



**U.S. Environmental Protection Agency
Region 10 Air and Radiation Division
CLEAN AIR ACT TRIBAL PROGRAM
FUNDING OPPORTUNITY
Federal Fiscal Year 2021**

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

Announcement Issued **February 1, 2021**
Proposals Due **March 10, 2021**

I. Significant Features of the Tribal Air Application Process

- Tribes and tribal consortia must submit a **draft proposal (work plan and budget)** by **email** to their [Project Officer](#) by **March 10** (contact information is available on page 10). Applicants will be invited to submit final applications in grants.gov after completing the proposal review process with EPA Project Officers by a date negotiated between the Project Officer and the applicant—no later than **May 21, 2021**. The proposal review process is outlined in Section V. Proposal and Application Submission Information.

- Applicants who cannot meet the proposal deadline because of COVID-19 impacts may request an extension by emailing their [Project Officer](#) no later than **March 3** describing their situation and establishing a submission date.

EPA's Office of Grants and Debarment issued a Frequent Questions on Grant Issues in Response to the COVID-19 Public Health Emergency. The EPA Grants COVID-19 FAQs provides information to grant applicants and recipients impacted by the COVID-19 crisis and covers topics such as requesting waivers, due date extensions, extraordinary cost allowability, and application submission issues during the public health emergency.

<https://www.epa.gov/coronavirus/frequent-questions-about-grants-and-coronavirus-covid-19>

- Two-year work plans will be accepted from current grant recipients with a strong record of achieving outputs and outcomes — and demonstrating sound grants management (see Section VI. Management Capacity). Two-year proposals must include a workplan and budget for each year of requested funding.
- Tribes and tribal consortia seeking funds to assist EPA with implementation of the Clean Air Act rules and regulations, particularly the Federal Air Rules for Reservation in Idaho, Oregon, and Washington, should clearly outline these tasks in their proposals.

II. Funding Opportunity Description

A. 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.

B. Eligible Activities

Clean Air Act (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 under CAA §103.

Clean Air Act (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 under CAA §105.

Direct Implementation Tribal Cooperative Agreements (DITCA): 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 eligible under DITCA authority.

C. Funding Priorities

All tribal air grant funding is dependent on the national allocation of tribal CAA grant funds to Region 10 and the number of applications received. Applications that meet the requirements set forth in the applicable regulations and guidance will be funded so long as funds are available, with the following priorities:

1. Tribes currently receiving funds 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.
2. Tribes and tribal consortia currently receiving funds 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.

3. New tribes and tribal consortia that are not currently receiving CAA funding will be given third priority. EPA Region 10 will accept proposals from new grantees, and they will be evaluated if funding is available.

In addition to the above stated priorities, 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.

III. Federal Award Information

A. Funding Amounts

In previous years, approximately \$2.25 million has been available for individual awards, typically ranging from \$20,000 to \$250,000. Funds will be awarded as either a grant or a cooperative agreement.

B. Timeframes

Anticipated start dates and periods of performance for new awards will be October 1, 2021 or January 1, 2022. One or two-year work plans and budgets, for either the fiscal or calendar year may be negotiated with a Project Officer. Current grantees are encouraged to submit two-year workplans and budgets.

C. New Applicants

If your tribe or consortia is seeking new CAA tribal funding, you may submit a proposal and Project Officers will notify you if funds are available. Tribes or consortia selected for new funding will receive instructions about the proposal review process and an invitation to submit final applications in grants.gov upon completion of the proposal review process.

New grantee proposals should be submitted to [Kayla Krauss](mailto:krauss.kayla@epa.gov) by email at krauss.kayla@epa.gov.

IV. Eligibility Information

A. 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 a particular EPA grant program. See 40 CFR, Parts 31 and 35 for the regulations pertaining to tribal consortia.

B. Ineligible Activities

Funds awarded under the authorities described in this announcement may not be used to pay for remediation activities, the purchase of real property, or the construction of facilities.

C. Matching Costs (Maximum Federal Share)

Tribes or consortia 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).

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

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 or relevant geographic area.
3. Other socio-economic information that demonstrates hardship.

For CAA §105 grants extended past two years under the same grant number, the Region 10 Administrator may determine through objective assessment whether the tribe meets socio-economic indicators that demonstrates 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. When a tribe starts a new CAA §105 grant (with a new grant number), the match will reset to five percent (5%).

