

U.S. Environmental Protection Agency
Region 10 Air and Radiation Division
CLEAN AIR ACT TRIBAL PROGRAM
FUNDING OPPORTUNITY
For Federal FY20

CFDA Number 66.001 – Air Pollution Control Program Support [CAA §105]
CFDA Number 66.034 – Surveys, Studies, Investigations, Demonstrations, and Special Purpose Activities Related to the Clean Air Act [CAA §103]
CFDA Number 66.473 – Direct Implementation Tribal Cooperative Agreements [DITCA]

Grant Process Timeline

Grant Announcement December 2019
 Proposals for New Tribal Air Programs Monday, February 17, 2020
 Applications from Current Grantees Monday, March 2, 2020

Please note: Tribes currently receiving CAA funds must submit complete applications by Monday, March 2, 2020. All others should submit proposals by Monday, February 17, 2020.

Grants.gov: All applicants must submit their completed applications in Grants.gov <https://www.grants.gov/view-opportunity.html?dpp=1&oppId=273448>. Additional details are provided in **Attachment A**.

I. Summary of Significant Features of the Tribal Air Application Process

- Tribes currently receiving funding through CAA §105 will be given priority for ongoing funding based upon sufficient evidence of an ongoing air pollution concern and tribal capacity to address it.
- Tribes and tribal consortia currently receiving funding through CAA §103 or DITCAs will be given second priority for ongoing funding based upon sufficient evidence of an ongoing air pollution concern and tribal capacity to address it.
- Tribes and tribal consortia not currently receiving CAA funding will be given third priority for funding. The EPA, Region 10 will accept proposals which will be evaluated if funding is available.
- All tribal air grant funding is dependent on the national allocation of tribal CAA grant funds to EPA, Region 10 and the number of applications received within the Region.
- Two-year work plans will be accepted from current recipients with a strong record of achieving outputs and outcomes and otherwise demonstrating sound grants management.

These 2-year work plans should include work and budget detail separately for 2021 and 2022.

- Tribes and tribal consortia seeking funding to assist the EPA with implementation of the CAA rules and regulations, particularly the Federal Air Rules for Reservation in Idaho, Oregon, and Washington, should clearly outline this work within their applications.
- All applicants must submit their completed applications in Grants.gov. Details are provided in an attachment to the RFP.

II. Funding Opportunity Description

Background and Purpose

It is the EPA's policy to work with tribes on a government-to-government basis to enhance environmental protection in Indian Country and tribal communities. The 1990 Clean Air Act Amendments included several provisions authorizing tribal governments to develop federally enforceable programs to manage air quality in Indian Country. While the Tribal Authority Rule (40 CFR §§49.1, et seq.) of 1998 created the mechanism for tribes to establish eligibility for "treatment in the same manner as a state" for severable portions of the CAA, the EPA continues to have the responsibility to implement the Clean Air Act throughout Indian Country. The EPA awards financial support and encourages tribes to partner with the EPA to carry out Clean Air Act protections within reservations and tribal communities.

III. Eligibility Information

A. Matching Costs (Maximum Federal Share):

Tribes receiving grant support under either CAA §103 or Direct Implementation Tribal Cooperative Agreement authority are not required to contribute toward program costs, through either financial or in-kind percentage match or cost sharing. Tribes receiving CAA §105 grants and having demonstrated eligibility to be treated in the same manner as a state under 40 CFR §49.6 must provide a five percent (5%) match with the EPA providing up to ninety five percent (95%) of the approved costs for planning, developing, establishing, improving, or maintaining the tribal air program. If a tribe has not demonstrated eligibility to be treated in the same manner as a state, the tribe must provide a forty percent (40%) match with the EPA providing up to sixty percent (60%) of the approved costs as described above. (40 CFR §35.575).

After the first two years in which a tribe receives a CAA §105 grant, the Regional Administrator (RA) will determine through objective assessment whether the tribe meets socio-economic indicators that demonstrate the ability of the Tribe to provide a cost share greater than five percent (5%). If a tribe meets these socio-economic indicators, then the cost share for that Tribe will be increased to ten percent (10%) of the allowable costs for that grant.

For a Tribe's cost share under CAA §105 grants to be reduced to zero percent (0%), the following information needs to be provided to the EPA to the best of the Tribe's ability for a waiver request to be considered:

- 1) Estimated median household income in the last census and/or poverty level statistics
- 2) Unemployment rate, preferably with a comparison to the local county
- 3) Other socio-economic information that demonstrates hardship

B. Eligible Recipients:

All federally-recognized tribes and tribal consortia in Region 10 are eligible to receive funding under this grant opportunity. 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 particular EPA grant program. See 40 CFR, Parts 31 and 35 for the regulations pertaining to tribal consortia.

C. Eligible Activities:

CAA §103: Research, training, investigations, demonstrations, surveys, and studies relating to the causes, effects, extent, prevention, and control of air pollution (including both ambient and indoor air pollution) are eligible activities under CAA §103.

