

CLEAN WATER ACT SECTION 106 WATER POLLUTION CONTROL PROGRAM GRANTS FOR TRIBES

Assistance Listing (CFDA) # 66.419

Funding Opportunity # EPA-CEP-01

FY2020 SOLICITATION NOTICE



U.S. Environmental Protection Agency, Region 9
Water Division, Tribal Water Section (WTR-3-1)

December 2019

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IMPORTANT DATES

DEADLINE FOR NEW APPLICANTS' ELIGIBILITY DETERMINATION (TAS/FAE) APPLICATIONS **October 31, 2019**

FUNDING REQUESTS DUE (*Proposed workplan & budget*) **February 3, 2020**

OVERVIEW

The U.S. Environmental Protection Agency (EPA), Region 9 is now accepting Federal Fiscal Year 2020 (FY20) Clean Water Act Section 106 (CWA §106) Water Pollution Control Program funding requests for the FY2021 grant cycle. The purpose of the Water Pollution Control Program is to assist federally recognized Indian Tribes with achieving environmental results by developing institutional capacity to administer water pollution control programs and to protect, improve, and enhance natural resources.

This solicitation notice provides an overview of the CWA §106 grant program and instructions on how to request and apply for CWA §106 grant funding.

PROGRAM CONTACTS

For questions or assistance, please contact your assigned CWA Grants Project Officer (Contact List is in Section VIII).

Tribes new to the CWA §106 program and interested in seeking eligibility determination should contact Danielle Angeles (angeles.danielle@epa.gov or 415-972-3441) to get started.

EXAMPLE OF A CWA SECTION 106 GRANT PROGRAM



Figure 1: Tim Nelson getting measurements
Wiyot Tribe

Wiyot Tribe, located in northwestern California south of Eureka, has implemented a CWA Section 106 grant program since 2004. The purpose of the Tribe's program is to protect the Tribe's water resources from pollution and to guide the management of tribal water resources. The Tribe's program staff monitors and assesses the water quality of their groundwater and freshwater wetlands on the Reservation on a continuous basis in accordance with their EPA-approved Quality Assurance Project Plan (QAPP). The staff also collaborates with watershed-based groups to address issues related to water pollution and to develop strategies to improve water quality in their watersheds.

I. FUNDING OPPORTUNITY DESCRIPTION

A. PROGRAM OBJECTIVES

The October 2006 *Final Guidance on Awards of Grants to Indian Tribes under Section 106 of the Clean Water Act | Water Pollution Control (Section 106) Grants | US EPA* (Guidance) provides tribes with information on how to design and implement effective, adaptive, and successful water quality programs. The Guidance also provides EPA with a framework of procedures and guidelines for awarding and administering these grants.

All applicants are encouraged to refer to this Guidance when initiating, developing, or implementing a water pollution control program and when preparing a workplan. The Guidance assists Tribal water quality programs at various levels of sophistication and development. For new programs, it provides models for successfully initiating and developing a water quality program. For tribes with well-established programs, it contains additional water quality protection activities to consider. To meet the needs of tribes at all levels of development, the Guidance presents steps a tribe can take to collect the information to facilitate more effective decisions about its water quality program.

In addition, the Guidance outlines the reporting requirements and data expectations for all tribal programs receiving CWA Section 106 funds. These reporting requirements will help tribes collect critical data and information for effective management of their water quality programs. They also help EPA measure environmental results of the CWA Section 106 associated Strategic Plan, and other federal requirements.

B. ELIGIBLE ACTIVITIES

Activities eligible for funding under this grant program include but are not limited to:

- Hiring qualified water quality program staff to identify and prioritize water quality issues in order to plan, develop, improve, and maintain a water quality monitoring and protection program;
- Developing a Quality Assurance Program Plan (QAPP) for monitoring and sampling surface and ground water;
- Performing water quality monitoring, sampling, and assessment activities;
- Laboratory analysis of water quality samples;
- Conducting studies related to water pollution control;
- Implementing and enforcing pollution control measures (e.g. ordinances);
- Developing a Nonpoint Source Assessment Report and Management Program for CWA Section 319 grant program;
- Developing a Watershed-Based Plan with other key stakeholders in watershed;
- Leasing/renting office space for water quality program staff;
- Purchasing monitoring and sampling equipment necessary for program implementation; and
- Training and travel for water quality program staff.

Ineligible activities include but are not limited to:

- Sampling and analysis of surface and/or ground water for drinking water purposes;
- Construction, operation, or maintenance of wastewater treatment plants or drinking water systems;
- Nonpoint source (NPS) management measures requiring construction (i.e., “on the ground” implementation of management measures);
- Public Water System Supervision (PWSS) compliance monitoring; and

- Costs that are already financed by other grants or other sources.

C. ENVIRONMENTAL RESULTS AND LINKAGE TO EPA STRATEGIC PLAN

All proposed projects must demonstrate the linkage to the updated 2018-2022 Strategic Plan and include specific statements describing the environmental results of the proposed project in terms of well-defined outputs, and, to the maximum extent practicable, well-defined outcomes that demonstrate how the project will contribute to the overall goal of restoring and protecting ecosystems. Funding provided under this program will support Goal 1- A Cleaner, Healthier Environment: Deliver a cleaner, safer, and healthier environment for all Americans and future generations by carrying out the Agency's core mission; Objective 1.2 - Ensure waters are clean through improved water infrastructure and, in partnership with states and tribes, sustainably manage programs to support drinking water, aquatic ecosystems, and recreational, economic, and subsistence activities. Tribes and intertribal consortia, as recipients of grant funds, play an integral part in achieving EPA's objectives and in demonstrating environmental results. Additional information regarding the EPA's Strategic Plan and discussion of environmental results can be found at: <https://www.epa.gov/planandbudget/strategicplan> (Updated September 2019).

Environmental Outputs (deliverables/products) refer to an environmental activity, effort, and/or associated work product related to an environmental goal or objective, that will be produced or provided over a period of time or by a specified date. Outputs may be quantitative or qualitative but must be measurable during the assistance agreement funding period.

Environmental outcomes are the result, effect, or consequence that will occur from carrying out an environmental program or activity that is related to an environmental or programmatic goal or objective. Outcomes may be environmental, behavioral, health-related or programmatic in nature, must be quantitative, and may not necessarily be achieved within an assistance agreement funding period. Outcomes may be short-term (changes in learning, knowledge, attitude, skills), intermediate (changes in behavior, practice, or decisions), or long-term (changes in condition of the natural resource).

Examples of anticipated outputs and outcomes from the assistance agreements to be awarded under this announcement include, but are not limited to:

Examples of Outputs and Outcomes for Environmental Activities		
Activity	Outputs	Outcomes
Monitoring	Number of samples collected	Improved understanding of water body condition
Studies, surveys, etc.	Number of experiments or samples, number of reports	Advancement of knowledge on the effects of pollution
Training & Outreach	Number of training sessions, number of persons trained	Increase in knowledge demonstrated by pre- & post-training surveys

D. EPA REVIEW OF FUNDING REQUESTS

After all funding requests are received, EPA Region 9 will consider the following to determine the allocation of CWA §106 grant funds:

- Amount of CWA §106 funds allocated to EPA Region 9;
- Number of applicants and funding requests received during this solicitation period;

- Consideration of a *base level* of funding, particularly for smaller tribes;
- Population/land area/surface water area for the applicant;
- Applicant’s environmental issues to be addressed and desired environmental results (i.e., public health and water quality);
- Applicant’s current and previous year(s) grant performance;
- For continuing grant recipients: status of unexpended and/or unliquidated grant funds;
- Applicant’s ability to maintain continuity of existing program;
- Potential for the funding request (workplan activities) to be funded in segments over a multi-year period;
- Costs related to applicant’s use of existing staff versus consultants/contractors; and
- Implementation of EPA’s National and Regional priorities.

II. APPLICANT ELIGIBILITY INFORMATION

Eligible Applicants: Federally recognized Indian Tribes in EPA Region 9 that meet the requirements of and have received eligibility determination for CWA §106 grant program (also known as Financial Assistance Eligibility (FAE)).

First Time Applicants: Interested tribes that have never received funding under CWA §106 must first establish FAE with EPA (also known as Treatment in a similar manner as a State – TAS), as described in Region 9’s [Financial Assistance Eligibility Handbook](#) (FAE Handbook). To meet eligibility requirements, a tribe must:

1. Be Federally recognized;
2. Demonstrate that it has substantial governmental duties and powers;
3. Demonstrate that the tribe has the legal authority and jurisdiction to carry out the activities proposed in the grant application;
4. Be capable of carrying out functions to be exercised in a manner consistent with the terms and purposes of the Clean Water Act and all applicable regulations.

Tribes new to the CWA §106 program and interested in seeking eligibility determination should contact Danielle Angeles (angeles.danielle@epa.gov or 415-972-3441) to get started.

