribes for capacity building activities including improved GAP grant compliance and performance. All peer assistance work must be submitted as a proposal under a cooperative agreement. For guidelines on submitting proposals for peer assistance work, please refer to **Attachment H**.

## **VII. MANAGEMENT CAPACITY / PAST PERFORMANCE**

Past performance will be a factor in EPA funding decisions. All grant applicants must demonstrate sound financial, administrative, and programmatic management capability. For current or previous recipients, the Project Officer will verify:

- Timeliness and completeness of reports
- Progress under the current work plan
- Absence of duplicative activities in proposed work plan and budget when compared to earlier awards
- Amount of unexpended funds and fiscal accountability

No-cost extensions (or reduced awards) will be strongly encouraged if an applicant has a high unspent balance of GAP funding from previous awards, unless there is pending approved work, such as field work, that will reduce the balance. New funds require new work commitments in addition to the required project activities that are already behind schedule; a no-cost extension allows time to successfully

complete those activities. No-cost extensions do not limit the amount that may be requested in the future. Extensions are not automatic and must be requested by the applicant.

For recipients with past performance issues, the application must include a discussion of the steps the applicant has taken to address issues and correct past administrative, financial, or programmatic challenges. Applicants who are out of compliance with the programmatic or administrative terms and conditions of their existing award may be denied funding, or may receive a reduced award. If the applicant has not applied for GAP in the past, or if past performance merits a review of the applicant's administrative or financial systems, a pre-award review may be required prior to the submission of an application. EPA will contact the applicant to schedule this review if necessary.

## VIII. AWARD ADMINISTRATION

Applicants awarded funding must comply with the administrative and programmatic terms and conditions of the grant award as well as the federal regulations found in Title 40 of the Code of Federal Regulations (CFR), Parts 31 and 35, Subpart B (40 CFR 35.500-35.518). EPA highly recommends that grant applicants carefully review and understand all grant award documents prior to accepting the grant. If questions or concerns arise during that review, contact your Project Officer.

## IX. PERFORMANCE PARTNERSHIP GRANTS

Performance Partnership Grants (PPGs) are grants formed by incorporating at least two eligible EPA grants into a single grant. PPGs help decrease administrative burdens and increase flexibility in how grant funds can be used. Tribes that receive two or more EPA grants are encouraged to discuss the prospect of forming a PPG with their GAP project officer. There are 18 EPA programs eligible to be included in a PPG. Your Project Officer can provide you this list.

Tribes should engage the EPA in PPG discussions **before** developing individual grant applications. Past grant performance is one factor EPA considers when evaluating potential PPGs. Since multiple grants are involved, PPG proposals and applications can take longer to develop than single grant proposals. The PPG application process will be similar to the standard GAP grant process. Please contact your Project Officer for additional information.

## X. AGENCY CONTACTS

Draft proposals/abstracts must be postmarked or hand-delivered no later than **December 30, 2009**. **Draft proposals not postmarked or hand-delivered by this date will not be accepted.** Proposals should be mailed "Return Receipt Requested" for verification of receipt by EPA.

If located in Alaska, please submit your proposal to your Project Officer. If you are a new applicant in Alaska, please submit your proposal to Santina Gay at:

US EPA, Alaska Operations Office  
222 W. Seventh Avenue, #19  
Anchorage, AK 99513-7588

If located in Idaho, Oregon, or Washington, please submit your proposal to your Project Officer. If you are a new grantee in Idaho, Oregon, or Washington, please submit your proposal to Diana Boquist at:

US EPA, Region 10  
1200 Sixth Avenue, Suite 900, ETPA-085  
Seattle, WA 98101-1128

In order to expedite the review of your proposal and/or abstract, you may send an electronic copy by email to your EPA Project Officer in addition to a hard copy.

If you have any questions about the GAP application process or grant requirements, please contact a Project Officer. For applicants in Alaska, general questions can be directed to the Tribal Unit in the Alaska office at 1-800-781-0983. For applicants in Idaho, Oregon, or Washington, please contact the Region 10 Tribal Unit in the Seattle office at 1-800-424-4372.

## **XI. FULL APPLICATION SUBMITTAL PROCESS**

The Project Officer will contact applicant's staff to negotiate revisions and arrange a time frame for revisions. Tribes are responsible for completing the negotiation process and responding to revision requests within time frames specified by Project Officers. Applicants who are not responsive to revision requests or who do not make requested revisions after three requests may receive a denial letter. Applicants in this situation will be encouraged to get training needed and apply during the next funding cycle. Submitting an initial work plan and budget does not guarantee that a grant will be awarded.

After EPA and tribes negotiate final work plans and budgets, project officers will invite tribes through a letter or email to submit a full application package. A full application package consists of the approved GAP narrative, work plan, detailed budget, resolutions (as needed), and federal forms signed by the Tribal Chair or their designated representative. **Full application packages must be received by the Project Officer by June 1, 2010.**

Approved grant awards will be made by September 30, 2010.

## **XII. FUNDING PRIORITIES**

EPA identifies a portion of the overall regional GAP funding appropriation to support the Tribal Leaders Summit and the Regional Tribal Operations Committee. Region 10 funding priorities include:

- A. Individual Tribes.** The primary purpose of GAP is to build tribal capacity for developing and administering environmental protection programs, and it is EPA policy to work with tribes on a government-to-government basis. Therefore, providing GAP grants to individual tribal governments is our highest priority.
- B. Tribal Consortia.** Funding for tribal consortia will be considered after the needs of individual tribes are met. Consortia work plans should meet the needs of tribes without duplicating individual tribal efforts. Work plans that directly build tribal environmental capacity are emphasized.
- C. Special Projects that Benefit Multiple Tribes.** This priority includes grants to individual tribes or consortia for activities that benefit multiple (or all) tribes in the Region. Such activities might include Alaska Peer Assistance Network or other technical assistance programs, holding conferences, and conducting training courses. Depending on the regional funding allocation, along with the number of tribes and consortia that receive base grants, it is possible that no funding will be available to fund special projects.

### **XIII. OTHER INFORMATION / RESOURCES**

#### **A. Dispute Resolution Procedures**

40 CFR Part 30.63 and 40 CFR Part 31.70 describes the dispute resolution process.

#### **B. 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.

#### **C. Additional Resources**

Please see **Attachment I** for a list of some helpful websites related to the development of GAP applications and environmental programs.

### **XIV. LIST OF ATTACHMENTS**

- Attachment A: Instructions for Abstracts for Hosting the Tribal Leaders Summit
- Attachment B: Summary of Mandatory and Recommended GAP Program Activities
- Attachment C: Solid Waste Dump Form
- Attachment D: Focus Areas
- Attachment E: National and Regional Tribal Operations Committees Contact Information
- Attachment F: Sample Proposal Narrative and Work Plan Template
- Attachment G: Sample Budget
- Attachment H: Alaska Peer Assistance Network and Frequently Asked Questions
- Attachment I: Internet Resources and Information