CAA §105: Implementation of programs for the prevention and control of air pollution (including both ambient and indoor air pollution) or implementation of national primary and secondary ambient air quality standards, including activities related to planning, developing, establishing, carrying-out, improving, or maintaining such programs are eligible activities under CAA §105.

Direct Implementation Tribal Cooperative Agreements (DITCAs): Assisting the EPA with any activity required to implement the Clean Air Act or supporting regulations such, as the Federal Air Rules for Reservations (FARR), is an eligible activity under DITCA authority.

Ineligible Activities: Assistance awarded under the authorities described in this funding announcement may not be used to fund the purchase of real property, construction of facilities, mediation activities, or to fund personnel not actively involved in implementing eligible activities.

NOTE: Applicants who receive a grant award under this funding opportunity notice may not use funds from other federal assistance agreements or programs to fund the same activities.

IV. Funding Priorities

Applications that meet the requirements set forth in the applicable regulations and guidance will be funded so long as funds are available, with funding priority based on the following factors:

- Tribes currently receiving funding through CAA §105 will be given priority for ongoing funding based upon sufficient evidence of an ongoing air pollution concern and tribal capacity to address it.

- Tribes and tribal consortia currently receiving funding through CAA §103 or DITCAs will be given second priority for ongoing funding based upon sufficient evidence of an ongoing air pollution concern and tribal capacity to address it.
- Tribes and tribal consortia not currently receiving CAA funding will be given third priority for funding. The EPA, Region 10 will accept proposals which will be evaluated if funding is available.
- All tribal air grant funding is dependent on the national allocation of tribal CAA grant funds to EPA, Region 10 and the number of applications received within the Region.

In addition to priorities stated above, the following considerations will be included in funding decisions:

- 1) Severity of air pollution;
- 2) Number and size of sources of air pollution subject to tribal jurisdiction; and
- 3) Evidence of tribal capacity and ability to contribute to addressing air pollution concern.

Applicants may submit, as attachments to their proposal or application, evidence or documentation of the severity and sources of air pollution within their jurisdiction for consideration in prioritizing their request for funding. Evidence or documentation could include an air quality assessment, emissions inventory, monitoring analysis or other evidence of area, point, or mobile sources impacting air quality.

We anticipate that nearly all of Region 10 grant funding will be awarded to assure base funding for federally recognized Region 10 tribes and tribal consortia having established eligibility under CAA §105, completing existing CAA §103 projects, or with whom DITCAs have been negotiated. For that reason, we expect to have very limited funding for new projects and initial air quality assessment needs. Tribes are encouraged to explore the availability of other funding for these activities simultaneously with submitting proposals under this grant opportunity:
<https://www.epa.gov/tribal/region-10-tribal-program>.

Any proposals that are also being submitted to other funding sources for consideration should have this fact indicated clearly on their cover page, including a description of the other funding opportunity and identification of the extent to which there are similar objectives in both grant applications.

Alternate Funding Opportunities:

As an alternative to CAA §103 funding, initial air quality assessments and air program capacity building may be funded under the EPA Indian General Assistance Program (IGAP):
<http://www2.epa.gov/tribal/region-10-tribal-environmental-gap-funding>. Air program capacity building may include work to further understand problems and develop strategies to address them.

V. Proposals and Applications

A. Initial Proposals:

Proposals from tribes and tribal consortia not currently receiving CAA funds should include:

- A description of the tribe's air quality needs and any needs assessment work the tribe has completed
- A project description
- A detailed budget

These proposals should not exceed five pages, excluding attachments. They are due Monday, **February 17, 2020**. The EPA will notify tribes submitting proposals if funds become available. Tribes whose initial proposals are selected for funding will receive instructions and due dates from an EPA Project Officer for the complete grant application.

Initial proposals should be submitted via email to brozusky.sandra@epa.gov

B. Applications:

Tribes currently receiving CAA grants or cooperative agreements must submit a complete application package to [Grants.gov](https://www.grants.gov) by Monday, March 2, 2020. Project workplans and budgets will be reviewed and negotiated after March 2, 2020 and receipt of a complete application package.

Elements of a Complete Application Package:

Project Description

Provide a narrative description of your project and the environmental and human health risks to be addressed by the project.

- Provide a description of the linkage between the project and the *EPA Strategic Plan*
<http://www2.epa.gov/planandbudget/strategicplan>

Workplan, in accordance with 40 CFR §35.507:

- A detailed description of each workplan component to be funded under the agreement to include:
 - Expected environmental outputs and outcomes
 - Estimated project staff full time equivalents
 - Estimated funding amounts required
 - Timeframes for accomplishments
- A description of your performance evaluation process (i.e., quarterly and final reports) and reporting schedule in accordance with 40 CFR part 35.515; and
- The roles and responsibilities of the recipient and the EPA in carrying out work plan commitments.

