

# U.S. Environmental Protection Agency

## Grant Guidance for Multipurpose Grants to States and Tribes

April 27, 2016

### INTRODUCTION

The FY 2016 Consolidated Appropriations Act (Public Law 114-113) provides \$21,000,000 (\$20,809,000 after rescission), for EPA to issue grants to states and tribes to assist with the implementation of environmental programs. A total of \$19,809,000 is available for states, territories, and the District of Columbia, and \$1,000,000 is available for eligible tribes.

The explanatory statement accompanying the Act states that “Funds allow States and tribes to have the flexibility to direct resources for the implementation of high priority activities, including the processing of permits, which complement programs under established environmental statutes.” EPA expects to award these funds to states and tribes by the end of FY 2016 (September 30, 2016). Additional details about multipurpose grants is available in the Catalog of Federal Domestic Assistance (CFDA, [www.cfda.gov](http://www.cfda.gov)) under 66.204. These funds may be added to Performance Partnership Grants (PPGs); additional information about PPGs is available under CFDA 66.605. EPA will also post answers to questions as they are received to the “Multipurpose Grants to States and Tribes” section of <https://www.epa.gov/grants/specific-epa-grant-programs>.

Effective Date: This guidance is effective **April 27, 2016**.

Authority: This grant funding is authorized by the FY 2016 Consolidated Appropriations Act (P.L. 114-113).

This document provides guidance for states (below) and guidance for tribes (starting on page 7).

### STATE GUIDANCE

#### ELIGIBLE RECIPIENTS

Recipients eligible to receive direct awards of multipurpose grant funding include: states, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Marianas. For purposes of this guidance, such eligible entities will be hereafter referred to as “states.” Local government agencies are not eligible to receive a direct award of multipurpose grant funding. States may choose to provide this funding to sub-recipients (including local government agencies), in accordance with 2 CFR 200.331 and the [EPA Subaward Policy](#).

#### FUNDING ALLOCATION

- A total of \$19,809,000 is available for states.
- Each state will be eligible for a specific funding amount that includes: a base amount, an amount based on each state’s number of Clean Air Act (CAA) major sources as of 2015, and an amount based on each state’s share of EPA’s total FY 2015 categorical grant funding.

- 65 percent of each state’s funding will be available to support core air regulatory work, including but not limited to National Ambient Air Quality Standards (NAAQS) implementation, including designations and State Implementation Plans (SIPs); CAA permitting (see details below); and state-led activities to address climate change.
- 35 percent of each state’s funding will be available for high priority activities identified by individual states eligible under existing federal environmental statutes.
- States who submit workplans or workplan amendments consistent with this guidance and approved by their respective EPA region will receive the full amount for which they are eligible.

EPA regions will notify their states of the amount of multipurpose funding they are eligible to receive. Additional funding may be available for states if one or more states does not apply for the full amount of funding for which they are eligible. If additional funding becomes available, EPA will notify states by June 2016. See “Timeframes” on page 5 for further information.

#### ELIGIBLE USES

All activities for which multipurpose funding is used must be eligible under existing federal environmental statutes identified below. Any activities that are ineligible for federal grant funding under existing federal environmental statutes are not eligible for multipurpose grant funding.

Multipurpose funds may be added to certain types of grants or provided in new stand-alone grants. States will identify the activities they wish to fund with their multipurpose funding. States will negotiate the details of the activities to fund with their respective EPA region as part of the grant workplan negotiation process (see “Grant Funding Options” on pages 4-5 for further information).

States will use at least 65% of their funding for core air work and state-led climate activities.

- Core air regulatory work includes, but is not limited to:
  - Implementing strategies to attain and maintain the NAAQS;
  - Developing attainment plans for applicable NAAQS;
  - Implementing and revising SIPs, as necessary;
  - Monitoring industry compliance with EPA stationary source regulations;
  - Ambient monitoring; and,
  - Other related NAAQS implementation activities.
- CAA permitting, including permitting enforcement and streamlining permitting processes. Note that activities that are necessary for the issuance and implementation of CAA Title V permits are prohibited because Title V permit program costs cannot be funded through an EPA grant. Section 502 of the Clean Air Act requires that Title V program costs be funded solely from Title V permit fees.
- Developing and implementing strategies to reduce air toxics.
- Implementing radon risk reduction activities.
- Regional haze planning activities.
- State-led activities to address climate change.
- Other state-led activities to improve air quality and to reduce greenhouse gas emissions.