We recommend that applications for FAE to be submitted to EPA in the fall of the year prior to the grant cycle you wish to start your water quality program. The due date for FAE applications for FY2020 was October 31, 2019. The anticipated due date for FAE applications for the FY2021 solicitation period will be October 31, 2020.

III. AWARD INFORMATION

A. AMOUNT OF FUNDING

EPA Region 9 anticipates it will allocate approximately \$8.5 million in FY2020 to support CWA § 106 tribal grant programs in the Region. This funding will allow EPA to award grants between \$40,000 and \$900,000; first-time eligible applicants may receive a grant up to \$40,000.

B. COST-SHARE / MATCH REQUIREMENT

The tribe must provide at least 5% of the total project costs and it must be reflected in the proposed funding request (work plan and budget) and final grant application. Project costs are the costs to carry out the work plan activities in the grant program and include costs of planning, developing, establishing, improving, or maintaining a water pollution control program.

The tribe can contribute more than the 5% match if funds are available.

ALLOWABLE SOURCES FOR THE COST-SHARE / MATCH

As identified in 2 CFR Part 200.306, the cost share/match requirement can be satisfied by any of the following: (1) by cash donations from non-federal funds; (2) by the value of non-federal, third party in-kind contributions; or (3) a combination of #1 & #2. The source of the cost share/match contribution must be necessary and reasonable for the accomplishment of the project or program objectives.

TYPES OF MATCH	EXAMPLES
► Cash	• Tribal personnel costs
	• Tribal travel
	• Tribal equipment
	• Money contributed by another organization/individual to the Tribe
	• Public Law 93-638 funds (Indian Self Determination Act)
► In-Kind (Third-Party or Tribal)	• Personnel costs donated by another organization (not Tribal employees)
	• Services donated by another organization (not Tribe) *Dollar values placed on services must follow 2 CFR Part 200.306(e)
	• Volunteers (not Tribal employees)
	• Equipment donated by another organization (not Tribe)
	• Equipment donated by Tribe (non-Federal)

All cost-share/match funds must conform to the same laws, regulations, grant conditions, etc., as the federal funds within the grant.

Unallowable sources for the cost-share/match include:

- Other federal funds, except when provided by statute (Public Law 93-638 funds, Indian Self-Determination Act).
- Unallowable costs for the grant program.

TOOLS TO CALCULATE THE COST-SHARE / MATCH

Table 1. Example Cost-Share/Match Calculation

Federal Share <i>Amount</i>	Federal Share <i>% of Total Project</i>	Non-Federal Match <i>Amount</i>	Non-Federal Match <i>% of Total Project</i>	Total Project Cost (Federal & Non-Federal Match)
\$40,000	95%	\$2,105	5%	\$42,105
\$65,000	95%	\$3,421	5%	\$68,421
\$100,000	95%	\$5,263	5%	\$105,263

Example Cost-share/Match Calculations:

- If you know the total project costs:
 - (1) Multiply the total project costs by the cost share/match % needed (.05).
 - (2) The total is your cost share/ match amount.

For example:

If your total project cost = \$42,105 and you need 5% cost share/match, then $\$42,105 \times 0.05 = \$2,105$ is the Cost Share/Match.

- If you know the total federal funds requested (i.e., \$40,000):
 - (1) Divide the total federal funds requested by the maximum federal share allowed (.95).
 - (2) Subtract the federal funds requested from the amount derived in step 1.
 - (3) The amount derived from step 2 is the non-federal cost share/match.

For example:

- (1) If the federal funds requested = \$40,000; and the recipient cost share/match is 5%, then the federal share = 95% or .95. $\$40,000 \text{ divided by } .95 = \$42,105$ (total project cost) then,
- (2) $\$42,105 - \$40,000 = \$2,105$
- (3) The non-federal cost share/match = \$2,105

C. TYPE OF FUNDING

It is anticipated that grants and/or cooperative agreements may be funded under this announcement. When cooperative agreements are awarded, EPA will have substantial involvement with the project work plan and budget. While EPA will negotiate precise terms and conditions relating to substantial involvement as part of the award process, the anticipated substantial federal involvement for the project selected and funded as a cooperative agreement may include:

1. Close monitoring of the recipient's performance to verify the results proposed by the applicant;
2. Collaboration during the performance of the scope of work;
3. Review of proposed procurements (in accordance with 2 CFR Part 200.319 or 40 CFR 31.36(c) or 40 CFR 30.43(e));
4. Review of qualifications of key personnel (EPA does not have authority to select employees or contractors employed by the recipient); and
5. Review and comment on tasks/deliverables and reports/publications prepared under the cooperative agreement (the final decision on the content of the reports rests with the recipient).

D. STATUTORY AUTHORITIES

The statutory authorities for the assistance agreements to be awarded under this grant program are Sections (§) 106 and 518 of the Clean Water Act (CWA). Many tribal environmental programs receive some or all of their funding to implement and maintain water quality protection activities through CWA §106 grants. CWA §106 authorizes EPA to award federal grants to assist tribes, states, and interstate agencies in administering programs for the prevention, reduction, and elimination of water pollution, "water quality programs." EPA sets aside a portion of the total CWA Section 106 funds appropriated by Congress to fund tribal water quality programs.

The CWA §106 set-aside funds for tribes are allocated to the EPA regions based on the CWA §106 tribal allotment formula adopted by EPA in FY 1998. Each region then makes CWA §106 grant awards to eligible tribes consistent with statutory limitations, EPA regulations, and EPA guidance.

E. ASSISTANCE LISTINGS (CFDA)

The Assistance Listings (CFDA) number for this grant program is 66.419.

F. FUNDING OPPORTUNITY NUMBER

The Funding Opportunity Number (FON) for this grant program is EPA-CEP-01.

G. REQUIREMENTS FOR THE GRANT

REPORTING

In order to continue to receive CWA §106 grant funding, multiple reporting requirements must be met including progress reports, annual Assessment Reports for Surface Water, and annual Financial Status Reports:

- **Progress reports** to evaluate performance under the grant, including: Status of each workplan goal, task, deliverable; Status of expenditures for the reporting period; Summary of accomplishments including the reporting of environmental results & discussion of problems impacting or expected to impact performance; Tasks not on schedule & proposed dates of completion; and any other information that will inform the EPA Project Officer about program status.

Frequency of Grant Workplan Progress Reports: Tribes will generally submit progress reports on a quarterly basis. As tribes develop proficiency in the grant management process, EPA's expectation is that the typical frequency of progress reporting may change from quarterly reporting to less frequent reporting. During workplan negotiations, Project Officers will consider whether less frequent reporting is warranted based on whether the applicant meets the following criteria:

- 1) has an established, on-going grant relationship with EPA;
- 2) a satisfactory record of financial and programmatic performance, including meeting programmatic goals and objectives in a timely, cost-effective manner;
- 3) adequate managerial capacity; and/or
- 4) not designated as "high risk" or under "special/specific terms and conditions;"

Where approved by the Project Officer, semi-annual or annual frequency may be reflected in the progress reporting term and condition. The term and condition may also include a provision authorizing EPA to require quarterly reporting if the Project Officer finds that there has been a change in the tribe's ability to meet the four criteria noted.

- The **Annual Assessment Report for Surface Water** (refer to Chapters 4 and 8 and Appendix A of the *Final Guidance on Awards of Grants to Indian Tribes under Section 106 of the Clean Water Act* for a detailed description) that contains information about surface water quality on tribal land and demonstrates national results for the CWA Section 106 tribal program. The Assessment Report shall include:
 1. Monitoring Strategy description,
 2. Water Quality Assessment Report, and
 3. Monitoring Data, submitted electronically for each assessed surface water body: data and metadata for the nine basic parameters that are being monitored (dissolved oxygen, pH, water temperature, turbidity, phosphorus, total nitrogen, macroinvertebrates, e. coli, or enterococci, basic habitat information).
- The **Annual Financial Status Report** must accurately account for all federal and non-federal funds expended, and identify appropriate use of funds (i.e., allowable and eligible under the program).

QUALITY ASSURANCE PROJECT PLAN

As stated in the national policy (CIO 2106-S-01.0) and Section 1.2 of the G-5 guidance (EPA/240/R-02/007) all environmental programs that require a Quality Assurance (QA) document are encouraged to review their EPA-approved QA documents on an annual basis. This review does not require an EPA QA office review. By reviewing the plan, the organization may evaluate whether the data collection activities were performed as planned, and if not, how the plan should be revised to reflect the current situation. The review helps to determine whether the next year's activities are included in the QA Document. If not, they may be documented in an addendum and sent to the QA office for review. Minor changes may be sent to the QA Office to replace outdated information. EPA-approved monitoring QAPPs are current for five years, after which time they should be reviewed in consultation with the EPA QA Office, and if necessary revised and submitted to EPA for review. For further information, please contact the Region 9 QA Office at (415) 972-3431.

