

# **EPA GAP Grant Proposal Work Plan Strategies**

**PRESENTED BY:**

**Josh Simmons**

**Principal Consultant / Attorney**

**[www.Prospersustainably.com](http://www.Prospersustainably.com)**

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# Presenter Qualifications

## Joshua M. Simmons



- **Founding President of Prosper Sustainably**
  - Assisting tribal communities to development and implementation of lasting solutions to meet environmental and sustainability needs
    - Grant Writing / Management, Program Development, Plans & Assessments
    - Project Management, Environmental Codes Drafting, Feasibility Studies
- **Former SYCEO Director (2007 – 2014)**
  - Transformed the Santa Ynez Chumash Environmental Office (SYCEO) into a nation-leading tribal environmental agency
  - Secured 42 grants for \$4.3 million in funding
- **Grant Writing Course Instructor**
  - Instructed on behalf of FWS, USBR, and UCSB



# Disclaimer

This webinar is sponsored by Prosper Sustainably, a for-profit business that assists tribal communities and other organizations develop and implement lasting solutions to meet environmental and sustainability needs. This webinar is NOT sponsored or endorsed by the U.S. Environmental Protection Agency (EPA) and should not be considered a representation of the EPA's opinions in any way.



# Presentation Outline

- **General Discussion of GAP Guidance Changes**
- **GAP Work Plan Considerations from FY15 GAP RFP (Region 9)**
  - <http://www.epa.gov/region9/funding/tribal-gap.html>
- **GAP Work Plan Considerations from May 2013 GAP Guidance**
  - <http://www.epa.gov/region9/funding/pdfs/tribal-gap/r9-gap-guidance.pdf>
- **Recommended Steps for Preparing Your GAP Work Plan**
- **Mandatory GAP Work Plan Tasks**
- **Strategies for Work Plan Components & Commitments**
- **Utilizing a Tribal Environmental Plan**
- **Review and Answer Participant Questions**
- **Describe Prosper Sustainably's Services**
- **Obtain Webinar Participant Feedback**

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# GAP Work Plan Considerations (pg. 4)

- **Core Program (Base) Activities v. Supplemental Activities**
- **New Grantee v. New Cycle v. Existing Grant Amendment (core)**
  - **New Grantee = \$75k max**
  - **Existing Grantee New Cycle or Grant Amendment = \$75k - \$120k+**
    - **More Core Program funding possible if needs justified & funding available**
- **Supplemental Activities - unmet one-time or short-duration needs**
- **Two-Year Work Plans**
  - **Encouraged for four-year GAP grants expiring in 2017 or later**
- **Performance Partnership Grants (PPGs) – pg. 10**
  - **Combines 2 or more eligible EPA grants into single grant**
  - **Tribes applying for a PPG do not have to develop work plans in GAP Online**
  - **Discuss w/ grant project officers prior to developing individual grant proposals**

# Work Plan Elements (pg. 6)

## ➤ Work Plan Components:

- Separate description of each work plan component
- Progress Reporting and Joint Evaluation (required)

## ➤ For each component:

- Estimated Work Years
- Budget Amount
- Commitments (activities/tasks)
- Outcomes (environmental results)
- Capacity Indicators (at least one per component)
  - Refer to Appendix 1 of GAP Guidance
  - List in Measures section by number found in Appendix 1 of GAP Guidance
    - ❖ If a potential Capacity Indicator is not found in Appendix 1 – discuss with Project Officer

## ➤ For each commitment:

- Timeframe for Completion
- Outputs and Deliverables
- Tribal and EPA Roles and Responsibilities



# 2013 GAP Guidance Considerations

- **Allowable Activities & Restrictions (Section 1.4; pg. 9)**
  - **GAP can fund establishing and performing a “test drive” of an environmental protection program (pg. 10)**
    - Test drives of capacity to implement may be funded for up to 4 years
- **Appendix I Capacity Indicators = non-exclusive menu of choices**
  - **Tribes may develop own GAP funded indicators (subject to EPA approval)**
    - Best to identify own Capacity Indicators through Tribal Environmental Plan
- **Capacity Development is a Continuing Programmatic Need (pg. 32)**
  - **Successfully developed capacities can still be GAP funded**
  - **GAP funding can be ongoing to expand, enhance, or evolve capacity**
    - E.g. Significantly updating or revising a plan, educational materials, etc.