States will use the remaining 35% of their funding to carry out other state-identified priorities. These activities may be in any non-competitive continuing environmental program (CEP) that is currently funded with State and Tribal Assistance Grants (STAG) funding.

These programs include:

- Air pollution control (section 105 of the Clean Air Act).
- Water pollution control (section 106 of the Clean Water Act).
- Public water system supervision (section 1443(a) of the Safe Drinking Water Act).
- Underground water source protection (section 1443(b) of the Safe Drinking Water Act).
- Hazardous waste management (section 3011(a) of the Solid Waste Disposal Act).
- Pesticide cooperative enforcement (section 23(a)(1) of the Federal Insecticide, Fungicide, and Rodenticide Act).
- Pesticide applicator certification and training (section 23(a)(2) of the Federal Insecticide, Fungicide, and Rodenticide Act).
- Pesticide program implementation (section 23(a)(1) of the Federal Insecticide, Fungicide, and Rodenticide Act).
- Nonpoint source management (sections 205(j)(5) and 319(h) of the Clean Water Act).
- Lead-based paint program (section 404(g) of the Toxic Substances Control Act).
- State indoor radon grants (section 306 of the Toxic Substances Control Act).
- Toxic substances compliance monitoring (section 28 of the Toxic Substances Control Act).
- State underground storage tanks (section 2007(f)(2) of the Solid Waste Disposal Act).
- Water quality cooperative agreements (section 104(b)(3) of the Clean Water Act).
- State Response Program Grants (section 128(a) of the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA)).
- Beaches program grants (section 406(b) of the Clean Water Act).

States must follow the applicable statutes, regulations, policies, and guidance of the applicable programs listed above. Eligible activities may also include joint efforts between states and EPA, such as streamlining and other E-Enterprise projects.

States should coordinate across state agencies, (e.g., health, environment), to determine the priorities to fund with their multipurpose grant funding **prior** to submitting any grant applications or amendments (see “Grant Funding Options” on the next page).

### **STATE ADMINISTRATIVE DETAILS**

The requirements of 2 CFR part 200 (OMB Uniform Grant Guidance) and 2 CFR part 1500 (EPA Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards) apply to this grant funding. Below is further administrative guidance applicable to multipurpose grant funding for states.

#### **MATCH, COST-SHARE, AND MAINTENANCE OF EFFORT REQUIREMENTS**

There is no match, cost-share, or maintenance of effort requirement for adding multipurpose grant funding to a PPG or for a new multipurpose grant (see “Grant Funding Options” on the next page). There is also no match, cost-share, or maintenance of effort for new stand-alone multipurpose grants.

## GRANT FUNDING OPTIONS

The following STAG grant funding vehicles are available. States should coordinate with their EPA region to identify the most appropriate funding vehicle.

- For states that have an existing PPG, EPA may add this funding to the PPG through a supplemental grant amendment.
- For states that are negotiating a new PPG, EPA may include this funding in the new PPG grant award.
- For states without a PPG, EPA will award this funding through a separate grant under the authority of the FY 2016 Consolidated Appropriations Act.
- For Guam, American Samoa and the Commonwealth of the Northern Mariana Islands, EPA may add this funding to an existing or new consolidated assistance agreement awarded under the authority of 48 U.S.C. §1469a(a).

As described above, states will need to incorporate the multipurpose funding into their existing/new PPG (or consolidated grant for EPA Region 9 territories) or submit a complete grant application and workplan for a new grant under the authority of the FY 2016 Consolidated Appropriations Act. States should work with their respective EPA region to determine which grant vehicle is most appropriate. There are circumstances when a state with a PPG may choose to receive a new stand-alone multipurpose grant rather than have these funds added to their PPG. For instance, if the project period for the existing PPG is expected to end within the year, then the state may wish to receive a separate multipurpose grant rather than extend the PPG.

Since multipurpose grant activities should complement existing state grants, states must carefully coordinate their multipurpose grant decisions with other EPA grants and grant recipients within their state (e.g., Clean Water Act Section 106 grants, Clean Air Act Section 105 grants). This may require some states to coordinate with multiple state agencies to identify the state priorities to fund. States should do this **prior** to submitting an initial grant application or amendment.