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 or the tribe's cost share.

V. Proposal and Application Submission Information

A. Proposals

Tribes or consortia must **submit a proposal (work plan and budget)** by **email** to their Project Officer by **March 10**. All applicants will be invited to submit applications in grants.gov after completing the proposal review process with EPA Project Officers by a date negotiated between the Project Officer and the applicant — no later than **May 21, 2021**. These dates are applicable to both new and current grantees.

Required Proposal Elements

1. Work plan

Project Description

The project description should include the following:

- A narrative description of the proposed project, including the environmental and human health risks to be addressed.
- Description of an ongoing air pollution concern and tribal capacity to address it — including evidence or documentation of the severity and sources of air pollution. Evidence or documentation could include an air quality assessment, emissions inventory, monitoring analysis, point, mobile sources, or other evidence impacting air quality. Documentation can be submitted as an attachment to your proposal.
- Description of the project's alignment with goals identified in EPA's FY 2018-2022 Strategic Plan. <http://www2.epa.gov/planandbudget/strategicplan>
- Describe the tribe or consortium's financial, administrative, and programmatic management capability. For current or previous grant recipients this includes:
 - Timeliness and completeness of reports.
 - Progress on EPA approved current work plan.
 - Absence of duplicative activities in proposed work plan and budget.
 - Demonstration of following financial grant requirements.
- For grant recipients with past grant performance issues, the proposal should include a discussion of the steps taken to address issues and correct past administrative, financial, or programmatic challenges.
- Proposals from new grantees must describe the tribe's air quality needs and any needs assessment work the tribe has completed. New grantees are tribes or tribal consortia who are not currently receiving a tribal CAA grant.
- Tribes and consortia seeking funds to assist EPA with implementation of the Clean Air Act rules and regulations, particularly the Federal Air Rules for Reservation in Idaho, Oregon, and Washington, should clearly outline these tasks.
- If your tribe or consortia submitted a similar project proposal to another funding source, please include a description of that other funding opportunity and any similar objectives in both grant proposals.

Components

In accordance with 40 CFR §35.507 the work plan must include a detailed description of each workplan component to be accomplished under the assistance agreement. The description must include:

- Expected environmental outputs and outcomes.
- Staff time estimated to complete projects (based on full time equivalents).
- Estimated work years and estimated funding amount to complete each component.
- Work plan commitments (tasks) for each component.
- Estimated timeframes to complete accomplishments.
- A performance evaluation process and reporting schedule in accordance with 40 CFR part 35.515 (i.e., quarterly and final reports).
- The roles and responsibilities of the recipient and the EPA in carrying out work plan commitments.

Guidance on Environmental Outcomes and Outputs

Applicants must demonstrate a clear linkage between the relevant goals listed in the EPA Strategic Plan FY 2018 – 2022 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 and 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 results, effects, or consequences 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.

EPA’s website – Linking Assistance Agreements to Environmental Results contains information to help applicants capture environmental results - including outcomes and outputs, and the use of logic models.

<https://www.epa.gov/grants/linking-assistance-agreements-environmental-results>

2. Detailed Budget

Proposals must include estimated total and categorical budget items for each year of funding. The budget detail allows EPA 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.

Ensure that the Indirect Cost Rate used in the budget is the most current proposed or approved rate.

A description of budget categories is provided as **Attachment A**, and a sample budget is provided as **Attachment B**. The sample budget demonstrates the level of detail that should be included for each category. To receive a sample budget that may be used as a template, please contact your [Project Officer](#).

B. Submission Instructions

1. Submit a proposal (work plan and budget) by email to EPA by March 10, 2021.

If your tribe or consortia is seeking two years of funding, please submit individual work plans and budgets for each year of funding requested.

Project Officer contact information is listed on page 10 and in the Air and Climate Resources for Tribes in Region 10 website.

<https://www.epa.gov/r10-tribal/air-and-climate-resources-tribes-region-10#contacts>

The Project Officer who reviews your proposal will provide feedback and requested revisions to your proposal, as well as subsequent instructions for submission of a complete application in grants.gov.

IMPORTANT! Do not submit any documents or application forms in grants.gov until you are provided an invitation with instructions from a Project Officer.

2. SAM and Grants.gov Registration

Prior to registering in Grants.gov, ensure that your tribe or consortium has a DUNS number and active System for Award Management (SAM.gov) registration.