# GAP Work Plan Preparation Steps

- **Detailed review of current GAP work plan with Project Officer**
  - **Identify which components and commitments are eligible**
    - Find out why; Find out whether eligible if proposed again the following year
  - **Cross-out those that not eligible this year; Highlight those not eligible following year**
- **Prepare an outline/framework of components and commitments**
  - **Ideally, create from scratch based on FY15 RFP & 2013 GAP Guidance**
    - Will help avoid including work plan activities that may not be eligible
- **Review “menu” of eligible activities and capacity indicators (CIs)**
  - **Non-Exclusive Menu = GAP Guidance Appendix I (list/description of CIs)**
- **Select desired work plan components from Capacity Indicator Categories**
  - **Note applicable Capacity Indicator Category Number for each component (e.g. F.1)**

# GAP Work Plan Preparation Steps

- Use shortened Capacity Indicator Categories as Component titles
  - E.g. B.6 Establishing Core Public Participation, Community Involvement, Education, and Communication Capacities →
    - Component #1: Community Involvement, Education, and Communication
- Select desired commitments that fall under selected categories
  - Use specific Capacity Indicators and RFP examples as guidance
  - For particularly involved commitments, you may want to break out as separate components (e.g. Developing an Air Emissions Inventory)
- Insert Reporting & Evaluation components and commitments
  - This is not necessarily associated with any specific capacity indicators (B.2.4)
- Insert Commitments not associated w/ EPA identified CIs
  - Grant Project Officer approval should be obtained prior to submitting GAP proposal / work plan

# GAP Work Plan Preparation Steps

- **Review proposed Components & Commitments with EPA**
  - Go through Components & Commitments outline
  - Identify which components and commitments are eligible
    - Find out why; Find out whether eligible if proposed again the following year
  - Cross-out those that not eligible this year; Highlight those not eligible following year
  - Obtain feedback on which should be proposed as supplemental activities
- **Prepare work plan w/ pre-approved Components & Commitments**
  - Include all required elements as described in RFP
  - Prepare work plans for supplemental activities as well
- **Prepare remaining proposal (narrative, budget, endorsement, etc.)**
- **Submit final proposal and work plan by December 10, 2014**
- **Develop a Tribal Environmental Plan for future work plans**

# Mandatory Tasks (pg. 7)

- **Must be completed at least once per four year GAP grant cycle**
  - Can be repeated as necessary
- **Administrative/Fiscal Assessment**
  - See CI Category B.3 – Establishing Core Financial Mgmt Capacities
  - Review and assess financial, procurement & property mgmt procedures
  - Corrections to deficiencies may be GAP eligible activities
- **Baseline Needs Assessment (formerly Environmental Inventory)**
  - CI Category B.5; Appendix II of GAP Guidance for example steps
- **Tribal Environmental Plan**
  - See section 4.0 of GAP Guidance for purpose, format, components, etc.
  - See Appendix III of GAP Guidance for sample work plan component

# Common Work Plan Components

- **Administrative (B.2)**
- **Financial Management (B.3)**
- **Information Management (B.4)**
- **Baseline Needs Assessment (B.5)**
- **Community Involvement, Education, and Communication (B.6)**
- **Legal / Compliance Monitoring / Enforcement Programs (B.7)**
- **Waste Management & UST Programs (E.3)**
- **Waste Management & UST Program Implementation (E.4)**