If a state chooses to amend an existing PPG, they should amend their existing workplan by including this funding as a new activity or commitment. Amending an existing grant will also require the state to amend their SF-424, SF-424A, and budget detail, as appropriate. If a state relies on a Performance Partnership Agreement (PPA) as their grant workplan, then they should work with their respective EPA region about how best to incorporate their multipurpose grant funding and activities into their PPA. States will need to submit the amended PPG through [Grants.gov](https://www.epa.gov/grants) using the opportunity number EPA-CEP-01 (See <https://www.epa.gov/grants/grantsgov-submission-requirements>).

For new grants, states will need to submit an initial application (i.e., SF-424, SF-424A, SF-424B, detailed workplan, and administrative supporting documents) through [Grants.gov](https://www.epa.gov/grants). To facilitate submission, EPA's Office of Grants and Debarment will post the opportunity on Grants.gov under opportunity number EPA-CEP-02. This guidance will be posted at <https://www.epa.gov/grants/specific-epa-grant-programs> along with Questions and Answers as they become available. Since this work should complement existing federal assistance agreements awarded to the states, the state must carefully coordinate their multipurpose grant workplan with the workplan activities of the existing federal assistance agreement. The EPA Regional Points of Contact identified below can assist with this.

The following applies to all workplans (amended PPGs and new multipurpose grants):

- As required by EPA's Environmental Results Order ([EPA Order 5700.7A1](#)), workplans must link the multipurpose grant activities to applicable EPA strategic goals and objectives, and include outcomes and outputs. Outputs may be quantitative or qualitative, and must be measurable during the assistance agreement funding period.
- States should identify which activities/commitments are related to core air regulatory and state-led climate work (i.e. the 65% of funding identified above) and which are related to the individual state-identified priorities (i.e. the 35% of funding identified above).
- States will need to coordinate grant amendments with their EPA project officer and grants specialist. This includes negotiating the workplan with their respective EPA region.

States should work with their respective EPA region project officer(s), grant specialists, and/or point of contact (see "Regional Points of Contact" below) for further details about the grant application and amendment requirements.

#### PROJECT PERIOD LENGTH

Existing EPA grant policies apply to this funding, which limit project periods for continuing environmental programs, such as Performance Partnership Grants, to no more than five years and other grants to no more than seven years. However, because this funding is for high priority activities, EPA expects multipurpose grant activities to have shorter project periods that are typically no more than two years.

If a state wants to have their multipurpose grant funding added to a PPG that needs to be extended beyond the five-year limit, they may request an extension that is consistent with established grants policies. This would require a waiver from the five-year limit, and may only extend the multipurpose grant activities of the PPG.

EPA's [GPI 12-06, "Timely Obligation, Award and Expenditure of EPA Grant Funds,"](#) also applies to this funding.

#### TIMEFRAMES

The following are the timeframes for funding and application submittal. Additional funding may be available for states if one or more states does not apply for their full funding amount.

- By May 20, 2016: States notify EPA of their intent to accept multi-purpose funding.
- By May 27, 2016: EPA regions notify states of funding allocation amounts.
- By June 17, 2016: States submit initial grant or amendment applications.
- By September 30, 2016: EPA awards grants.

#### GRANT TERMS AND CONDITIONS

EPA Headquarters will provide the EPA regions with a list of terms and conditions that will be applicable to the multipurpose grant funding. States will work with their EPA region to ensure that all applicable terms and conditions are included.

## REGIONAL POINTS OF CONTACT

States should direct questions to their regional contacts below. The following contacts are the lead EPA Regional Air Grant Coordinators. They will assist the states in coordinating with other EPA regional media offices as needed regarding the full range of activities to be supported by multipurpose funding.

<b>EPA Region</b>	<b>Regional Point of Contact</b>	<b>Phone Number</b>	<b>Email</b>
R1	Jennifer Brady	617-918-1698	<a href="mailto:brady.jenniferl@epa.gov">brady.jenniferl@epa.gov</a>
R2	Marlon Gonzales	212-637-3769	<a href="mailto:gonzales.marlon@epa.gov">gonzales.marlon@epa.gov</a>
R3	Paula Krall	215-814-2067	<a href="mailto:krall.paula@epa.gov">krall.paula@epa.gov</a>
R4	Stuart Perry	404-562-8980	<a href="mailto:perry.stuart@epa.gov">perry.stuart@epa.gov</a>
R5	Sharleen Phillips	312-353-3486	<a href="mailto:phillips.sharleen@epa.gov">phillips.sharleen@epa.gov</a>
R6	Donnett Patterson	214-665-7418	<a href="mailto:patterson.donnett@epa.gov">patterson.donnett@epa.gov</a>
R7	Jan Simpson	913-551-7089	<a href="mailto:simpson.jan@epa.gov">simpson.jan@epa.gov</a>
R8	Marisa McPhilliamy	303-312-6965	<a href="mailto:mcphilliamy.marisa@epa.gov">mcphilliamy.marisa@epa.gov</a>
R9	Angela Davis-Latigue	415-947-4170	<a href="mailto:latigue.angela@epa.gov">latigue.angela@epa.gov</a>
R10	Christina Miller	206-553-6512	<a href="mailto:miller.christina@epa.gov">miller.christina@epa.gov</a>