LABORATORY COMPETENCY POLICY

EPA requires that grantees attest to the competency of the laboratories they hire. This requirement is part of EPA's Laboratory Competency Policy which is available at <http://www.epa.gov/fem/pdfs/competency-policy-aaia-new.pdf>. A summary of the policy is excerpted below:

“Organizations performing environmental analysis for the Agency shall demonstrate their qualifications in the fields of analyses to be conducted, prior to performing such analyses. Where accreditation or certification is available for those fields of analysis, organizations may submit documentation of existing accreditations or certifications.

Accreditation/certification granted by an organization that accredits environmental data operations to an international consensus standard, or a state accreditation or certification program acceptable to EPA, or the contracted laboratory's participation in the EPA Contract Laboratory Program for those fields of analyses, shall be valid at the time of award and must be sustained through the life of the period of performance. If accreditation/certification is suspended or revoked at any time during the period of performance, the EPA project officer must be notified immediately to ensure any potential impact to the scope of work being performed is addressed accordingly.”

Tribes should ensure that laboratories performing their analyses meet the requirements of the policy. The tribe's CWA 106 work plan should include a statement that any laboratory it hires will meet the requirements for laboratory competence. A statement relating to laboratory competency should be included in any new or revised Quality Assurance Project Plan submitted for EPA approval. The Region 9 QA Office will evaluate laboratory competency when it receives the laboratory's QAPP or QA manual as part of its documentation review. Please refer to the following link for Frequently Asked Questions regarding the Competency Policy: <https://webdev2.rtpnc.epa.gov/internet/osainter/web/fem/pdfs/faqscompetency-policy-091213.pdf>. For questions, contact the QA Office at 415-972-3431.

Example statement to be included in FY19 CWA §106 Work plans:

“The __(Name)__ Tribe certifies that __(Name of Lab)__ has the appropriate certification/accreditation necessary to perform the analyses requested by the Tribe, as required by EPA's Laboratory Competency Policy.”

SUSTAINABILITY IN EPA ASSISTANCE AGREEMENTS

EPA encourages grant applicants to integrate sustainability considerations into EPA funded projects and programs. Some examples of sustainable practices that may be included in a CWA 106 grant are:

- a. Environmentally Preferable Purchasing:
 - i. Purchasing recycled office supplies (Paper, Ink, Used Office Furniture, etc)
 - ii. Purchasing energy star products
- b. Materials Management
 - i. Waste Disposal - Setting up an office recycling and composting waste center
 - ii. Recycling and proper disposal of trash collected during community or education and outreach events
 - iii. Utilizing the community waste transfer station
- c. Energy Efficiency
 - i. Using solar energy to power continuous monitoring stations
 - ii. Using biofuel in environmental department vehicles when out in the field
- d. Green Conferences/meetings
 - i. Paperless outreach and education activities
 - ii. Utilizing video-conferencing or training through on-line courses to cut down on travel

If the grantee decides to integrate a voluntary sustainable practice into their CWA grant program, the practice(s) should be included in the workplan or budget documents under an already existing task or through the development of a new task.

IV. SUBMISSION INSTRUCTIONS

SCHEDULE

What	Due Date	How
First Time Applicants: Complete FAE application for eligibility determination.	October 31, 2019	Via email or hardcopy to one of the first time contacts for the CWA §106 Grant Program (Danielle Angeles).
All Applicants: DRAFT proposed FUNDING REQUESTS (workplan and budget).	February 3, 2020	Via email, hardcopy, or fax to your assigned CWA Grants Project Officer.
All Applicants: Grant application with the FINAL workplan and budget	Spring 2020	Via Grants.gov (use Funding Opportunity Number: EPA-CEP-01)

STEP 1: DRAFT FUNDING REQUESTS

All applicants should submit a funding request (proposal) that includes a DRAFT detailed workplan and budget describing how the requested CWA § 106 funds will be used and which sets forth the basis for the management and evaluation of performance under the proposal (for sample workplans compliant with 40 CFR 35.507, see Attachment 1). Note: A SF-424 grant application is not required to be submitted with the funding request.

All applicants should contact their assigned CWA Grants Project Officer for assistance with developing workplans and budgets or for questions regarding the CWA § 106 program; questions relating to administrative or fiscal matters should be directed to your EPA Grants Specialist.

STEP 2: FINAL GRANT APPLICATION

After determination of the allocation amount and negotiation of the workplan and budget, the CWA Grants Project Officer will provide application instructions and the due date. Applicants must submit their final application electronically via Workspace ([Grants.gov](https://workspace.grants.gov)).

The electronic submission of your application must be made by an official representative of your institution who is registered with Workspace ([Grants.gov](https://workspace.grants.gov)) and is authorized to sign applications for Federal assistance. For more information on the registration requirements that must be completed in order to submit an application through Workspace ([grants.gov](https://workspace.grants.gov)), go to Workspace ([Grants.gov](https://workspace.grants.gov)) and click on “Applicants” on the top of the page and then go to the “Get Registered” link on the page. If your organization is not currently registered with [Grants.gov](https://workspace.grants.gov), please encourage your office to designate an Authorized Organization Representative (AOR) and ask that individual to begin the registration process as soon as possible. Please note that the registration process also requires that your organization have a DUNS number and a current registration with the System for Award Management (SAM) and the process of obtaining both could take a month or more. Applicants must ensure that all registration requirements are met in order to apply for this opportunity through [grants.gov](https://workspace.grants.gov) and should ensure that all such requirements have been met well in advance of the submission deadline. Registration on [grants.gov](https://workspace.grants.gov), [SAM.gov](https://sam.gov), and DUNS number assignment is FREE.

Applicants need to ensure that the AOR who submits the application through [Grants.gov](https://workspace.grants.gov) and whose DUNS number is listed on the application is an AOR for the applicant listed on the application. Additionally, the DUNS number listed on the application must be registered to the applicant organization’s SAM account. If not, the application may be deemed ineligible.

To begin the application process under this grant announcement, go to Workspace ([Grants.gov](https://workspace.grants.gov)) and click on “Applicants” on the top of the page and then “Apply for Grants” from the dropdown menu and then follow the instructions accordingly. Please note: To apply through [grants.gov](https://workspace.grants.gov), you must use Adobe Reader software and download the compatible Adobe Reader version. For more information about Adobe Reader, to verify compatibility, or to download the free software, please visit [Adobe Reader Compatibility Information on Grants.gov](https://workspace.grants.gov)

You may also be able to access the application package for this announcement by searching for the opportunity on Workspace ([Grants.gov](https://workspace.grants.gov)). Go to Workspace ([Grants.gov](https://workspace.grants.gov)) and then click on “Search Grants” at the top of the page and enter the CFDA number that applies to the announcement (CFDA 66.419), in the appropriate field and click the Search button. Alternatively, you may be able to access the application package by clicking on the Package button at the top right of the synopsis page for the announcement on Workspace ([Grants.gov](https://workspace.grants.gov)). To find the synopsis page, go to Workspace ([Grants.gov](https://workspace.grants.gov)) and click “Browse Agencies” in the middle of the page and then go to “Environmental Protection Agency” to find the EPA funding opportunities.

Workspace ([Grants.gov](https://workspace.grants.gov)) support and assistance is available 24 hours a day, 7 days a week at 1-800-518-4726 or support@grants.gov.

V. AWARD INFORMATION

A. AWARD NOTICES

EPA Region 9 will notify tribes of the final funding decisions no later than September 30, 2020.

B. ADMININSTRATIVE AND NATIONAL POLICY REQUIREMENTS

The general award and administration process for assistance agreements to be funded under this announcement are governed by regulations at 2 CFR Part 200 (states, tribes, interstate agencies, intertribal consortia and local governments) and 40 CFR Part 35, Subpart B (“Environmental Program Grants for Tribes”). In addition, all applicable legal requirements including, but not limited to, EPA’s regulations on environmental program grants for tribes and regulations specific to CWA 106 grants for tribes may also be found.

VI. PERFORMANCE PARTNERSHIP GRANTS

CWA §106 grant funds are eligible to be put into a Performance Partnership Grant (PPG). PPGs allow eligible tribes and intertribal consortia to combine funds from more than one environmental program grant into a single grant agreement with a single budget in order to improve environmental performance, increase programmatic flexibility, achieve administrative savings, and strengthen the partnerships between Indian Tribes and EPA (40 CFR 35.530(b)). Applicants should indicate in their funding request if they anticipate putting the CWA §106 grant funds into an existing PPG or a new PPG. If a new PPG, the PPG should be in place before the date of grant award or created concurrently with the award of funds from multiple PPG-eligible grant programs. For more information about PPGs, please contact your CWA Grants Project Officer.

COST-SHARE / MATCH REQUIREMENT

Pursuant to 40 CFR § 35.536 (c) and (d) for grant programs that require a cost-share/match of 5% or more, the match shall be 5% for the funds going into the PPG.

APPLICATION INSTRUCTIONS

If the CWA §106 grant funds are going into a PPG, the funds must be included in the single PPG grant application via Workspace ([Grants.gov](https://www.grants.gov)) and may not be submitted via a stand-alone grant application. Please contact your CWA Grants Project Officer for more information.