EPA may not make an award until the applicant has complied with all applicable unique entity identifier and SAM requirements and, if an applicant has not fully complied with the requirements by the time EPA is ready to make an award, the agency may determine that the applicant is not qualified to receive a federal award and use that determination as a basis for making a federal award to another applicant.

Your tribe or consortium will receive an invitation with instructions for submitting a complete application in grants.gov by a Project Officer. In advance of receiving the invitation, please ensure that whomever plans to submit the final application package is registered in grants.gov as an Authorized Organization Representative (AOR). Please allow four weeks to complete grants.gov registration.

Grants.gov applicant training and registration information is available on the following websites.

<https://www.grants.gov/web/grants/applicants/applicant-training.html>

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

If your tribe or consortium has limited internet access, you can request an exception request to the grants.gov submission requirement. Please notify your Project Officer if your tribe or consortium plans to submit an exception request.

Exception requests are submitted to the EPA's Office of Grants and Debarment by email at OGDWaivers@epa.gov. Please copy your Project Officer and Peggy Johnson at johnson.peggy@epa.gov on that email request. Your request must be received at least **15 calendar days** before the application due date to allow enough time to negotiate alternative submission methods.

An exception request must include the following information:

- Funding Opportunity Number;
- your organization's name and DUNS number;
- your organization's contact information (email address, mailing address, and phone number); and
- explanation for the lack of technical capability to apply electronically through grants.gov because you have no or intermittent internet access.

3. Grants.gov Application Submission

The Project Officer who reviews your proposal will invite your tribe or consortium to submit a complete application package in grants.gov after completing the proposal review process by a date negotiated between the Project Officer and the applicant — no later than **May 21, 2021**.

The Project Officer will send you information on the application package and forms that must be completed. You may request that your Project Officer review the application forms prior to submission in grants.gov.

C. Resources and Tools

Listed below are resources that will be helpful in preparing a proposal. These websites provide guidance on the EPA requirements for funding proposals, air quality priorities, and tools for grant proposal development and submission.

Checklist for CAA Tribal Grant Applications

Prior to submitting your proposal, consider using **Attachment C** (an optional checklist) to review your proposal and ensure that you have completed all of the required proposal elements.

EPA Grants Guidance

EPA Air and Climate Resources for Tribes in Region 10

<https://www.epa.gov/r10-tribal/air-and-climate-resources-tribes-region-10>

Region 10 Clean Air Act Tribal Program Funding

<https://www.epa.gov/r10-tribal/region-10-clean-air-act-tribal-program-funding>

Tribal Air Grants Framework – Menu of Options

<https://www.epa.gov/tribal-air/tribal-air-grants-framework-menu-options>

Grants.gov Submission Requirements

<https://www.epa.gov/grants/grantsgov-submission-requirements>

Air Quality Project and Program Guidance

FY 2020-2021 OAR Program Guidance

<https://www.epa.gov/planandbudget/final-fy-2020-2021-office-air-and-radiation-oar-national-program-guidance>

VI. Management Capacity

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

For current or previous recipients this includes:

- Timeliness and completeness of reports.
- Progress on EPA approved current work plan.
- Absence of duplicative activities in proposed work plan and budget.
- Demonstration of following financial grant requirements.

For recipients with past grant performance issues, the proposal should include a discussion of the steps 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. If necessary, a Project Officer will contact the applicant to schedule this review.

VII. Other Information

Alternate Funding:

As an alternative to CAA §103 funding, initial air quality assessments and air program capacity building may be funded under EPA's Indian Environmental General Assistance Program (GAP).

<https://www.epa.gov/r10-tribal/region-10-tribal-environmental-gap-funding>

VIII. 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).

IX. Agency Contacts

Thank you for your interest in the Clean Air Act Tribal Program. If you have any questions about the application process or grant requirements, please contact your EPA Project Officer listed below, or for general questions, contact the Region 10 Tribal Air Team Lead:

Kayla Krauss..... (206) 553-2728 or krauss.kayla@epa.gov
Project Officer
& Acting Tribal Air Team Lead (*February – May 2021*)

Sandra Brozusky..... (206) 553-5317 or brozusky.sandra@epa.gov
Tribal Air Team Lead (*May 2021*)

Sarah Frederick..... (206) 553-1601 or frederick.sarah@epa.gov
Project Officer

India Young..... (206) 553-1219 or young.india@epa.gov
Project Officer

X. 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.