Detailed Budget

Applicants must provide estimated total and categorical budget amounts for each year of funding. The budget detail allows the Region to determine if the costs are reasonable and

necessary. To comply with cost sharing and matching requirements, the itemized budget must indicate the project costs paid by the applicant and the EPA for each year of funding. All calculations must be indicated and category totals must be rounded to the nearest dollar. A description of budget categories is provided as **Attachment B**. A sample budget is provided as **Attachment C**. This sample budget demonstrates the level of detail that should be included for each category. To receive this sample budget as an Excel file to use as a template, please contact your Project Officer.

Required Forms and Additional Materials

- Application for Federal Assistance (SF-424)
- Budget Information for Non-Construction Programs (SF-424A)
- Assurances for Non-Construction Programs (SF-424B)
- EPA Key Contacts Form
- Pre-award Compliance Review (EPA Form 4700-4)
- Disclosure of Lobbying Activities (SF-LLL)
- Grants.gov Lobbying Form
- Indirect Cost Rate Agreement
- Checklist for EPA Region 10 Tribal CAA Grant Application Submissions (**Attachment D**)

C. Guidance on Proposal and Application Content

Listed below are resources that will be helpful in preparing proposals and applications. These documents provide guidance on the EPA requirements for funding proposals in terms of national goals, federal requirements, and work plan development. Additional resources also provide guidance on air quality priorities and tools for grant proposal development and submission.

EPA Grants Guidance

- EPA Tribal Air – listing of resources and documents <https://www.epa.gov/tribal-air>
- Grants.Gov: http://www.epa.gov/ogd/grants_gov_submission_requirement.htm
To obtain printed information about grants.gov exceptions, call or email one of the EPA contacts listed at the end of this announcement.

Air quality project and program guidance

- FY20-21 OAR Program Manager Guidance:
<https://www.epa.gov/planandbudget/national-program-manager-guidances>

EPA National guidance and Federal requirements

- EPA Strategic Plan: <http://www2.epa.gov/planandbudget/strategicplan>
- EPA Order 5700.7 *Environmental Results under EPA Assistance Agreement*:
<http://www.epa.gov/grants/epa-order-environmental-results-under-epa-assistance-agreements>
- Linking grants / assistance agreements to Environmental results requirements, use of the logic model, identifying outputs/outcomes:

D. Guidance on Environmental Outcomes and Outputs

Applicants need to demonstrate a clear linkage between the relevant goals listed in the *EPA Strategic Plan FY 2018 – 2022* (<http://www2.epa.gov/planandbudget/strategicplan>) and the project's expected outputs and outcomes pursuant to the EPA Order 5700.7, *Environmental Results under the EPA Assistance Agreements*. Outputs and outcomes differ both in their nature and in how they are measured. Applicants must discuss both anticipated outputs and outcomes in the proposed work plans.

Expected **outputs** (or deliverables) refer to an environmental activity, effort, and/or associated work product to 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 funding period. Examples of environmental outputs may include: an air quality management plan, an emissions inventory, or air monitoring data.

Expected **outcomes** are the result, effect, or consequence that will occur from carrying out an environmental program or activity 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 achievable within an assistance agreement funding period. Examples of outcomes may include: air monitoring data are used to accurately assess community air quality, community members take specific steps to reduce air pollution from their activities, or air monitoring data show a trend of decreasing air pollution.

VI. Management Capacity

All grant applicants must have sound financial, administrative, and programmatic management capability.

For current or previous recipients, this includes:

- Timeliness and completeness of reports
- Progress under the current work plan
- Absence of duplicative activities in proposed work plan and budget
- Responsible and effective use of funds

For recipients with past performance issues, the application should include a discussion of the steps the applicant has taken to address issues and correct past administrative, financial, or programmatic challenges. If the applicant has not applied for an EPA grant in the past or past performance merits the review of the applicant's administrative or financial systems, a pre-award review may be required prior to the submission of an application. A Project Officer will contact the applicant to schedule this review if necessary.

VII. Award Administration

Applicants awarded funding must comply with the terms and conditions of the grant award, as well as the federal regulations governing the award and the administration of environmental programs

for tribes and tribal consortia, found in Title 40 of the Code of Federal Regulations, Parts 31 and 35, Subpart B (40 CFR §35.500-35.518). The 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 EPA Project Officer (listed below).

VIII. Agency Contacts

Thank you for your interest in the Clean Air Act Tribal Program. If after reviewing the enclosed application package, you have any questions about the application process or grant requirements, please contact your EPA Project Officer:

Sarah Frederick	(206) 553-1601, frederick.sarah@epa.gov
Kayla Krauss	(206) 553-2728, krauss.kayla@epa.gov
Michael McGown	(208) 378-5764, mcgown.michael@epa.gov
India Young	(206) 553-1219, young.india@epa.gov

General Questions:
Sandra Brozusky **(206) 553-5317, brozusky.sandra@epa.gov**

IX. Other Information

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

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

Non-Competitive Announcement: This grant opportunity for tribes and tribal consortia is exempt from the EPA Grants Competition Policy (EPA Order 5700.5A1) under Section 6(c)2.

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