ASSISTANCE LISTINGS (CFDA)

The Assistance Listings (CFDA) number for PPG grant applications is 66.605.

FUNDING OPPORTUNITY NUMBER

The Funding Opportunity Number (FON) for PPG grant applications is EPA-CEP-01.

VII. ANTICIPATED SCHEDULE FOR FY2021 SOLICITATION PERIOD

What	Due Date	How
First Time Applicants: Complete FAE application for eligibility determination.	October 30, 2020	Via email or hardcopy to one of the first time contacts for the CWA §106 Grant Program (Danielle Angeles or Tiffany Eastman).
All Applicants: DRAFT proposed FUNDING REQUESTS (workplan and budget).	February 1, 2021	Via email, hardcopy, or fax to your assigned CWA Grants Project Officer.
All Applicants: Grant application with the FINAL workplan and budget	Spring 2021	Via Grants.gov

VIII. EPA REGION 9 CWA 106 GRANTS PROJECT OFFICER CONTACT LIST

EPA Region 9, Water Division, Tribal Water Section (WTR-3-1)

Manager: Jason Brush, (415) 972-3483, brush.jason@epa.gov

I. STAFF	II. TRIBES
Danielle Angeles (415) 972-3441 Contact for 1st Time Applicants	CA: Agua Caliente, Augustine, Cabazon, Cahuilla, *Cahto/Laytonville, *Cortina/Kletsel Dehe, Morongo, San Manuel, Ramona, Santa Rosa Band, Soboba, Twenty-Nine Palms, Torres Martinez, *Upper Lake/Habemoletel
	AZ: Havasupai, Hualapai, Hopi, Navajo Nation
Howard Kahan (415) 972-3143	Central CA: Big Pine, Big Sandy, Bishop, Cold Springs, *Elem, Ft. Independence, Lone Pine, Owens Valley Indian Water Commission, Picayune, Santa Rosa Rancheria, Table Mountain, Timbisha, Tule River, Tuolumne, Utu Utu Gwaitu/Benton
	So. CA: La Jolla
Licia Maclear (415) 972-3161	So. CA: Campo, Cuyapaipe (inactive), Jamul, La Posta, Los Coyotes, Mesa Grande, Pala, Pauma, Pechanga, Rincon, Santa Ynez, Santa Ysabel, San Pasqual, Sycuan (inactive), Viejas
Suzanne Marr ^{\$} (415) 972-3468	Central CA: Bridgeport, Buena Vista, Shingle Springs
Karissa Montes (415) 972-3922	No. CA: Mechoopda, Mooretown, Pit River, Redding, Susanville
	NV Pyramid Lake Paiute, Walker River, Washoe, Yerington
Kate Pinkerton (415) 972-3662	No. CA: Big Valley, Chicken Ranch, Coyote Valley, Dry Creek, Graton, Hopland, Kashia-Stewarts Point, Middletown, Pinoleville, Redwood Valley, Robinson Rancheria, Round Valley, Sherwood Valley
Nancy Sockabasin (415) 972-3772	AZ: Ak-Chin, Chemehuevi, Cocopah, Colorado River Indian Tribes (CRIT), Gila River, Ft. McDowell, Ft. Mojave, Kaibab, Quechan, Salt River, Tohono O'odham, Yavapai-Apache, Yavapai-Prescott
	NV: Moapa
Loretta Vanegas (415) 972-3433	No. CA: Bear River/Rohnerville, Big Lagoon, Blue Lake, Elk Valley, Hoopa Valley, Karuk, Manchester/Pt. Arena (inactive), Manzanita, Quartz Valley, Resighini, Yurok, Klamath Consortium, Tolowa Dee-ni', Trinidad, Wiyot/Table Bluff
	AZ: San Carlos, White Mountain Apache
Kelli Williams (415) 972-3434	No. CA: Cedarville, Fort Bidwell
	NV Duck Valley, Duckwater, Fallon, Goshute, South Fork, Summit Lake, Yomba

* Denotes Temporary Assignment

All e-mail addresses: **lastname.firstname@epa.gov**

For administrative grants management assistance, please contact your EPA Grant Specialist in the EPA Region 9 Grants Management Office (GMO) or you may contact Maria Roverso, GMO CWA 106 Grants Workleader, at roverso.maria@epa.gov.

ATTACHMENT 1 - SAMPLE WORKPLAN – FUNDAMENTAL PROGRAM

Per 40 CFR 35.507

WATER POLLUTION CONTROL PROGRAM (CWA SECTION 106)

Work Plan Components with Commitments and Environmental Results		Dates	Outputs & Deliverables	Responsible Staff & Work Years		Estimated Cost*	Suggested Year to Start	Status (for Quarterly Reporting)
EPA Strategic Plan Goal 2: Clean & Safe Water		Start End						
1	COMPONENT: Quarterly Reporting to self-evaluate & joint- evaluate annual performance under the grant, including: <ul style="list-style-type: none"> Status of each work plan goal, task, deliverable Status of expenditures for reporting period Summary of accomplishments including the reporting of environmental results & discussion of problems impacting or expected to impact performance Commitment not on schedule & proposed dates of completion ENVIRONMENTAL OUTCOME: To evaluate and report on performance under the grant.	1/30 4/30 7/30 10/30	Quarterly Reports submitted to EPA	WQS	0.04	\$750	Year 1 of fundamental level (required)	
2	COMPONENT: Hire staff to assist with developing & implementing a water quality program Commitment 2(a): Conduct request for proposal (RFP) or hiring action Commitment 2(b): Finalize contract/hiring action ENVIRONMENTAL OUTCOME: To carry out the goals of the workplan & to establish future water quality goals.	10/01 11/30	<ul style="list-style-type: none"> Include status of hire in quarterly report Submit resume with quarterly report 	WQS AA	0.01 0.01	\$455	Year 1 of fundamental level	

ATTACHMENT 1 - SAMPLE WORKPLAN – FUNDAMENTAL PROGRAM

Per 40 CFR 35.507

WATER POLLUTION CONTROL PROGRAM (CWA SECTION 106)

Work Plan Components with Commitments and Environmental Results		Dates	Outputs & Deliverables	Responsible Staff & Work Years		Estimated Cost*	Suggested Year to Start	Status (for Quarterly Reporting)
EPA Strategic Plan Goal 2: Clean & Safe Water		Start End						
3	<p>COMPONENT: Assess quality of surface & groundwater to develop initial baseline status, water quality monitoring program, & water quality indicators (WQIs)</p> <p>Commitment 3: Gather & evaluate existing water quality data for water bodies (surface & ground water) on Tribal land (at least pH, turbidity, temperature, dissolved oxygen; & if appropriate total phosphorus, total nitrogen (TKN), macroinvertebrates, <i>E. coli</i> or enterococci, basic habitat info., and others as needed)</p> <p>ENVIRONMENTAL OUTCOMES: To describe the current quality of surface & ground waters so that future water quality trends can be identified & measured in order to ensure that water quality can be maintained and improved, as necessary.</p>	12/01 4/30	<ul style="list-style-type: none"> Submit to EPA Preliminary Water Quality Data Assessment Report 	WQS E/H	0.23	\$5,000	Year 1 of fundamental level	

ATTACHMENT 1 - SAMPLE WORKPLAN – FUNDAMENTAL PROGRAM

Per 40 CFR 35.507

WATER POLLUTION CONTROL PROGRAM (CWA SECTION 106)

Work Plan Components with Commitments and Environmental Results		Dates	Outputs & Deliverables	Responsible Staff & Work Years		Estimated Cost*	Suggested Year to Start	Status (for Quarterly Reporting)
EPA Strategic Plan Goal 2: Clean & Safe Water		Start End						
4	<p>COMPONENT: Develop a water quality monitoring program and water quality indicators for water bodies (surface and/or ground water) on Tribal land per EPA's Guidance on Awards of Grants to Indian Tribes under Section 106 of the CWA (EPA's Tribal CWA 106 Guidance)</p> <p>Commitment 4(a): Understand EPA's water quality monitoring and reporting requirements per EPA's Tribal 106 Guidance</p> <p>Commitment 4(b): Develop monitoring goals and monitoring strategy(s) per EPA's Tribal CWA106 Guidance and its Appendix A</p> <p>Commitment 4(c): Establish a baseline monitoring program, including development of a monitoring design and water quality indicators</p> <p>Commitment 4(d): Select monitoring sites</p> <p>Commitment 4(e): Determine how monitoring data will be used, displayed, and reported</p> <p>Commitment 4(f): Develop and maintain a water quality monitoring database management system</p> <p>ENVIRONMENTAL OUTCOME: To determine the physical, chemical, and biological conditions of a water body and evaluate them against water quality indicators (WQIs).</p>	<p>10/01 9/30</p> <p>5/01 9/30</p> <p>5/01 9/30</p> <p>5/01 9/30</p> <p>5/01 9/30</p> <p>5/01 9/30</p>	<p>Prepare the following and submit to EPA; also prepare for inclusion in QAPP (Component 5):</p> <ul style="list-style-type: none"> monitoring strategy(s) monitoring design monitoring sites water quality indicators description of how monitoring data will be used, displayed, and reported description of monitoring database management system 	WQS E/H	0.23	\$4,200	Year 1 or 2 of fundamental level	