# Common Work Plan Components

- **Emergency Response & Remediation (F.3)**
- **Pollution Prevention (G.3)**
  - **Sustainability & Greening Activities**
- **EPA-Tribal Environmental Plan (A.1?, B.5?)**
- **Progress Reporting & Joint Evaluation**
  - **See RFP (pgs. 6, 10); RFP Attachment D; GAP Guidance Sec. 7.2**
  - **Do not propose more reporting than necessary**
  - **Allocate time to discuss reports with Grant Project Officer as needed**

# Other Work Plan Components

- **Technical and Analytical (B.8, pg. 43)**
- **Air Quality Programs (C.3)**
- **Water Quality Programs (D.3)**
- **Chemical Safety Program (G.3)**



# Strategies for Past Common Activities

## ➤ Education & Outreach

- Earth Day, Newsletter, Committee Meetings, E&O Materials
- Recommendations:
  - Develop education & outreach content, materials, and activities for specific GAP eligible environmental programs and initiatives and include under relevant Component / CI Category
    - ❖ The more specific the scope of the commitments the better (e.g. radon > indoor air quality)
    - ❖ You can make major revisions and enhancements for specific topics every 5 years or so
  - Test education & outreach materials / activities through events, committee meetings, newsletters, etc.
    - ❖ E.g. “Test drive” new radon educational content, materials, and activities at Earth Day event, interdepartmental events, committee meetings, quarterly newsletters, etc.
  - Focus on content and purpose of education & outreach efforts rather than communication method (meetings, events, publications, or other communication method/vehicle etc.)

## ➤ Training & Travel

- Trainings, EPA Annual Conference, RTOC Meetings
- Recommendations:
  - Include trainings and travel under relevant Component / Capacity Indicator Category
    - ❖ E.g. ITEP Waste Code Development Workshop under Waste Management Component
  - EPA Annual Conference & RTOC Meetings → Administrative Component (B.2)?
    - ❖ Ask GAP Grant Project Officer for guidance

# Strategies for Past Common Activities

## ➤ General, Ongoing Administrative Activities

- Office Management, Fiscal Tracking, Information Management, Ensuring Program Goals & Objectives are Met
- Recommendations:
  - For GAP work plan activities, these are necessary grant administration tasks
    - ❖ Most are directly correlated to progress and financial reporting, drawdowns
  - For other grants, include sufficient funding and personnel time to complete administrative tasks associated with those grants
  - Account for in work years and budgets for reporting and drawdowns
  - Discuss the approach with GAP Grant Project officer

## ➤ Funding & Grant Writing Activities

- Recommendations:
  - Separate and include under applicable components
  - GAP proposal / work plan under Administrative or Financial?

# Tribal Environmental Plan

- **Strategic Plan w/ 5-Years of Sequential Capacity Indicators**
  - Includes GAP eligible and non-GAP eligible Capacity Indicators
- **Can lead to approval of Capacity Indicators not listed by EPA**
- **Facilities Work Plan Preparation for GAP and other grants**
- **Promotes flow and evolution in programs and work plans**
- **Strategic Planning = Capacity Building (in my opinion)**
  - I recommend updating the Tribal Environmental Plan annually
    - Discuss how to incorporate this into your work plan w/ Grant Project Officer
- **Use regularly to guide & communicate environmental programs**
- **Most important and productive, yet least practiced activity**
  - Requires consistent commitment, but ultimately save significant time and resources – powerful when used effectively

# Prosper Sustainably's Services

- **Planning & Strategy Development**
  - Tribal Environmental Plan / 5-Year Strategic Plan
- **Grant Writing & Management**
- **Program Development & Management**
- **Project Management: Planning & Coordination**
- **Environmental Codes Drafting**
- **Feasibility Studies & New Ventures Planning**
- **Free Initial Phone Consultation**



<http://www.prospersustainably.com/services/>

# Thank You! Questions?

Need further assistance? Please contact:

**Josh Simmons**

[jsimmons@prospersustainably.com](mailto:jsimmons@prospersustainably.com)

**(805) 694-8089 (office) / (805) 617-5685 (cell)**

Or visit:

[www.prospersustainably.com](http://www.prospersustainably.com)