HEADQUARTERS POINT OF CONTACT: While states should direct questions to their regional contact, Tim Roberts (202) 564-6004 or [roberts.timothy-p@epa.gov](mailto:roberts.timothy-p@epa.gov) is the lead contact for the state guidance and may be able to provide additional assistance, as needed.

## TRIBAL GUIDANCE

### ELIGIBLE RECIPIENTS

The tribal portion of this funding is available to tribes eligible under Clean Water Act 518(e) that have received authorization (treated in a similar manner to a state (TAS) for the CWA Section 303 (c): water quality standards (WQS) program,) as of the effective date of this guidance. See <https://www.epa.gov/wqs-tech/epa-approvals-tribal-water-quality-standards>).

### FUNDING ALLOCATION

A total of \$1,000,000 of multipurpose grant funding is available to tribes that have received authorization (TAS) for WQS. Each EPA region will receive a share of the available funding in proportion to the number of tribes with TAS for WQS in their EPA region as of the effective date of this guidance. EPA will award these additional funds to tribes to complement and enhance their existing Clean Water Act (CWA) Section 106 grant WQS activities (see “Grant Funding Options” below). The multipurpose grant funds will be reprogrammed with a unique program code to the EPA regions.

### ELIGIBLE USES

Multipurpose funding for tribes is for new or expanded WQS implementation activities. These multipurpose grant funds can be used to complement and enhance existing activities but cannot be used to substitute tasks currently funded by CWA Section 106 grants. Below are examples of WQS implementation activities tribes may consider:

- Conduct baseline water quality monitoring to establish designated uses, characterize local water characteristics used in calculating water quality criteria, characterize water quality of existing uses, and identify outstanding national or tribal resource waters.
- Identify designated uses.
- Develop narrative and numeric criteria.
- Conduct surveys and studies to characterize cultural and traditional practices, such as fish consumption rates.
- Develop an anti-degradation policy and implementation methods.
- Complete the triennial review and/or revision of existing EPA-approved Tribal Water Quality Standards.
- Assist EPA in interpreting and applying EPA-approved Tribal Water Quality Standards in pollution control decisions such as water quality assessments and 303(d) lists, watershed plans, total maximum daily loads (TMDLs) or National Pollutant Discharge Elimination System (NPDES) permits.

Additional information on WQS implementation can be found in the National Water Program Guidance (<https://www.epa.gov/water-planning-evaluation/national-water-program-guidance>), the Final Guidance on the Award of Grants to Indian Tribes Under Section 106 of the Clean Water Act (<https://www.epa.gov/sites/production/files/2014-09/documents/final-tribal-guidance.pdf>) and Technical Resources for Tribes (<https://www.epa.gov/wqs-tech>).

EPA regions will evaluate each tribal funding request to determine if the tribe is eligible for funding and whether the activities are consistent with WQS implementation. If a tribe with TAS for WQS does not

apply for funding, or is found to be ineligible for funding, the region will award those funds for eligible purposes to other eligible tribes within that region.

### **TRIBAL ADMINISTRATIVE DETAILS**

The requirements of 2 CFR part 200 (OMB Uniform Grant Guidance) and 2 CFR part 1500 (EPA Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards) apply to this grant funding. Below is further administrative guidance applicable to multipurpose funding for tribes. In addition to this guidance, tribes should follow the administrative guidance of CWA Section 106 grants noted earlier.

#### **MATCH, COST-SHARE, AND MAINTENANCE OF EFFORT REQUIREMENTS**

There is no match, cost-share, or maintenance of effort requirements for adding multipurpose grant funding to a Performance Partnership Grant (PPG) or a new multipurpose grant (see “Grant Funding Options” below).