ATTACHMENT 1 - SAMPLE WORKPLAN – FUNDAMENTAL PROGRAM

Per 40 CFR 35.507

WATER POLLUTION CONTROL PROGRAM (CWA SECTION 106)

Work Plan Components with Commitments and Environmental Results		Dates	Outputs & Deliverables	Responsible Staff & Work Years		Estimated Cost*	Suggested Year to Start	Status (for Quarterly Reporting)
EPA Strategic Plan Goal 2: Clean & Safe Water		Start End						
5	<p>COMPONENT: Ensure integrity & accuracy in Tribal water quality monitoring efforts, as developed per Goal 4</p> <p>Commitment 5(a): Obtain and become familiar with EPA's water monitoring quality assurance requirements and guidance: http://www.epa.gov/Region9/qa/tribes.html</p> <p>Commitment 5(b): Draft a Quality Assurance Program Plan (QAPP) in accordance with current EPA requirements & guidance; ensure QAPP include outputs & deliverables per Component 4</p> <p>Commitment 5(c): Finalize QAPP per EPA review & guidance</p> <p>ENVIRONMENTAL RESULT: To ensure scientifically valid results that meet acceptable EPA standards.</p>	<p>12/1 2/28</p> <p>3/1 6/30</p> <p>8/1 9/30</p>	<ul style="list-style-type: none"> Submit draft QAPP to EPA for review Submit final QAPP to EPA for review & approval 	WQS E/H	0.1	\$14,200	Year 2 of fundamental level	

ATTACHMENT 1 - SAMPLE WORKPLAN – FUNDAMENTAL PROGRAM

Per 40 CFR 35.507

WATER POLLUTION CONTROL PROGRAM (CWA SECTION 106)

Work Plan Components with Commitments and Environmental Results		Dates	Outputs & Deliverables	Responsible Staff & Work Years		Estimated Cost*	Suggested Year to Start	Status (for Quarterly Reporting)
EPA Strategic Plan Goal 2: Clean & Safe Water		Start End						
6	<p>COMPONENT: Implement Tribal water quality monitoring program in accordance with EPA-approved monitoring strategy and EPA-approved QAPP</p> <p>Commitment 6(a): Determine the physical, chemical, and biological conditions of water body(s) and evaluate them against water quality indicators (WQIs)</p> <p>Commitment 6(b): Maintain the water quality monitoring data base</p> <p>Commitment 6(c): Prepare final annual Assessment Report for Surface Water per Appendix A of EPA's CWA 106 Tribal Guidance</p> <p>Commitment 6(d): Prepare annual assessment report for groundwater</p> <p>ENVIRONMENTAL OUTCOME: To determine the physical, chemical, and biological conditions of a water body and evaluate them against WQIs so that water quality trends can be identified & measured in order to ensure that water quality can be maintained and improved, as necessary.</p>	<p>10/1 9/30</p> <p>10/1 9/30</p> <p>12/31</p> <p>12/31</p>	<p>Include in quarterly reports:</p> <ul style="list-style-type: none"> description of monitoring activities conducted during the reporting period EPA-approved equipment purchases <p>Submit to EPA:</p> <ul style="list-style-type: none"> a final annual Assessment Report for Surface Water an annual assessment report for ground water data electronically in STORET-compatible format 	WQS E/H	0.15	\$14,250	Year 2 or 3 of fundamental level	

ATTACHMENT 1 - SAMPLE WORKPLAN – FUNDAMENTAL PROGRAM

Per 40 CFR 35.507

WATER POLLUTION CONTROL PROGRAM (CWA SECTION 106)

Work Plan Components with Commitments and Environmental Results		Dates	Outputs & Deliverables	Responsible Staff & Work Years		Estimated Cost*	Suggested Year to Start	Status (for Quarterly Reporting)
EPA Strategic Plan Goal 2: Clean & Safe Water		Start End						
7	COMPONENT: Increase Tribal water quality staff's knowledge & skills regarding water quality & watersheds; become familiar with and/or attend: Commitment 7(a): EPA's Guidance on Awards to Grants to Indian Tribes under Section 106 of the CWA Commitment 7(b): EPA Tribal CWA §106 workshop Commitment 7(c): Tribal/EPA Conference Commitment 7(d): EPA Tribal Nonpoint Source Pollution Control Program Workshop Commitment 7(e): introductory water quality monitoring workshop Commitment 7(f): introductory water quality database management class ENVIRONMENTAL OUTCOME: To increase staff knowledge, as demonstrated by staff preparation of "training results" report and "on-the-job" implementation.	10/1 9/30 May October April June August	<ul style="list-style-type: none"> Include in quarterly reports, list of documents reviewed, trainings, meetings, & workshops attended with dates, cost, & who attended 	WQS	0.1	\$1,750	Year 1 of fundamental level	
8	COMPONENT: Educate Tribal Community on the importance of water quality & provide information on the quality of Tribe's surface & ground water Commitment 8(a): develop water quality education/outreach program Commitment 8(b): hold public outreach meetings Commitment 8(c): quarterly newsletter ENVIRONMENTAL OUTCOME: Changes in awareness and understanding of the status of water quality and related issues, and in an effort to promote & implement pollution prevention, as demonstrated by direct participation in workshops, meetings, etc., & results of clean-up efforts.	10/01 12/31 semi-annually quarterly	<ul style="list-style-type: none"> Submit to EPA education & outreach program description Include in quarterly reports a summary of public meetings, newsletter, & other activities Copy of newsletter & Other developed outreach materials 	WQS AA E/H	0.12 0.04	\$1,500	Year 1 or 2 of fundamental level	

ATTACHMENT 1 - SAMPLE WORKPLAN – FUNDAMENTAL PROGRAM

Per 40 CFR 35.507

WATER POLLUTION CONTROL PROGRAM (CWA SECTION 106)

Work Plan Components with Commitments and Environmental Results		Dates	Outputs & Deliverables	Responsible Staff & Work Years	Estimated Cost*	Suggested Year to Start	Status (for Quarterly Reporting)
EPA Strategic Plan Goal 2: Clean & Safe Water		Start End					
(AA) Administrative Assistant	\$10/hr	(WQT) Water Quality Technician		\$13/hr	EPA \$40,000	MATCH \$2,105	
(WQS) Water Quality Specialist	\$15/hr	(E/H) Engineer/Hydrologist		\$100/hr			
				TOTAL COST (for 1-year workplan) \$42,105			

This is a sample format only and is not meant to represent that all activities can be accomplished within a 1-year period. However, it reflects the components and commitments that a tribe at a fundamental level should strive to accomplish over time, as shown in the column “Suggested Year to Start Task”. Workplans should reflect the components and commitments that can be reasonably implemented by the tribe within a 1-year workplan period, based upon available resources.

Workplans may be prepared in either a chart or narrative format as long as the components/goals, commitment/tasks, and the related environmental results, deliverables, target dates, estimated cost, & responsible staff are clearly identified, per 40 CFR 35.507.

ATTACHMENT 1 - SAMPLE WORKPLAN – INTERMEDIATE PROGRAM

Per 40 CFR 35.507

WATER POLLUTION CONTROL PROGRAM (CWA SECTION 106)

Work Plan Components with Commitments and Environmental Results		Dates	Outputs & Deliverables	Responsible Staff & Work Years		Estimated Cost*	Suggested Year to Start	Status (for Quarterly Reporting)
EPA Strategic Plan Goal 2: Clean & Safe Water		Start End						
1	COMPONENT: Quarterly Reporting to self-evaluate & joint-evaluate annual performance under the grant, including: <ul style="list-style-type: none">• Status of each work plan goal, task, deliverable• Status of expenditures for reporting period• Summary of accomplishments including the reporting of environmental results & discussion of problems impacting or expected to impact performance• Commitments not on schedule & proposed dates of completion ENVIRONMENTAL OUTCOME: To evaluate and report on performance under the grant.	1/30 4/30 7/30 10/30	<ul style="list-style-type: none">▪ Quarterly Reports submitted to EPA	WQS	0.04	\$750	Year 1 of intermediate level (required)	

ATTACHMENT 1 - SAMPLE WORKPLAN – INTERMEDIATE PROGRAM

Per 40 CFR 35.507

WATER POLLUTION CONTROL PROGRAM (CWA SECTION 106)

Work Plan Components with Commitments and Environmental Results		Dates	Outputs & Deliverables	Responsible Staff & Work Years		Estimated Cost*	Suggested Year to Start	Status (for Quarterly Reporting)
EPA Strategic Plan Goal 2: Clean & Safe Water		Start End						
2	COMPONENT: Implement Tribal water quality monitoring program in accordance with EPA-approved monitoring strategy and EPA-approved QAPP Commitment 2(a): Determine the physical, chemical, and biological conditions of water body(s) and evaluate them against water quality indicators (WQIs) Commitment 2(b): Maintain the water quality monitoring data base Commitment 2(c): Prepare final annual Assessment Report for Surface Water per Appendix A of EPA’s CWA 106 Tribal Guidance Commitment 2(d): Prepare annual assessment report for ground water Commitment 2(e): Conduct annual assessment of monitoring program, QAPP, and database to ensure water quality goals are being met; revise as necessary, and submit to EPA for approval ENVIRONMENTAL OUTCOME: To determine the physical, chemical, and biological conditions of a water body and evaluate them against WQIs so that water quality trends can be identified & measured in order to ensure that water quality can be maintained and improved, as necessary.	10/01 9/30 <						

ATTACHMENT 1 - SAMPLE WORKPLAN – INTERMEDIATE PROGRAM

Per 40 CFR 35.507

WATER POLLUTION CONTROL PROGRAM (CWA SECTION 106)

Work Plan Components with Commitments and Environmental Results		Dates	Outputs & Deliverables	Responsible Staff & Work Years		Estimated Cost*	Suggeste d Year to Start	Status (for Quarterly Reporting)
EPA Strategic Plan Goal 2: Clean & Safe Water		Start End						
3	COMPONENT: Determine & correct effects of NPS pollution on Tribal water quality Commitment 3(a): prepare NPS Assessment & Management Plan in accordance w/EPA’s Tribal Nonpoint Source Planning Handbook ENVIRONMENTAL OUTCOME: To assess the nature, cause, & effect of NPS pollution on Tribal water quality and to plan for its mitigation.	7/01 9/30	Submit to EPA for review and approval: <ul style="list-style-type: none">NPS Assessment ReportNPS Management PlanWatershed-based plan Public Notice of NPS A&M. Submit documentation with final NPS A&M for EPA approval.	WQS E/H	0.12	\$7,250	Year 1 of intermediate level	
4	COMPONENT: Become eligible to receive NPS grant funding to address NPS pollution Commitment 4: Apply for CWA§ 319 Financial Assistance Eligibility (FAE) ENVIRONMENTAL OUTCOME: To assess the nature, cause, & effect of NPS pollution on Tribal water quality and to plan for its mitigation.	7/01 9/15	Submit FAE application to EPA for review and approval	WQS ATTY	0.02	\$1,500	Year 1 or 2 of intermediate level	

ATTACHMENT 1 - SAMPLE WORKPLAN – INTERMEDIATE PROGRAM

Per 40 CFR 35.507

WATER POLLUTION CONTROL PROGRAM (CWA SECTION 106)

Work Plan Components with Commitments and Environmental Results		Dates		Outputs & Deliverables		Responsible Staff & Work Years		Estimated Cost*	Suggested Year to Start	Status (for Quarterly Reporting)
EPA Strategic Plan Goal 2: Clean & Safe Water		Start	End							
5	<p>COMPONENT: Identify threats to ground water quality & corrective actions</p> <p>Commitment 5: Develop groundwater & wellhead protection plan</p> <p>ENVIRONMENTAL OUTCOME: To describe the current and potential threats to groundwater quality, so that corrective actions can be identified & developed in order to ensure that groundwater quality can be protected, maintained, and improved, as necessary.</p>	2/01 5/30		<ul style="list-style-type: none"> Submit draft plan to EPA 		WQS E/H	0.12	\$8,000	Year 2 or 3 of intermediate level	
		8/01 9/30		<ul style="list-style-type: none"> Submit final plan to EPA 						

ATTACHMENT 1 - SAMPLE WORKPLAN – INTERMEDIATE PROGRAM

Per 40 CFR 35.507

WATER POLLUTION CONTROL PROGRAM (CWA SECTION 106)

Work Plan Components with Commitments and Environmental Results		Dates	Outputs & Deliverables	Responsible Staff & Work Years		Estimated Cost*	Suggested Year to Start	Status (for Quarterly Reporting)
EPA Strategic Plan Goal 2: Clean & Safe Water		Start End						
6	<p>COMPONENT: Expand enforcement control measures & develop guidelines to protect water quality, as identified from water quality monitoring & assessment, NPS & watershed assessments, & groundwater/well head protection assessment & plan</p> <p>Commitment 6(a): Evaluate effectiveness of current codes & ordinances</p> <p>Commitment 6(b): Develop new ordinances/codes or revise existing ones</p> <p>Commitment 6(c): Present ordinances/codes to Tribal Council for adoption</p> <p>Commitment 6(d): Draft guidelines for dry well maintenance/closure</p> <p>Commitment 6(e): Finalize guidelines for dry well maintenance/closure</p> <p>ENVIRONMENTAL OUTCOME: To develop, revise, & adopt enforcement tools and guidelines to ensure water quality is improved, protected, and maintained when implemented.</p>	<p>10/1 9/30</p> <p>10/1 9/30</p> <p>10/1 9/30</p> <p>10/1 9/30</p> <p>6/1 9/30</p>	<p>Include in quarterly reports to EPA:</p> <ul style="list-style-type: none"> ordinance/code evaluation results reporting period ordinance/code adoption <p>Submit to EPA:</p> <ul style="list-style-type: none"> new/revised ordinances/codes draft drywell guidelines final drywell guidelines 	<p>WQS</p> <p>TP</p> <p>AA</p> <p>E/H</p> <p>ATTY</p>	<p>0.12</p> <p>0.08</p> <p>0.06</p>	\$19,000	Year 2 or 3 of intermediate level	

ATTACHMENT 1 - SAMPLE WORKPLAN – INTERMEDIATE PROGRAM

Per 40 CFR 35.507

WATER POLLUTION CONTROL PROGRAM (CWA SECTION 106)

Work Plan Components with Commitments and Environmental Results		Dates	Outputs & Deliverables	Responsible Staff & Work Years		Estimated Cost*	Suggested Year to Start	Status (for Quarterly Reporting)
EPA Strategic Plan Goal 2: Clean & Safe Water		Start End						
7	<p>COMPONENT: Continue Tribal water quality staff's training (internet, self-paced, or classroom) re: watersheds, source water protection, and water quality monitoring</p> <p>Commitment 7(a): Source Water Protection (www.epa.gov/watertrain)</p> <p>Commitment 7(b): Principles of Watershed Management (www.epa.gov/watertrain)</p> <p>Commitment 7(c): Stream Corridor Restoration Tools (www.epa.gov/watertrain)</p> <p>Commitment 7(d): Attend intermediate level water quality monitoring workshop & webinars</p> <p>Commitment 7(e): Attend intermediate level water quality data base management class</p> <p>ENVIRONMENTAL OUTCOME: To increase staff knowledge, as demonstrated by staff preparation of "training results" report and "on-the-job" implementation.</p>	<p>1/01 1/31 6/01 7/31 8/1 9/30</p>	<p>Include in quarterly reports status & summary of training taken & results, along with dates, cost, & who participated</p>	WQS	0.04	\$2,250	Year 1 of intermediate level	

ATTACHMENT 1 - SAMPLE WORKPLAN – INTERMEDIATE PROGRAM

Per 40 CFR 35.507

WATER POLLUTION CONTROL PROGRAM (CWA SECTION 106)

Work Plan Components with Commitments and Environmental Results		Dates	Outputs & Deliverables	Responsible Staff & Work Years		Estimated Cost*	Suggested Year to Start	Status (for Quarterly Reporting)
EPA Strategic Plan Goal 2: Clean & Safe Water		Start End						
8	<p>COMPONENT: Continue implementation of the water quality education & outreach program for the Tribal Community</p> <p>Commitment 8(a): hold student workshops</p> <p>Commitment 8(b): hold public outreach meetings</p> <p>Commitment 8(c): quarterly newsletter</p> <p>ENVIRONMENTAL OUTCOME and OUTPUT: Changes in awareness and understanding of the status of water quality and related issues, and in an effort to promote & implement pollution prevention, as demonstrated by direct participation in workshops, meetings, etc., & results of clean-up efforts.</p>	<p>semi-annually</p> <p>semi-annually</p> <p>quarterly</p>	<p>Include in quarterly reports a summary of public meetings, newsletter, workshops & other activities</p>	<p>WQS</p> <p>AA</p>	<p>0.12</p> <p>0.04</p>	\$7,500	Year 1 of intermediate level	
	<p>(AA) Administrative Assistant (WQS) Water Quality Specialist</p> <p>(WQT) Water Quality Technician</p>	<p>\$10/hr</p> <p>\$15/hr</p> <p>\$13/hr</p>	<p>(TP) Environmental Planner</p> <p>(ATTY) Attorney</p> <p>(E/H) Engineer/Hydrologist</p>	<p>\$20/hr</p> <p>\$100/hr</p> <p>\$100/hr</p>	<p>TOTAL COST</p> <p>(for 1-year workplan)</p> <p>63,158</p>	<p>EPA</p> <p>\$60,000</p>	<p>MATCH</p> <p>\$3,158</p>	

ATTACHMENT 1 - SAMPLE WORKPLAN – INTERMEDIATE PROGRAM

Per 40 CFR 35.507

WATER POLLUTION CONTROL PROGRAM (CWA SECTION 106)

Work Plan Components with Commitments and Environmental Results EPA Strategic Plan Goal 2: Clean & Safe Water	Dates Start End	Outputs & Deliverables	Responsible Staff & Work Years	Estimated Cost*	Suggested Year to Start	Status (for Quarterly Reporting)
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This is a sample format only and is not meant to represent that all activities can be accomplished within a 1-year period. However, it reflects the components and commitments that a tribe at an intermediate level should strive to accomplish over time, as shown in the column “*Suggested Year to Start Task*”. Workplans should reflect the components and commitments that can be reasonably implemented by the tribe within a 1-year workplan period, based upon available resources.