#### **GRANT FUNDING OPTIONS**

The following STAG grant funding vehicles are available. Eligible tribes should coordinate with their EPA region to identify the appropriate funding vehicle.

- For tribes that have an existing PPG with a Section 106 component, the tribe may choose to add this funding to the PPG through a supplemental grant amendment.
- For tribes that do not currently have a PPG, but want to enter into one that combines CWA Section 106 funds and multipurpose grant funds, EPA may include this funding in a new PPG.
- For tribes that have an existing Section 106 grant but are not interested in pursuing a PPG, EPA will provide this funding through a new grant awarded under the authority of the Appropriations Act.

There are circumstances when a tribe with a PPG may choose to receive a new standalone multipurpose grant rather than have these funds added to their PPG. For instance, if the project period for the existing PPG is expected to end within the year, the tribe may wish to receive a separate multipurpose grant rather than extend the existing PPG. For new grants the initial application will need to be submitted through [Grants.gov](https://www.epa.gov/grants) (See <https://www.epa.gov/grants/grantsgov-submission-requirements>). Eligible tribes should work with their respective EPA regional project officer or point of contact (see “Regional Points of Contact” below) for further details about grant application and amendment requirements.

EPA expects workplans to include well-defined and measurable outputs. Reporting on the outputs, as outlined in the workplan, should coincide with the reporting requirements of the PPG, or if a stand-alone grant, reporting is expected to follow national and regional requirements/terms and conditions.

#### **PROJECT PERIOD LENGTH**

Existing EPA grant policies apply to this funding, which limit project periods for continuing environmental programs, such as Performance Partnership Grants, to no more than five years and other grants to no more than seven years. However, because this funding is for high priority activities, EPA



expects multipurpose grant activities to have shorter project periods that are typically no more than two years.

If a tribe wants to have their multipurpose grant funding added to a PPG that needs to be extended beyond the five-year limit, they may request an extension that is consistent with established grants policies. This would require a waiver from the five-year limit, and may only extend the multipurpose grant activities of the PPG.

EPA’s [GPI 12-06, “Timely Obligation, Award and Expenditure of EPA Grant Funds,”](#) also applies to this funding.

DUE DATES

Eligible tribes must notify their respective EPA region of their intent to apply for this funding as requested by the region, and confirm the documents that must be submitted. As noted above, for new grants the initial application must be submitted through Grants.gov.

EPA expects to make awards by the end of FY 2016 (September 30, 2016).

GRANT TERMS AND CONDITIONS

EPA Headquarters will provide the EPA regions with a list of terms and conditions that will be applicable to the multipurpose grant funding. EPA regions will communicate this information to their respective tribes.

REGIONAL POINTS OF CONTACT

EPA Region	Regional Point of Contact	Phone Number	Email
R1*	Sandra Brownell	(617) 918-1797	<a href="mailto:brownell.sandra@epa.gov">brownell.sandra@epa.gov</a>
R2	Alyssa Arcaya	(212) 637-3730	<a href="mailto:arcaya.alysa@epa.gov">arcaya.alysa@epa.gov</a>
R3*	NA		
R4	Jennifer Shadle	(404) 562-9436	<a href="mailto:shadle.jennifer@epa.gov">shadle.jennifer@epa.gov</a>
R5	David Horak	(312) 353-4306	<a href="mailto:horak.david@epa.gov">horak.david@epa.gov</a>
R6	Nikole Witt	(214) 665-2781	<a href="mailto:witt.nikole@epa.gov">witt.nikole@epa.gov</a>
R7*	Heather Duncan	(913) 551-7640	<a href="mailto:duncan.heather@epa.gov">duncan.heather@epa.gov</a>
R8	Jennifer Wintersteen	(406) 457-5006	<a href="mailto:wintersteen.jennifer@epa.gov">wintersteen.jennifer@epa.gov</a>
R9	Danielle Angeles	(415) 972-3441	<a href="mailto:angeles.danielle@epa.gov">angeles.danielle@epa.gov</a>
R10	Krista Mendelman	(206) 972-3749	<a href="mailto:mendelman.krista@epa.gov">mendelman.krista@epa.gov</a>

\*Regions that do not currently have tribes with TAS for WQS

HEADQUARTERS CONTACT: While tribes should direct questions to their regional contact, Robyn Delehanty, Office of Water (202-564-3880 or [delehanty.robyn@epa.gov](mailto:delehanty.robyn@epa.gov)) is the lead contact for the tribal guidance and may be able to provide additional assistance as needed.