Workplans may be prepared in either a chart or narrative format as long as the components/goals, commitment/tasks, and the related environmental results, deliverables, target dates, estimated cost, & responsible staff are clearly identified, per 40 CFR 35.507.

ATTACHMENT 1 - SAMPLE WORKPLAN – MATURE PROGRAM

Per 40 CFR 35.507

WATER POLLUTION CONTROL PROGRAM (CWA SECTION 106)

Work Plan Components with Commitments and Environmental Results		Dates	Outputs & Deliverables	Responsible Staff & Work Years		Estimated Cost*	Suggested Year to Start	Status (for quarterly reporting)
EPA Strategic Plan Goal 2: Clean & Safe Water		Start End						
1	COMPONENT: Quarterly Reporting to self-evaluate & joint- evaluate annual performance under the grant, including: <ul style="list-style-type: none"> Status of each work plan goal, task, deliverable Status of expenditures for reporting period Summary of accomplishments including the reporting of environmental results & discussion of problems impacting or expected to impact performance Commitments not on schedule & proposed dates of completion ENVIRONMENTAL OUTCOME: To evaluate and report on performance under the grant.	1/30 4/30 7/30 10/30	Quarterly Reports submitted to EPA	WQS	0.04	\$750	Year 1 of mature level (required)	
2	COMPONENT: Implement Tribal water quality monitoring program in accordance with EPA-approved monitoring strategy and EPA-approved QAPP Commitment 2(a): Determine the physical, chemical, and biological conditions of water body(s) and evaluate them against water quality indicators (WQIs) Commitment 2(b): Maintain the water quality monitoring data base Commitment 2(c): Prepare final annual Assessment Report for Surface Water per Appendix A of EPA's CWA 106 Tribal Guidance Commitment 2(d): Prepare annual assessment report for ground water Commitment 2(e): Conduct annual assessment of monitoring program, QAPP, and database to ensure water quality goals are being met; revise as necessary, and submit to EPA for approval ENVIRONMENTAL OUTCOME: To determine the physical, chemical, and biological conditions of a water body and evaluate them against WQIs so that water quality trends can be identified & measured in order to ensure that water quality can be maintained and improved, as necessary.	10/01 11/30 12/31	Include in quarterly reports: <ul style="list-style-type: none"> description of monitoring activities conducted during the reporting period EPA-approved equipment purchases findings from assessment of QAPP, monitoring program, & database Submit to EPA: <ul style="list-style-type: none"> a final annual Assessment Report for Surface Water an annual assessment for ground water revised QAPP for review & approval (if necessary) Water quality data in STORET-compatible format 	WQS E/H	0.15	\$19,250	Year 1 of mature level	

ATTACHMENT 1 - SAMPLE WORKPLAN – MATURE PROGRAM

Per 40 CFR 35.507

WATER POLLUTION CONTROL PROGRAM (CWA SECTION 106)

Work Plan Components with Commitments and Environmental Results		Dates	Outputs & Deliverables	Responsible Staff & Work Years		Estimated Cost*	Suggested Year to Start	Status (for quarterly reporting)
EPA Strategic Plan Goal 2: Clean & Safe Water		Start End						
3	COMPONENT: Protect ground water and source water Commitment 3: Implement ground water/wellhead protection plan ENVIRONMENTAL OUTCOMES: To maintain or improve the quality of ground water and source water to ensure that its uses are protected	10/01 9/30	Include in quarterly reports description of ground water protection activities conducted during the reporting period	WQS E/H	0.12	\$9,000	Year 1 of mature level	
4	COMPONENT: Implement and continue to expand enforcement control measures and guidelines to protect water quality, as identified from water quality monitoring & assessments, NPS and watershed assessments, & groundwater/well head protection assessment & plan Commitment 4(a): Implement current codes, ordinances, & guidelines Commitment 4(b): Evaluate effectiveness of current codes, ordinances, & guidelines Commitment 4(c): Develop new ordinances, codes, & guidelines or revise existing ones Commitment 4(d): Present ordinances/codes to Tribal Council for adoption Commitment 4(e): Draft guidelines for decentralized wastewater treatment facilities Commitment 4(f): Finalize guidelines for decentralized wastewater treatment facilities ENVIRONMENTAL OUTCOME & OUTPUT: To develop, revise, & adopt enforcement tools and guidelines to ensure water quality is improved, protected, and maintained when implemented.	10/01 9/30 10/01 9/30 5/01 9/30 5/01 9/30 10/01 5/30 5/30 9/30	Include in quarterly reports to EPA <ul style="list-style-type: none"> description of ordinance implementation activities & water quality results ordinance/code evaluation results ordinance/code adoption Submit to EPA <ul style="list-style-type: none"> new/revised ordinances/codes draft decentralized wastewater treatment facilities guidelines final decentralized wastewater treatment facilities guidelines 	WQS TP AA E/H ATTY	0.13 0.08 0.06	\$19,000	Year 1 or 2 of mature level	

ATTACHMENT 1 - SAMPLE WORKPLAN – MATURE PROGRAM

Per 40 CFR 35.507

WATER POLLUTION CONTROL PROGRAM (CWA SECTION 106)

Work Plan Components with Commitments and Environmental Results		Dates	Outputs & Deliverables	Responsible Staff & Work Years		Estimated Cost*	Suggested Year to Start	Status (for quarterly reporting)
EPA Strategic Plan Goal 2: Clean & Safe Water		Start End						
5	COMPONENT: Continue Tribal water quality staff's training (internet, self-paced, or classroom) re: watersheds, source water protection, and water quality monitoring		<ul style="list-style-type: none"> In quarterly reports, provide status & summary of training attended & results, along with dates, cost, & who participated 	WQS	0.1	\$4,000	Year 1 of mature level	
	Commitment 5(a): Intro to Water Quality (https://www.nrcs.usda.gov/wps/portal/nrcs/detailfull/national/water/quality/tr/?cid=stelprdb1042846)	10/01 1/31						
	Commitment 5(b): Intro to Watershed Planning Process (www.epa.gov/watertrain)	2/1 3/31						
	Commitment 5(c): Hydrology Training Series (See #5(a) above for weblink)	4/1 5/30						
	Commitment 5(d): Attend advanced water quality monitoring workshop	6/30						
	Commitment 5(e): Attend advanced water quality database management class	8/30						
	Commitment 5(f): Attend EPA Water Quality Standards Academy	9/30						
	ENVIRONMENTAL OUTCOME: To increase staff knowledge, as demonstrated by staff preparation of "training results" report and "on-the-job" implementation.							

ATTACHMENT 1 - SAMPLE WORKPLAN – MATURE PROGRAM

Per 40 CFR 35.507

WATER POLLUTION CONTROL PROGRAM (CWA SECTION 106)

Work Plan Components with Commitments and Environmental Results		Dates	Outputs & Deliverables	Responsible Staff & Work Years		Estimated Cost*	Suggested Year to Start	Status (for quarterly reporting)
EPA Strategic Plan Goal 2: Clean & Safe Water		Start End						
6	COMPONENT: Continue implementation of the water quality education & outreach program for the Tribal Community		Include in quarterly reports a summary of public meetings, newsletter, workshops, & other activities	WQS	0.12	\$8,000	Year 1 of mature level	
	Commitment 6(a): hold student workshops	semi-annual		AA	0.04			
	Commitment 6(b): hold public outreach meetings	semi-annual						
	Commitment 6(c): sponsor community river clean-up day and quantify water quality benefits	annual						
	Commitment 6(c): quarterly newsletter	quarterly						
	ENVIRONMENTAL OUTCOME and OUTPUT: Changes in awareness and understanding of the status of water quality and related issues, and in an effort to promote & implement pollution prevention, as demonstrated by direct participation in workshops, meetings, etc., & results of clean-up efforts.							
(AA) Administrative Assistant (WQS) Water Quality Specialist		\$10/hr	(TP) Environmental Planner	\$20/hr		TOTAL COST (for 1-year workplan) \$63,158	EPA \$60,000	MATCH \$3,158
		\$15/hr	(ATTY) Attorney	\$100/hr				
(WQT) Water Quality Technician		\$13/hr	(E/H) Engineer/Hydrologist	\$100/hr				
This is a sample format only and is not meant to represent that all activities can be accomplished within a 1-year period. However, it reflects the components and commitments that a tribe at a mature level should strive to accomplish over time, as shown in the column “Suggested Year to Start Task”. Workplans should reflect the components and commitments that can be reasonably implemented by the tribe within a 1-year workplan period, based upon available resources.								
Workplans may be prepared in either a chart or narrative format as long as the components/goals, commitment/tasks, and the related environmental results, deliverables, target dates, estimated cost, & responsible staff are clearly identified, per 40 CFR 35.507.								

RAIN-2019-G02: Interim General Budget Development Guidance for Applicants and Recipients of EPA Financial Assistance

– Budget Detail/Narrative -- Sample from Appendix 2 of RAIN-2019-G02

Please note – Both federal and non federal funds must be listed in the budget detail/narrative

Background. This fictitious sample budget detail/narrative is based on a hypothetical EPA assistance agreement supporting an Urban Waters project that involves water quality sampling, analysis of the results, and outreach to the community to encourage efforts to improve water quality. The agreement requires a recipient cost share of 10% of total project costs.

Notes:

- The applicant should identify its equipment cost threshold if it is lower than the \$5,000 level specified at [2 CFR 200.33](#).
- The sample calls for the applicant to attach its negotiated indirect cost rate agreement. If an applicant does not have an indirect cost rate it should attach an explanation of how indirect costs, if any, are determined in accordance with the budget guidance. For more information about indirect costs, refer to indirect cost policy, guidance, and training in [RAIN-2018-G02](#).

Budget Detail/Narrative Sample:

Personnel:

	Requested from EPA	Cost Share provided by applicant (if applicable)	Total
Salaries and Wages			
(1) Project Manager @ \$47/hr x 323 hours	\$15,181		\$15,181
(1) Project Assistant @ \$24/hr x 200 hours		\$4,800	\$4,800
(1) Community Relations Coordinator @ \$23/hr x 150 hours	\$3,450		\$3,450
Total	\$18,631	\$ 4,800	\$23,431

Fringe Benefits:

Rate/Base/Composition	Requested from EPA	Cost Share provided by applicant (if applicable)	Total
31% of Personnel costs (FICA, retirement, health, vacation, sick leave)	\$5,776	\$1,488	\$7,264

Travel:

<i>See Narrative Note 1.</i>	Requested from EPA	Cost Share provided by applicant (if applicable)	Total
2 National Conferences including lodging, air, per-diem and registration fees for 2 employees. (See Narrative Note 2.)	\$4,492		\$4,492
Local travel for sampling and meetings. (P.O.V. @ \$0.58 per mile and actual cost for public transit)	\$150		\$150
Travel to one-week training course on innovative sampling techniques including lodging, train and per-diem for 1 employee. (See Narrative Note 3.)	\$2,500		\$2,500
Total	\$7,142		\$7,142

Equipment: (Equipment Capitalization Threshold = \$5,000)

Description	Purpose	Unit Cost	Quantity	Requested from EPA	Cost Share provided by applicant (if applicable)	Total
Microwave Digester	Lab Analysis	\$17,500	1	\$17,500		\$17,500
12 Foot Motorized Skiff and trailer. (See Narrative Note 4.)	Sampling		1	\$6,000		\$6,000
Total				\$23,500		\$23,500

Supplies

Type	Requested from EPA	Cost Share provided by applicant (if applicable)	Total
Computer Software	\$2,500		\$2,500
Office Supplies (pens, pencils, paper, chairs, etc.)	\$825		\$825
2 Lap Top Computers @ \$2000 each.	\$4,000		\$4,000
Total	\$7,325		\$7,325

Contractual

Contractual * (competitive process will be used to determine contractors when required by regulation)	Requested from EPA	Cost Share provided by applicant (if applicable)	Total
Advertising for public meetings (Newspapers)	\$1,000		\$1,000
Environmental Sampling Firm to design sampling protocol and assist with data evaluation.	\$120,000	\$20,000	\$140,000
Community Meeting Facilitator - \$524/ day x 30 days (rate complies with limitation on individual consultant fees)	\$15,720		\$15,720
Total	\$136,720	\$20,000	\$156,720

Other

Type	Requested from EPA	Cost Share provided by applicant (if applicable)	Total
Postage for Flyers for Community meetings.		\$611	\$611
Subaward to Friends of the Wolf River (<i>See Narrative Note 5</i>)	\$30,000		\$30,000
Participant Support Cost: Travel to National Conference for 4 Community Members (<i>See Narrative Note 6</i>)	\$9,000	\$1,000	\$10,000
Printing Costs (Occasional use of large copiers at Office Depot).		\$1,200	\$1,200
Total	\$39,000	\$2,811	\$41,811

Indirect Costs:

Base (See Narrative Note 7)	Requested from EPA	Cost Share provided by applicant (if applicable)	Total
26% of Personnel and Fringe Benefits and first \$25,000 of Subaward Costs	\$14,480		\$14,480

Total Budget Summary

	Requested from EPA	Cost Share provided by applicant (if applicable)	Total
Personnel	\$18,631	\$ 4,800	\$23,431
Fringe Benefits	\$5,776	\$1,488	\$7,264
Travel	\$7,142		\$7,142
Equipment	\$23,500		\$23,500
Supplies	\$7,325		\$7,325
Contractual	\$136,720	\$20,000	\$156,720
Other	\$39,000	\$2,811	\$41,811
Indirect Costs	\$14,480		\$14,480
Total	\$252,574	\$29,099	\$281,673

Recipient cost share calculation: $\$29,099 / \$281,673 = 10.33\%$

Narrative Note 1. There is no international travel for this project.

Narrative Note 2. The Project Manager and Community Relations Coordinator will make presentations on interim and final project results at the 2019 and 2020 National Urban Waters conferences. Travel reimbursement will be based on GSA per-diem rates.

Narrative Note 3. The Program Assistant will attend a one-week training on innovative sampling techniques at Tulane University.

Narrative Note 4. Our equipment threshold is \$5,000. We have determined based on the frequency and timing of the sampling activity that purchasing a small motorized skiff and a trailer is more cost effective than boat rentals. Additionally, some sampling will take place in remote areas in which boat rentals are not available.

Narrative Note 5. We will partner with Friends of the Wolf River to encourage community participation in the project. Friends is a 501(c)(3) nonprofit organization that promotes conservation of the Wolf River. Among other things, Friends will pay stipends and travel support to community members who attend focus groups and participate in training to prevent disposal of cooking grease in household drains. Friends of Wolf River understands that the stipends and participant travel are Participant Support costs that are excluded from its Modified Total Direct Cost base for distributing indirect costs.

Narrative Note 6. Four community members (non-staff) will attend the 2019 and 2020 National Urban Waters conferences (two at each conference) to participate in our presentations.

Narrative Note 7. We have attached our most recent negotiated indirect cost rate agreement.

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
	Federal	Recipient Match			
a. Personnel	\$ 18,631	\$ 4,800	\$	\$	\$ 23,431
b. Fringe Benefits	5,776	1,488			7,264
c. Travel	7,142	0			7,142
d. Equipment	23,500	0			23,500
e. Supplies	7,325	0			7,325
f. Contractual	136,720	20,000			156,720
g. Construction					
h. Other	39,000	2,811			41,811
i. Total Direct Charges (sum of 6a-6h)					\$
j. Indirect Charges	14,480	0			\$ 14,480
k. TOTALS (sum of 6i and 6j)	\$ 252,574	\$ 29,099	\$	\$	\$ 281,673
7. Program Income	\$	\$	\$	\$	\$

SECTION C - NON-FEDERAL RESOURCES						
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS		
8. Lust Trust Fund (LUST) Corrective Action Program	\$ 29,099	\$	\$	\$ 29,099		
9.						
10.						
11.						
12. TOTAL (sum of lines 8-11)	\$ 29,099	\$	\$	\$ 29,099		

SECTION D - FORECASTED CASH NEEDS				
Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal \$ 252,574	\$ 63,143	\$ 63,143	\$ 63,144	\$ 63,144
14. Non-Federal \$ 29,099	\$ 7,274	\$ 7,275	\$ 7,275	\$ 7,275
15. TOTAL (sum of lines 13 and 14) \$ 281,673	\$ 70,417	\$ 70,418	\$ 70,418	\$ 70,418

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT				
(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.	\$	\$	\$	\$
17.				
18.				
19.				
20. TOTAL (sum of lines 16 - 19)	\$	\$	\$	\$

SECTION F - OTHER BUDGET INFORMATION	
21. Direct Charges: \$281,673 (Personnel and Fringe)	22. Indirect Charges: \$14,480
23. Remarks: INDIRECT COST RATE = 26%	